

May 6, 2011

Dear Valued Supplier:

Re: Request for Proposal (RFP) for Investigative Main Line Camera Work

The East Bay Municipal Utility District (EBMUD) requests the services of a firm to perform on-call sanitary sewer main line inspections. As part of the EBMUD Fats, Oils and Grease Control (FOG) Program, inspections are necessary to determine sources causing or contributing to grease-related sanitary sewer overflows and blockages. Inspections may be required throughout the EBMUD wastewater service area, which includes Oakland, Piedmont, Berkeley, Emeryville, Alameda, Albany, El Cerrito, and parts of Richmond and the Kensington area.

See Exhibit A – Scope of Work attached for further details of the capabilities required to perform these investigations.

The RFP includes

- Scope of Work (Exhibit A)
- Bid Sheet (Exhibit B)
- Sample of the Service Agreement Contract
- Certificate of Liability and Certificate of Workers' Compensation Insurance forms
- Contract Equity Program (CEP) package

The basis of evaluation for bids received will be as follows:

1. A proposal in which the contractor demonstrates the ability to meet the scope of work as outlined, as well as other requirements to contract with EBMUD. Please be sure to complete and include applicable portions of the attached CEP forms; for vendors not contracting out, the only applicable portion is the P-025 section. The selected vendor will be required to submit insurance forms.
2. A sample of camera footage (DVD, Windows Media Player compatible) and corresponding report must be submitted with your proposal.
3. Contractor's pricing and fee information; see Exhibit B for bid sheet format example.

RFP for Main Line Camera Work  
May 6, 2011  
Page 2 of 2

Should you have any technical questions regarding this proposal please contact Nick Klumpp, Senior Waste Water Control Inspector via email at [nklumpp@ebmud.com](mailto:nklumpp@ebmud.com). For questions regarding the RFP process/purchasing please contact Becky Sharpe, Buyer at (510) 287-0644, for CEP information you may call our Contract Equity office at (510) 287-0114.

Please submit your complete proposal **no later than May 20, 2011 at 4:00 p.m.** in a sealed envelope bearing your firm's name. You may submit your sealed proposal in person to **375 11<sup>th</sup> Street, Oakland, CA, Purchasing Dept. 1<sup>st</sup> floor.**

You may also send your proposal via traditional mail methods to:

**East Bay Municipal Utility District  
Environmental Services Division  
Attn: Nick Klumpp  
P.O. Box 24055, MS 59  
Oakland, CA 94623-1055**

Regards,



Nick Klumpp  
Senior Waste Water Control Inspector

Enclosures:    Scope of Work (Exhibit A)  
                    Bid Sheet (Exhibit B)  
                    Service Agreement Contract  
                    Certificate of Liability Insurance Form  
                    Certificate of Workman's Compensation Insurance Form  
                    Contract Equity Program Guidelines and Forms

**EXHIBIT B**

**East Bay Municipal Utility District**

**SEWER MAIN LINE INSPECTION CONTRACT  
COMPENSATION**

A. Hourly Rates and Itemized Charges

Color CCTV inspection, including reporting & travel time, normal operating hours	\$ _____
Sewer line cleaning by hydro jetting, normal operating hours	\$ _____
Obtaining city permits, as needed	\$ _____
Additional labor/traffic control	\$ _____
Color CCTV inspection, including reporting & travel time, outside of normal operating hours	\$ _____
Sewer line cleaning by hydro jetting, outside of normal operating hours	\$ _____
Other associated costs	\$ _____

Normal operating hours are \_\_\_\_\_ : \_\_\_\_\_ am. to \_\_\_\_\_ : \_\_\_\_\_ p.m., \_\_\_\_\_ through \_\_\_\_\_.

These rates include salary, overhead, and profit. The District will not pay for overhead and expenses unless expressly agreed in writing prior to overhead and expenses being incurred. Overhead and expenses that will not be reimbursed include, but are not limited to:

- Clerical, word processing and/or accounting work.
- Vehicle usage and mileage between [SELECTED FIRM]'s office and DISTRICT service area.
- Parking (DISTRICT does NOT provide parking to [SELECTED FIRM] in the DISTRICT Administration Building, located at 375 11th Street, Oakland, California. [SELECTED FIRM] shall be responsible for parking elsewhere).
- Postage, or for certified or registered mail. Extraordinary postage or overnight delivery charges must be approved in advance.
- Routine copying costs for in-house copying exceeding \$.10 per page.
- Local telephone charges, including cellular phone, modem and telecopy/FAX charges.
- Office space lease.
- Office supplies.
- Computer equipment.
- Computer usage charges.

- Books, publications and periodicals.
- Insurance.
- Miscellaneous hand tools or equipment rental.
- Safety training, seminars or continuing education.
- Utilities.
- Meals, transportation or other charges.
- Inadequately described or miscellaneous expenses.

The above items are illustrative, rather than exhaustive.

**SERVICE AGREEMENT  
FOR  
EAST BAY MUNICIPAL UTILITY DISTRICT  
  
SEWER MAIN LINE INSPECTION CONTRACT**

THIS AGREEMENT is entered into this     day of                     by and between the **EAST BAY MUNICIPAL UTILITY DISTRICT**, a public entity, herein called "DISTRICT" and [SELECTED FIRM], a corporation, herein called "[SELECTED FIRM]", contracting license number CA-----.

**WITNESSETH**

Whereas, DISTRICT requires contracting services to perform on-call sewer main line inspections as part of the DISTRICT'S Fats, Oils, and Grease (FOG) Program to locate and identify facilities causing or contributing to grease blockages or overflows in the sanitary sewer; and such services are authorized by Purchase Order No. \_\_\_\_\_; and

WHEREAS, [SELECTED FIRM] represents that it has the experience, qualifications, staff and expertise to perform said services in a professional and competent manner;

NOW, THEREFORE, it is mutually agreed by DISTRICT and [SELECTED FIRM] as follows:

1. Scope of Services. [SELECTED FIRM] agrees to furnish services as set forth in the Scope of Services attached hereto as Exhibit "A" and incorporated herein. The work to be performed pursuant to this Agreement shall be completed as outlined in the project schedule.
2. Compensation. DISTRICT agrees to pay [SELECTED FIRM] for services under this Agreement according to the rates in attached Exhibit "B" and incorporated herein, provided that total costs shall not exceed the Agreement Ceiling of \$30,000. [SELECTED FIRM] certifies that the proposed rates reflect the payment of prevailing wage rates where applicable.
3. Commencement of Work. This Agreement shall become effective upon execution of the second signature. [SELECTED FIRM] shall commence work upon receipt of DISTRICT's Notice to Proceed, which shall be in the form of a letter signed by DISTRICT's Project Manager. DISTRICT's Notice to Proceed will specify which tasks and/or optional services of the Scope of Services described in Exhibit "A" are authorized with ceiling prices within the Agreement Ceiling in paragraph 2 above. No work shall commence until the Notice to Proceed is issued.
4. Billing and Payment. [SELECTED FIRM] shall invoice DISTRICT monthly for services rendered, setting forth a description of the costs incurred, the services performed, the date

the services were performed, the amount of time spent on each date services were performed and by whom. [SELECTED FIRM] shall also provide any information, which will assist DISTRICT in performing any audit of the invoices. [SELECTED FIRM] acknowledges that construction work on public works projects is subject to prevailing wage rates and includes work performed during the design and preconstruction phases of construction including, but not limited to, inspection and land surveying work. DISTRICT will pay [SELECTED FIRM] within thirty (30) days after receipt of a proper [SELECTED FIRM] invoice. [SELECTED FIRM] agrees to use every appropriate method to contain its fees and costs under this Agreement.

5. Termination. This Agreement may be terminated by DISTRICT immediately for cause or upon 10 days written notice, without cause, during the performance of the work.

If this Agreement is terminated [SELECTED FIRM] shall be entitled to compensation for services satisfactorily performed to the effective date of termination; provided, however, that DISTRICT may condition payment of such compensation upon [SELECTED FIRM]'s delivery to DISTRICT of any and all documents, data, designs, drawings, report, manuals, photographs, computer software, videotapes, and other materials provided to or prepared by [SELECTED FIRM] in connection with this Agreement. Payment by DISTRICT for the services satisfactorily performed to the effective date of termination shall be the sole and exclusive remedy to which [SELECTED FIRM] is entitled in the event of termination and [SELECTED FIRM] shall be entitled to no other compensation or damages including, but not limited to, loss of anticipated profits, and expressly waives the same.

6. Release of Information. [SELECTED FIRM] agrees to maintain in confidence and not disclose to any person or entity without DISTRICT's prior written consent, any trade secret or confidential information, knowledge or data relating to the products, process, or operation of DISTRICT. [SELECTED FIRM] further agrees to maintain in confidence and not to disclose to any person or entity any data, information, technology, or material developed or obtained by [SELECTED FIRM] during the term of this Agreement. The covenants contained in this paragraph shall survive the termination of this Agreement for whatever cause.

7. Ownership of Materials Prepared. The originals of all computations, drawings, designs, graphics, studies, reports, manuals, photographs, videotapes, data, computer files, and other documents prepared or caused to be prepared by [SELECTED FIRM] or its subcontractors in connection with these services shall be delivered to and shall become the exclusive property of DISTRICT. DISTRICT is licensed to utilize these documents for DISTRICT applications on other projects or extensions of this project, at its own risk. [SELECTED FIRM] and its subcontractors may retain and use copies of such documents, with written approval of DISTRICT.

8. Designation of Consulting Personnel. [SELECTED FIRM] agrees that all services under this Agreement shall be performed under the direction of [SELECTED FIRM]. Any change of personnel by [SELECTED FIRM] shall have DISTRICT approval. DISTRICT

contact throughout the period of this Agreement shall be Nick Klumpp, Senior Waste Water Control Inspector.

9. Independent Contractor and Professional Responsibility of APS

a. [SELECTED FIRM] is retained to render specialized services only and all payments made are compensation solely for such services as it may render and recommendations it may make in carrying out the work. [SELECTED FIRM] is an independent contractor and not an employee of DISTRICT. [SELECTED FIRM] expressly warrants that it will not represent that it is an employee or servant of DISTRICT. [SELECTED FIRM] represents that it has all necessary licenses to perform the work and shall maintain them during the term of this Agreement. Acceptance by DISTRICT of the work performed under this Agreement does not operate as a release of [SELECTED FIRM] from its professional responsibility for the work performed.

b. It is further understood and agreed by the parties hereto that [SELECTED FIRM] in the performance of its obligations hereunder is subject to the control or direction of DISTRICT as to the designation of tasks to be performed, the results to be accomplished by the services hereunder agreed to be rendered and performed, and not the means, methods, or sequence used by [SELECTED FIRM] for accomplishing the results.

c. If, in the performance of this agreement, any third persons are employed by [SELECTED FIRM], such person shall be entirely and exclusively under the direction, supervision, and control of [SELECTED FIRM]. All terms of employment, including hours, wages, working conditions, discipline, hiring, and discharging, or any other terms of employment or requirements of law, shall be determined by [SELECTED FIRM], and DISTRICT shall have no right or authority over such persons or the terms of such employment.

d. It is further understood and agreed that as an independent contractor and not an employee of DISTRICT, neither the Contractor nor Contractor's assigned personnel shall have any entitlement as a DISTRICT employee, right to act on behalf of DISTRICT in any capacity whatsoever as agent, nor to bind DISTRICT to any obligation whatsoever. [SELECTED FIRM] shall not be covered by DISTRICT's worker's compensation insurance; nor shall [SELECTED FIRM] be entitled to compensated sick leave, vacation leave, retirement entitlement, participation in group health, dental, life, or other insurance programs, or entitled to other fringe benefits payable by DISTRICT to employees of DISTRICT.

10. Statement of Responsibility. The DISTRICT assumes no responsibility whatsoever for loss or damage of equipment owned and / or operated by the contractor, his agents, or employees. The entire responsibility for any and all injury to the public, to individuals and to property resulting directly or indirectly from the performance of the work hereunder shall rest upon the contractor.

11. Indemnification. [SELECTED FIRM] expressly agrees to defend, indemnify, and hold harmless DISTRICT and its Directors, officers, agents and employees from and against

any and all loss, liability, expense, claims, suits, and damages, including attorneys' fees, arising out of or resulting from [SELECTED FIRM]'s, its associates', employees', subcontractors', or other agents' negligent acts, errors or omissions, or willful misconduct, in the operation and/or performance under this Agreement.

12. Insurance. [SELECTED FIRM] shall take out and maintain during the life of the Agreement all the insurance required in this section, and if requested shall submit certificates for review and approval by DISTRICT. The Notice to Proceed shall not be issued, and [SELECTED FIRM] shall not commence work until such insurance has been approved by DISTRICT. The certificates shall be on forms approved by DISTRICT. Acceptance of the certificates shall not relieve [SELECTED FIRM] of any of the insurance requirements, nor decrease the liability of [SELECTED FIRM]. DISTRICT reserves the right to require [SELECTED FIRM] to provide insurance policies for review by DISTRICT.

[SELECTED FIRM] shall take out and maintain during the life of the Agreement Workers Compensation Insurance for all of its employees on the project. In lieu of evidence of Workers Compensation Insurance, DISTRICT will accept a Self-Insured Certificate from the State of California. [SELECTED FIRM] shall require any subcontractor to provide it with evidence of Workers Compensation.

[SELECTED FIRM] shall take out and maintain during the life of the Agreement Automobile and General Liability Insurance that provides protection from claims, which may arise, from operations or performance under this Agreement. If [SELECTED FIRM] elects to self-insure (self-fund) any liability exposure during the contract period above \$50,000, [SELECTED FIRM] is required to notify the DISTRICT immediately. Any request to self-insure must first be approved by the DISTRICT before the changed terms are accepted. [SELECTED FIRM] shall require any subcontractor to provide evidence of liability insurance coverages.

The amounts of insurance shall be not less than the following:

\$1,000,000/Occurrence, Bodily Injury, Property Damage -- Automobile.

\$1,000,000/Occurrence, Bodily Injury, Property Damage -- General Liability.

The following coverages or endorsements must be included in the policy (ies):

- (1) DISTRICT and its Directors, officers, and employees are additional insureds in the policy (ies) as to the work being performed under this Agreement;
- (2) The coverage is primary and non-contributory to any other insurance carried by DISTRICT;
- (3) The policy(ies) cover(s) contractual liability for the assumption of liability through the indemnity in this Agreement;



- (4) The policy(ies) is(are) written on an occurrence basis;
- (5) The policy(ies) cover(s) broad form property damage liability;
- (6) The policy(ies) cover(s) personal injury (libel, slander, and trespass) liability;
- (7) The policy covers explosion, collapse, and underground hazards
- (8) The policy(ies) cover(s) products and completed operations;
- (9) The policy(ies) cover(s) use of non-owned automobiles and equipment;
- (10) The policy(ies) shall not be canceled nor materially altered unless 30 days written notice is given to DISTRICT.

[SELECTED FIRM] shall take out and maintain during the life of the Agreement, professional liability insurance (Errors and Omissions) with a minimum of \$1,000,000 of liability coverage. The policy will provide 30 days' written notice to DISTRICT for cancellation or reduction in coverage.

13. Time of the Essence. [SELECTED FIRM] agrees to diligently perform the services to be provided under this Agreement in accordance with the schedule specified herein. In the performance of this Agreement, time is of the essence.
14. Notice. Any notice or communication given under this Agreement shall be effective when deposited postage prepaid with the United States Postal Service and addressed to the contracting parties as follows:

EBMUD  
P. O. Box 24055, MS 59  
Oakland, CA 94623  
Attn: Nick Klumpp

[SELECTED FIRM]

Either party may change the address to which notice or communication is sent by providing advance written notice to the other party.

15. Entire Agreement and Governing Law. This Agreement shall be governed by the laws of the State of California and constitutes the entire Agreement of the parties, superseding all prior agreements written or oral and superseding the reverse side of the purchase order, between them on the subject.
16. No Assignment or Modifications. This Agreement is to be binding on the successors and assigns of the parties hereto. The services called for herein are deemed unique and except as provided herein [SELECTED FIRM] shall not assign, transfer, subcontract, or otherwise substitute its interest in this Agreement or any of its obligations herein without

the written consent of DISTRICT. This Agreement may be modified only by a written amendment signed by the parties.

17. No Waiver. The DISTRICT'S waiver of the performance of any covenant, condition, obligation, representation, warranty or promise in this Agreement shall not invalidate this Agreement or be deemed a waiver of any other covenant, condition, obligation, representation, warranty or promise. The DISTRICT'S waiver of the time for performing any act or condition hereunder does not constitute a waiver of the act or condition itself.
18. No Discrimination. There shall be no discrimination against any person or group of persons, on account of race, color, religion, creed, national origin, ancestry, gender, age, marital status, disability, or sexual orientation in the performance of this contract. [SELECTED FIRM] shall not establish or permit any such practice(s) of discrimination with reference to the contract or any part thereof. [SELECTED FIRM] determined to be in violation of this section shall be deemed to be in material breach of this Agreement.
19. Conflict of Interest. [SELECTED FIRM] affirms that it does not have any financial interest or conflict of interest that would prevent [SELECTED FIRM] from providing unbiased, impartial service to the DISTRICT under this Agreement.
20. Terms. Unless terminated pursuant to Article 5 herein, this Agreement shall expire when all tasks have been completed and final payment has been made by DISTRICT or in any event no later than June 30, 2012. The terms of this Agreement may be amended only in writing signed by both parties.

IN WITNESS WHEREOF, the parties hereto each herewith subscribe the same in duplicate.

EAST BAY MUNICIPAL UTILITY DISTRICT

By: \_\_\_\_\_  
Alexander R. Coate  
General Manager

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

Approved As To Form

By: \_\_\_\_\_  
for the Office of the General Counsel

[SELECTED FIRM]

By: \_\_\_\_\_

Date \_\_\_\_\_



# CERTIFICATE OF LIABILITY INSURANCE

**THIS IS TO CERTIFY TO:**

East Bay Municipal Utility District (EBMUD)

Department: \_\_\_\_\_

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

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

City, State, Zip: \_\_\_\_\_

**THE FOLLOWING DESCRIBED POLICY HAS BEEN ISSUED TO:**

District Contract Number: \_\_\_\_\_

Insured: \_\_\_\_\_

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

**LOCATION AND DESCRIPTION OF PROJECT/AGREEMENT:****TYPE OF INSURANCE:** Automobile/General Liability Coverage/Endorsements as required by agreement.**LIMITS OF LIABILITY:****(MINIMUM)**

\$1,000,000/Occurrence, Bodily Injury, Property Damage-General Liability

\$1,000,000/Occurrence, Bodily Injury, Property Damage-Auto Liability

**SELF INSURED RETENTION (\$):**

(Auto)

(GL)

(if applicable)

Aggregate Limits (AUTO)

(GL)

(if applicable)

**INSURANCE COMPANY(IES):**

(Auto)

(GL)

**POLICY NUMBER(S):**

(Auto)

(GL)

**POLICY TERM:**

From: (Auto)

(GL)

To: (Auto)

(GL)

**THE FOLLOWING COVERAGES OR ENDORSEMENTS ARE INCLUDED IN THE POLICY(IES):**

1.  The District, its Directors, Officers and Employees are *Additional Insureds* in the policy(ies) as to work being performed under this agreement. ENDORSEMENT NO. \_\_\_\_\_
2.  The coverage is *Primary* to any other applicable insurance carried by the District.
3.  The policy(ies) covers *contractual liability* for the assumption of liability through the indemnity in this agreement.
4.  The policy(ies) is written on an *occurrence* basis.
5.  The policy(ies) covers *Broad Form* property damage liability.
6.  The policy(ies) covers *personal injury* (libel, slander, and trespass) liability.
7.  The policy(ies) covers *explosion, collapse, and underground* hazards.
8.  The policy(ies) covers *products and completed operations*.
9.  The policy(ies) covers the use of *non-owned* automobiles.
10.  The policy(ies) shall cover pollution liability for claims related to the release or the threatened release of pollutants into the environment arising out of or resulting from Consultant's performance under this agreement.
11.  The policy(ies) will not be canceled nor the above coverages/endorsements reduced without 30 days written notice to East Bay Municipal Utility District at the address above.

**IT IS HEREBY CERTIFIED that the above policies provide liability insurance as required by the agreement between the East Bay Municipal Utility District and the insured.**

Signed \_\_\_\_\_

Firm \_\_\_\_\_

Address \_\_\_\_\_

Date \_\_\_\_\_

Phone \_\_\_\_\_

"This certificate or verification of insurance is not an insurance policy and does not amend, extend, or alter the coverage afforded by the policies listed herein. Notwithstanding any requirement, term or condition of any contract or other document with respect to which this certificate or verification of insurance may be issued or may pertain, the insurance afforded by the policies described herein is subject to all the terms, exclusions, and conditions of the policies."



# CERTIFICATE OF WORKERS' COMPENSATION INSURANCE

**THIS IS TO CERTIFY TO:** East Bay Municipal Utility District (EBMUD)  
 Department: \_\_\_\_\_  
 Street Address: \_\_\_\_\_  
 Mailing Address: \_\_\_\_\_  
 City, State, Zip: \_\_\_\_\_

**THE FOLLOWING DESCRIBED POLICY HAS BEEN ISSUED TO:**

District Contract Number: \_\_\_\_\_  
 Insured: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_

**LOCATION AND DESCRIPTION OF PROJECT/AGREEMENT:**

\_\_\_\_\_

**TYPE OF INSURANCE:** Workers' Compensation Insurance as required by California State Law.

**INSURANCE COMPANY:** \_\_\_\_\_

**POLICY NUMBER:** \_\_\_\_\_

**POLICY TERM:** From: \_\_\_\_\_ To: \_\_\_\_\_

**The policy will not be canceled nor the above coverage reduced without 30 days written notice to East Bay Municipal Utility District at the address above.**

**IT IS HEREBY CERTIFIED the above policy provides insurance as required by the agreement between East Bay Municipal Utility District at the Insured.**

Signed: \_\_\_\_\_  
 Authorized Signature of Broker, Agent, or Underwriter

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

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

Phone: \_\_\_\_\_

"This certificate or verification of insurance is not an insurance policy and does not amend, extend, or alter the coverage afforded by the policies listed herein. Notwithstanding any requirement, term or condition of any contract or other document with respect to which this certificate or verification of insurance may be issued or may pertain, the insurance afforded by the policies described herein is subject to all the terms, exclusions, and conditions of the policies."



EAST BAY MUNICIPAL UTILITY DISTRICT

**CONTRACT EQUITY  
PROGRAM AND  
EQUAL EMPLOYMENT  
OPPORTUNITY  
GUIDELINES**

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MARCH 2009

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March 2009

# I. CONTRACT EQUITY PROGRAM

The following Contract Equity Program Guidelines were established to enhance equal opportunities for business owners of all races, ethnicities and genders who are interested in doing business with the District pursuant to Policy 17 approved by the Board of Directors on June 9, 1998. Policy 17 was superseded by Policy 1.03 – Contract Equity Program and Policy 1.04 – Contractor’s Compliance with Equal Employment Opportunity, following the passage of Proposition 209. Further, the District provides assistance to all prospective bidders/proposers in obtaining subcontractor participation by all availability groups, including identification of possible business enterprises.

The Contract Equity Program requires bidders/proposers to conduct outreach to all potential subcontractors to ensure that opportunities to participate in District contracts are publicized as widely as possible. This outreach is intended to broaden the pool of competitive bidders, lower prices to the District, and help achieve diversity among District contractors<sup>1</sup> and subcontractors. The District’s expectation is that with bidders’/proposers’ Good Faith Outreach Efforts to subcontractors of all races and both genders, the composition of District contractors and subcontractors will reflect the broad diversity present in the marketplace, consistent with the Contracting Objectives of the Contract Equity Program.

Additionally, contractors located in counties, such as Alameda, Contra Costa, San Joaquin, Calaveras, Amador and other counties that are directly impacted by District contracts and/or operations, should be targeted in outreach efforts.

**A potential contractor’s noncompliance with these guidelines may deem a bid or proposal nonresponsive, and therefore, ineligible for contract award.**

The requirement of the District’s Contract Equity Program is that all bidders/proposers **must document** Good Faith Outreach Efforts in the ten areas set forth in Section A below. Section B provides an exemption from this requirement for bidders/proposers who meet the District’s Contracting Objectives or obtain a waiver from the District’s Contract Equity Administrator.

**Materiality:** The documentation and certification required by the District are material, will govern the potential contractor and its subcontractors’ performance and will be made part of the bid/proposal and the resulting contract with the District.

**Nondiscrimination:** There shall be no discrimination or harassment or retaliation against any person, or group of persons, on account of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (genetic characteristics or cancer), age, marital status, or sexual orientation within the meaning of California Government Code Section 12940 in the performance of this contract.

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<sup>1</sup> A company, firm, joint venture or individual who enters into an agreement with the District to provide services, i.e., construction, professional services and general services, and delivery of materials, supplies, and equipment. A contractor may be a construction contractor, a consultant, a vendor, a supplier, or a trucker.

The contractor shall not establish or permit any such practice(s) of discrimination, harassment or retaliation with reference to the contract or any part thereof. The contractor must post applicable EEO policies to this effect in their workplaces where the District contract is being performed.

**Severability:** Should any part of the Contract Equity (CE) Program be declared to be unconstitutional, invalid, or beyond the authority of the District to enter into or carry out, by a final decision of a court or tribunal of competent jurisdiction, such decision shall not affect the validity of the remainder of the Program, which shall continue in full force and effect.

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## A. GOOD FAITH OUTREACH EFFORTS

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All potential contractors must implement all ten of the Good Faith Outreach Efforts listed below which are based on California Public Contract Code Section 2000<sup>2</sup>, subject to the provisions of Section B.

The apparent low bidder/recommended proposer shall submit Form P-041 documenting such Good Faith Outreach Efforts, as applicable, within **48 hours** of bid opening or in accordance with submittal guidelines in the request for proposal, bid document, or Instruction to Bidders.

To demonstrate Good Faith Outreach Efforts in each of the ten areas, the potential contractor should have:

1. **attended** any pre-solicitation, pre-bid or pre-proposal meetings scheduled by the District to inform all bidders/proposers of the Contract Equity Program requirements, or **signed and submitted** the Contract Equity Guidelines Certification, Form P-042, with the bid or proposal documents, certifying that the bidder is informed as to the Program requirements;
2. **identified and selected** specific subcontracting areas of the contract to be performed by enterprises in all availability groups;
3. **advertised** not less than 10 calendar days before the date the bids/proposals are due, in one or more daily or weekly newspapers, minority, women or other association publications, trade-oriented journals, or other media, specified by the District, for all business enterprises that may be interested in participating in the contract;
4. **provided** written notice of interest in bidding/proposing on the contract to a reasonable number of enterprises in all availability groups not less than 10 calendar days before the date the bids/proposals are due. The District's business directory, which includes white men-, white women-, and ethnic minority-owned firms, is available free of charge<sup>3</sup>. A list of agencies that also provide business directories can be found in the appendix of these guidelines;
5. **followed up** initial solicitations of interest by contacting the business enterprises to determine with certainty whether the enterprises are interested in performing specific items of the project;

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<sup>2</sup>The District will apply Section 2000 to include ALL business enterprises (not limited to minority- and women-owned business enterprises); and the term "local agency" in that section has been changed to "District".

<sup>3</sup>The names of the firms listed in these directories are offered as a service. EBMUD has no independent knowledge regarding the composition of the firm's ownership, or the quality of the work performed by any listed entity.



6. ***provided*** interested business enterprises with information about the proposal, plans, specifications, and requirements for the selected subcontracting or material supply work;
7. ***requested*** assistance from community organizations or contractor groups; local, state, or federal business assistance offices, or other organizations that provide assistance in the recruitment and placement of business enterprises, if any is available;
8. ***negotiated*** in good faith with the business enterprises in all availability groups, and did not unjustifiably reject as unsatisfactory bids/proposals prepared by any such business enterprises, as determined by the District;
9. ***advised and/or made*** efforts, where applicable, to assist interested business enterprises in all availability groups in obtaining bonds, lines of credit, or insurance required by the District or potential contractor; and
10. ***implemented*** efforts that the District could reasonably expect to obtain business enterprise participation reflective of the broad diversity of contractors in the marketplace.

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## B. EXEMPTIONS FROM OUTREACH REQUIREMENTS

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### 1. CONTRACTING OBJECTIVES

The District has Contracting Objectives<sup>4</sup> based on the availability of all firms located in the District's geographic market areas that are interested in and able to do business with the District. Contracting Objectives apply to all contracts that are determined to have subcontracting opportunities, including material or supply opportunities, and to all contractors, regardless of their gender or ethnicity. The CE Program groups all businesses into three (business owner) availability groups<sup>5</sup>:

- White Men
- White Women
- Ethnic Minority

Publicly held corporations managed and controlled by 51% of one of the three availability groups may count their participation towards meeting the contracting objective for that group.

Potential contractors who already meet the Contracting Objectives for all three availability groups, as described in the chart below, are exempt from the Good Faith Outreach Efforts requirements set forth in Section A.

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<sup>4</sup> The Contracting Objectives represent percentages of the total value of a contract. The dollar value of the work performed by the contractor and his/her subcontractors is included in calculating the amount of participation by each availability group and determining if the Contracting Objectives are met. Contracting Objectives are based on the results of a Disparity Study conducted by the District which verified the number of businesses located within the District's geographic market area available to perform prime and subcontract work in all contracting categories.

<sup>5</sup> For example, when subcontracting opportunities are available, a \$200,000 construction contract would have 25% (\$50,000) or more of the work performed by white men-owned businesses, 9% (\$18,000) or more by white women-owned businesses, and 25% (\$50,000) by ethnic minority-owned businesses.

<b>CONTRACTING OBJECTIVES</b>			
<b>AVAILABILITY GROUP</b>	<b>CONTRACTING CATEGORIES</b>		
	<b>Construction</b>	<b>Professional or General Services</b>	<b>Materials &amp; Supplies</b>
White Men	25%	25%	25%
White Women	9%	6%	2%
Ethnic Minorities (Men and Women)	25%	25%	25%

Contract participation includes all written agreements with business enterprises for any goods and services required for the completion of the project. This includes participation as a:

- Contractor
- Joint Venture Partner
- Subcontractor
- Vendor/Dealer of materials/supplies incorporated or expended in the work
- Supplier/Broker of other services necessary to fulfill the requirements of the contract, such as shipping, transportation, testing, equipment rental, insurance services, etc.

All business enterprises must perform a commercially useful function, i.e., must be responsible for the execution of a distinct element of work and must carry out their responsibility by actually performing, managing and/or supervising the work.

The dollar value of the following is included for determining the amount of participation by each availability group for the Contracting Objectives:

- the work to be performed by the contractor,
- the work to be performed by each member of a joint venture,
- the work to be performed by subcontractors at any tier
- material or supplies purchased from a manufacturer or dealer of such material or supplies, if not previously counted by contractor, joint venture, or subcontractor in their dollar value,
- reasonable fees and commissions for providing bona fide services to procure and/or deliver essential personnel, facilities, equipment, materials, or supplies required for performance of the contract,
- reasonable fees and commissions for providing bonds or insurance specifically required for the performance of the contract, and
- the dollar value of trucking is based on the following:
  - the amount to be paid to a trucker who performs the trucking with his/her own trucks, tractors, and employees,
  - the amount to be paid to trucking brokers provided the broker has submitted to the District information identifying the availability groups of all truckers to be used on the project, or
  - twenty percent (20%) of the amount to be paid to a trucking broker who has not provided such information.

## **2. NO SUBCONTRACTING OPPORTUNITIES**

Contracts which have no subcontracting, supplying, or trucking opportunities are exempt from the Good Faith Outreach Efforts requirements.

## **3. WAIVER**

Under limited circumstances, at the discretion of the Contract Equity Administrator, and upon written request by the bidder/proposer, a waiver of the Contract Equity Program's Good Faith Outreach Efforts requirements may be granted.

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## **C. INFORMATIONAL MEETINGS**

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The District may hold pre-solicitation, pre-bid, and pre-proposal meetings to explain the technical specifications and the Contract Equity and Equal Employment Opportunity Guidelines for an individual project. All prospective bidders/proposers/subcontractors are strongly advised to attend such pre-meetings. The time and place of the meeting, if any, will be announced in the front section of the bid/proposal document.

Pre-award and/or pre-notice to proceed meetings may be held with the recommended awardee to ensure that the technical specifications and the Contract Equity and Equal Employment Opportunity Guidelines for the project are fully understood, and to discuss the contents of the submitted forms and documents.

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## **D. DOCUMENTATION**

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### **1. CONSTRUCTION CONTRACTS WITH SUBCONTRACTABLE ITEMS ONLY**

Apparent low bidders may be required to document Good Faith Outreach Efforts to achieve subcontractor participation within **48 hours** after bid opening unless this requirement is otherwise stated in the Instruction to Bidders. Failure to submit the required information by the time specified may be grounds for determining the bid nonresponsive.

## II. EQUAL EMPLOYMENT OPPORTUNITY

Pursuant to Policy 1.04 – Contractors’ Compliance With Equal Employment Opportunity, approved by the Board of Directors, all business enterprises and their subcontractors performing work for the District must be Equal Employment Opportunity (EEO) employers. All business enterprises and their subcontractors shall assure that there is no discrimination, harassment or retaliation against any person based on sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (genetic characteristics or cancer), age, marital status, or sexual orientation within the meaning of California Government Code Section 12940, and shall be bound by all laws prohibiting such discrimination, harassment or retaliation in employment.

District contractors must have written policies and procedures that a) prohibit EEO discrimination, harassment and retaliation, and b) set forth the contractor’s investigation procedures for responding to EEO complaints. Contractors must submit documentation of those written policies and procedures upon request by the District in order to be considered as eligible for contract award. Contractors must also post applicable EEO policies and procedures in their workplaces where the District contract is being performed.

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### A. EMPLOYMENT DATA & CERTIFICATION (Form P-025)

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The Employment Data and Certification Form P-025 shall be completed as specified below or bid/proposal may be deemed nonresponsive:

1. For all Bidders/Proposers of the bid/proposal to be submitted with bid package:

Complete Sections A and B of Form P-025. In Section B, the required employment data shall be for the bidder’s/proposer’s permanent workforce<sup>6</sup> only. An EEO-1 Report may be submitted in lieu of completing Section B. For informational purposes, the P-025 Form provides for a comparison of the bidder’s/proposer’s current workforce with the composition of the labor market in the Metropolitan Statistical Area or Areas (MSA) from which the bidder’s/proposer’s workforce is drawn. The bidder/proposer shall also complete Sections C and D of Form P-025.

2. For Subcontractors/Vendors/Truckers within 48 hours:

Each bidder/proposer shall submit a Form P-025 for each subcontractor/vendor/ trucker known at this time performing work equal to or greater than **\$60,000** under this specification in accordance with submission requirements given in the Instructions to Bidders or the Request for Proposal. If no submission requirements are given, the Form P-025 must be submitted by the apparent low bidder or recommended proposer within **48 hours** after bid opening or proposal submission due date. The form shall be completed as provided in Paragraph 1. For informational purposes, the P-025 Form provides for a comparison of the

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<sup>6</sup> Permanent workforce is defined as employees with 6 months or more of continuous service.

subcontractor's/vendor's/trucker's current workforce with the composition of the labor market in the MSA from which the subcontractor's/vendor's/trucker's workforce is drawn.

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## **B. GOOD FAITH OUTREACH EFFORTS TOWARDS EQUAL EMPLOYMENT OPPORTUNITY**

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Upon request, the apparent low bidder/proposer shall submit satisfactory documentation showing voluntary and legal Good Faith Outreach Efforts on its part to assure that its employment practices comply with EEO laws.

The District has not attempted to set forth either the minimum or maximum voluntary steps that contractors may take to address their respective employment situations. Contractors who do business with the District have flexibility to make those efforts that are best suited to their particular employment situation so long as those efforts are legal, in good faith and will best serve the goal of equal employment opportunity. Contractors have the option of submitting a copy of their Affirmative Action Plan, if they have one, or documentation of Good Faith Outreach Efforts which may include, but is not limited to, the following:

- Disseminating an equal employment opportunity and affirmative action policy both within the organization and externally.
- Having a recruitment program designed to attract qualified members of all ethnic and gender backgrounds available in the relevant job market such as by:
  - ✓ Notifying community organizations when employment opportunities are available and maintaining records of the organizations' responses;
  - ✓ Maintaining a file of the names and addresses of every worker referred as a result of outreach efforts, indicating what action was taken with respect to each referred person, and if the person was not employed, the reasons why;
  - ✓ Promptly notifying the District when the union(s) with whom the contractor or subcontractor has a collective bargaining agreement has not referred a worker, as requested; and
  - ✓ Making periodic recruitment efforts at schools, organizations, recruitment and training centers.
- Having a systematic plan to organize work and redesign jobs in ways that provide opportunities for persons lacking journey-level knowledge or skills to enter and, with appropriate training, to progress in a career field.
- Revamping selection procedures and seniority practices which have not yet been validated in order to reduce or eliminate exclusionary effects on particular groups in particular job classifications.
- Initiating measures designed to assure that members of all ethnic and gender backgrounds who are qualified to perform the job are included within the pool of persons from which the selection is made.
- Participating in community-based training programs and on-the-job training opportunities.
- Promoting after-school, summer and vacation employment for youth.
- Establishing a system to regularly monitor the effectiveness of the program for removing barriers to achieve equal employment opportunity, and the procedures for making timely adjustments in this program where effectiveness is not demonstrated.

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## **C. CONTRACTORS' EEO RESPONSIBILITIES ARISING FROM THE PERFORMANCE OF THE DISTRICT CONTRACT**

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The District requires all contractors to comply with state and federal EEO laws.

Contractors are required to promptly and appropriately address all EEO concerns that arise from the performance of the District contract raised by:

- Their employees,
- Their job applicants,
- EBMUD employees who allege EEO discrimination or harassment by the contractor or contractor's employee, and/or
- Members of the public who allege EEO discrimination or harassment by the contractor or contractor's employees.

All contractors must cooperate fully with any District investigation of EEO complaints arising from the performance of the District contract that involve District staff. In that event, the District will provide copies of its policies and procedures regarding such investigations, and will require the contractor's cooperation in accordance with those policies and procedures.

All contractors must distribute copies of their EEO policy and EEO complaint procedure to all of their employees and post them in a prominent and accessible location in the workplace or on the project site. These documents must provide the name and contact information of the contractor's staff responsible for responding to EEO concerns.

Contractors are required to provide training to all of their supervisors and managers to assure that they are aware of the contractor's prohibition against EEO discrimination, harassment and retaliation, and understand the process to report EEO concerns; and supervisors and managers must respond appropriately when they become aware of EEO concerns. This training must comply with California Government Code Section 12950.1.

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## **D. MONITORING COMPLIANCE**

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### **1. PRE-CONTRACT AWARD:**

The District will evaluate the documentation provided by the apparent low bidder/ proposer under Section II.B and may request further documentation. The apparent low bidder/proposer shall submit all additional documentation required by the District in a timely manner or may be deemed a nonresponsive bidder/proposer. A nonresponsive bidder/proposer may be deemed ineligible for contract award.

### **2. POST-CONTRACT AWARD:**

The District will evaluate the documentation provided by the contractor in response to EEO complaints filed per Section II.C and may request further documentation. Contractors who fail to submit the required documentation in a timely manner may be denied future contracts with the District or have their contracts terminated.

# III. CONTRACT COMPLIANCE

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## A. RECORDS

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All firms doing business with the District shall:

- maintain records of all business enterprises performing work on the project, and records of total award and payments made to those enterprises,
- permit authorized District staff and/or authorized District representatives to review such records as may be required to assure the accuracy of the submitted information,
- submit a summary of subcontractor payments to the District with each payment request/invoice on the Subcontractor Payment Report (Form P-047) in the format required by the District,
- maintain all employment and personnel records of employees who worked on the District project for a minimum of two years, and
- maintain records of action(s) taken to address EEO discrimination, harassment, and retaliation complaints filed during and arising from the performance of the EBMUD contract.

**NOTE:** Failure to submit the required information in a timely manner may cause the District to hire an auditor, at the contractor's expense, to compile summary payment information, and/or may result in the withholding of payments and/or termination of the contract.

If requested by the District, the contractor shall submit the contractor's and/or subcontractors' records. These records are specified in the contract and may include any or all of the following:

- All contracts or purchase orders entered into with subcontractors, truckers, suppliers, and/or vendors;
- Payment records reflecting total contract award and total dollars actually paid to subcontractors, truckers, suppliers, and/or vendors. Such records shall indicate the name, business address, and actual monthly amount for each firm. Upon completion of the contract, the contractor shall submit, within thirty (30) calendar days, a summary of all the monthly summaries showing total dollars actually paid each firm during the whole contract;
- Certified weekly payroll records showing all employees and workers hired and dollar amounts and wage rates paid for work on this contract. Such payroll records shall include the name, address, social security number, sex, race, and other sufficient information for each employee to allow District verification of contractor and/or subcontractor compliance with the requirements for Equal Employment Opportunity;
- Monthly Employment Utilization Reports within ten (10) calendar days after the end of the month;
- Documentation of all Good Faith Outreach Efforts utilized in order to solicit, promote and increase all availability groups' participation;
- Records of action(s) taken to address EEO discrimination, harassment, and retaliation complaints filed during and arising from the performance of the EBMUD contract; and
- Any other records or documentation maintained by the contractor or its subcontractors which indicate their compliance with these Contract Equity and Equal Employment Opportunity Guidelines.

The contractor and all its subcontractors shall maintain records which include for each employee their:

- name,
- address,
- telephone number,
- construction trade/union affiliation/trade status (if any),
- dates of changes in trade status (if any),
- employee identification number (if any)/social security number,
- race,
- sex,
- hours worked per week in the indicated trade/task, and
- rate of pay.

Records shall be maintained in an easily understandable and retrievable form approved by the District.

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## **B. SUBCONTRACTOR SUBSTITUTION OR REPLACEMENT**

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The contractor may request to substitute or replace any subcontractor, including truckers, vendors, and suppliers, listed on the Form P-040, Contract Equity Participation, filed with the District prior to award of contract. Such requests must be in writing, clearly state the reasons for the substitution or replacement, and provide supporting evidence or documentation as appropriate. No substitution or replacement shall occur without the prior written authorization of the District.

Authorization to utilize another subcontractor may be requested for the following reasons:

1. When the subcontractor listed in the bid after having had a reasonable opportunity to do so fails or refuses to execute a written contract, when that written contract, based upon the general terms, conditions, plans and specifications for the project involved or the terms of such subcontractor's written bid, is presented to the subcontractor by the Contractor, or
2. When the listed subcontractor becomes bankrupt or insolvent, or
3. When the listed subcontractor fails or refuses to perform his subcontract, or
4. When the listed subcontractor fails or refuses to meet the bond requirements of the Contractor as set forth in Section 4108 of the Public Contract Code, or
5. When the Contractor demonstrates to the District, subject to the further provisions set forth in Section 4107.5 of the Public Contract Code, that the name of the subcontractor was listed as the result of an inadvertent clerical error, or
6. When the listed subcontractor is not licensed pursuant to the Contractors License Law, or
7. When the District determines that the work performed by the listed subcontractor is substantially unsatisfactory and not in substantial accordance with the plans and specifications, or that the subcontractor is substantially delaying or disrupting the progress of the work, or
8. When the listed subcontractor is ineligible to work on a public works project pursuant to Section 1777.1 or 1777.7 of the Labor Code, or
9. When the listed subcontractor is not a responsible contractor.



Prior to approval of the prime contractor's request for the substitution the District shall give notice in writing to the listed subcontractor of the prime contractor's request to substitute and of the reasons for the request. The notice shall be served by certified or registered mail to the last known address of the subcontractor. The listed subcontractor who has been so notified shall have five working days within which to submit written objections to the substitution to the awarding authority. Failure to file these written objections shall constitute the listed subcontractor's consent to the substitution.

If written objections are filed, the District shall give notice in writing of at least five working days to the listed subcontractor of a hearing by the awarding authority on the prime contractor's request for substitution.

The contractor whose bid is accepted may not:

- (a) permit a subcontract to be voluntarily assigned or transferred or allow it to be performed by anyone other than the original subcontractor listed in the original bid, without the consent of the District.
- (b) Other than in the performance of "change orders" causing changes or deviations from the original contract, sublet or subcontract any portion of the work in excess of one-half of 1 percent of the prime contractor's total bid as to which his or her original bid did not designate a subcontractor.

If a subcontractor is replaced, the contractor shall make Good Faith Outreach Efforts as set forth in these Contract Equity and Equal Employment Opportunity Guidelines when replacing the original or listed subcontractor with another District-approved firm. The contractor shall not be entitled to any payment for such work or material unless it is performed or supplied by the listed subcontractor or by other forces (including those of the contractor) pursuant to prior written authorization of the District.

# IV. CONSEQUENCES OF NONCOMPLIANCE

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## A. ENFORCEMENT

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During the performance of the contract, the District may review the contractor's and its subcontractors' compliance with these Contract Equity and Equal Employment Opportunity Guidelines. Compliance shall be evaluated and measured from the initial day of performance under this contract. Noncompliance may be deemed a substantial material breach of the contract and the contract may be terminated.

Where the District finds the contractor or any of its subcontractors to be in noncompliance, the District may take such actions and impose such sanctions and penalties, described below, as may be appropriate to enforce compliance and recover District costs for damages caused by the breach of contract.

The District will notify the contractor in writing where the contractor or any of its subcontractors are not in compliance with these Contract Equity and Equal Employment Opportunity Guidelines. The contractor shall then notify the District in writing within five (5) working days as to what corrective measures shall be implemented by the contractor and/or subcontractor, trucker, vendor, and supplier to effect compliance.

In the event that the contractor or any of its subcontractors is still in noncompliance fifteen (15) working days after the date of the District's written citation, the contractor shall provide the District, within two (2) working days from the District request to do so, written documentation of all corrective measures and Good Faith Outreach Efforts implemented and their results.

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## B. CONTRACTOR'S NONCOMPLIANCE

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In the event of the contractor's willful or inadvertent noncompliance with these Contract Equity and Equal Employment Opportunity Guidelines during bidding/proposing, the contractor's bid/ proposal may be deemed nonresponsive, and therefore, ineligible for contract award.

In the event of the contractor's noncompliance with these Contract Equity and Equal Employment Opportunity Guidelines during the performance of the contract, whether willful or inadvertent, the contractor may be considered in material breach of contract. In addition to any other remedy which the District may have under this contract or by operation of law, the District in its sole discretion may impose the following provisions against the contractor:

- Withhold progress payments to the contractor starting from the date of the District's written notification of noncompliance to the contractor and continuing for up to sixty (60) working days after the notification date or until compliance is verified by the District, or the contractor demonstrates to the satisfaction of the District that Good Faith Outreach Efforts have been implemented to correct the noncompliance, whichever occurs first.

In the event of willful noncompliance as determined by the District, cancellation or suspension of the contract in whole or in part with continuance thereof conditioned upon a satisfactory showing to the District of the contractor's ability to comply.

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### **C. SUBCONTRACTOR'S NONCOMPLIANCE**

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The contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with these Contract Equity and Equal Employment Opportunity Guidelines.

The contractor shall take such action, including sanctions and penalties as appropriate, with respect to any subcontract or purchase order as necessary to enforce the terms and conditions of these Contract Equity and Equal Employment Opportunity Guidelines. In the event that the District determines that a subcontractor is in noncompliance, the District may also ask the contractor to terminate any such subcontract and substitute an eligible subcontractor in lieu thereof, at no increase in the contract price or time for performance.

Failure of the contractor to enforce subcontractor compliance with these guidelines may also be deemed a substantial material breach of the contract. The District, in its sole discretion, may impose against the contractor any or all of the provisions noted for contractor's noncompliance until such time that subcontractor's compliance is achieved.

## V. SUMMARY OF FORMS

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### ALL PRIME BIDDERS/PROPOSERS MUST COMPLETE AND SUBMIT WITH BID/PROPOSAL:

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- Form P-025** – Employment Data and Certification

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### CONSTRUCTION BIDDERS AND PROFESSIONAL/GENERAL SERVICES PROPOSERS:

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- Form P-025** – Employment Data and Certification  
*(for all Subcontractors doing over \$60,000 worth of work for the apparent low bidder/ recommended proposer)*
- Form P-041** – Good Faith Outreach Efforts Documentation  
*(apparent low bidder and second low bidder as requested)*
- Form P-042** – Contract Equity Program Guidelines Certification Form
- Form P-040** – Contract Equity Participation  
*(all proposers and apparent low and second low bidders)*

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### CONSTRUCTION BIDDERS ONLY:

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- Form P-046** – Designation of Subcontractors  
*(all bidders must submit with bid)*

# VI. APPENDIX

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## POLICY STATEMENTS

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### **Policy 1.03 – Contract Equity Program**

Prevent the District from participating in or perpetuating ongoing discrimination in the marketplace while avoiding the granting of preferences on the basis of race, gender and other protected categories as prohibited by Article 1, Section 31, of the California Constitution. The District will encourage balanced opportunities among all ethnic and gender groups by establishing objectives for contract participation based on the availability in its geographic market areas of businesses by race and gender that are willing and able to do business with the District. The contracting objectives will be reviewed regularly and the progress reported to the Board of Directors in order to steadily reach a fair and equal parity in contract participation among all ethnic and gender contracting groups.

### **Policy 1.04 – Contractors’ Compliance With Equal Employment Opportunity**

Ensure that all enterprises that do business with the District take lawful and adequate steps to assure that their employment practices comply with EEO laws.

Equal employment opportunity is the law of the land. All contractors doing business with the District shall agree not to discriminate against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (genetic characteristics or cancer), age, marital status, or sexual orientation within the meaning of California Government Code Section 12940.

Contractors shall furnish all information and reports required by the District to ensure their compliance with this policy. Notification of this policy will be included in contract specifications and will serve as official notice in determining responsiveness and compliance. Contractors who fail to comply with this policy may be denied contracts with the District or have their contracts terminated.

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## AGENCIES WITH BUSINESS DIRECTORIES

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- **State of California – Department of Transportation**  
Civil Rights Program – MS 79  
1823 – 14<sup>th</sup> Street, Sacramento, CA 95814  
916-324-1700, Fax: 916-324-1949  
Toll Free: 866-810-6346  
Website: [http://www.dot.ca.gov/hq/bep/doing\\_business.htm](http://www.dot.ca.gov/hq/bep/doing_business.htm)  
  
**Publication Distribution Unit - Disadvantaged Business Enterprise Directory**  
1900 Royal Oaks Drive, Sacramento, CA 95815-3800  
916-445-3520
- **City of Oakland – Contract Compliance & Employment Services Division**  
250 Frank H. Ogawa Plaza, Suite 3341, Oakland, CA 94612  
510-238-3970, Fax: 510-238-3363  
E-mail: [cces@oaklandnet.com](mailto:cces@oaklandnet.com)  
Website: <http://cces.oaklandnet.com/ContComp>
- **City and County of San Francisco – Human Rights Commission**  
25 Van Ness Avenue, Suite 800, San Francisco, CA 94102-6033  
415-252-2530  
E-mail: [larry.brinkin@sfgov.org](mailto:larry.brinkin@sfgov.org)  
Website: [http://sfgov.org/site/uploadedfiles/sfhumanrights/directory/vlist\\_1.htm](http://sfgov.org/site/uploadedfiles/sfhumanrights/directory/vlist_1.htm)
- **Port of Oakland**  
530 Water Street, Oakland, CA 94607  
510-627-1100 or 510-627-1436  
E-mail: [mjones@portoakland.com](mailto:mjones@portoakland.com)  
Website: <http://www.portofoakland.com/srd/>
- **General Services Agency**  
1401 Lakeside Drive, 10th Floor, Oakland, CA 94612  
510-208-9717 or 9617; fax: 510-208-9720  
Email address: [SLEB@acgov.org](mailto:SLEB@acgov.org)  
Website: <http://www.acgov.org/auditor/sleb>

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## GLOSSARY OF TERMS

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### AVAILABILITY GROUPS:

- **White Men-Owned Business:** An independent business that is at least 51% owned, operated and controlled by one or more nonethnic minority men who are citizens or lawful permanent residents of the United States.
- **White Women-Owned Business:** An independent business that is at least 51% owned, operated and controlled by one or more nonethnic minority women who are citizens or lawful permanent residents of the United States.
- **Ethnic Minority-Owned Business:** An independent business that is at least 51% owned, operated and controlled by one or more ethnic minority men and/or ethnic minority women from the following groups who are citizens or lawful permanent residents of the United States:
  - **Black/African American**  
Persons having origins in any of the racial groups of Africa
  - **Hispanic/Latin American**  
Persons of Mexican, Puerto Rican, Cuban, Central or South American origin
  - **Asian-Pacific Island American**  
Persons having origins from Japan, China, Taiwan, Korea, Vietnam, Laos, Cambodia, the Philippines, Samoa, Guam, the U. S. Trust Territories of the Pacific, or the Northern Marianas
  - **Asian-Indian American**  
Persons having origins from India, Pakistan, or Bangladesh
  - **Native American**  
Persons having origins in any of the original peoples of the Americas who maintain cultural identification through tribal affiliation or community recognition

### CONTRACTING OBJECTIVES:

The minimum percentage of the total value of a contract to be represented by businesses in each availability group, depending on the type of contract.

### CONTRACTOR:

A company, firm, joint venture or individual who enters into an agreement with the District to provide services, i.e., construction, professional services and general services, and delivery of materials, supplies, and equipment. A contractor may be a construction contractor, a consultant, a vendor, a supplier, or a trucker.

### CONTROL:

There are two aspects of control: operational and managerial control. Under operational control, the 51% or more owner must show that he or she independently makes the basic decisions in daily and long-term business operations. To determine managerial control, the owner must demonstrate that he or she makes independent and unilateral business decisions that guide the future and destiny of payroll clerks, letters of credit, contractual matters, banking services, and other such agreements.

**DEALER:**

One who owns, operates, or maintains a store, warehouse or other establishment in which the materials or supplies required for the performance of the contract are bought, kept in stock, and regularly sold to the public in the usual course of business. To be a dealer, the firm must engage in, as its principal business, and in its own name, the purchase and resale of the products in question. A dealer in such bulk items as steel, cement, stone, gravel, and petroleum products need not keep such products in stock, but must own and/or operate distribution equipment to receive full dollar credit.

**INDEPENDENT BUSINESS:**

A business that is not inextricably associated with another firm through ownership, affiliation, or sharing of employees, facilities, profits, and losses.

**GEOGRAPHIC MARKET AREA:**

Counties where most of the businesses are located which receive District contract awards based on contract type as identified in the District's 1997 Disparity Study.

- **Construction:** Alameda, Contra Costa, San Francisco, and San Mateo Counties
- **Professional & General Services:** Alameda, Contra Costa, San Francisco, Santa Clara, and Marin Counties
- **Materials & Supplies:** Alameda, Contra Costa, San Francisco, Santa Clara, and San Joaquin Counties

**JOINT VENTURE:**

An undertaking by two or more persons, without a corporate or partnership designation, formed for the purpose of carrying out a single business enterprise for profit.

**POTENTIAL CONTRACTOR:**

A company, firm, joint venture, or individual who has participated in a competitive bid process or a qualification selection process to do business with the District as a construction contractor, consultant, vendor, supplier, or trucker.

**REASONABLE FEES AND COMMISSIONS:**

Fees and commissions that are not excessive as compared with those customarily allowed for similar services.

**SMALL BUSINESS**

A business with fewer than 100 employees and average gross receipts of \$12 million or less over the previous three years or is a manufacturer with 100 or fewer employees.

**SUBCONTRACTOR:**

A company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services on a District contract. A subcontractor may be a construction subcontractor, a subconsultant, a vendor, a supplier, or a trucker at any tier/level of participation.

**SUPPLIER:**

A company, firm, joint venture, or individual who provides materials, supplies, or equipment.

**VENDOR:**

A company, firm, joint venture, or individual who enters into an agreement with the District to provide services, i.e., construction, professional services and general services, and delivery of materials, supplies, and equipment. A contractor may be a construction contractor, a consultant, a vendor, a supplier, or a trucker.





# EMPLOYMENT DATA AND CERTIFICATION INSTRUCTIONS (P-025)

**COMPLETION OF THIS FORM IS REQUIRED FOR ALL BIDS AND PROPOSALS. AN IMPROPER OR INCOMPLETE FORM MAY RESULT IN REJECTION OF YOUR BID OR PROPOSAL OR TERMINATION OF YOUR CONTRACT**

The East Bay Municipal Utility District **REQUIRES** the completion of this form when submitting any formal bid in response to an Invitation for Bid (IFB), Statement of Qualifications (SOQ), or Request for Proposal (RFP) for materials, equipment, construction or professional or general services. It is the policy of the District to prohibit Equal Employment Opportunity (EEO) discrimination, harassment, and retaliation by any contractor, subcontractor, vendor, supplier, or consultant based on sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (genetic characteristics or cancer), age, marital status, or sexual orientation within the meaning of California Government Code Section 12940. Failure to complete all applicable sections of this form may be considered a nonresponsive reply to the IFB, SOQ or RFP and may cause its rejection.

**THE SECTIONS OF FORM P-025 ARE DESCRIBED BELOW WITH SPECIAL DIRECTIONS.**

## **SECTION A**

### **TYPE OF ORGANIZATION AND COMPOSITION OF OWNERSHIP**

## **SECTION B**

### **EMPLOYMENT DATA AND WORKFORCE LOCATION**

A firm's appropriate Metropolitan Statistical Area (MSA) is defined as the location in which the business solely or predominantly operates to provide requested product(s) or service(s).

## **SECTION C**

### **CERTIFICATION OF COMPLIANCE WITH EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS**

## **SECTION D**

### **CERTIFICATION OF FIRM'S OWNERSHIP**

## **FORM P-025 SUPPLEMENT**

### **METROPOLITAN STATISTICAL AREA (MSA)** (for use in Section B-1a for comparing workforce parity)

**Note:** If you have difficulty completing this form or need clarification of the instructions, contact the Contract Equity Office at (510) 287-0114 for assistance prior to submitting your bid or proposal.

COMPLETION OF THIS FORM IS REQUIRED FOR ALL BIDS AND PROPOSALS

## SECTION A

FIRM NAME		<input type="checkbox"/> PRIME  <input type="checkbox"/> SUB <b>Submit a separate P-25 form for each subcontractor/consultant doing work for \$60,000 or more.</b>	
STREET ADDRESS (City, State, ZIP)			
MAILING ADDRESS (City, State, ZIP)			
PHONE NO.	FAX NO.	WEBSITE	E-MAIL

### A1. TYPE OF ORGANIZATION

Have you ever done business with EBMUD?     YES     NO

<input type="checkbox"/> INDIVIDUAL	Name of Owner:
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<input type="checkbox"/> NONPROFIT CORP.	<input type="checkbox"/> PUBLICLY HELD CORP.	State of incorporation:	
<input type="checkbox"/> PRIVATE CORP.	<input type="checkbox"/> FOREIGN-OWNED	Name(s), title, family relationship(s) and percentage of stock ownership for all shareholders who own 25% or more of stock in the corporation.	
NAME	TITLE	FAMILY RELATIONSHIP	PERCENTAGE
_____	_____	_____	_____ %
_____	_____	_____	_____ %
_____	_____	_____	_____ %

<input type="checkbox"/> JOINT VENTURE	List of Participants – Indicate percentage of work to be realized by each.
_____	_____ %
_____	_____ %

<input type="checkbox"/> PARTNERSHIP	Names of Partners – Indicate whether (G) General or (L) Limited.
_____	_____
_____	_____

### A2. COMPOSITION OF OWNERSHIP

**(Indicate the percent of ethnic and gender ownership below)**

	Non-Hispanic Origin		Hispanic/ Latin American	Asian			Native American	Other	Refuse to State*
	White/ Caucasian	Black/ African American		Asian American	Asian-Pacific Islander American	Asian- Indian American		Indicate	
<b>MALE</b>									
<b>FEMALE</b>									
<b>TOTAL</b>									

\* Firms that refuse to state will be classified as "Other".

**SECTION B**

**B1. EMPLOYMENT DATA**

Indicate below the number of employees in each occupational category for each of the ethnic groups listed for your firm's permanent workforce. (*Permanent workforce is defined as employees with 6 months or more of continuous service.*) You may attach your EEO1 report in lieu of completing section below. Please provide both your firm's consolidated and individual establishment EEO1 reports.

OCCUPATIONS	TOTAL	MALE					FEMALE				
		NON-HISPANIC ORIGIN		Hispanic	Asian or Pacific Islander	American Indian or Alaskan Native	NON-HISPANIC ORIGIN		Hispanic	Asian or Pacific Islander	American Indian or Alaskan Native
		White	Black				White	Black			
a. OFFICIALS & MANAGERS											
b. PROFESSIONALS											
c. TECHNICIANS											
d. SALES WORKERS											
e. OFFICE & CLERICAL											
f. CRAFT WORKERS (SKILLED)											
g. OPERATIVES (SEMI-SKILLED)											
h. LABORERS (UNSKILLED)											
i. SERVICE WORKERS											
<b>FIRM'S TOTALS</b>											
BAY AREA*											

**B-1a.** Identify the Metropolitan Statistical Area (MSA) from which your firm's total permanent workforce is drawn. (See attached P-025 Supplement)

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**B-1b.** If your firm's total permanent workforce is located in one county or parish, please identify.

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**B-1c.** Is employment data confidential?

YES  NO

Name of person responsible for affirmative action and compliance with equal employment opportunity laws in your firm:

(PLEASE PRINT)

NAME \_\_\_\_\_

PHONE \_\_\_\_\_

TITLE \_\_\_\_\_

\* Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Solano, Sonoma, and Santa Clara

**SECTION C**

**CERTIFICATION OF COMPLIANCE WITH EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS**

The undersigned has been (is) authorized to execute this certificate on behalf of \_\_\_\_\_  
(NAME OF FIRM) and does hereby certify that the answers to this compliance form and the information stated herein are true and correct. The undersigned does further certify that \_\_\_\_\_  
(NAME OF FIRM) shall not discriminate against or harass or retaliate against any employee or applicant for employment on account of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (genetic characteristics or cancer), age, marital status, or sexual orientation within the meaning of California Government Code Section 12940, and shall comply with all applicable provisions of State and Federal requirements regarding equal employment opportunity and affirmative action reporting and compliance programs including having a District approved process for responding to complaints of discrimination, harassment, and retaliation.

**SECTION D**

**CERTIFICATION OF FIRM'S OWNERSHIP**

The undersigned has been (is) authorized to execute this certificate on behalf of \_\_\_\_\_  
(NAME OF FIRM) and swears under penalty of perjury that the foregoing statements are true and correct and that they include all material information necessary to identify and explain the operations of this firm as well as the ownership thereof. Any material misrepresentation will be grounds for terminating any purchase orders or contracts which may be or was awarded and for initiating actions under Federal or State laws concerning false statements. The District reserves the right to request support documentation, such as tax records, articles of incorporation and board minutes to verify composition of ownership.

EXECUTED IN \_\_\_\_\_  
(CITY, COUNTY, STATE)

ON \_\_\_\_\_  
(DATE)

BY \_\_\_\_\_  
(PRINT NAME)

\_\_\_\_\_  
(TITLE)

\_\_\_\_\_  
(SIGNATURE)

\_\_\_\_\_  
(PHONE NUMBER)

# P-025 SUPPLEMENT

**Instructions to Determine Your Statistical Areas (SA):** If you operate a business solely or predominantly within one of the SA's listed below, use that location. If you have multiple facilities within a single state, use a State SA. If you have multiple facilities throughout the United States, use Total United States percentage. If you have any questions, call 510-287-0114.

CA STATISTICAL AREAS	WM%	WW%	EM%
BAKERSFIELD	29.7%	24.6%	45.7%
FRESNO	25.1%	21.6%	53.3%
LOS ANGELES-LONG BEACH	20.2%	16.4%	63.5%
MERCED	24.9%	21.1%	54.0%
MODESTO	33.0%	28.4%	38.6%
OAKLAND	28.0%	24.2%	47.8%
REDDING	46.6%	41.5%	11.9%
RIVERSIDE-SAN BERNADINO	28.2%	23.4%	48.3%
SACRAMENTO	36.1%	32.3%	31.6%
SAN DIEGO	32.4%	27.5%	40.2%
SAN FRANCISCO	30.8%	25.1%	44.0%

CA STATISTICAL AREAS	WM%	WW%	EM%
SAN JOSE	26.9%	21.0%	52.1%
SAN LUIS OBISPO-ATASCADERO-PASA ROBLES	42.3%	36.6%	21.1%
SANTA BARBARA-SANTA MARIA-LOMPOC	31.8%	28.6%	39.6%
SANTA CRUZ-WATSONVILLE	37.5%	32.1%	30.4%
SANTA ROSA	39.8%	36.9%	23.4%
STOCKTON-LODI	28.1%	24.5%	47.4%
VALLEJO-FAIRFIELD-NAPA	30.2%	26.8%	42.9%
VENTURA	33.3%	27.6%	39.1%
YUBA CITY	34.9%	31.0%	34.1%

CA COUNTIES	WM%	WW%	EM%
9 BAY AREA COUNTIES*	32.3%	27.8%	39.9%
ALAMEDA/CONTRA COSTA	28.9%	24.9%	46.2%
ALAMEDA	24.5%	21.6%	53.9%
CONTRA COSTA	33.3%	28.2%	38.5%
EL DORADO	46.7%	39.4%	13.9%
FRESNO	24.7%	21.4%	54.0%
LOS ANGELES	20.2%	16.4%	63.5%
MARIN	42.8%	38.4%	18.8%
MENDOCINO	40.4%	37.0%	22.6%
MERCED	24.9%	21.1%	54.0%
MONTEREY	23.8%	21.3%	54.9%
NAPA	37.6%	33.6%	28.8%
ORANGE	30.9%	25.5%	43.6%
RIVERSIDE	30.1%	24.7%	45.3%
SACRAMENTO	32.7%	30.0%	37.3%

CA COUNTIES	WM%	WW%	EM%
SAN BERNARDINO	26.5%	22.3%	51.1%
SAN DIEGO	32.4%	27.5%	40.2%
SAN FRANCISCO	29.2%	22.5%	48.3%
SAN JOAQUIN	28.1%	24.5%	47.4%
SAN LUIS OBISPO	42.3%	36.6%	21.1%
SAN MATEO	28.6%	23.6%	47.9%
SANTA CLARA	26.9%	21.0%	52.1%
SANTA CRUZ	37.5%	32.1%	30.4%
SOLANO	27.8%	24.6%	47.6%
SONOMA	39.8%	36.9%	23.4%
YOLO	31.7%	29.8%	38.5%
YUBA	36.7%	34.0%	29.4%

\*ALAMEDA, CONTRA COSTA, MARIN, NAPA, SAN FRANCISCO, SAN MATEO, SOLANO, SONOMA, AND SANTA CLARA

STATES	WM%	WW%	EM%
ALABAMA	40.8%	33.2%	26.0%
ALASKA	40.2%	33.1%	26.7%
ARIZONA	37.0%	31.7%	31.3%
ARKANSAS	44.0%	37.5%	18.5%
CALIFORNIA	28.0%	23.6%	48.4%
COLORADO	42.2%	36.2%	21.6%
CONNECTICUT	42.4%	37.8%	19.8%
DELEWARE	39.3%	35.5%	25.3%
DISTRICT OF COLUMBIA	19.2%	18.0%	62.8%
FLORIDA	35.7%	30.9%	33.4%
GEORGIA	35.9%	30.0%	34.2%
HAWAII	13.1%	11.1%	75.8%
IDAHO	48.6%	40.8%	10.5%
ILLINOIS	38.6%	33.6%	27.8%
INDIANA	47.1%	40.6%	12.3%
IOWA	49.2%	44.8%	6.0%
KANSAS	45.6%	40.1%	14.3%
KENTUCKY	48.4%	41.9%	9.7%
LOUISIANA	37.3%	30.0%	32.7%
MAINE	50.6%	46.5%	2.9%
MARYLAND	34.0%	30.2%	35.8%
MASSACHUSETTS	44.0%	40.6%	15.3%
MICHIGAN	44.1%	37.5%	18.4%
MINNESOTA	47.6%	43.1%	9.3%
MISSISSIPPI	36.1%	29.6%	34.3%
MISSOURI	45.6%	40.3%	14.1%

STATES	WM%	WW%	EM%
MONTANA	49.1%	42.5%	8.4%
NEBRASKA	47.1%	42.7%	10.2%
NEVADA	37.8%	31.3%	30.9%
NEW HAMPSHIRE	50.6%	45.0%	4.4%
NEW JERSEY	36.7%	31.5%	31.7%
NEW MEXICO	26.6%	23.1%	50.3%
NEW YORK	35.0%	30.9%	34.1%
NORTH CAROLINA	39.1%	34.0%	26.9%
NORTH DAKOTA	49.6%	44.4%	6.0%
OHIO	46.1%	40.2%	13.7%
OKLAHOMA	41.7%	35.4%	22.9%
OREGON	45.5%	39.5%	15.0%
PENNSYLVANIA	46.4%	40.2%	13.4%
RHODE ISLAND	44.1%	41.4%	14.5%
SOUTH CAROLINA	37.6%	32.4%	30.0%
SOUTH DAKOTA	48.0%	43.6%	8.4%
TENNESSEE	44.1%	37.1%	18.8%
TEXAS	31.5%	26.1%	42.4%
UTAH	47.7%	39.1%	13.2%
VERMONT	50.4%	46.3%	3.3%
VIRGINIA	38.6%	34.0%	27.3%
WASHINGTON	43.6%	37.6%	18.8%
WEST VIRGINIA	51.9%	43.3%	4.9%
WISCONSIN	47.5%	42.8%	9.6%
WYOMING	49.0%	41.4%	9.6%

TOTAL USA	39.0%	33.7%	27.3%
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**WM** = White Men, **WW** = White Women, **EM** = Ethnic Minority.

Figures compiled from the 2000 Census of Population, U.S. Department of Commerce, Bureau of the Census.



# CONTRACT EQUITY PARTICIPATION (P-040)

<b>BIDDER'S / PROPOSER'S NAME</b>	<b>PROJECT NAME</b>
<b>ADDRESS</b>	<b>SPEC. / PROPOSAL NO. (If applicable)</b>
<b>E-MAIL ADDRESS</b>	<b>BID / PROPOSAL AMOUNT \$</b>
<b>PHONE NO.</b>	<b>FAX NO.</b>

*Note: This form shall be submitted by **first and second** apparent low bidders within 48 hours of bid for construction projects and by **all proposers** with their proposal for professional and general services. All subcontractors<sup>1</sup>, truckers and suppliers shall be listed on this form and must also complete a P-025 form if they are doing work for over \$60,000.*

COMPANY AND CONTACT NAME, ADDRESS, PHONE NUMBER AND E-MAIL ADDRESS	OWNERSHIP		TYPE OF WORK TO BE DONE <sup>3</sup>	ESTIMATED DOLLAR AMOUNT
	ETHNICITY <sup>2</sup>	GENDER		
		M		

*Note: Additional spaces are provided on the back of this form.*

The above bidder/proposer shall enter into a formal agreement with the subcontractors, truckers and suppliers for work listed in this schedule conditioned upon execution of a contract with East Bay Municipal Utility District. Substitution or replacements of these subcontractors must comply with Section III.B. Substitution or Replacement in the Contract Equity Program and Equal Employment Opportunity Guidelines.

\_\_\_\_\_  
*Signature of Authorized Bidder / Proposer's Official*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Print Name*

\_\_\_\_\_  
*Title*

<sup>1</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services on a District contract. A subcontractor may be a construction subcontractor, subconsultant, vendor, supplier, or trucker at any tier level of participation.

<sup>2</sup> Ethnic Classifications:   **A/PI** Asian-Pacific Islander American           **H/LA** Hispanic/Latin American           **W/C** White/Caucasian  
  **B/AA** Black/African American                                   **NA** Native American

<sup>3</sup> If 100% of items is not to be performed or furnished by the subcontractor, describe exact portion, location (if necessary) of item to be performed or furnished by that subcontractor.



# CONTRACT EQUITY PARTICIPATION (P-040)

COMPANY AND CONTACT NAME, ADDRESS, PHONE NUMBER AND E-MAIL ADDRESS	OWNERSHIP		TYPE OF WORK TO BE DONE <sup>3</sup>	ESTIMATED DOLLAR AMOUNT
	ETHNICITY <sup>2</sup>	GENDER		
		M		



# GOOD FAITH OUTREACH EFFORTS DOCUMENTATION (P-041)

The apparent low bidder shall submit the following information to demonstrate that a good faith outreach effort to meet the contracting Objectives has been made if its Form P-040 Contract Equity Participation indicates that the Contracting Objectives will not be met. It is suggested that even if the Contracting Objectives appear to be met on Form P-040, this form still needs to be completed in case the contracting Objectives are determined by District evaluation to have not been met.

The *complete* description of the following items along with all of the Good Faith Outreach Efforts (GFOE's) are in the Section IA of the Contract Equity Program and Equal Employment Opportunity Guidelines:

- Items of works for which the bidder requested subbids, trucking or materials to be supplied by subcontractors in all availability groups
- Information furnished interested subcontractors, truckers, or suppliers in the way of plans, specifications and requirements for the work
- Any breakdown of items of work into economically feasible units to facilitate subcontractor participation (*GFOE's #2 & 6*)

ITEMS OF WORK OR SUPPLIES IDENTIFIED	
1	6
2	7
3	8
4	9
5	10
INFORMATION FURNISHED	
BREAKDOWN OF ITEMS	





## GOOD FAITH OUTREACH EFFORTS DOCUMENTATION (P-041)

- The names and dates of advertisements in the project’s geographic market area of each newspaper, trade paper, and availability group focus paper in which a request for subcontractor participation for this project was placed by the bidder (*GFOE #3*)

NAME OF PUBLICATION	DATES OF ADVERTISEMENT

- The names and dates of notices of all subcontractors in the project’s geographic market area solicited by direct mail, and the dates and methods used for following up initial solicitations to determine with certainty whether the subcontractors were interested (*GFOE’s #4 & 5*)

NAME OF SUBCONTRACTOR SOLICITED	SOLICITATION DATES	FOLLOW UP METHODS	FOLLOW UP DATES



# GOOD FAITH OUTREACH EFFORTS DOCUMENTATION (P-041)

- The names of subcontractors who submitted bids for any of the work indicated on page one of this form whose bids were not accepted
- A summary of the bidder's discussions and/or negotiations with them
- The name of the subcontractor or supplier that was selected for that portion of the work, and the reasons for the bidder's choice. *(If the reason for rejecting a bid was price, give the price bid by the rejected subcontractor and the price bid by the selected subcontractor or supplier.) (GFOE #8)*

NAME OF REJECTED SUBCONTRACTOR	SUMMARY OF DISCUSSIONS / NEGOTIATIONS	NAME OF SELECTED SUBCONTRACTOR AND REASONS FOR THAT CHOICE

Please Note: Use additional sheets of paper, if necessary.



# GOOD FAITH OUTREACH EFFORTS DOCUMENTATION (P-041)

- Assistance that the bidder has extended to rejected subcontractors identified above to remedy the deficiency in their subbids (GFOE #9)

NAME OF REJECTED SUBCONTRACTOR	ASSISTANCE EXTENDED

- Any additional data to support a demonstration of good faith efforts, such as contacts with subcontractor's assistance agencies (GFOE #7):

NAME OF COMMUNITY ORGANIZATIONS OR CONTRACTORS GROUPS	ADDITIONAL GOOD FAITH OUTREACH EFFORTS

**Please Note:** Use additional sheets of paper, if necessary. Appropriate documentation, such as copies of newspaper ads, letters soliciting bids, and telephone logs, should accompany this form.



# CONTRACT EQUITY PROGRAM GUIDELINES CERTIFICATION (P-042)

Pursuant to the East Bay Municipal Utility District's ("District") Contract Equity Program Guidelines, Section I, Paragraph A.1, I hereby declare, under the penalty of perjury under the laws of the State of California, that

- 1) I am duly authorized to execute this certification on behalf of my company, corporation, joint-venture or sole-proprietorship, which has submitted a bid/proposal to District Specification/Proposal No. \_\_\_\_\_ ;
- 2) I am familiar with the District's Contract Equity Program Guidelines, and have read and understood all of the program's requirements;
- 3) I understand and agree to comply with the District's Contract Equity Program, and all of the requirements therein, including each of the Good Faith Outreach Efforts; and
- 4) I understand and agree to comply with the District's Equal Employment Opportunity (EEO) (nondiscrimination and harassment and retaliation) policies and procedures. I will post and distribute applicable District-supplied EEO material. My firm has a process for responding to complaints of EEO discrimination, harassment, and retaliation and a copy will be provided upon request.
- 5) I understand, and expressly agree, on behalf of my company, corporation, joint-venture or sole-proprietorship, that the District may disqualify the bid/proposal submitted if we have not complied with the District's Contract Equity Program, and all of the requirements therein.

EXECUTED IN \_\_\_\_\_

*(City, County, State)*

ON \_\_\_\_\_

FOR \_\_\_\_\_

*(Month, Date, Year)*

*(Bidder's / Proposer's Company Name)*

BY \_\_\_\_\_

*(Print Name)*

*(Title)*

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

\_\_\_\_\_  
*(Phone Number)*



# DESIGNATION OF SUBCONTRACTORS (P-046)

Name of Bidder/Proposer \_\_\_\_\_

In compliance with the provisions of the Subletting and Subcontracting Fair Practices Act (Division 2, Part 1, Chapter 4 of the Public Contract Code of the State of California, and any amendments thereof), each bidder shall set forth below:

1. The name and location of the place of business of each subcontractor who will perform work or labor or render service to the Contractor in or about the construction of the work or improvement, or a subcontractor licensed in the State of California who, under subcontract to the Contractor, specially fabricates and installs a portion of the work or improvement according to detailed drawings contained in the plans and specifications, in an amount in excess of one-half of one percent of the Contractor's total bid.
2. The portion and estimated dollar amount of the work which will be done by each subcontractor. The Contractor shall list only one subcontractor for each portion as is defined by the Contractor in his bid.

Please type or legibly print (attach additional sheets as necessary)

SUBCONTRACTOR'S COMPANY NAME CONTACT NAME / ADDRESS / PHONE NO.	DESCRIPTION OF WORK TO BE PERFORMED	ESTIMATED \$ AMOUNT

# Designation of Subcontractors – From Public Contract Code Section 4105 - 4110

Circumvention by a general contractor who bids as a prime contractor of the requirement under Section 4104 for him or her to list his or her subcontractors, by the device of listing another contractor who will in turn sublet portions constituting the majority of the work covered by the prime contract, shall be considered a violation of this chapter and shall subject that prime contractor to the penalties set forth in Sections 4110 and 4111.

If a prime contractor fails to specify a subcontractor or if a prime contractor specifies more than one subcontractor for the same portion of work to be performed under the contract in excess of one-half of 1 percent of the prime contractor's total bid, the prime contractor agrees that he or she is fully qualified to perform that portion himself or herself, and that the prime contractor shall perform that portion himself or herself. If after award of contract, the prime contractor subcontracts, except as provided for in Sections 4107 or 4109, any such portion of the work, the prime contractor shall be subject to the penalties named in Section 4111.

A prime contractor whose bid is accepted may not:

- (a) Substitute a person as subcontractor in place of the subcontractor listed in the original bid, except that the awarding authority, or its duly authorized officer, may, except as otherwise provided in Section 4107.5, consent to the substitution of another person as a subcontractor in any of the following situations:
  - (1) When the subcontractor listed in the bid, after having had a reasonable opportunity to do so, fails or refuses to execute a written contract for the scope of work specified in the subcontractor's bid and at the price specified in the subcontractor's bid, when that written contract, based upon the general terms, conditions, plans, and specifications for the project involved or the terms of that subcontractor's written bid, is presented to the subcontractor by the prime contractor.
  - (2) When the listed subcontractor becomes bankrupt or insolvent.
  - (3) When the listed subcontractor fails or refuses to perform his or her subcontract.
  - (4) When the listed subcontractor fails or refuses to meet the bond requirements of the prime contractor as set forth in Section 4108.
  - (5) When the prime contractor demonstrates to the awarding authority, or its duly authorized officer, subject to the further provisions set forth in Section 4107.5, that the name of the subcontractor was listed as the result of an inadvertent clerical error.
  - (6) When the listed subcontractor is not licensed pursuant to the Contractors License Law.
  - (7) When the awarding authority, or its duly authorized officer, determines that the work performed by the listed subcontractor is substantially unsatisfactory and not in substantial accordance with the plans and specifications, or that the subcontractor is substantially delaying or disrupting the progress of the work.
  - (8) When the listed subcontractor is ineligible to work on a public works project pursuant to Section 1777.1 or 1777.7 of the Labor Code.
  - (9) When the awarding authority determines that a listed subcontractor is not a responsible contractor.

Prior to approval of the prime contractor's request for the substitution, the awarding authority, or its duly authorized officer, shall give notice in writing to the listed subcontractor of the prime contractor's request to substitute and of the reasons for the request. The notice shall be served by certified or registered mail to the last known address of the subcontractor. The listed subcontractor who has been so notified has five working days within which to submit written objections to the substitution to the awarding authority. Failure to file these written objections constitutes the listed subcontractor's consent to the substitution.

If written objections are filed, the awarding authority shall give notice in writing of at least five working days to the listed subcontractor of a hearing by the awarding authority on the prime contractor's request for substitution.

- (b) Permit a subcontract to be voluntarily assigned or transferred or allow it to be performed by anyone other than the original subcontractor listed in the original bid, without the consent of the awarding authority, or its duly authorized officer.
- (c) Other than in the performance of "change orders" causing changes or deviations from the original contract, sublet or subcontract any portion of the work in excess of one-half of 1 percent of the prime contractor's total bid as to which his or her original bid did not designate a subcontractor.

No subcontractor listed by a prime contractor under Section 4104 as furnishing and installing carpeting, shall voluntarily sublet his or her subcontract with respect to any portion of the labor to be performed unless he or she specified the subcontractor in his or her bid for that subcontract to the prime contractor.

The prime contractor as a condition to assert a claim of inadvertent clerical error in the listing of a subcontractor shall within two working days after the time of the prime bid opening by the awarding authority give written notice to the awarding authority and copies of that notice to both the subcontractor he or she claims to have listed in error and the intended subcontractor who had bid to the prime contractor prior to bid opening.

Any listed subcontractor who has been notified by the prime contractor in accordance with this section as to an inadvertent clerical error shall be allowed six working days from the time of the prime bid opening within which to submit to the awarding authority and to the prime contractor written objection to the prime contractor's claim of inadvertent clerical error. Failure of the listed subcontractor to file the written notice within the six working days shall be primary evidence of his or her agreement that an inadvertent clerical error was made.

The awarding authority shall, after a public hearing as provided in Section 4107 and in the absence of compelling reasons to the contrary, consent to the substitution of the intended subcontractor:

- (a) If (1) the prime contractor, (2) the subcontractor listed in error, and (3) the intended subcontractor each submit an affidavit to the awarding authority along with such additional evidence as the parties may wish to submit that an inadvertent clerical error was in fact made, provided that the affidavits from each of the three parties are filed within eight working days from the time of the prime bid opening, or
- (b) If the affidavits are filed by both the prime contractor and the intended subcontractor within the specified time but the subcontractor whom the prime contractor claims to have listed in error does not submit within six working days, to the awarding authority and to the prime contractor, written objection to the prime contractor's claim of inadvertent clerical error as provided in this section.

If the affidavits are filed by both the prime contractor and the intended subcontractor but the listed subcontractor has, within six working days from the time of the prime bid opening, submitted to the awarding authority and to the prime contractor written objection to the prime contractor's claim of inadvertent clerical error, the awarding authority shall investigate the claims of the parties and shall hold a public hearing as provided in Section 4107 to determine the validity of those claims. Any determination made shall be based on the facts contained in the declarations submitted under penalty of perjury by all three parties and supported by testimony under oath and subject to cross-examination. The awarding authority may, on its own motion or that of any other party, admit testimony of other contractors, any bid registries or depositories, or any other party in possession of facts which may have a bearing on the decision of the awarding authority.

If a contractor who enters into a contract with a public entity for investigation, removal or remedial action, or disposal relative to the release or presence of a hazardous material or hazardous waste fails to pay a subcontractor registered as a hazardous waste hauler pursuant to Section 25163 of the Health and Safety Code within 10 days after the investigation, removal or remedial action, or disposal is completed, the subcontractor may serve a stop notice upon the public entity in accordance with Chapter 4 (commencing with Section 3179) of Title 15 of Part 4 of Division 3 of the Civil Code.

- (a) It shall be the responsibility of each subcontractor submitting bids to a prime contractor to be prepared to submit a faithful performance and payment bond or bonds if so requested by the prime contractor.
- (b) In the event any subcontractor submitting a bid to a prime contractor does not, upon the request of the prime contractor and at the expense of the prime contractor at the established charge or premium therefor, furnish to the prime contractor a bond or bonds issued by an admitted surety wherein the prime contractor shall be named the obligee, guaranteeing prompt and faithful performance of the subcontract and the payment of all claims for labor and materials furnished or used in and about the work to be done and performed under the subcontract, the prime contractor may reject the bid and make a substitution of another subcontractor subject to Section 4107.
- (c) (1) The bond or bonds may be required under this section only if the prime contractor in his or her written or published request for subbids clearly specifies the amount and requirements of the bond or bonds.
  - (2) If the expense of the bond or bonds required under this section is to be borne by the subcontractor, that requirement shall also be specified in the prime contractor's written or published request for subbids.
  - (3) The prime contractor's failure to specify bond requirements, in accordance with this subdivision, in the written or published request for subbids shall preclude the prime contractor from imposing bond requirements under this section.

Subletting or subcontracting of any portion of the work in excess of one-half of 1 percent of the prime contractor's total bid as to which no subcontractor was designated in the original bid shall only be permitted in cases of public emergency or necessity, and then only after a finding reduced to writing as a public record of the awarding authority setting forth the facts constituting the emergency or necessity.

A prime contractor violating any of the provisions of this chapter violates his or her contract and the awarding authority may exercise the option, in its own discretion, of (1) canceling his or her contract or (2) assessing the prime contractor a penalty in an amount of not more than 10 percent of the amount of the subcontract involved, and this penalty shall be deposited in the fund out of which the prime contract is awarded. In any proceedings under this section the prime contractor shall be entitled to a public hearing and to five days' notice of the time and place thereof.