

**REQUEST FOR PROPOSALS  
FOR  
ARCHITECTURAL SERVICES**

**PROPOSAL FORMAT  
AND  
SCOPE OF SERVICES**

PROPOSALS TO BE SUBMITTED BY 10:00 A.M., TUESDAY, MAY 14, 2013 TO:

LACKAWANNA COUNTY BOARD OF COMMISSIONERS  
C/O MARIA ELKINS, CHIEF OF STAFF  
200 ADAMS AVENUE  
6<sup>TH</sup> FLOOR  
SCRANTON, PA 18503  
(570) 963-6800

## REQUEST FOR PROPOSALS FOR PROFESSIONAL SERVICES

Notice is hereby given that pursuant to a fair and open process, the County of Lackawanna is seeking proposals from qualified firms with considerable knowledge and experience in public works projects, federal and state contracts, and Community Development Block Grant Projects. Sealed submissions will be received by the Lackawanna County Board of Commissioners, c/o Maria Elkins, Chief of Staff, at its offices at 200 Adams Avenue, 6<sup>th</sup> Floor, Scranton, PA 18503, (570) 963-6800, on Tuesday, My 14, 2013, no later than 10:00 A.M., prevailing time for the following:

1. Engineering Design and Inspection Services for the Dickson City Borough Commercial Street Sanitary Sewer Line Reconstruction Project – A Pre-design Conference will be held on Tuesday, May 7, 2013 at 10:15 A.M. at the Project Site.
2. Engineering Design and Inspection Services for the Jessup Borough Station Park Handicapped Access Sidewalk Project - A Pre-design Conference will be held on Tuesday, May 7, 2013 at 9:30 A.M. at the Project Site.
3. Engineering Inspection Services for the Scott Township Ackerly Road Improvement Project – There will be no [Pre-design] Conference for this Project.
4. Architectural Design and Inspection Services for the Jessup Youth Sports Complex Handicapped Access Restroom Project - A Pre-design Conference will be held on Tuesday, May 7, 2013 at 9:00 A.M. at the Jessup Youth Sports Complex on Hill Street.

Details of the proposal content are contained in Request for Proposals Packets which can be obtained on the Lackawanna County web site at [www.lackawannacounty.org](http://www.lackawannacounty.org).

Lackawanna County encourages responses from eligible MBE, WBE, and Section 3 residents and businesses.

Lackawanna County is an equal opportunity employer.

Maria Elkins  
Chief of Staff

**COUNTY OF LACKAWANNA  
REQUEST FOR  
ARCHITECTURAL SERVICES**

Notice is hereby given that pursuant to a fair and open process, and in compliance with Title 24 of the Code of Federal Regulations of the Department of Housing and Urban Development, Part 85 - Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally Recognized Indian Tribal Governments, the Lackawanna County Board of Commissioners, c/o Maria Elkins, Chief of Staff, will receive sealed proposals at its offices at 200 Adams Avenue, 6<sup>th</sup> Floor, Scranton, PA 18503, (570) 963-6800, on Tuesday, May 14, 2013, no later than 10:00 A.M., prevailing time for architectural services to assist in the implementation of a public works project in the Borough of Jessup. Any questions regarding the request for proposals should be made in writing to the Lackawanna County Board of Commissioners, c/o Maria Elkins, Chief of Staff, at the above address between the hours of 9:00 A.M. and 4:00 P.M. Monday through Friday.

The purpose of this Request for Proposals is to solicit interest from qualified firms and/or individuals to provide professional services for the County. A qualified firm and/or individual will be selected through a fair and open process at the sole discretion of the County.

- I. **PROJECT DESCRIPTION** - The following Project Description is based on preliminary information. Each OFFERER is required to go out to the job site to evaluate the work involved, prior to the submission of a proposal. In the event that the OFFERER would recommend an alternate solution to the problem or that the scope of the project be changed, the OFFERER shall notify the COUNTY immediately.

Jessup Youth Sports Complex Handicapped Access Restroom Project - A Pre-design Conference will be held on Tuesday, May 7, 2013 at 9:00 A.M. at the Jessup Youth Sports Complex on Hill Street. The total budget for this project, including architectural design and inspection, construction, and a contingency, is approximately \$32,105.00. The Jessup Youth Sports Complex Handicapped Access Restroom Project will include exterior and interior modifications to remove architectural barriers and provide handicapped access, including, new entrance doors, water closets, lavatories with mirrors, lighting, exterior sidewalk, plumbing, painting, flooring and demolition. This project will be designed in accordance with federal regulations for accessibility to the handicapped per the American with Disabilities Act (ADA) Accessibility Guidelines for Buildings and Facilities. Each portion of the project will be separated out in order for the specification manuals to have separate specifications for the following:

1. General Construction, including site work
2. Plumbing
3. HVAC
4. Electrical

II. **SCOPE OF SERVICES** - The OFFERER, in connection with and respecting the aforesaid project, and in return for payment from the COUNTY as more fully set forth below, shall perform and carry out, in a satisfactory and proper manner, the following:

A. **Project Layout and Design** - The OFFERER shall coordinate Project Layout and Design with the Community and the COUNTY.

1. Preparation and submission of a construction cost estimate, one set of original mylars/velms and fifteen sets of plans/prints, twelve specification manuals, and twelve sets of bidding documents. Bids will have a unit price sheet and a lump sum total.

a. The plans/prints will contain the following if applicable to the specific project, which is the minimum requirements for all projects; additional items may be required where deemed necessary by the COUNTY:

1. Title Sheet.
2. Show North arrow.
3. Provide a general location map.
4. Provide a datum to which elevations refer.
5. Provide all existing site topography and features (natural or man-made) located within the right-of-way or construction area that the proposed project may impact. Include sidewalks driveways, streets, poles, curbs, trees, landscaping, fences, utilities, buildings, etc., as applicable. Label all features as applicable, such as PP&L or Bell Atlantic pole numbers and provide identification numbers if available.
6. Provide sufficient spot elevations and/or contours necessary to properly construct the proposed improvements.
7. Provide any notes and details necessary to clearly show the intended construction and materials to be utilized.
8. Provide all dimensions necessary for proper construction of the proposed improvements including coordinates of proposed features.
9. Show and label all easements on the Construction Drawings including bearings and distances and all

dimensions. Easements should be tied to some known field reference point.

- b. The specification manuals will contain the following:

**GENERAL AND PROJECT INFORMATION**

Invitation for Bids

Instructions to Bidders

General Specifications General Conditions Part I

General Conditions Federal Requirements Part II

Attachments to General Conditions Part II (Davis-Bacon Wage Determination)

General Specifications Special Conditions Part III

Supplemental Conditions

Technical Specifications

Required Permits (if applicable)

Required Easements (if applicable)

Schedule of Drawings

**BIDDING DOCUMENTS (TO BE SUBMITTED WITH BID)**

Bid Bond

Bid Form

Unit Price Sheet (if applicable)

Bid Proposal

Statement of Bidder's Qualifications

Non-Collusion Affidavit of Prime Bidder

Certification of Non Segregated Facilities

Certification of Non-Employment of Illegal Alien Labor

Public Works Employment Verification

Certification of Bidder Regarding Equal Employment Opportunity

Affirmative Action Plan for Utilization of Minority Business

(applicable to contracts over \$25,000.00)

MBE/WBE Contract Solicitation and Commitment Statement

(applicable to contracts over \$25,000.00)

Minority and Women Business Enterprise Bidder Certification

(applicable to contracts over \$25,000.00)

Section 3 Contract Solicitation and Commitment Statement

(applicable to contracts over \$100,000.00)

Contractor's Certification of Compliance Section 3

(applicable to contracts over \$100,000.00)

Section 3 Work Force Needs Table (applicable to contracts over \$100,000.00)

**CONTRACT DOCUMENTS**

Agreement

Performance Bond

Labor and Materialmen's Bond

Maintenance Bond

Stipulation Against Liens

Notice to Proceed

Part II - Terms and Conditions

Change Order

## **SUBCONTRACTOR FORMS**

**Non-Collusion Affidavit of Subcontractor**

**Certification by Proposed Subcontractor Regarding Equal Employment Opportunity**

**MBE/WBE DOCUMENTS (applicable to contracts over \$25,000.00)**

**Participation Requirements for MBE/WBE (applicable to contracts over \$25,000.00)**

**MBE/WBE List (applicable to contracts over \$25,000.00)**

**Prime Contractor's Quarterly Utilization Report (applicable to contracts over \$25,000.00)**

**Subcontractor's Quarterly Utilization Report (applicable to contracts over \$25,000.00)**

**SECTION 3 DOCUMENTS (applicable to contracts over \$100,000.00)**

**Participation Requirements for Section 3 Residents and Business Concerns**

**(applicable to contracts over \$100,000.00)**

**Section 3 List (applicable to contracts over \$100,000.00)**

**Subcontractor's Certification of Compliance Section 3**

**(applicable to contracts over \$100,000.00)**

**Section 3 Contractor's Monthly Report (applicable to contracts over \$100,000.00)**

## **PAYMENT FORMS**

**Application and Certificate for Payment (to be submitted to the Engineer/Architect)**

**Certificate from Contractor Appointing Officer/Employee to Supervise Pmt. of Emps.**

## **SAMPLE PROJECT SIGN**

- c. The bidding documents will contain the following:
- BIDDING DOCUMENTS (TO BE SUBMITTED WITH BID)**
  - Bid Bond**
  - Bid Form**
  - Unit Price Sheet (if applicable)**
  - Bid Proposal**
  - Statement of Bidder's Qualifications**
  - Non-Collusion Affidavit of Prime Bidder**
  - Certification of Non Segregated Facilities**
  - Certification of Non-Employment of Illegal Alien Labor**
  - Public Works Employment Verification**
  - Certification of Bidder Regarding Equal Employment Opportunity**
  - Affirmative Action Plan for Utilization of Minority Business (applicable to contracts over \$25,000.00)**
  - MBE/WBE Contract Solicitation and Commitment Statement (applicable to contracts over \$25,000.00)**
  - Minority and Women Business Enterprise Bidder Certification (applicable to contracts over \$25,000.00)**
  - Section 3 Contract Solicitation and Commitment Statement (applicable to contracts over \$100,000.00)**
  - Contractor's Certification of Compliance Section 3 (applicable to contracts over \$100,000.00)**

Section 3 Work Force Needs Table (applicable to contracts over \$100,000.00)

2. Securing of any and all permits and their supplements (Building Permits, DEP, Penn DoT, etc. (as applicable)) required for the construction of the project, prior to bidding. This includes preparing and submitting permit/supplement applications into the permitting agencies in addition to making any and all changes and/or additions required by the permitting agencies. Securing of any and all easements (if applicable), either construction or permanent, prior to bidding.
  3. Coordination of the Pre-Bid Conference between the COUNTY, the potential bidders, and others concerning the design and construction of the above referenced project.
  4. Coordination of the Pre-Construction Conference, and any other meetings between the COUNTY, the Project Contractor, and others concerning the design, inspection and construction of the above referenced project.
- B. Project inspection for the duration of the project.
1. The successful OFFERER shall be paid hourly rate costs with a total "not to exceed" dollar amount for Project Inspection for a Project Inspector and a Registered Architect for on-site supervision and technical assistance. The OFFERER shall supply the percentage of time required by the Registered Architect for on-site supervision and technical assistance in relation to the total time of the Project Inspector. The hourly rate costs paid shall only be for actual on-site time and the preparation, submission, review, etc. of Change Orders, Payment Applications, and Shop Drawings with a total "not to exceed" dollar amount. The OFFERER should take into consideration costs of the following as overhead costs (which the COUNTY will not pay separately for and said miscellaneous costs shall be borne by the OFFERER) to be included in the hourly rate costs: the preparation, submission, review, etc. of Timesheets, Daily Field Reports etc.; meetings; travel; clerical, telephone conversations, communications, documentation, correspondence, and any and all other miscellaneous work required in the completion of the duties of the Project Inspector and Registered Architect, etc., as set forth above.
  2. For the Project Inspector and Registered Architect, documentation in the form of timesheets must be provided weekly to the COUNTY. The timesheets will state the dates of inspection and the number of work hours by day. In addition, completed daily field reports, of which each must include the

amount of time that the Project Inspector and Registered Architect were inspecting the project will be forwarded for both the Project Inspector and Registered Architect, by the OFFERER to the COUNTY on a weekly basis. Project Inspectors must possess a college degree appropriate to the type of project, or have equivalent experience. Architects must be Registered Architects.

C. Preparation and submission of two (2) sets of as-built original drawings (mylars/velms), and two (2) sets of prints. Drawings will contain the following if applicable to the specific project:

1. Title Sheet
2. Plan Sheet(s) will show all new construction, the actual location of all utilities and all geography/topography within project area(s)
3. Profile/Elevation Sheet(s) showing actual "as-built" elevations
4. Detail Sheet(s) showing Standard Details and Specific Details

III. TIME OF PERFORMANCE - Failure to complete the prescribed work within allotted time will require the OFFERER to pay the COUNTY, as liquidated damages, the sum of one hundred fifty dollars (\$150.00) per day, unless otherwise stated. The OFFERER must submit any Change Order requests for an extension of the time immediately upon discovery of the need for such an extension. The OFFERER must present a valid reason for any time extension and a determination as to whether the extension is justified will be made by the COUNTY.

A. (II.) SCOPE OF SERVICES (A.) Project Layout and Design

1. The construction cost estimate, one set of original mylars/velms and fifteen sets of plans/prints, twelve specification manuals, and twelve sets of bidding documents must be prepared and submitted to the COUNTY within a specified time limit which will be based upon the OFFERERS' proposal. Failure to submit the cost estimate, original mylars/velms and plans/prints, specification manuals, and bidding documents within the allotted time will require the OFFERER to pay the COUNTY, as liquidated damages, the sum of one hundred fifty dollars (\$150.00) per day.
2. The COUNTY recognizes that the securing of the permits, their supplements, and/or easements is not under the total control of the OFFERER and no predetermined time limit can apply. However, the OFFERER must inform the COUNTY as to the permits and/or easements required.

Applications for any required permits must be prepared and submitted to the permitting agencies within five (5) calendar days from the date of submission of the completed plans/prints,



specification manuals, and bidding documents to the COUNTY. Any requests by the permitting agencies for the submission of changes, additions, information, supplements, documentation, correspondence, etc. must be processed within five (5) calendar days from the date of notification. Copies of all correspondence regarding any and all required permits must be sent to the COUNTY within this same five (5) calendar day time limit. In addition, the OFFERER shall apprise the COUNTY as to the status of the permits on a weekly basis.

The OFFERER must begin securing any required easements from the property owners within five (5) calendar days from the date of submission of the completed plans/prints, specification manuals, and bidding documents to the COUNTY. Any requests by the property owners for the submission of additional information, documentation, correspondence, etc. must be processed within five (5) calendar days from the date of notification. Copies of all correspondence regarding any and all required easements must be sent to the COUNTY within this same five (5) calendar day time limit. In addition, the OFFERER shall apprise the COUNTY as to the status of the easements on a weekly basis.

Shop Drawings must be reviewed and a response must be submitted to the construction contractor within three (3) calendar days from the date of submission of the Shop Drawings to the OFFERER. Copies of all correspondence regarding any and all Shop Drawings must be sent to the COUNTY within this same three (3) calendar day time limit.

Failure to adhere to the time periods stated above will require the OFFERER to pay the COUNTY, as liquidated damages, the sum of fifty dollars (\$50.00) per day.

3. The Pre-Bid Conference shall be held at least one day after the third "Invitation to Bid" advertisement is published in the newspaper, and at least five (5) calendar days before the bid opening.
  4. The dates of the Pre-Construction Conference and any other meetings will be coordinated with the COUNTY.
- B. (II.) SCOPE OF SERVICES (B.) Project Inspection for the duration of the project. The OFFERER understands that no increase in the dollar amount for Project Inspection costs will be granted except that in the event the Project Contractor is assessed liquidated damages for failure to complete work within the time specified in the construction contract and causes the Project Inspection time to be extended. In no event shall the costs for additional Project

Inspection time exceed the liquidated damages assessed to the Project Contractor.

1. The hourly rate costs paid for project inspection shall only be for actual on-site time and the preparation, submission, review, etc. of Change Orders, Payment Applications, and Shop Drawings with a total "not to exceed" dollar amount.
  2. Within ten (10) calendar days from the date that the Project Contractor requests a Change Order, the OFFERER must review the request, and prepare and submit the approved (signed) Change Order to the Project Contractor; if the OFFERER does not recommend approval, the OFFERER will have 10 calendar days to submit an explanation in writing to the Project Contractor. Failure to submit the approved (signed) Change Order (or an explanation in writing if the OFFERER does not recommend approval) within the 10 calendar day time period will require the OFFERER to pay the COUNTY, as liquidated damages, the sum of fifty dollars (\$50.00) per day. Copies of all correspondence must be sent to the COUNTY within this same ten (10) calendar day time limit. Within ten (10) calendar days from the date that the Project Contractor submits a Payment Application to the OFFERER, the OFFERER must review and submit the approved (signed) Payment Application to the COUNTY; if the OFFERER does not recommend approval, the OFFERER will have 10 calendar days to submit an explanation in writing to the Project Contractor with a copy to be sent to the COUNTY within this same ten (10) calendar day time limit. Failure to submit the approved (signed) Payment Application (or an explanation in writing if the OFFERER does not recommend approval) within the 10 calendar day time period will require the OFFERER to pay the COUNTY, as liquidated damages, the sum of fifty dollars (\$50.00) per day.
  3. Timesheets and Daily Field Reports for the Project Inspector and Registered Architect, must be submitted weekly to the COUNTY. The timesheets will state the dates of inspection and the number of work hours by day; the daily field reports must include the amount of time that the Project Inspector and Registered Architect, were inspecting the project. No payments to the OFFERER for Project Inspection will be processed until completed Timesheets and Daily Field Reports are received by the COUNTY.
- C. (II.) SCOPE OF SERVICES (C.) As-built original drawings (mylars/velms) and prints shall be prepared and submitted to the COUNTY within fifteen (15) calendar days from the date of final acceptance of the completed construction of the project. Failure to prepare and submit the as-built original drawings and prints within fifteen (15) calendar days of final acceptance of the completed

construction of the project will require the OFFERER to pay the COUNTY, as liquidated damages, the sum of one hundred fifty dollars (\$150.00) per day.

IV. DOCUMENTATION TO BE PROVIDED BY EACH OFFERER - The OFFERER also understands that the scope of the project is to be investigated prior to the submission of a proposal. Do not base proposals solely upon the information provided in this Request for Proposals. In the event an OFFERER, in the process of investigating the scope of work, discovers that unusual circumstances exist and/or the scope of the project must be expanded, the OFFERER shall immediately notify the COUNTY of the discovery. A total "not to exceed" dollar amount cost for each of the above described services will be negotiated with the successful OFFERER based upon proposal content. Submissions must be submitted in a sealed envelope with the name of the firm or individual submitting the proposal and the term "COUNTY ARCHITECTURAL SERVICES RFP" clearly marked on the outside of the envelope. It is recommended that each submission package be hand-delivered. The County assumes no responsibility for delays in any form of carrier, mail, or delivery service causing the submission to be received after the above-referenced due date and time. Submission by fax, telephone, or e-mail is not permitted. The final selection shall be made in the sole discretion of the Board of Commissioners. All questions regarding this Request for Proposals should be made in writing to the Board of Commissioners, c/o Maria Elkins, 200 Adams Avenue, 6<sup>th</sup> Floor, Scranton, PA 18503.

- A. The OFFERER shall submit five (5) copies of the "General Information" form (which is attached).
- B. The OFFERER shall submit five (5) copies of the "Price Proposal for Discussion Purposes" forms (which are attached)
- C. Qualifications and Experience - Each OFFERER shall submit five (5) copies of the following forms:
  1. Standard Form 330 (form is attached)
  2. Current workload (form is attached)
  3. Familiarity with community (form is attached)
  4. Past performance (form is attached)
  5. Section 3 Strategy for Contracts of \$100,000.00 or more (form is attached)
- D. Insurance - Each OFFERER shall submit five (5) copies of Certificates of Insurance for:
  1. Professional Liability Insurance (Minimum \$100,000.00)
  2. General Liability Insurance, including insurance against claims for personal injury and property damage (Minimum \$500,000.00)

### 3. Workman's Compensation Insurance

V. **FACTORS FOR AWARD** - Proposals will be evaluated in accordance with Lackawanna County's Qualifications Based Selection Process. Anyone submitting a proposal is advised to review that process, which is set forth on the County's website at [www.lackawannacounty.org](http://www.lackawannacounty.org). From the issue date of this RFP until a determination is made regarding the final selection of the successful OFFERER, all contacts with County personnel concerning this RFP, must be made, in writing, through Chief of Staff Maria Elkins. Any firm and/or individual that makes any effort to communicate with any other official of Lackawanna County, either directly or indirectly, during this process will be excluded from consideration. Based on the content of the written proposal and any oral discussion, the COUNTY will make a selection that will be most favorable to the COUNTY and the Municipality. The factors for award will include consideration of the factors identified in Sections IV hereof, as well as qualifications, experience, current workload, familiarity with community, past performance, reasonableness of compensation, and overall determination of the OFFERERS ability to meet the COUNTY's need for architectural services as described herein. The COUNTY encourages Small Business Firms and firms owned and controlled by socially and economically disadvantaged individuals including Minority Business Enterprises and Women Business Enterprises to submit proposals. Personnel/subcontractors working on the project shall be listed in the proposal. During the contract period, use of any personnel and/or subcontractors by the successful OFFERER that were not previously identified in their proposal must be approved in advance in writing by the COUNTY. All successful OFFERERS must meet the terms and conditions of the attached Part II - Terms and Conditions. The COUNTY reserves the right to reject any and all proposals, in whole or in part, and to waive any immaterial defect or informality in any proposal as may be permitted by law, including, but not limited to, proposals exceeding the budget after negotiations. Evaluation factors and their relative importance (maximum points to be awarded) are as follows:

- A. **Qualifications: 20 points.**
- B. **Experience with the specific services requested: 20 points.**
- C. **Amount of time that the firm has available to commit to the project, based on the current workload of the firm: 3 points.**
- D. **Firm's familiarity with the Community: 3 points.**
- E. **Past performance: 10 points**
- F. **Attendance at the Pre-design Conference: 4 points.**
- G. **Other qualifications:**
  1. **Small Business Firm (a firm with less than \$4 million in annual gross receipts): 1 point.**
  2. **Minority Business Enterprise (MBE) (MBE's must be certified by the Pennsylvania Department of General Services and/or the Pennsylvania Department of Transportation): 5 points.**  
A Minority Business Enterprise is a for-profit business concern that is one of the following (minority persons are persons who

are citizens of the United States and who are African Americans, Hispanic Americans, Native American, or Asian-Pacific Americans):

- (1) A sole proprietorship, owned and controlled by a minority; or
  - (2) A partnership or joint venture controlled by minorities in which 51% of the beneficial ownership interest is held by minorities; or
  - (3) A corporation or other business entity controlled by minorities in which at least 51% of the voting interest and 51% of the beneficial ownership interest are held by minorities.
3. **Women Business Enterprises (WBE)** (WBE's must be certified by the Pennsylvania Department of General Services and/or the Pennsylvania Department of Transportation): 3 points.  
A Woman Business Enterprise is a for-profit business concern that is:
- (1) a sole proprietorship, owned and controlled by a women in which at least 51% of the beneficial ownership is held by women; or
  - (2) a partnership or joint venture controlled by women in which at least 51% of the beneficial ownership is held by women; or
  - (3) a corporation or other entity controlled by women in which at least 51% of the voting interest and 51% of the beneficial ownership interest are held by women.
4. **Labor Surplus Area Business Firm** (a civil jurisdiction (cities with a population of at least 25,000 and all counties, in addition to township of 25,000 or more population) whose average unemployment rate is at least 20% above the average unemployment rate for all states (including the District of Columbia and Puerto Rico) during the previous two calendar years.: 1 point.
5. **Section 3 Business Firm:** (Section 3 Business Concern means:
- (1) That is 51 percent or more owned by section 3 residents; or
  - (2) Whose permanent, full-time employees include persons, at least 30 percent of whom are currently section 3 residents, or within three years of the date of first employment business concern were section 3 residents; or
  - (3) That provides evidence of a commitment to subcontract in excess of 25 percent of the dollar award of all subcontractors to be awarded to business concerns that meet the qualifications set forth in paragraphs (1) or (2) above.

**Section 3 Resident means:** A public housing resident or an individual who resides in the metropolitan area or nonmetropolitan county in which the section 3 covered assistance is expended (Lackawanna, Luzerne, and

Wyoming Counties), and who is a low-income or very low-income person.

Category 1 - Section 3 Resident (Business concerns of 51% or more owned by residents of the community or public housing development for which the work is performed, or whose full-time, permanent workforce includes 30% of these persons as employees): 4 points.

Category 2 - Section 3 Resident (Business concerns of 51% or more owned by residents of the community or public housing development other than the housing development where the work is to be performed; or whose full-time, permanent workforce includes 30% of these persons as employees): 3 points.

Category 3 - Section 3 Resident (HUD Youthbuild programs being carried out in the community in which Section 3 covered assistance is expended): 2 points.

Category 4 - Section 3 Resident (Business concerns that are 51% or more owned by a Section 3 resident(S), or whose permanent, full-time workforce includes no less than 30% Section 3 residents; or that subcontract in excess of 25% of the total amount of subcontracts to Section 3 business concerns): 1 point.

Section 3 Strategy for meeting greatest extent feasible requirement to comply with the Section 3 training and employment preference, or contracting preference, or both, if applicable.: 5 points.

H. Reasonableness of Compensation: 15 points.

GENERAL INFORMATION

NAME: \_\_\_\_\_

PRINCIPALS	TITLE
_____	_____
_____	_____

ADDRESS: \_\_\_\_\_

TELEPHONE #: \_\_\_\_\_ SS #/IRS ID #: \_\_\_\_\_

- I. Did your firm submit the following documentation:
  - A. STANDARD FORM 330?: \_\_\_\_\_
  - B. PROFESSIONAL LIABILITY INSURANCE CERTIFICATE?: \_\_\_\_\_
  - C. GENERAL LIABILITY INSURANCE CERTIFICATE?: \_\_\_\_\_
  - D. WORKMAN'S COMPENSATION INSURANCE CERTIFICATE?: \_\_\_\_\_

- II. Indicate qualifications under any of the following categories:
  - A. SMALL BUSINESS FIRM: \_\_\_\_\_
  - B. MINORITY BUSINESS ENTERPRISE: \_\_\_\_\_
  - C. WOMEN BUSINESS ENTERPRISE: \_\_\_\_\_
  - D. LABOR SURPLUS AREA BUSINESS FIRM: \_\_\_\_\_
  - E. SECTION 3 BUSINESS FIRM:
    - Category 1: \_\_\_\_\_
    - Category 2: \_\_\_\_\_
    - Category 3: \_\_\_\_\_
    - Category 4: \_\_\_\_\_

III. Is your firm currently in violation of any regulatory rules and regulations that may have any impact on your firm's operations? (If yes, specify): \_\_\_\_\_  
\_\_\_\_\_

IV. Is your firm involved in any current litigation with the County? (If yes, specify): \_\_\_\_\_  
\_\_\_\_\_

V. Are there any conflicts of interest to which your firm would be subject if it were to provide the requested services on behalf of the County? (If yes, specify.): \_\_\_\_\_  
\_\_\_\_\_

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

PROPOSAL FOR DISCUSSION PURPOSES

**Jessup Youth Sports Complex Handicapped Access Restroom Project**

NAME: \_\_\_\_\_

- I. Project layout and design; securing of any all permits, supplements, and easements; and coordination of Pre-Bid Conference, Pre-Construction Conference, and meetings.

WHO WILL BE THE DESIGN ARCHITECT: \_\_\_\_\_

ESTIMATE OF THE AMOUNT OF TIME IN CALENDAR DAYS NECESSARY FOR PROJECT LAYOUT AND DESIGN: \_\_\_\_\_

LUMP SUM COST NOT TO EXCEED:\$ \_\_\_\_\_

- II. Project inspection for the duration of the project; the preparation, submission, review, etc. of Change Orders, Payment Applications, Shop Drawings, Timesheets, Daily Field Reports etc.; meetings; travel; clerical, telephone conversations, communications, documentation, correspondence, and any and all other miscellaneous work required in the completion of the duties of the Project Inspector and Registered Architect, etc., as set forth above.

WHO WILL BE THE PROJECT INSPECTOR: \_\_\_\_\_

WHAT COLLEGE DEGREE DOES THIS PERSON HAVE: \_\_\_\_\_

HOW MANY YEARS OF EXPERIENCE DOES THIS PERSON HAVE: \_\_\_\_\_

ESTIMATE OF THE AMOUNT OF TIME IN CALENDAR DAYS NECESSARY FOR PROJECT CONSTRUCTION: \_\_\_\_\_

NUMBER OF HOURS FOR PROJECT INSPECTOR TO BE ON-SITE: \_\_\_\_\_

PROJECT INSPECTOR HOURLY RATE COST NOT TO EXCEED:\$ \_\_\_\_\_

WHO WILL BE THE INSPECTING ARCHITECT: \_\_\_\_\_

IS THIS PERSON A REGISTERED ARCHITECT: \_\_\_\_\_

PERCENTAGE OF TIME FOR REGISTERED ARCHITECTS' ON-SITE SUPERVISION AND TECHNICAL ASSISTANCE: \_\_\_\_\_

REGISTERED ARCHITECT HOURLY RATE COST NOT TO EXCEED: \$ \_\_\_\_\_

- III. As-Built original drawings (mylars/velms) and prints.

LUMP SUM COST NOT TO EXCEED:\$ \_\_\_\_\_

- IV. Identify permits and easements required for the project, and the time frame for the acquisition of the permits: \_\_\_\_\_

SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_



CURRENT WORKLOAD

NAME: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
TELEPHONE #: \_\_\_\_\_ SS #/IRS ID #: \_\_\_\_\_

- I. Describe the current workload of the OFFERER. List the specific projects for which the OFFERER is currently under contract, the personnel assigned to each contract, the architectural cost of each contract, the estimated or actual cost of construction of each project, and the anticipated date of completion of each contract.

FAMILIARITY WITH COMMUNITY

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TELEPHONE #: \_\_\_\_\_ SS #/IRS ID #: \_\_\_\_\_

- II. List previous projects undertaken by the OFFERER in the Community listed in this RFP. List the specific projects for which the OFFERER is currently under contract, the personnel assigned to each contract, the architectural cost of each contract, the estimated or actual cost of construction of each project, and the anticipated date of completion of each contract.

PAST PERFORMANCE

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TELEPHONE #: \_\_\_\_\_ SS #/IRS ID #: \_\_\_\_\_

- III. Describe OFFERER'S past performance with similar projects. Provide three references, a contact name, telephone number, and name of the project for which the OFFERER was under contract.

SECTION 3 STRATEGY

NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

TELEPHONE #: \_\_\_\_\_ SS #/IRS ID #: \_\_\_\_\_

- IV. For contracts in the amount of \$100,000.00 or more - Section 3 Strategy for meeting greatest extent feasible requirement to comply with the Section 3 training and employment preference, or contracting preference, or both, if applicable.

## Standard Form 330

&lt; PREVIOUS

NEXT &gt;

**ARCHITECT-ENGINEER QUALIFICATIONS**OMB No.: 9000-0157  
Expires: 12/31/2006

Public reporting burden for this collection of information is estimated to average a total of 29 hours per response (25 hours for Part I and 4 hours for Part II), including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (MVA), Regulatory and Federal Assistance Publications Division, GSA, Washington, DC 20405.

**PURPOSE**

Federal agencies use this form to obtain information from architect-engineer (A-E) firms about their professional qualifications. Federal agencies select firms for A-E contracts on the basis of professional qualifications as required by the Brooks A-E Act (40 U.S.C. 1101 - 1104) and Part 38 of the Federal Acquisition Regulation (FAR).

The Brooks A-E Act requires the public announcement of requirements for A-E services (with some exceptions provided by other statutes), and the selection of at least three of the most highly qualified firms based on demonstrated competence and professional qualifications according to specific criteria published in the announcement. The Act then requires the negotiation of a contract at a fair and reasonable price starting first with the most highly qualified firm.

The information used to evaluate firms is from this form and other sources, including performance evaluations, any additional data requested by the agency, and interviews with the most highly qualified firms and their references.

**GENERAL INSTRUCTIONS**

Part I presents the qualifications for a specific contract.

Part II presents the general qualifications of a firm or a specific branch office of a firm. Part II has two uses:

1. An A-E firm may submit Part II to the appropriate central, regional or local office of each Federal agency to be kept on file. A public announcement is not required for certain contracts, and agencies may use Part II as a basis for selecting at least three of the most highly qualified firms for discussions prior to requesting submission of Part I. Firms are encouraged to update Part II on file with agency offices, as appropriate, according to FAR Part 38. If a firm has branch offices, submit a separate Part II for each branch office seeking work.

2. Prepare a separate Part II for each firm that will be part of the team proposed for a specific contract and submitted with Part I. If a firm has branch offices, submit a separate Part II for each branch office that has a key role on the team.

**INDIVIDUAL AGENCY INSTRUCTIONS**

Individual agencies may supplement these instructions. For example, they may limit the number of projects or number of

pages submitted in Part I in response to a public announcement for a particular project. Carefully comply with any agency instructions when preparing and submitting this form. Be as concise as possible and provide only the information requested by the agency.

**DEFINITIONS**

**Architect-Engineer Services:** Defined in FAR 2.101.

**Branch Office:** A geographically distinct place of business or subsidiary office of a firm that has a key role on the team.

**Discipline:** Primary technical capabilities of key personnel, as evidenced by academic degree, professional registration, certification, and/or extensive experience.

**Firm:** Defined in FAR 38.102.

**Key Personnel:** Individuals who will have major contract responsibilities and/or provide unusual or unique expertise.

**SPECIFIC INSTRUCTIONS****Part I - Contract-Specific Qualifications****Section A. Contract Information.**

1. **Title and Location.** Enter the title and location of the contract for which this form is being submitted, exactly as shown in the public announcement or agency request.

2. **Public Notice Date.** Enter the posted date of the agency's notice on the Federal Business Opportunity website (FedBizOpps), other form of public announcement or agency request for this contract.

3. **Solicitation or Project Number.** Enter the agency's solicitation number and/or project number, if applicable, exactly as shown in the public announcement or agency request for this contract.

**Section B. Architect-Engineer Point of Contact.**

4-B. **Name, Title, Name of Firm, Telephone Number, Fax (Facsimile) Number and E-mail (Electronic Mail) Address.** Provide information for a representative of the prime contractor or joint venture that the agency can contact for additional information.

AUTHORIZED FOR LOCAL REPRODUCTION

STANDARD FORM 330 (8-2006) PAGE 1 OF INSTRUCTIONS  
Prescribed by GSA FAR (48 CFR) 53.235-2 (b)

## STANDARD FORM 330 (PAGE 2 OF INSTRUCTIONS)

### Section C. Proposed Team.

9-11. **Firm Name, Address, and Role in This Contract.** Provide the contractual relationship, name, full mailing address, and a brief description of the role of each firm that will be involved in performance of this contract. List the prime contractor or joint venture partners first. If a firm has branch offices, indicate each individual branch office that will have a key role on the team. The named subcontractors and outside associates or consultants must be used, and any change must be approved by the contracting officer. (See FAR Part 52 Clause "Subcontractors and Outside Associates and Consultants (Architect-Engineer Services).") Attach an additional sheet in the same format as Section C if needed.

### Section D. Organizational Chart of Proposed Team.

As an attachment after Section C, present an organizational chart of the proposed team showing the names and roles of all key personnel listed in Section E and the firm they are associated with as listed in Section C.

### Section E. Resumes of Key Personnel Proposed for This Contract.

Complete this section for each key person who will participate in the contract. Group by firm, with personnel of the prime contractor or joint venture partner firms first. The following blocks must be completed for each resume:

12. **Name.** Self-explanatory.

13. **Role in This Contract.** Self-explanatory.

14. **Years Experience.** Total years of relevant experience (block 14a), and years of relevant experience with current firm, but not necessarily the same branch office (block 14b).

15. **Firm Name and Location.** Name, city and state of the firm where the person currently works, which must correspond with one of the firms (or branch office of a firm, if appropriate) listed in Section C.

16. **Education.** Provide information on the highest relevant academic degree(s) received. Indicate the area(s) of specialization for each degree.

17. **Current Professional Registration.** Provide information on current relevant professional registration(s) in a State or possession of the United States, Puerto Rico, or the District of Columbia according to FAR Part 38.

18. **Other Professional Qualifications.** Provide information on any other professional qualifications relating to this contract, such as education, professional registration, publications, organizational memberships, certifications, training, awards, and foreign language capabilities.

19. **Relevant Projects.** Provide information on up to five projects in which the person had a significant role that demonstrates the person's capability relevant to her/his proposed role in this contract. These projects do not necessarily have to be any of the projects presented in Section F for the project team if the person was not involved in any of those projects or the person worked on other projects that were more relevant than the team projects in Section F. Use the check box provided to indicate if the project was performed with any office of the current firm. If any of the professional services or construction projects are not complete, leave Year Completed blank and indicate the status in Brief Description and Specific Role (block 13j).

### Section F. Example Projects Which Best Illustrate Proposed Team's Qualifications for This Contract.

Select projects where multiple team members worked together, if possible, that demonstrate the team's capability to perform work similar to that required for this contract. Complete one Section F for each project. Present ten projects, unless otherwise specified by the agency. Complete the following blocks for each project:

20. **Example Project Key Number.** Start with "1" for the first project and number consecutively.

21. **Title and Location.** Title and location of project or contract. For an indefinite delivery contract, the location is the geographic scope of the contract.

22. **Year Completed.** Enter the year completed of the professional services (such as planning, engineering study, design, or surveying), and/or the year completed of construction, if applicable. If any of the professional services or the construction projects are not complete, leave Year Completed blank and indicate the status in Brief Description of Project and Relevance to This Contract (block 24).

23a. **Project Owner.** Project owner or user, such as a government agency or installation, an institution, a corporation or private individual.

23b. **Point of Contact Name.** Provide name of a person associated with the project owner or the organization which contracted for the professional services, who is very familiar with the project and the firm's (or firms') performance.

23c. **Point of Contact Telephone Number** Self-explanatory.

24. **Brief Description of Project and Relevance to This Contract.** Indicate scope, size, cost, principal elements and special features of the project. Discuss the relevance of the example project to this contract. Enter any other information requested by the agency for each example project.

**STANDARD FORM 330 (PAGE 3 OF INSTRUCTIONS)**

25. Firms from Section C Involved with This Project. Indicate which firms (or branch offices, if appropriate) on the project team were involved in the example project, and their roles. List in the same order as Section C.

Section G. Key Personnel Participation in Example Projects.

This matrix is intended to graphically depict which key personnel identified in Section E worked on the example projects listed in Section F. Complete the following blocks (see example below).

26. and 27. Names of Key Personnel and Role in This Contract. List the names of the key personnel and their proposed roles in this contract in the same order as they appear in Section E.

28. Example Projects Listed in Section F. In the column under each project key number (see block 29) and for each key person, place an "X" under the project key number for participation in the same or similar role.

29. Example Projects Key. List the key numbers and titles of the example projects in the same order as they appear in Section F.

Section H. Additional Information.

30. Use this section to provide additional information specifically requested by the agency or to address selection criteria that are not covered by the information provided in Sections A-G.

Section I. Authorized Representative.

31. and 32. Signature of Authorized Representative and Date. An authorized representative of a joint venture or the prime contractor must sign and date the completed form. Signing attests that the information provided is current and factual, and that all firms on the proposed team agree to work on the project. Joint ventures selected for negotiations must make available a statement of participation by a principal of each member of the joint venture.

33. Name and Title. Self-explanatory.

**SAMPLE ENTRIES FOR SECTION G (MATRIX)**

26. NAMES OF KEY PERSONNEL (From Section E, Block 12)	27. ROLE IN THIS CONTRACT (From Section E, Block 13)	28. EXAMPLE PROJECTS LISTED IN SECTION F (Fill in "Example Projects Key" section below first, before completing table. Place "X" under project key number for participation in same or similar role.)									
		1	2	3	4	5	6	7	8	9	10
Jane A. Smith	Chief Architect	X		X							
Joseph B. Williams	Chief Mech. Engineer	X	X	X	X						
Terre C. Donovan	Chief Elec. Engineer	X	X		X						

**29. EXAMPLE PROJECTS KEY**

NO.	TITLE OF EXAMPLE PROJECT (FROM SECTION F)	NO.	TITLE OF EXAMPLE PROJECT (FROM SECTION F)
1	Federal Courthouse, Denver, CO	6	KYG Corporation Headquarters, Boston, MA
2	Justin J. Wilson Federal Building, Baton Rouge, LA	7	Founder's Museum, Newport RI

## STANDARD FORM 330 (PAGE 4 OF INSTRUCTIONS)

**Part II - General Qualifications**

See the "General Instructions" on page 1 for firms with branch offices. Prepare Part II for the specific branch office seeking work if the firm has branch offices.

1. Solicitation Number. If Part II is submitted for a specific contract, insert the agency's solicitation number and/or project number, if applicable, exactly as shown in the public announcement or agency request.

2a-2e. Firm (or Branch Office) Name and Address. Self-explanatory.

3. Year Established. Enter the year the firm (or branch office, if appropriate) was established under the current name.

4. DUNS Number. Insert the Data Universal Numbering System number issued by Dun and Bradstreet Information Services. Firms must have a DUNS number. See FAR Part 4.8.

5. Ownership.

a. Type. Enter the type of ownership or legal structure of the firm (sole proprietor, partnership, corporation, joint venture, etc.).

b. Small Business Status. Refer to the North American Industry Classification System (NAICS) code in the public announcement, and indicate if the firm is a small business according to the current size standard for that NAICS code (for example, Engineering Services (part of NAICS 541330), Architectural Services (NAICS 541310), Surveying and Mapping Services (NAICS 541370)). The small business categories and the internet website for the NAICS codes appear in FAR Part 19. Contact the requesting agency for any questions. Contact your local U.S. Small Business Administration office for any questions regarding Business Status.

6a-6c. Point of Contact. Provide this information for a representative of the firm that the agency can contact for additional information. The representative must be empowered to speak on contractual and policy matters.

7. Name of Firm. Enter the name of the firm if Part II is prepared for a branch office.

8a-8c. Former Firm Names. Indicate any other previous names for the firm (or branch office) during the last six years. Insert the year that the corporate name change was

effective and the associated DUNS Number. This information is used to review past performance on Federal contracts.

9. Employees by Discipline. Use the relevant disciplines and associated function codes shown at the end of these instructions and list in the same numerical order. After the listed disciplines, write in any additional disciplines and leave the function code blank. List no more than 20 disciplines. Group remaining employees under "Other Employees" in column b. Each person can be counted only once according to his/her primary function. If Part II is prepared for a firm (including all branch offices), enter the number of employees by discipline in column c(1). If Part II is prepared for a branch office, enter the number of employees by discipline in column c(2) and for the firm in column c(1).

10. Profile of Firm's Experience and Annual Average Revenue for Last 5 Years. Complete this block for the firm or branch office for which this Part II is prepared. Enter the experience categories which most accurately reflect the firm's technical capabilities and project experience. Use the relevant experience categories and associated profile codes shown at the end of these instructions, and list in the same numerical order. After the listed experience categories, write in any unlisted relevant project experience categories and leave the profile codes blank. For each type of experience, enter the appropriate revenue index number to reflect the professional services revenues received annually (averaged over the last 5 years) by the firm or branch office for performing that type of work. A particular project may be identified with one experience category or it may be broken into components, as best reflects the capabilities and types of work performed by the firm. However, do not double count the revenues received on a particular project.

11. Annual Average Professional Services Revenues of Firm for Last 3 Years. Complete this block for the firm or branch office for which this Part II is prepared. Enter the appropriate revenue index numbers to reflect the professional services revenues received annually (averaged over the last 3 years) by the firm or branch office. Indicate Federal work (performed directly for the Federal Government, either as the prime contractor or subcontractor), non-Federal work (all other domestic and foreign work, including Federally-assisted projects), and the total. If the firm has been in existence for less than 3 years, see the definition for "Annual Receipts" under FAR 19.101.

12. Authorized Representative. An authorized representative of the firm or branch office must sign and date the completed form. Signing attests that the information provided is current and factual. Provide the name and title of the authorized representative who signed the form.



## STANDARD FORM 330 (PAGE 5 OF INSTRUCTIONS)

## List of Disciplines (Function Codes)

Code	Description	Code	Description
01	Acoustical Engineer	32	Hydraulic Engineer
02	Administrative	33	Hydrographic Surveyor
03	Aerial Photographer	34	Hydrologist
04	Aeronautical Engineer	35	Industrial Engineer
05	Archeologist	36	Industrial Hygienist
06	Architect	37	Interior Designer
07	Biologist	38	Land Surveyor
08	CADD Technician	39	Landscape Architect
09	Cartographer	40	Materials Engineer
10	Chemical Engineer	41	Materials Handling Engineer
11	Chemist	42	Mechanical Engineer
12	Civil Engineer	43	Mining Engineer
13	Communications Engineer	44	Oceanographer
14	Computer Programmer	45	Photo Interpreter
15	Construction Inspector	46	Photogrammetrist
16	Construction Manager	47	Planner: Urban/Regional
17	Corrosion Engineer	48	Project Manager
18	Cost Engineer/Estimator	49	Remote Sensing Specialist
19	Ecologist	50	Risk Assessor
20	Economist	51	Safety/Occupational Health Engineer
21	Electrical Engineer	52	Sanitary Engineer
22	Electronics Engineer	53	Scheduler
23	Environmental Engineer	54	Security Specialist
24	Environmental Scientist	55	Soils Engineer
25	Fire Protection Engineer	56	Specifications Writer
26	Forensic Engineer	57	Structural Engineer
27	Foundation/Geotechnical Engineer	58	Technician/Analyst
28	Geodetic Surveyor	59	Toxicologist
29	Geographic Information System Specialist	60	Transportation Engineer
30	Geologist	61	Value Engineer
31	Health Facility Planner	62	Water Resources Engineer

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## STANDARD FORM 330 (PAGE 6 OF INSTRUCTIONS)

## List of Experience Categories (Profile Codes)

Code	Description	Code	Description
A01	Acoustics; Noise Abatement	E01	Ecological & Archeological Investigations
A02	Aerial Photography; Airborne Data and Imagery Collection and Analysis	E02	Educational Facilities; Classrooms
A03	Agricultural Development; Grain Storage; Farm Mechanization	E03	Electrical Studies and Design
A04	Air Pollution Control	E04	Electronics
A05	Airports; Navais; Airport Lighting; Aircraft Fueling	E05	Elevators; Escalators; People-Movers
A06	Airports; Terminals and Hangars; Freight Handling	E06	Embassies and Chanceries
A07	Arctic Facilities	E07	Energy Conservation; New Energy Sources
A08	Animal Facilities	E08	Engineering Economics
A09	Anti-Terrorism/Force Protection	E09	Environmental Impact Studies, Assessments or Statements
A10	Asbestos Abatement	E10	Environmental and Natural Resource Mapping
A11	Auditoriums & Theaters	E11	Environmental Planning
A12	Automation; Controls; Instrumentation	E12	Environmental Remediation
		E13	Environmental Testing and Analysis
B01	Barracks; Dormitories	F01	Fallout Shelters; Blast-Resistant Design
B02	Bridges	F02	Field Houses; Gyms; Stadiums
C01	Cartography	F03	Fire Protection
C02	Cemeteries ( <i>Planning &amp; Relocation</i> )	F04	Fisheries; Fish Ladders
C03	Charting: Nautical and Aeronautical	F05	Forensic Engineering
C04	Chemical Processing & Storage	F06	Forestry & Forest products
C05	Child Care/Development Facilities	G01	Garages; Vehicle Maintenance Facilities; Parking Decks
C06	Churches; Chapels	G02	Gas Systems (Propane; Natural, Etc.)
C07	Coastal Engineering	G03	Geodetic Surveying: Ground and Airborne
C08	Codes; Standards; Ordinances	G04	Geographic Information System Services: Development, Analysis, and Data Collection
C09	Cold Storage; Refrigeration and Fast Freeze	G05	Geospatial Data Conversion: Scanning, Digitizing, Compilation, Attributing, Scribing, Drafting
C10	Commercial Building ( <i>low rise</i> ); Shopping Centers	G06	Graphic Design
C11	Community Facilities	H01	Harbors; Jetties; Piers, Ship Terminal Facilities
C12	Communications Systems; TV; Microwave	H02	Hazardous Materials Handling and Storage
C13	Computer Facilities; Computer Service	H03	Hazardous, Toxic, Radioactive Waste Remediation
C14	Conservation and Resource Management	H04	Heating; Ventilating; Air Conditioning
C15	Construction Management	H05	Health Systems Planning
C16	Construction Surveying	H06	Highways; Air-Rights-Type Buildings
C17	Corrosion Control; Cathodic Protection; Electrolysis	H07	Highways; Streets; Airfield Paving; Parking Lots
C18	Cost Estimating; Cost Engineering and Analysis; Parametric Costing; Forecasting	H08	Historical Preservation
C19	Cryogenic Facilities	H09	Hospital & Medical Facilities
D01	Dams ( <i>Concrete; Arch</i> )	H10	Hotels; Motels
D02	Dams ( <i>Earth; Rock</i> ); Dikes; Levees	H11	Housing ( <i>Residential, Multi-Family; Apartments; Condominiums</i> )
D03	Desalination ( <i>Process &amp; Facilities</i> )	H12	Hydraulics & Pneumatics
D04	Design-Build - Preparation of Requests for Proposals	H13	Hydrographic Surveying
D05	Digital Elevation and Terrain Model Development		
D06	Digital Orthophotography		
D07	Dining Halls; Clubs; Restaurants		
D08	Dredging Studies and Design		

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## STANDARD FORM 330 (PAGE 7 OF INSTRUCTIONS)

## List of Experience Categories (Profile Codes)

Code	Description	Code	Description
I01	Industrial Buildings; Manufacturing Plants	P09	Product, Machine Equipment Design
I02	Industrial Processes; Quality Control	P10	Pneumatic Structures, Air-Support Buildings
I03	Industrial Waste Treatment	P11	Postal Facilities
I04	Intelligent Transportation Systems	P12	Power Generation, Transmission, Distribution
I05	Interior Design; Space Planning	P13	Public Safety Facilities
I06	Irrigation; Drainage		
J01	Judicial and Courtroom Facilities	R01	Radar; Sonar; Radio & Radar Telescopes
L01	Laboratories; Medical Research Facilities	R02	Radio Frequency Systems & Shieldings
L02	Land Surveying	R03	Railroad; Rapid Transit
L03	Landscape Architecture	R04	Recreation Facilities (Parks, Marinas, Etc.)
L04	Libraries; Museums; Galleries	R05	Refrigeration Plants/Systems
L05	Lighting (Interior; Display; Theater, Etc.)	R06	Rehabilitation (Buildings; Structures; Facilities)
L06	Lighting (Exterior; Streets; Memorials; Athletic Fields, Etc.)	R07	Remote Sensing
M01	Mapping Location/Addressing Systems	R08	Research Facilities
M02	Materials Handling Systems; Conveyors; Sorters	R09	Resource Recovery; Recycling
M03	Metallurgy	R10	Risk Analysis
M04	Microclimatology; Tropical Engineering	R11	Rivers; Canals; Waterways; Flood Control
M05	Military Design Standards	R12	Roofing
M06	Mining & Mineralogy	S01	Safety Engineering; Accident Studies; OSHA Studies
M07	Missile Facilities (Sites; Fuels; Transport)	S02	Security Systems; Intruder & Smoke Detection
M08	Modular Systems Design; Pre-Fabricated Structures or Components	S03	Seramic Designs & Studies
N01	Naval Architecture; Off-Shore Platforms	S04	Sewage Collection, Treatment and Disposal
N02	Navigation Structures; Locks	S05	Soils & Geologic Studies; Foundations
N03	Nuclear Facilities; Nuclear Shielding	S06	Solar Energy Utilization
O01	Office Buildings; Industrial Parks	S07	Solid Wastes; Incineration; Landfill
O02	Oceanographic Engineering	S08	Special Environments; Clean Rooms, Etc.
O03	Ordnance; Munitions; Special Weapons	S09	Structural Design; Special Structures
P01	Petroleum Exploration; Refining	S10	Surveying; Platting; Mapping; Flood Plain Studies
P02	Petroleum and Fuel (Storage and Distribution)	S11	Sustainable Design
P03	Photogrammetry	S12	Swimming Pools
P04	Pipelines (Cross-Country - Liquid & Gas)	S13	Storm Water Handling & Facilities
P05	Planning (Community, Regional, Areawide and State)	T01	Telephone Systems (Rural; Mobile; Intercom, Etc.)
P06	Planning (Site, Installation, and Project)	T02	Testing & Inspection Services
P07	Plumbing & Piping Design	T03	Traffic & Transportation Engineering
P08	Prisons & Correctional Facilities	T04	Topographic Surveying and Mapping
		T05	Towers (Self-Supporting & Guyed Systems)
		T06	Tunnels & Subways

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**STANDARD FORM 330 (PAGE 8 OF INSTRUCTIONS)**

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**List of Experience Categories (Profile Codes)**

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<b>Code</b>	<b>Description</b>
U01	Unexploded Ordnance Remediation
U02	Urban Renewals; Community Development
U03	Utilities (Gas and Steam)
V01	Value Analysis; Life-Cycle Costing
W01	Warehouses & Depots
W02	Water Resources; Hydrology; Ground Water
W03	Water Supply; Treatment and Distribution
W04	Wind Tunnels; Research/Testing Facilities Design
Z01	Zoning; Land Use Studies

STANDARD FORM 330 (PAGE 1)

ARCHITECT - ENGINEER QUALIFICATIONS

PART I - CONTRACT-SPECIFIC QUALIFICATIONS

A. CONTRACT INFORMATION

1. TITLE AND LOCATION (City and State)

2. PUBLIC NOTICE DATE

3. SOLICITATION OR PROJECT NUMBER

B. ARCHITECT-ENGINEER POINT OF CONTACT

4. NAME AND TITLE

5. NAME OF FIRM

6. TELEPHONE NUMBER

7. FAX NUMBER

8. E-MAIL ADDRESS

C. PROPOSED TEAM

(Complete this section for the prime contractor and all key subcontractors.)

	(Check)		9. FIRM NAME	10. ADDRESS	11. ROLE IN THIS CONTRACT
	PRIME CONTRACTOR	JOINT VENTURE PARTNER			
a.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> CHECK IF BRAND-OWNED		
b.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> CHECK IF BRAND-OWNED		
c.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> CHECK IF BRAND-OWNED		
d.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> CHECK IF BRAND-OWNED		
e.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> CHECK IF BRAND-OWNED		
f.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> CHECK IF BRAND-OWNED		

D. ORGANIZATIONAL CHART OF PROPOSED TEAM

(Attached)

**STANDARD FORM 330 (PAGE 2)**

**E. RESUMES OF KEY PERSONNEL PROPOSED FOR THIS CONTRACT**  
*(Complete one Section E for each key person.)*

<b>12. NAME</b>	<b>13. ROLE IN THIS CONTRACT</b>	<b>14. YEARS EXPERIENCE</b>	
		a. TOTAL	b. WITH CURRENT FIRM
<b>15. FIRM NAME AND LOCATION (City and State)</b>			
<b>16. EDUCATION (DEGREE AND SPECIALIZATION)</b>		<b>17. CURRENT PROFESSIONAL REGISTRATION (STATE AND DISCIPLINE)</b>	
<b>18. OTHER PROFESSIONAL QUALIFICATIONS (Publications, Organizations, Training, Awards, etc.)</b>			

**19. RELEVANT PROJECTS**

<b>a.</b>	<b>(1) TITLE AND LOCATION (City and State)</b>	<b>(2) YEAR COMPLETED</b>	
		PROFESSIONAL SERVICES	CONSTRUCTION (if applicable)
	<b>(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE</b>	<input type="checkbox"/> Check if project performed with current firm	
<b>b.</b>	<b>(1) TITLE AND LOCATION (City and State)</b>	<b>(2) YEAR COMPLETED</b>	
		PROFESSIONAL SERVICES	CONSTRUCTION (if applicable)
	<b>(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE</b>	<input type="checkbox"/> Check if project performed with current firm	
<b>c.</b>	<b>(1) TITLE AND LOCATION (City and State)</b>	<b>(2) YEAR COMPLETED</b>	
		PROFESSIONAL SERVICES	CONSTRUCTION (if applicable)
	<b>(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE</b>	<input type="checkbox"/> Check if project performed with current firm	
<b>d.</b>	<b>(1) TITLE AND LOCATION (City and State)</b>	<b>(2) YEAR COMPLETED</b>	
		PROFESSIONAL SERVICES	CONSTRUCTION (if applicable)
	<b>(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE</b>	<input type="checkbox"/> Check if project performed with current firm	
<b>e.</b>	<b>(1) TITLE AND LOCATION (City and State)</b>	<b>(2) YEAR COMPLETED</b>	
		PROFESSIONAL SERVICES	CONSTRUCTION (if applicable)
	<b>(3) BRIEF DESCRIPTION (Brief scope, size, cost, etc.) AND SPECIFIC ROLE</b>	<input type="checkbox"/> Check if project performed with current firm	

**STANDARD FORM 330 (PAGE 3)**

<p align="center"><b>F. EXAMPLE PROJECTS WHICH BEST ILLUSTRATE PROPOSED TEAM'S QUALIFICATIONS FOR THIS CONTRACT</b>  <i>(Present as many projects as requested by the agency, or 10 projects, if not specified. Complete one Section F for each project.)</i></p>	<p>20. EXAMPLE PROJECT KEY NUMBER</p>
---	---------------------------------------

<p>21. TITLE AND LOCATION (City and State)</p>	<p>22. YEAR COMPLETED</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">PROFESSIONAL SERVICES</td> <td style="width:50%;">CONSTRUCTION (if applicable)</td> </tr> </table>	PROFESSIONAL SERVICES	CONSTRUCTION (if applicable)
PROFESSIONAL SERVICES	CONSTRUCTION (if applicable)		

**23. PROJECT OWNER'S INFORMATION**

a. PROJECT OWNER	b. POINT OF CONTACT NAME	c. POINT OF CONTACT TELEPHONE NUMBER
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24. BRIEF DESCRIPTION OF PROJECT AND RELEVANCE TO THIS CONTRACT (include scope, size, and cost)

**25. FIRMS FROM SECTION C INVOLVED WITH THIS PROJECT**

(1) FIRM NAME	(2) FIRM LOCATION (City and State)	(3) ROLE
a.		
b.		
c.		
d.		
e.		
f.		

**STANDARD FORM 330 (PAGE 4)**

**G. KEY PERSONNEL PARTICIPATION IN EXAMPLE PROJECTS**

26. NAMES OF KEY PERSONNEL (From Section E, Block 12)	27. ROLE IN THIS CONTRACT (From Section E, Block 13)	28. EXAMPLE PROJECTS LISTED IN SECTION F (Fill in "Example Projects Key" section below before completing table. Place "X" under project key number for participation in same or similar role.)									
		1	2	3	4	5	6	7	8	9	10

**29. EXAMPLE PROJECTS KEY**

NO.	TITLE OF EXAMPLE PROJECT (FROM SECTION F)	NO.	TITLE OF EXAMPLE PROJECT (FROM SECTION F)
1		6	
2		7	
3		8	
4		9	
5		10	



**STANDARD FORM 330 (PAGE 5)**

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**H. ADDITIONAL INFORMATION**

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EG. PROVIDE ANY ADDITIONAL INFORMATION REQUESTED BY THE AGENCY. ATTACH ADDITIONAL SHEETS AS NEEDED.

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**I. AUTHORIZED REPRESENTATIVE**

The foregoing is a statement of facts.

21. SIGNATURE

22. DATE

23. NAME AND TITLE

---

STANDARD FORM 330 (5-2004) PAGE 5

**STANDARD FORM 330 (PAGE 6)**

<b>ARCHITECT-ENGINEER QUALIFICATIONS</b>			1. SOLICITATION NUMBER (If any)	
<b>PART II - GENERAL QUALIFICATIONS</b> (If a firm has branch offices, complete for each specific branch office seeking work.)				
2a. FIRM (OR BRANCH OFFICE) NAME		3. YEAR ESTABLISHED	4. DUNS NUMBER	
2b. STREET		5. OWNERSHIP		
2c. CITY		3d. STATE	3e. ZIP CODE	
5a. POINT OF CONTACT NAME AND TITLE		a. TYPE		
5b. PHONE NUMBER		b. SVA... BUSINESS STATUS		
5c. EMAIL ADDRESS		7. NAME OF FIRM (If block 2a is a branch office)		
8a. FORMER FIRM NAME(S) (If any)		8b. YR. ESTABLISHED	8c. DUNS NUMBER	

9. EMPLOYEES BY DISCIPLINE				10. PROFILE OF FIRM'S EXPERIENCE AND ANNUAL AVERAGE REVENUE FOR LAST 5 YEARS		
a. Functional Code	b. Discipline	c. No. of Employees		a. Profile Code	b. Experience	c. Revenue Index Number (see below)
		(1) FIRM	(2) BRANCH			
	Other Employees					
Total						

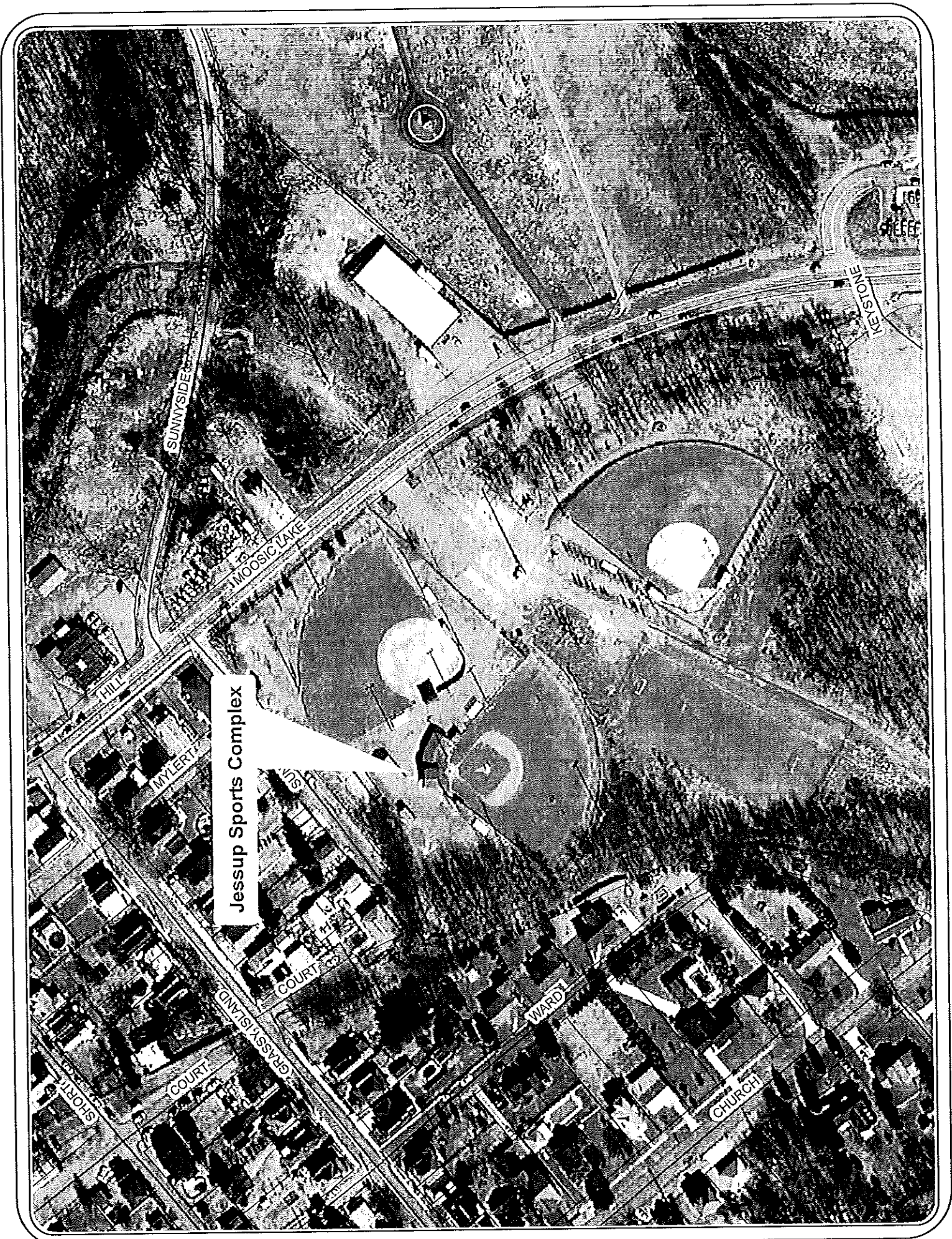
  

11. ANNUAL AVERAGE PROFESSIONAL SERVICES REVENUES OF FIRM FOR LAST 3 YEARS (Insert revenue index number shown at right)		PROFESSIONAL SERVICES REVENUE INDEX NUMBER			
a. Federal Work		1. Less than \$100,000	6. \$2 million to less than \$5 million		
b. Non-Federal Work		2. \$100,000 to less than \$250,000	7. \$5 million to less than \$10 million		
c. Total Work		3. \$250,000 to less than \$500,000	8. \$10 million to less than \$25 million		
		4. \$500,000 to less than \$1 million	9. \$25 million to less than \$50 million		
		5. \$1 million to less than \$2 million	10. \$50 million or greater		

12. AUTHORIZED REPRESENTATIVE The foregoing is a statement of facts.	
a. SIGNATURE	b. DATE
c. NAME AND TITLE	

AUTHORIZED FOR LOCAL REPRODUCTION STANDARD FORM 330 (5-2004) PAGE 6



Jessup Sports Complex

SUNNYSIDE

HILL

MYLERT

MOOSIC LAKE

GRASS ISLAND

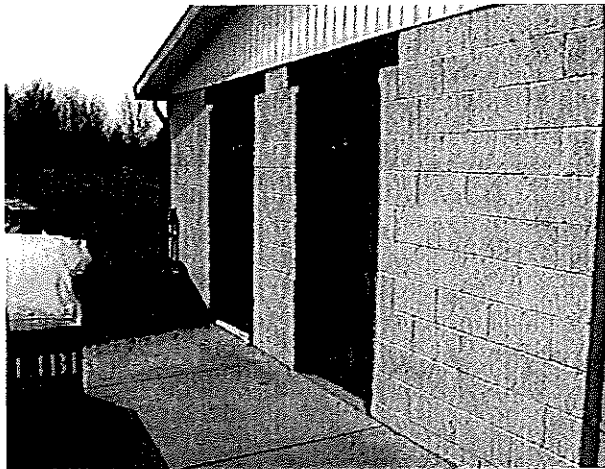
COURT

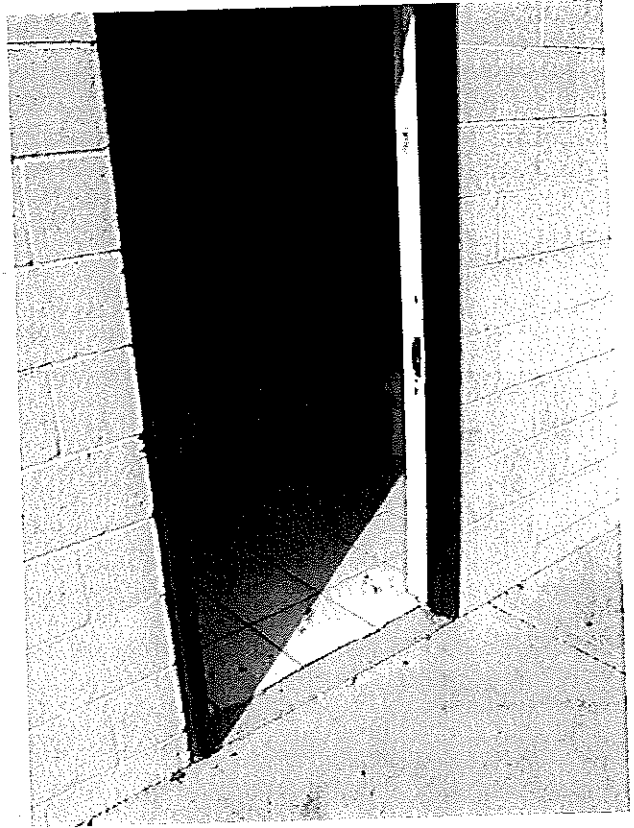
COURT

WARD

CHURCH

MOOSIC





## Engineer/Architect Work Summary

I. Construction Drawings - Shall be prepared with the primary objective of clearly and concisely describing the work to be done in order to achieve the proposed design. Legally these drawings, along with the specifications, stipulate the specific materials and services to be supplied for the contract price. Thus, these documents should accurately define the scope of the project and all standards of construction in terminology which laypersons (who approve projects) and contractors or craftsmen (who bid and build them) can readily understand. Consistent terminology would be used in relating work on drawings to specifications and cost estimates as well as in other bid documents such as agreements and advertisements.

A. Basic Site and Design Data - Must be provided of all information or investigation determined to be relevant to the project design and construction for the protection of the health and safety of the users.

B. Drawings - Must provide sufficient data for contractor to locate work to be accomplished; establish existing grades and construct finished grades; identify and protect areas not included in contract work and other information necessary to coordinate plans with work to be constructed and/or other accompanying documents and information necessary to comply with other agency reviews.

Drawings must incorporate sufficient data in plan, elevation, section materials and construction details for clarity to bidders and/or constructors and should present as completely as possible a graphic description of the project including details of dimension, materials and methods of construction in as legible a manner as possible. Information on drawings must be clearly coordinated with the specifications.

Drawings must show existing and proposed utilities and services such as water, sewage, storm water, electric, and gas including locations, sizes, depths, material, condition, rights-of-way or easements with conditions of same, as may be agreed with applicable officials.

C. Professional Registration Seal (PA Registration) - Of the designing landscape architect, architect, or engineer shall appear on each drawing sheet for all contract work.

II. Technical Specifications - Shall be prepared to establish detailed qualitative requirements for materials and workmanship. Specifications set requirements for strength, size and other physical qualifications, standards and methods of workmanship for construction or manufacture of products used, and guarantees of components and materials. Nomenclature in specifications should be consistent with drawings and cost estimate.

Guideline specifications have been prepared by the various design and planning professional societies and are flexible enough to be adapted to most projects.

- A. Specifications govern, normally, over drawing information in case of conflict. This point should be clearly stated in all construction contracts and the specification itself.
- B. Separate contract specifications for electrical work, plumbing work and mechanical work (heating or air conditioning) are to be prepared from those prepared for the general contract construction work for projects to be publicly bid. Landscape contract work may be separate or incorporated with the general contract. (See Section V C)
- C. Professional registration seals (PA Registration) of the designing landscape architect, architect or engineer shall appear on cover page of each specification for the separate contracts.

III. Detailed Cost Estimate - A cost estimate, itemized for each construction item. It shall be current and take into account timing and possible cost increases for proposed construction. Terminology and contents of cost estimate shall correspond with drawings and specifications. Lump sum contingency amounts are not eligible cost items.

Designer shall include statement of individual costs for professional services such as master site planning, preliminary or Grant Application site design, surveys, engineering services, construction document design and preparation, and construction supervision.

IV. Bidding Documents must be prepared by the Designer. It is the ultimate responsibility of the architect or engineer, however, to make certain that the plans and specifications meet local government ordinances and laws of the Commonwealth and the federal government.

Bidding documents for public contract work usually consist of the following:

- A. Advertisement or Invitation to Bid
- B. Instructions to Bidders
- C. Qualifications of Bidder's Statement
- D. Summary of Work to be Performed
- E. Bid Proposal Form - All Alternate and/or Unit Price Bid Items must be clearly stated and delineated on the Bid Proposal Form. In certain situations, ineligible work and costs may need to be stated on the Bid Proposal Form for accounting and auditing purposes.

- F. Contract Agreement - A written agreement between the successful bidder and the awarding party must be fully executed prior to starting construction. In all cases, all Contract Agreements shall clearly state the scope of work, contract amount, method of payment, starting and completion times, equal opportunity clauses, and any other special conditions unique to the completion of the contract or adherence to applicable State and Federal laws and regulations.
  - G. Bid Bonds (or Certified Checks, Banks Cashiers Check, or Treasurer's Check) are to be provided with the bid proposal to secure the bidders' financial responsibility.
  - H. The Public Works Contractor's Bond Law of 1967 requires that all construction contracts in excess of \$4,000 be accompanied by a Performance Bond and a Labor and Material Payment Bond, unless current municipal codes are more restrictive. Each bond must be in the amount of 100% of the contract award price. These bonds must be secured from an agency or firm approved by the Commonwealth's Department of Insurance to do business in Pennsylvania. No exceptions or substitutions of collateral are permitted for these bonds.
  - I. A Maintenance Bond to protect the municipality from faulty or defective work by the contractor is also required. The Bond should cover the period for two years following completion of the project and should be in an amount of at least 10% of the contract price.
  - J. Insurance Coverage shall be required of the contractor to include Workmen's Compensation, general liability, public liability and property damage, automobile liability, excess liability, sub-contractor's insurance, special hazards insurance, and other appropriate coverages applicable to the construction.
- V. Applicable Laws and Regulations - The following Federal and State laws and regulations impact on the preparation of the Part II Application and govern the advertising and awarding of contracts and construction of the project. Compliance with these laws and regulations is mandatory for all projects.
- A. Wage Rates - Pennsylvania prevailing wage rates are required if the total project cost is estimated to be in excess of twenty-five thousand dollars (\$25,000). If the applicant will be using federal funds as part of their local match, and the contract (s) or subcontract (s) exceed two thousand dollars (\$2,000), compliance with federal davis-bacon wage rates is required.
  - B. Nondiscrimination in Employment/Contract Compliance Regulations - All construction contracts and/or subcontracts awarded for the project must provide for compliance and adherence to applicable Contract Compliance Regulations for Nondiscrimination and Equal Employment Opportunity (see Part II - Terms and Conditions).



Where state and/or federal funds are used, all construction contracts and/or subcontracts must contain the Pennsylvania Human Relations Commission's Nondiscrimination Clause. This Clause shall be incorporated into the specifications for each contract and/or subcontract to be awarded.

- C. The Separation Act of 1913 (Act 104), as amended, mandates that contract documents for electrical work, plumbing work, heating and ventilating work shall be prepared in separated drawings and separate specifications from those prepared for the general construction and landscape work for all projects when the total cost of construction exceeds \$10,000. Separate bids shall be taken and contracts awarded separately in the same categories as described for preparation of documents. The Borough Code exempts Boroughs from this separation requirement.
- D. Federal Occupational Safety & Health Act of 1970 (O.S.H.A.) includes regulations to assure safe and healthy work conditions. Compliance includes specific records and reporting. Consultant shall incorporate in contract specifications the contractor's specific responsibility to comply with regulations of Act and to perform reporting and recording requirements. O.S.H.A. applies to all construction projects, however funded, and supercedes and local or state regulations related to safe and healthy work conditions.
- E. Pennsylvania Act 287 (December 10, 1974) requires, among other things that:
- (1) Each designer preparing a drawing requiring excavation or demolition in a site within a political subdivision to show upon the drawing the approximate location and type of each underground utility line or pipe.
  - (2) The name of the utility company and their office address and telephone number be designated on the drawing.
  - (3) Each contractor who intends to perform excavation or demolition work in a site within a political subdivision to ascertain the location and type of utility lines and pipes at each site and to notify the utility company (s) three working days in advance of performing the excavation or demolition.

VI. Addendums/Bulletins shall be issued to document and incorporate changes to the construction drawings and specifications during the advertising and bidding period. The Addendum or project Bulletin shall be issued to all bidding contractors so that each will receive the same information. Addendums/Bulletins become a legal part of the bidding documents. Signed return copies shall accompany all bid proposals. Oral information shall not be given to bidders on matters of such changes.

## PART II - TERMS AND CONDITIONS

1. Termination of Contract for Cause. If, through any cause, the CONTRACTOR shall fail to fulfill in timely and proper manner his obligations under this Contract, or if the CONTRACTOR shall violate any of the covenants, agreements, or stipulations of this Contract, the OWNER shall thereupon have the right to terminate this Contract by giving written notice to the CONTRACTOR of such termination and specifying the effective date thereof, at least five days before the effective date of such termination. In such event, all finished or unfinished documents, data, studies, surveys, drawings, maps, models, photographs and reports prepared by the CONTRACTOR under this Contract shall, at the option of the OWNER, become its property and the CONTRACTOR shall be entitled to receive just and equitable compensation for any work satisfactorily completed hereunder.

Notwithstanding the above, the CONTRACTOR shall not be relieved of liability to the OWNER for damages sustained by the OWNER by virtue of any breach of the Contract by the CONTRACTOR, and the OWNER may withhold any payments to the CONTRACTOR for the purpose of set-off until such time as the exact amount of damages due the OWNER from the CONTRACTOR is determined.

2. Termination for Convenience of the OWNER. The OWNER may terminate this Contract at any time by giving at least ten (10) days notice in writing to the CONTRACTOR. If the Contract is terminated by the OWNER as provided herein, the CONTRACTOR will be paid for the time provided and expenses incurred up to the termination date. If this Contract is terminated due to the fault of the CONTRACTOR, Paragraph 1 hereof relative to termination shall apply.
3. Changes. The OWNER may, from time to time, request changes in the scope of the services of the CONTRACTOR to be performed hereunder. Such changes, including any increase or decrease in the amount of the CONTRACTOR'S compensation, which are mutually agreed upon by and between the OWNER and the CONTRACTOR shall be incorporated in written amendments to this Contract.
4. Personnel.
  - a. The CONTRACTOR represents that he has, or will secure at his own expense, all personnel required in performing the services under this Contract. Such personnel shall not be employees of or have any contractual relationship with the OWNER.
  - b. All of the services required hereunder will be performed by the CONTRACTOR or under his supervision and all personnel

engaged in the work shall be fully qualified and shall be authorized or permitted under State and Local law to perform such services.

- c. None of the work or services covered by this Contract shall be subcontracted without the prior written approval of the OWNER. Any work or services subcontracted hereunder shall be specified by written contract or agreement and shall be subject to each provision of this Contract.
5. Assignability. The CONTRACTOR shall not assign any interest in this Contract, and shall not transfer any interest in the same (whether by assignment or novation) without the prior written consent of the OWNER. Provided, however, that claims for money by the CONTRACTOR from the OWNER under this Contract may be assigned to a bank, trust company, or other financial institution without such approval. Written notice of any such assignment or transfer shall be furnished promptly to the OWNER.
6. Reports and Information. The CONTRACTOR, at such times and in such forms as the OWNER may require, shall furnish the OWNER such periodic reports as it may request pertaining to the work or services undertaken pursuant to this Contract, the costs and obligations incurred or to be incurred in connection therewith, and any other matters covered by this Contract.
7. Records and Audits. The CONTRACTOR shall maintain accounts and records, including personnel, property, and financial records, adequate to identify and account for all costs pertaining to the Contract and such other records as may be deemed necessary by the OWNER to assure proper accounting for all project funds. These records will be made available for audit purposes to the OWNER, the Department of Community And Economic Development, or any of their duly authorized representatives, and will be retained for three years after the expiration of this Contract unless permission to destroy them is granted by the OWNER.
8. Confidentiality. All of the reports, information, data, etc., prepared or assembled by the CONTRACTOR under this Contract are confidential and the CONTRACTOR agrees that they shall not be made available to any individual or organization without the prior written approval of the OWNER.
9. Copyright. No report, maps, or other documents produced in whole or in part under this Contract shall be the subject of an application for copyright by or on behalf of the CONTRACTOR.
10. Compliance with Local Laws. The CONTRACTOR, shall give all notices and comply with all laws, ordinances, codes, rules, regulations, and lawful orders of any public OWNER, bearing upon the performance of the project, and shall commit no trespass on any public or private property in

performing any of the work embraced by this Contract. The CONTRACTOR must pay, at the CONTRACTOR'S own expense, any and all costs associated with the above stated compliance.

11. Equal Employment Opportunity. During the performance of this Contract, the CONTRACTOR agrees as follows:
  - a. The CONTRACTOR will not discriminate against any employee or applicant for employment because of race, religion, sex, color, national origin, handicap, or familial status. The CONTRACTOR will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, religion, sex, color, national origin, handicap, or familial status. Such action shall include, but not be limited to, the following: Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The CONTRACTOR agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the OWNER setting forth the provisions of this non-discrimination clause.
  - b. The CONTRACTOR will, in all solicitation or advertisements for employees placed by or on behalf of the CONTRACTOR, state that all qualified applicants will receive consideration for employment without regard to race, religion, color, national origin, handicap, or familial status.
  - c. The CONTRACTOR will send to each labor union or representative of workers with which he has a collective bargaining agreement or other Contract or understanding, a notice to be provided advising the said labor union or worker's representatives of the CONTRACTOR'S commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
  - d. The CONTRACTOR will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations and relevant orders of the Secretary of Labor.
  - e. The CONTRACTOR will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by the rules, regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the Department of Community And Economic Development and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

- f. In the event of the CONTRACTOR'S noncompliance with the nondiscrimination clauses of this Agreement or with any of such rules, regulations or orders, this Agreement may be canceled, terminated, or suspended in whole or in part and the CONTRACTOR may be declared ineligible for further Government contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- g. The CONTRACTOR will include the provisions of paragraphs (a) through (g) in every subcontract or purchase order unless exempted by rules, regulations or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The CONTRACTOR will take such action with respect to any subcontract or purchase order as the Department of Community And Economic Development may direct as a means of enforcing such provisions including sanctions for noncompliance: Provided, however, that in the event the CONTRACTOR becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Department of Community And Economic Development, the CONTRACTOR may request the United States to enter into such litigation to protect the interests of the United States.

12. Nondiscrimination Compliance.

- a. It shall be no defense to a finding of noncompliance with this nondiscrimination clause that the CONTRACTOR had delegated some of its employment practices to any union, training program, or other source of recruitment which prevents it from meeting its obligations. However, if the evidence indicates that the CONTRACTOR was not on notice of the third-party discrimination or made a good faith effort to correct it, such factor shall be considered in mitigation in determining appropriate sanctions.
- b. Where the practices of a union or any training program or other source of recruitment will result in the exclusion of minority group persons, so that the CONTRACTOR will be unable to meet its obligations under this nondiscrimination clause, the CONTRACTOR shall then employ and fill vacancies through other nondiscriminatory employment procedures.
- c. The CONTRACTOR shall comply with all state and federal laws prohibiting discrimination in hiring or employment opportunities. In the event of the CONTRACTOR'S noncompliance with the

nondiscrimination clause of this Contract or with any such laws, this Contract may be terminated or suspended, in whole or in part, and the CONTRACTOR may be declared temporarily ineligible for further Commonwealth contracts and other sanctions may be imposed and remedies invoked.

- d. The CONTRACTOR shall actively recruit minority and women subcontractors or subcontractors with substantial minority representation among their employees.
  - e. The CONTRACTOR obligations under this clause are limited to the CONTRACTOR'S facilities within Pennsylvania or, where the Contract is for purchase of goods manufactured outside of Pennsylvania, the facilities at which such goods are actually produced.
13. Title VI of the Civil Rights Act of 1964. No person shall, on the grounds of race, color, national origin, handicap, or familial status be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with Federal funds.
14. Section 109 of the Housing and Community Development Act of 1974. No person in the United States shall on the grounds of race, color, national origin, sex, handicap, or familial status be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under this Title.
15. "Section 3" Compliance in the Provision of Training, Employment and Business Opportunities (applicable to contracts over \$100,000.00). Every applicant, recipient, contracting party, contractor and subcontractor shall incorporate, or cause to be incorporated, in all contracts for work in connection with a Section 3 covered project, the following clause (referred to as a Section 3 clause):
- a. The work to be performed under this Contract is on a project assisted under a program providing direct Federal financial assistance from the Department of Community And Economic Development and is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u. Section 3 requires that to the greatest extent feasible opportunities for training and employment be given lower income residents of the project area and contracts for work in connection with the project be awarded to business concerns which are located in, or owned in substantial part by persons residing in the area of the project.

- b. The parties to the Contract will comply with the provisions of said Section 3 and the regulations issued pursuant thereto set forth in 24 CFR Part 135 and all other applicable rules and orders issued thereunder prior to the execution of this Contract. The parties to this Contract certify and agree that they are under no contractual or other disability which would prevent them from complying with these requirements.
  - c. The CONTRACTOR will send to each labor organization or representative of workers with which he has a collective bargaining agreement or other contract or understanding, if any, a notice advising the said labor organization or workers' representative of his commitments under this Section 3 clause and shall post copies of the notice in conspicuous places available to employees and applicants for employment or training.
  - d. The CONTRACTOR will include this Section 3 clause in every subcontract for work in connection with the project and will, at the direction of the applicant for or recipient of Federal financial assistance, take appropriate action pursuant to the subcontract upon a finding that the subcontractor is in violation of these regulations. The CONTRACTOR will not subcontract with any subcontractor where it has notice of knowledge that the latter has been found in violation of regulations under 24 CFR Part 135 and will not let any subcontract unless the subcontractor has first provided it with a preliminary statement of ability to comply with the requirements of these regulations.
  - e. Compliance with the provisions of Section 3, the regulations set forth in 24 CFR Part 135, shall be a condition of the federal financial assistance provided to the project, binding upon the applicant or recipient for such assistance, its successors and assigns. Failure to fulfill these requirements shall subject the applicant or recipient, its contractors and subcontractors, its successors and assigns to those sanctions specified by the grant or loan agreement or contract through which federal assistance is provided, and to such sanctions as are specified by 24 CFR Part 135.
16. Compliance with Air and Water Acts. This Agreement is subject to the requirements of the Clean Air Act, as amended, 42 U.S.C. 1857 et seq., the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq. and the regulations of the Environmental Protection Agency with respect thereto, at 40 CFR Part 15, as amended from time to time. The CONTRACTOR and any of its subcontractors for work funded under this Agreement, in excess of \$100,000 agree to the following requirements:
- a. A stipulation by the CONTRACTOR or subcontractors that any facility to be utilized in the performance of any non-exempt contract or subcontract is not listed on the List of Violating

Facilities issued by the Environmental Agency (EPA) pursuant to 40 CFR 15.20.

- b. Agreement by the CONTRACTOR to comply with all the requirements of Section 114 of the Clean Air Act, as amended, (42 U.S.C. 1857c-8) and Section 308 of the Federal Water Pollution Control Act, as amended, (33 U.S.C. 1318) relating to inspection, monitoring, entry, reports and information, as well as all other requirements specified in said Section 114 and Section 308, and all regulations and guidelines issued thereunder.
- c. A stipulation that as a condition for the award of the Contract prompt notice will be given of any notification received from the Director, Office of Federal Activities, EPA indicating that a facility utilized or to be utilized for the Contract is under consideration to be listed on the EPA List of Violating Facilities.
- d. Agreement by the CONTRACTOR that he will include or cause to be included the criteria and requirements in paragraph (a) through (d) of this section in every nonexempt subcontract and requiring that the CONTRACTOR will take such action as the Government may direct as a means of enforcing such provision.

In no event shall any amount of the assistance provided under this Agreement be utilized with respect to a facility which has given rise to a conviction under Section 113(c) (1) of the Clean Air Act or Section 309(c) of the Federal Water Pollution Control Act.

17. Interest of Certain Federal Officials. No member of or Delegate to the Congress of the United States and no Resident, Commissioner, shall be admitted to any share or part of this Contract or to any benefit to arise from the same.
18. Interest of Members, Officers, or Employees of OWNER, Member of Local Governing Body, or other Public Officials. No member, officer, or employee of the OWNER, or its designees or agents, no member of the governing body of the locality in which the program is situated, and no other public official of such locality or localities who exercises any functions or responsibilities with respect to the program during his tenure or for one year thereafter, shall have any interest, direct or indirect, in any contract or subcontract, or the proceeds thereof, for work to be performed in connection with the program assisted under the Contract.
19. Interest of Certain State Officials. No member or Representative to the Legislature of the Commonwealth of Pennsylvania, shall be admitted to any share or part of this Contract or to any benefit to arise from the same.
20. Age Discrimination Act of 1975. No person in the United States shall, on the basis of age, be excluded from participation in, or be denied the benefits



of, or be subjected to discrimination under, any program or activity receiving Federal financial assistance.

21. Section 504 of the Rehabilitation Act of 1973 - Affirmative Action for Handicapped Workers.

- a. The CONTRACTOR will not discriminate against any employee or applicant for employment because of physical or mental handicap in regard to any position for which the employee or applicant for employment is qualified. The CONTRACTOR agrees to take affirmative action to employ, advance in employment and otherwise treat qualified handicapped individuals without discrimination based upon their physical or mental handicap in all employment practices such as the following: Employment upgrading, demotion or transfer, recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.
- b. The CONTRACTOR agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the Act.
- c. In the event of the CONTRACTOR'S noncompliance with the requirements of this clause, actions for the noncompliance may be taken in accordance with the rules, regulations, and relevant orders of the Secretary of Labor issued pursuant to the Act.
- d. The CONTRACTOR agrees to post in conspicuous places, available to employees and applicants for employment, notices in a form to be prescribed by the Director, provided by or through the contracting officer. Such notices shall state the CONTRACTOR'S obligation under the law to take affirmative action to employ and advance in employment qualified handicapped employees and applicants for employment, and the rights of applicants and employees.
- e. The CONTRACTOR will notify each labor union or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the CONTRACTOR is bound by the terms of Section 503 of the Rehabilitation Act of 1973, and is committed to take affirmative action to employ and advance in employment physically and mentally handicapped individuals.
- f. The CONTRACTOR will include the provisions of this clause in every subcontract or purchase order of \$2,500 or more unless exempted by rules, regulations, or orders of the Secretary issued pursuant to Section 503 of the Act, so that such provisions will be binding upon each subcontractor or vendor. The CONTRACTOR will take such action with respect to any subcontract or purchase

order as the Director of the Office of Federal Contract Compliance Programs may direct to enforce such provisions, including action for noncompliance.

22. Pennsylvania Human Relations Act, as amended.

- a. The CONTRACTOR shall not discriminate against any employee, applicant for employment, independent contractor or any other person because of race, color, national origin, handicap, familial status, religious creed, ancestry, age, or sex.

The CONTRACTOR shall take affirmative action to ensure that applicants are employed, and that employees or agents are treated during employment, without regard to their race, color, national origin, handicap, familial status, religious creed, ancestry, age, or sex. Such affirmative action shall include but is not limited to the following: Employment, upgrading, demotion, or transfer; recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training.

The CONTRACTOR shall post in conspicuous places, available to employees, agents, applicants for employment, and other persons a notice to be provided by the OWNER setting forth the provisions of this nondiscrimination clause.

- b. The CONTRACTOR shall in advertisements or requests for employment placed by it or on its behalf state all qualified applicants will receive consideration for employment without regard to race, color, national origin, handicap, familial status, religious creed, ancestry, age, or sex.
- c. The CONTRACTOR shall send each labor union or workers' representative with which it has a collective bargaining agreement or other contract or understanding, a notice advising said labor union or workers' representative of its commitment to this nondiscrimination clause. Similar notice shall be sent to every other source of recruitment regularly utilized by the CONTRACTOR.
- d. It shall be no defense to a finding of noncompliance with the Contract Compliance Regulations issued by the Pennsylvania Human Relations Commission of this nondiscrimination clause that the CONTRACTOR had delegated some of its employment practices to any union, training program or other source of recruitment which prevents it from meeting its obligations. However, if the evidence indicates that the CONTRACTOR was not on notice of the third-party discrimination or made a good faith effort to correct it, such factor shall be considered in mitigation in determining appropriate sanctions.

- e. Where the practices of a union or of any training program or other source of recruitment will result in the exclusion of minority group persons, so that the CONTRACTOR will be unable to meet its obligations under the Contract Compliance Regulations issued by the Pennsylvania Human Commission, or this nondiscrimination clause, the CONTRACTOR shall then employ and fill vacancies through other nondiscriminatory employment procedures.
- f. The CONTRACTOR shall comply with the Contract Compliance Regulations of the Pennsylvania Human Relations Commission, 16 PA Code Chapter 49 and with all laws prohibiting discrimination in hiring or employment opportunities. In the event of the CONTRACTOR'S noncompliance with the nondiscrimination clause of this Contract or with any such laws, this Contract may, after hearing and adjudication, be terminated or suspended, in whole or in part, and the CONTRACTOR may be declared temporarily ineligible for further Commonwealth contracts, and such other sanctions may be imposed and remedies invoked as provided by the Contract Compliance Regulations.
- g. The CONTRACTOR shall furnish all necessary employment documents and records to, and permit access to its books, records and accounts by, the OWNER and the Human Relations Commission, for purposes of investigation to ascertain compliance with the provisions of the Contract Compliance Regulations, pursuant to 949.35 of these Regulations. If the CONTRACTOR does not possess documents or records reflecting the necessary information requested, it shall furnish such information on reporting forms supplied by the OWNER or the Commission.
- h. The CONTRACTOR shall actively recruit minority subcontractors or subcontractors with substantial minority representation among their employees.
- i. The CONTRACTOR shall include the provisions of this nondiscrimination clause in every subcontract, so that provisions will be binding upon each subcontractor.
- j. The terms used in this nondiscrimination clause shall have the same meaning as in the Contract Compliance Regulations issued by the Pennsylvania Human Relations Commission, 16 PA Code Ch. 49.
- k. The CONTRACTOR'S obligations under this clause are limited to the CONTRACTOR'S facilities within Pennsylvania, or where the Contract is for purchase of goods manufactured outside of Pennsylvania, the facilities at which such goods are actually produced.

23. Sections 104 and 110 of the Housing and Community Development Act of 1974, as amended.
24. Section 3 of the Intergovernmental Cooperation Act of 1968.
25. Executive Orders 11063, 11246, 11625, and 12138 as amended.
26. Federal Management Circulars A-87, A-110, and A-122.
27. OMB Circular A-128.
28. 24 CFR Part 85 P.I.3 570.502 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments).
29. Title VIII of the Civil Rights Act of 1968, as amended.
30. Architectural Barriers Act of 1968, P.L. 90-480, as amended.
31. Hatch Act.
32. 24 CFR Part 39, Cost Effective Energy Conservation Standards.
33. Section 6002 of the Resources Conservation and Recovery Act of 1976, P.L. 94-580, as amended and regulations at 40 CFR Part 249.
34. Prohibition Against Payments of Bonus or Commission. The assistance provided under this Contract shall not be used in the payment of any bonus or commission for the purpose of obtaining DCED approval of the application for such assistance, or DCED approval of applications for additional assistance, or any other approval or concurrence of DCED required under this Contract, Title 1 of the Housing and Community Development Act of 1974 as amended or DCED regulations with respect thereto; provided, however, that reasonable fees or bona fide technical, consultant, managerial or other such services, other than actual solicitation, are not hereby prohibited if otherwise eligible as program costs.
35. Interest of CONTRACTOR. The CONTRACTOR covenants that it presently has no interest and shall not acquire any interest direct or indirect which would conflict in any manner or degree with the performance of its services hereunder. The CONTRACTOR further covenants, that in the performance of this Agreement, it will not knowingly employ any person having any such interest.
36. Nonwaiver of Remedies. No provision of this Contract shall be construed in any manner so as to create any rights in third parties not party to this Contract. It shall be interpreted solely to define specific duties and responsibilities between the OWNER and the CONTRACTOR, and shall

not provide any basis for claims of any other individual, partnership, corporation, organization, or municipal entity.

37. Construction. This Contract shall be interpreted and construed in accordance with, federal law where applicable, and with the laws of the Commonwealth. All of the terms and conditions of this Contract are expressly intended to be construed as covenants as well as conditions. The titles of the §§ and Subsection herein have been inserted as a matter of convenience and reference only and shall not control or affect the meaning or construction of any of the terms or provisions herein.
38. Defective Work. If the CONTRACTOR fails to correct defective work on the project or consistently fails to carry out the work in accordance with the Contract, the OWNER, by written order, may order the CONTRACTOR to stop the work or any portion thereof until the causes have been eliminated. If the CONTRACTOR neglects to carry out the work in accordance with the Contract, or if the CONTRACTOR fails to correct the defects within Seven (7) days after receipt of written notice, the OWNER may correct the deficiency at the expense of the CONTRACTOR.
39. Patent Rights. Whenever any invention, improvement or discovery is made or conceived or for the first time actually or constructively reduced to practice by the CONTRACTOR, or its employees, in the course of, in connection with, or under the terms of this Contract, the CONTRACTOR shall immediately give the OWNER written notice thereof and shall promptly thereafter furnish the OWNER with complete information thereon. DCED shall have the sole and exclusive power to determine whether or not and where a patent application shall be filed, and to determine the disposition improvement or discovery, including title to and rights under any patent application or patent that may issue thereon. The determination of DCED on all of these matters shall be accepted as final. The CONTRACTOR warrants that all of its employees who may be the inventors will execute all documents and do all things necessary or proper to the effectuation of such determination. Except as otherwise authorized in writing by the OWNER, the CONTRACTOR shall obtain patent agreements to effectuate the provisions of this Article from all persons who perform any part of the work under this Contract, except such clerical and manual labor personnel as will have no access to technical data. If the OWNER obtains patent rights, the CONTRACTOR shall be offered license rights thereto on terms at least as favorable as those offered to any firm.
40. Hold Harmless. The CONTRACTOR shall hold the OWNER harmless from and indemnify the OWNER against, any and all claims, demands, and actions based on or arising out of any activities performed by the CONTRACTOR, and its employees and agents, under this Contract in a manner which is contrary to the direction of the OWNER and shall defend any and all actions brought against the OWNER based upon any such claims or demands. It is understood and agreed that the

CONTRACTOR'S standard liability insurance policies shall protect, or shall be endorsed to protect the OWNER from claims of bodily injury and of property damage arising out of any services performed by the CONTRACTOR or its employees or agents under the Contract including business and non-business invitees and their property and all other property sustaining damage as direct or indirect result of the execution of this project when validly present on CONTRACTOR'S premises whether or not actually engaged in the project at the time the claim inures. Such policies shall not include any provision limiting existing sovereign immunity of the OWNER or of its agents or employees. Upon request the CONTRACTOR shall furnish proof of insurance as required by this paragraph to the OWNER.

41. Publications. Any publication concerning a project financed by federal funds received under a grant administered by the OWNER will acknowledge Commonwealth of Pennsylvania grant administration as follows: "This Project was financed (in part) by a grant from the U.S. Department of Housing and Urban Development, under the Administration of the Commonwealth of Pennsylvania, Department of Community And Economic Development".
42. Arbitration. All claims, disputes, and other matters in question between the CONTRACTOR and the OWNER, arising out of or relating to this Contract or any of the documents incorporated herein, shall be interpreted by arbitration in accordance with the Construction Industry Arbitration Rules of the American Arbitration Association. Unless otherwise agreed in writing, the CONTRACTOR shall carry on the work on the project and maintain its progress during any arbitration proceedings.
43. Liens. The CONTRACTOR specifically waives any right to file or claim any Mechanic's or Materialmen's liens, and agrees to execute, simultaneously herewith, and cause to be filed in the records of the Clerk Of Judicial Records of Lackawanna County, A Stipulation Against Liens, which shall be binding upon the CONTRACTOR, his suppliers, and any Sub-Contractors engaged by the CONTRACTOR.
44. Bankruptcy. In the event that the CONTRACTOR becomes party to a bankruptcy proceeding, or if a receiver is appointed, on account of the insolvency of the CONTRACTOR, then this Contract may be terminated by the OWNER without liability, except for the agreed upon prices for the amounts of work actually completed to the time that such proceeding is commenced.
45. Assignment. This Agreement shall be governed by the laws of the Commonwealth of Pennsylvania and shall inure to the benefit of and bind the parties hereto, their successors, personal representatives, and assigns. Neither party shall assign this Contract without the written consent of the other, which consent shall be unreasonably withheld.

46. Severability. Should any section or any part of any section of this Contract be rendered void, invalid or unenforceable by any court of law, for any reason, such a determination shall not render void, invalid or unenforceable any other section or part of any section of this Contract.
  
47. Entire Agreement. The Contract, when signed by all of the parties hereto, constitutes the full and complete understanding and agreement of all parties and may not be any manner interpreted or fulfilled in contradictions of its express terms and provided above.