

State of California – Natural Resources Agency  
DEPARTMENT OF PARKS AND RECREATION  
DIVISION OF BOATING AND WATERWAYS  
**GRANT AGREEMENT - CERTIFICATE OF FUNDING**

**GRANTEE:** City of Stockton

**GRANT TITLE:** SURRENDERED AND ABANDONED VESSEL EXCHANGE (SAVE)

**GRANT AMOUNT:** \$67,500.00

**GRANT NUMBER:** C17S0621

**GRANT TERM:** Effective: Date Fully Executed\* through March 1, 2019

**FULLY EXECUTED:** To be advised

The Grantee agrees to the terms and conditions of this contract, hereinafter referred to as Agreement, and the State of California, acting through its Director of the Department of Parks and Recreation, and pursuant to the State of California agrees to fund the total State grant amount indicated below. The GRANTEE agrees to complete the SCOPE OF WORK as defined in the Agreement.

The General and Special Provisions attached are made a part of and incorporated into the Agreement.

|  |   |
|--|---|
| Grantee: City of Stockton<br><br><br><br><br><br><br>Address: 425 N El Dorado St,<br>Stockton, CA 95202<br><br><br>Authorized Signature:<br><br><br>Printed Name:<br>Title of Authorized<br>Representative:<br>Date: | Agency: Department of Parks and Recreation<br>Division of Boating and Waterways<br><br>ATTN: Ron Kent<br><br>Address: One Capitol Mall, Suite 500<br>Sacramento, CA 95814<br><br><br>Authorized Signature:<br><br><br>Printed Name: Ramona Fernandez<br>Title: Chief of Operations<br><br>Date: |
|--|---|

**CERTIFICATE OF FUNDING  
(FOR STATE USE ONLY)**

**GRANTEE:** City of Stockton

**GRANT TITLE:** FY 2017/18 Surrendered and Abandoned Vessel Exchange (SAVE)

**GRANT AMOUNT:** \$67,500.00

**GRANT NUMBER:** C17S0621

**GRANT TERM:** Effective: Date Fully Executed\* through March 1, 2019

**FULLY EXECUTED:** To be advised

|   |   |                                 |                                  |                              |
|---|---|---------------------------------|----------------------------------|------------------------------|
| CONTRACT NO<br>C17S0621                                 | AMENDMENT NO  | CALSTARS VENDOR NO<br>946000436 |                                  | PROJECT NO                   |
| AMOUNT<br>ENCUMBERED BY<br>THIS DOCUMENT<br>\$67,500.00 | FUND TITLE<br>Abandoned Watercraft Abatement Fund 0577  |                                 | AGENCY BILLING CODE NO<br>053706 |                              |
| PRIOR AMOUNT<br>ENCUMBERED BY<br>THIS DOCUMENT<br>\$0   | ITEM<br>3790-101-0577   | CHAPTER<br>14                   | STATUTE<br>2017                  | FISCAL YEAR<br>2017/18       |
| TOTAL AMOUNT<br>ENCUMBERED TO<br>DATE<br>\$67,500.00    | INDEX<br>1706   | OBJECT CODE<br>702              | PCA CODE<br>69008                | PROJECT/WORK<br>PHASE<br>N/A |
| T.B.A. NO   | I hereby certify upon my own personal knowledge that the budgeted funds are available for this encumbrance. |                                 |                                  |                              |
| B.R.NO<br>77-1  | ACCOUNTING OFFICER'S SIGNATURE  |                                 | DATE                             |                              |

**STATE OF CALIFORNIA**

Department of Parks and Recreation, Division of Boating and Waterways  
 One Capitol Mall, Suite 500  
 Sacramento, CA 95814

**EXHIBIT A****SURRENDERED AND ABANDONED VESSELS EXCHANGE (SAVE)****FISCAL YEAR 2017/18****SCOPE OF WORK**

Grantee agrees to provide to the Division of Boating and Waterways (DBW) as described herein:

See Grant Application: Letter of Intent, Scope of Work and Work Plan of Exhibit G.

The services shall be performed in the jurisdiction of: City of Stockton

|   |   |
|---|---|
| State Agency:<br>Division of Boating and Waterways              | Grantee (Agency Name):<br>City of Stockton            |
| Name: Ron Kent  | Grantee Representative*: Almarosa Vargas              |
| Title: Program Administrator                                    | Title: Administrative Analyst                         |
| Address:<br>One Capitol Mall, Suite 500<br>Sacramento, CA 95814 | Address:<br>425 N El Dorado St,<br>Stockton, CA 95202 |
| Phone: (916) 327-1825   | Phone: (209) 937-8952                                 |
| Fax:  | Fax: (209) 937-8962                                   |
| Email: ron.kent@parks.ca.gov                                    | Email: almarosa.vargas@stocktonca.gov                 |

\* Grantee representative information may only be changed by giving 30 days written notice to DBW.

## EXHIBIT B

**Surrendered and Abandoned Vessels Exchange (SAVE) Grant Program****1. NEEDS AND OBJECTIVES OF DBW**

- a. Pursuant to its authority under Harbors and Navigation Code section 525, the Division of Boating and Waterways (DBW) wishes to contract with Grantee for the removal and disposal of abandoned, wrecked or dismantled vessels, or parts thereof, or any other partially submerged objects (hereinafter “eligible water hazards”) which pose a substantial hazard to navigation within Grantee’s jurisdiction as listed on the Questionnaire, found in Exhibit A.
- b. Pursuant to its authority under Harbors and Navigation Code Section 525, the Division of Boating and Waterways (DBW) wishes to contract with Grantee for the removal and disposal of surrendered vessels, or parts thereof, which are in danger of being abandoned and has a likelihood of causing environmental degradation or becoming a hazard to navigation within Grantee’s jurisdiction as specified according to the Grantee’s Work Plan, found in Exhibit A.

**2. WATER HAZARDS ELIGIBLE FOR REMOVAL AND DISPOSAL**

The funds provided under this Agreement shall be used for the combined purposes of Surrendered and Abandoned Vessels Exchange (SAVE) as follows:

- a. **Abatement, removal, storage and/or disposal of eligible water hazards.** For purposes of this Agreement, “abandoned” is defined in Harbors and Navigation Code section 522(a):
 

“Any hulk, derelict, wreck, or parts of any ship, vessel, or other watercraft sunk, beached, or allowed to remain in an unseaworthy or dilapidated condition upon publicly owned submerged lands, salt marsh, or tidelands within the corporate limits of any municipal corporation or other public corporation or entity having jurisdiction or control over those lands, without its consent expressed by resolution of its legislative body, for a period longer than 30 days without a watchman or other person being maintained upon or near and in charge of the property, is abandoned property”.

Harbors and Navigation Code, Section 525 (1)(A):

“...the Abandoned Watercraft Abatement Fund, which is hereby created as a special fund. Moneys in the fund shall be used exclusively, upon appropriation by the Legislature, for grants to be awarded by the department to local agencies for the abatement, removal, storage, and disposal as public nuisances of any abandoned property as described in Section 522 or for the disposal of surrendered vessels as defined in Section 526.1, wrecked or dismantled vessels, or parts thereof, or any other partially submerged objects that pose a substantial hazard to navigation, from navigable waterways or adjacent public property or private property with the landowner’s consent.
- b. The funds provided under this Agreement shall not be utilized for abatement, removal, storage, or disposal of commercial vessels. Commercial vessels include those vessels for which the most recent registration or documentation was commercial, even though that registration or documentation may have lapsed.
- c. If Grantee is reimbursed for the costs related to the abatement, removal, storage, and/or disposal of an eligible water hazard by the registered or legal owner or other

person or entity known to have an interest in the water hazard, then the water hazard shall no longer be eligible for funding under this Agreement. Grantee shall notify DBW in writing of such reimbursement and shall return all funds disbursed by DBW to Grantee with respect to such water hazard immediately.

- d. **Abatement, removal, storage and disposal of eligible surrendered vessels.** For purposes of this Agreement, “surrendered” is defined in Harbors and Navigation Code section 526.1(a):
- e. “‘surrendered vessel’ means a recreational vessel that the verified titleholder has willingly surrendered to a willing agency under both of the following conditions:
  - (1) The public agency has determined in its sole discretion that the vessel is in danger of being abandoned, and therefore has a likelihood of causing environmental degradation or becoming a hazard to navigation.
  - (2) The decision to accept a vessel is based solely on the potential of the vessel to likely be abandoned and cause environmental degradation or become a hazard to navigation.”
- f. The funds provided under this Agreement shall not be utilized for surrender, abatement, removal, storage, or disposal of commercial vessels. Commercial vessels include those vessels for which the most recent registration or documentation was commercial, even though that registration or documentation may have lapsed.
- g. If Grantee is reimbursed for the costs related to the removal, storage, and/or disposal of a surrendered vessel by the registered or legal owner or other person or entity known to have an interest in the vessel, then the vessel shall no longer be eligible for funding under this Agreement. Grantee shall notify DBW in writing of such reimbursement and shall return all funds disbursed by DBW to Grantee with respect to such vessel immediately.

### **3. RIGHT OF INSPECTION**

Grantee shall allow DBW and other state agency representatives, at any reasonable time, to inspect any site where Grantee or its subcontractors are performing work under this Agreement.

### **4. ANNUAL MEETING**

Grantee’s representative or alternate shall participate in an annual one-day video or phone conference conducted by DBW during the term of this agreement. Should the Grantee or representative be unable to attend the meeting and cannot provide a substitute from the agency, the Grantee must forward a letter to DBW stating the reason why they cannot attend. DBW must grant approval in writing in order for the Grantee not to be in breach of this Agreement for failure to attend.

### **5. ACTIVITY/NON ACTIVITY: REPORTING REQUIREMENTS**

- a. Grantee shall provide quarterly reports to DBW describing the status of existing issues known, pending, or in progress.
- b. Lack of quarterly reporting and/or removal activity within any twelve month period during the term of this agreement is subject to possible revocation of grant.

**6. OVERLAPPING ANNUAL GRANT AWARDS**

A minimum of fifty percent (50%) of an existing SAVE grant must be utilized and reported for reimbursement to DBW by the new grant application deadline to qualify for a new fiscal year grant. Only one overlapping grant per fiscal year will be allowed.

**7. HAZARDOUS MATERIALS**

Grantee shall be responsible for securing any necessary or prudent studies, permits, or authorizations associated with treatment, removal, storage, or any other handling of hazardous substances including, but not limited to, toxic waste, petroleum waste, asbestos, and similar substances, prior to the removal of any vessel and water hazard pursuant to this Agreement.

Grantee shall be responsible for the proper and lawful handling, abatement, removal, storage, and/or disposal of any hazardous substances encountered in the execution of this Agreement.

**8. TITLES AND LIENS**

- a. **Abandoned vessels:** Grantee shall comply with all relevant provisions of the Harbors and Navigation Code regarding notices, hearings and liens in the performance of this Agreement. Grantee (in conjunction with local law enforcement) shall conduct a title search for all vessels presumed to be abandoned, as provided by Harbors and Navigation Code section 526.
- b. **Surrendered vessels:** Grantee shall comply with all relevant provisions of Harbors and Navigation Code section 526.1 in the performance of this Agreement, requiring that a surrendered vessel be that of the "verified titleholder."

**9. MEDIA**

Grantee agrees to acknowledge DBW's financial support whenever work funded by this Agreement is publicized in any news media, brochures, or other type of promotional material.

**10. MEDIA MATERIALS RELEASE**

Grantee agrees to irrevocably grant to California State Parks, Division of Boating and Waterways, its employees, officers, agents, and assigns (hereinafter referred to as "DBW"), the non-exclusive, royalty-free, perpetual and worldwide right and permission to use, reproduce, publish, copy, distribute, alter, license, adapt, and display the photographs, motion pictures, caption information, and/or written quotes (hereinafter referred to collectively as "Photographs"), that the Grantee has submitted to DBW for art, editorial, advertising, marketing, trade, broadcast, print, educational programs, or any other lawful purpose whatsoever, in any and all media. In connection with the foregoing license, the Grantee agrees not to use, reproduce, adapt, or display the Photographs, or allow others to do so, in a manner that tends to subject DBW or its AWAFF, VTIP and/or SAVE programs to ridicule, disparagement, mockery, satire, or that could tarnish the image of the DBW's AWAFF, VTIP, and/or SAVE programs. Grantee hereby releases and discharges DBW from any and all claims and demands arising out of or in connection with the use of the Photographs, including without limitations, any and all claims for libel, defamation, invasion of privacy, and/or publicity rights. DBW assumes no responsibility for lost or damaged Photographs or for the use of same. DBW may sell, assign, license, or transfer all rights granted to it hereunder.

Grantee also grants DBW and its licensees the unrestricted right to use and disclose its

name in connection with use of the Photographs. The Grantee understands that it will not be paid for any use or right granted herein.

The Grantee understands and agrees that the Photographs may be used in whole or in part, at any time. The license granted herein to DBW includes the right and permission to conduct or have conducted such alterations to the Photographs as DBW deems necessary. Grantee releases and discharges DBW and agrees to indemnify and hold DBW harmless from any liability by virtue of any blurring, distortion, alteration, optical illusion or use in composite form, loss or damage, whether intentional or otherwise, that may occur in the use of the Photographs. The Grantee waives any right to inspect or approve any finished product, advertising or other copy that may be used in connection therewith or the use to which it may be applied.

The Grantee declares and avows that the Photographs it is submitting to DBW are its own original work in all respects. The Grantee is the sole and exclusive owner of the Photographs; they are free, clear, and unencumbered. No part of them is taken from or based on any other work; no part infringes the copyright or any other right of any person; and the reproduction, publication, exhibition, or any other use by DBW of the Photographs in any form whatever will not in any way, directly or indirectly, infringe on the rights of any person. The Grantee agrees to indemnify and hold DBW harmless from and against any and all loss, damage, costs, charges, legal fees, recoveries, judgments, amounts paid in settlement, penalties, and expenses that may be obtained against, imposed on, or suffered by DBW by reason of (1) any violation or infringement of any proprietary right or copyright; or (2) any libelous or unlawful matter contained in the Photographs. Grantee also agrees to indemnify and hold DBW harmless for any such amounts arising from its breach of any covenant, representation, or warranty of this agreement.

**11. PERMITS AND DOCUMENTATION**

Prior to the removal of any abandoned vessel, eligible water hazard, or surrendered vessel, the Grantee shall obtain all necessary permits, authorizations, and documentation necessitated by any applicable provision of law.

**12. SECURING OF BIDS**

Grantee shall comply with any applicable laws and regulations governing the competitive bidding process when awarding subcontracts to marine salvage companies under this Agreement.

**13. SUBCONTRACTORS**

Grantee agrees that it shall guarantee and shall be responsible for ensuring that any and all of its contractors and subcontractors holds a valid business license and carries general commercial liability insurance coverage sufficient to fully insure against any and all risks of hazardous activities associated with the work to be performed under this Agreement; and Grantee agrees that if any of Grantee's contractors or subcontractors fail to fulfill any of these requirements, that Grantee itself carries general commercial liability insurance coverage sufficient to fully insure against any and all risks of hazardous activities associated with the work to be performed under this Agreement, whether performed by the Grantee, Grantee's contractor(s), or Grantee's subcontractor(s). Grantee shall provide DBW with a certificate of insurance from any contractor(s) and subcontractor(s) prior to the commencement of any work under this Agreement.

**14. TRAFFIC CONTROL AND TRAFFIC SAFETY**

The Grantee shall provide for adequate traffic control and safety measures at any site where Grantee and its subcontractors will perform any work under this Agreement.

**15. AIR OR WATER POLLUTION VIOLATION**

Grantee warrants that it is not (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to any cease and desist order not subject to review issued pursuant to Water Code section 13301 for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

**16. ENTIRE AGREEMENT**

This Agreement consists of the terms of this Agreement and all attachments, which are expressly incorporated herein. No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties and approved as required.

**17. APPROVAL OF AGREEMENT AND AMENDMENTS**

This Agreement and any variation thereto is of no force or effect until signed by both parties and approved by the Department of General Services, if required. Commencement of performance prior to approval of this Agreement will be at the Grantee's own risk.

**18. DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PARTICIPATION REQUIREMENT**

There are no Disabled Veteran Business Enterprise participation requirements with this agreement.

**19. AUTHORITY TO CONTRACT**

Grantee must provide DBW with evidence of its authority to enter into this Agreement. Grantee may provide a delegation of contracting authority from its local governing body that by law has authority to contract. Alternatively, Grantee shall provide DBW with a resolution, order, motion, or ordinance of its local governing body that by law has authority to contract, authorizing execution of this Agreement.

**20. COMPLIANCE WITH LAW AND REGULATIONS**

Grantee and its subcontractor(s) shall comply with all applicable laws and regulations of the State of California for all work to be performed under this Agreement. By signing this Agreement, Grantee certifies its compliance and the compliance of all subcontractors with: (a) applicable provisions of the California Environmental Quality Act; (b) Nondiscrimination Program requirements of Government Code section 12990 (a-f) and Title 2, California Code of Regulations, section 8103 (and section 8113 in contracts over \$5,000) along with section 7285 et. seq. of the Fair Employment and Housing Act; (c) Drug-Free Workplace requirement of Government Code section 8350 et seq.; (d) National Labor Relations Board Certification of Public Contract Code section 10296; (e) Workers' Compensation requirement of Labor Code section 3700; and (f) Americans with Disabilities Act regulations issued pursuant to 42 U.S.C. section 12101 et seq.

**21. INDEPENDENT CONTRACTOR**

Grantee and its employees are independent contractors and shall not be considered officers or employees of DBW or agents of the State of California.



**22. INSURANCE REQUIREMENTS**

The abatement, removal, storage, and /or disposal of vessels under this Agreement is a hazardous activity. Grantee therefore must maintain commercial general liability insurance in an amount and of a type acceptable to DBW and to the Department of General Services/ Office of Risk and Insurance Management (ORIM).

**1. GENERAL PROVISIONS APPLYING TO ALL POLICIES****a. Coverage Term**

Coverage needs to be in force for the complete term of the Agreement. If insurance expires during the term of the grant, a new certificate must be received by the Division at least ten (10) days prior to the expiration of this insurance. Any new insurance must still comply with the original terms of the grant.

**b. Policy cancellation or termination & notice of non-renewal**

Insurance policies shall contain a provision stating coverage will not be cancelled without 30 days prior written notice to the Division. In the event Grantee fails to keep in effect at all times the specified insurance coverage, the Division may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event, subject to the provisions of this Agreement.

**c. Deductible**

Grantee is responsible for any deductible or self-insured retention contained within their insurance program.

**d. Primary clause**

Any required insurance contained in this Agreement shall be primary, and not excess or contributory, to any other insurance carried by the State.

**e. Insurance carrier required rating**

All insurance companies must carry a rating acceptable to ORIM. If the Grantee is self-insured for a portion or all of its insurance, review of financial information including a letter of credit may be required by DBW or ORIM.

**f. Endorsements**

Any required endorsements requested by the Division must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.

**g. Inadequate Insurance**

Inadequate or lack of insurance does not negate the Grantee's obligations under the Agreement.

**h. Use of Subcontractors**

In the case of Grantee's utilization of subcontractors to complete the contracted scope of work, Grantee shall include all subcontractors as insured's under Grantee's insurance or supply evidence of subcontractor's insurance to the State when requested equal to policies, coverages, and

limits required of Grantee.

## 2. **INSURANCE REQUIREMENTS**

### a. Commercial General Liability

The Grantee shall maintain general liability on an occurrence form with limits of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined with a \$2,000,000 annual policy aggregate. The policy shall include coverage for liabilities arising out of premises, operations, independent subcontractors, products, completed operations, personal and advertising injury, and liability assumed under an insured contract. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Grantee's limit of liability. The policy must include:

"The State of California, its officers, agents, employees and servants as additional insureds, but only with respect to work performed under the contract."

This **endorsement** must be supplied under form acceptable to the Office of Risk and Insurance Management.

In the case of Grantee's utilization of subcontractors to complete the contracted scope of work, Grantee shall include all subcontractors as insured's under Grantee's insurance or supply evidence of insurance to the State equal to policies, coverages and limits required of Grantee.

### b. Automobile Liability

The Grantee shall maintain motor vehicle liability with limits not less than \$1,000,000 combined single limit per accident. Such insurance shall cover liability arising out of a motor vehicle including owned, hired and non-owned motor vehicles.

### c. Watercraft Liability

The Grantee shall maintain watercraft liability insurance with limits not less than \$1,000,000 combined single limit per accident. Such insurance shall cover liability arising out of the maintenance and use of any watercraft (owned, hired or non-owned). The policy must include:

"The State of California, its officers, agents, employees and servants as additional insureds, but only with respect to work performed that is connected with or related to the activities contemplated in this Agreement."

This **endorsement** must be supplied under form acceptable to the Office of Risk and Insurance Management.

### d. Workers Compensation and Employers Liability

The Grantee shall maintain statutory worker's compensation and employer's liability coverage for all its employees who will be engaged in the performance of the Agreement. Employer's liability limits of \$1,000,000 are required. The insurer waives any right of recovery the insurer may have against the State because of payments the insurer makes for injury or damage arising out of the work done under contract with the State. A Waiver of Subrogation or Right to Recover endorsement in favor of the

State must be attached to certificate.

If applicable, Grantee shall provide coverage for all its employees for any injuries or claims under the U.S. Longshoremen's and Harbor Workers' Compensation Act, the Jones Act or under laws, regulations, or statutes applicable to maritime employees. By signing this contract, Grantee acknowledges compliance with these regulations.

e. Environmental/Pollution Liability

Grantee shall maintain Pollution Liability for limits not less than \$1,000,000 occurrence covering the Grantee's liability for bodily injury, property damage and environmental damage resulting from pollution and related cleanup costs incurred arising out of the work or services to be performed under this contract. The policy must include:

"The State of California, its officers, agents, employees and servants as additional insureds, but only with respect to work performed under the contract."

This **endorsement** must be supplied under form acceptable to the Office of Risk and Insurance Management.

Coverage shall be provided for both work performed on site and during transportation as well as proper disposal of hazardous materials.

3. **Self-Insurance**

If the Grantee is self-insured for a portion or all of its insurance, the Grantee shall provide evidence of self-insurance when requested by DBW. Review of financial information including a letter of credit may be required. The Division reserves the right to request financial information.

4. **Statement of Insurance Coverage:**

Grantee certifies and agrees that they have all required insurance coverages as stated in the grant agreement, which will be in effect for the entire term of the agreement.

**Approver initials :**

**Date:**

**Name:**

**Title:**

23. **TERMINATION**

- a. DBW may terminate this Agreement for any reason upon thirty (30) days written notice to Grantee.
- b. If the Grantee fails to keep the required insurance in effect at all times during the term of this agreement, DBW may, in addition to other remedies it may have, terminate this agreement upon two days written notice.
- c. DBW may, by two-day written notice to Grantee and without any prejudice to its other remedies, terminate this agreement because of failure of Grantee to fulfill any of the requirements of this agreement.
- d. Upon receipt of any notice terminating this Agreement, Grantee shall immediately

discontinue all removal and disposal activities affected, unless the notice directs otherwise. In such event, DBW shall pay Grantee only for removal and disposal activities completed prior to the termination date.

- e. Upon termination of this agreement, Grantee shall promptly return all advanced funds. At DBW's sole discretion, DBW may offer an opportunity to cure any breach prior to terminating for default.

## **24. ASSIGNMENT**

This Agreement is not assignable by the Grantee, either in whole or in part, without the consent of the State in the form of a formal written amendment.

## **25. MATCHING 10% REQUIREMENT**

- a. Section 525(C) of the Harbors and Navigation Code states, "A grant awarded by the department pursuant to subparagraph (A) shall be matched by a 10-percent contribution from the local agency receiving the grant."
- b. The 10-percent contribution is in addition to funds awarded in the grant and may be made by cash and/or in-kind contributions which may include personnel hours (net hourly rate only with no benefits included) excessive removal and/or storage fees, and other expenses with advance DBW approval.
- c. If using personnel hours for in-kind match, only net, raw hours will be accepted and verification of in-kind contribution is required with reimbursement request(s). The statement of in-kind hours must include:

- a. Activity date
- b. Vessel/issue name or description
- c. Personnel name
- d. Description of service provided
- e. Number of hours provided by each person
- f. Hourly rate and total value

Use the [form](#) provided on DBW's website at [www.dbw.ca.gov](http://www.dbw.ca.gov) under Grants & Loans, or the online grant system, OLGA, available on DBW's website.

- e. The burden of proof in complying with the 10-percent contribution requirement is the responsibility of the grantee. Grant funds will not be disbursed until the grantee has provided DBW with acceptable documentation that it complied with the 10-percent contribution requirement for each disbursement.

## **26. BUDGET DETAIL AND PAYMENT PROVISIONS**

### **Covered Expenses and Reimbursement Claims Processes**

- a. DBW will reimburse the following expenditures provided by Grantee's service providers, contractors and/or subcontractors, within the scope of the SAVE program for AWAFF and/or VTIP issues:
  - 1. Raising of submerged vessels and/or hazardous marine debris
  - 2. Vessel and/or hazardous marine debris removal from accessible locations
  - 3. Hazardous materials (hazmat) removal and disposal
  - 4. Towing
  - 5. Storage:

- i. Without lien sale: 60 days maximum
    - ii. With lien sale: 90 days maximum with justification
    - iii. If stored onsite at Grantee's facility, 50% of the normal rate of charge to the public will be reimbursed, and fee schedule is required for verification.
  6. Lien sale expenses: fees charged by lien sale service companies, postage, DMV fees, and advertising costs
  7. Public notice advertising
  8. Vessel appraisal
  9. Salvage and demolition
- Other expenses may be considered with advance approval from DBW. Please inquire in advance of completing work.
- b. **Reimbursement claim forms:**

Forms are available on DBW's website under the Grants & Loans tab under the appropriate link for SAVE. One (1) hard copy and one (1) electronic (PDF, CD or DVD) copy of all documents are required. Grantee must sign and date each reimbursement claim form in blue ink and submit with the following documents to DBW:
  - c. **Invoices from service providers, contractors and/or subcontractors to Grantee:**

Invoices must contain the following:

    1. Name and address of Grantee
    2. Contract or invoice number
    3. Description of service performed
    4. Date the service was performed
    5. Location of each service
    6. Vessel name, CF# or HIN# if available; otherwise, description of vessel
  - d. **Proof of payment for all invoices.**

The following acceptable forms of proof are:

    1. Cancelled check (with bank's cancelled stamp on back of check copy)
    2. Credit card statement with charge and payment posted, along with copy of charge slip
    3. Receipt from service provider showing payment received
    4. Receipt from service provider posted as "Paid" with authorized signature or indicating a zero balance.
  - e. **10% in-kind match contribution statement:**
    1. If Grantee is matching the 10% requirement with in-kind services, complete the following form located on DBW's website and submit with each claim: <http://www.dbw.ca.gov/PDF/Funding/DPR265.pdf>
    2. Net, hourly rates only will be accepted. Grantee must include verification of net rates with first claim and each time rates are changed.
  - f. **Photos of vessels (with CF numbers visible if available).**
  - g. **(VTIP ONLY) Statement of Vessel Release of Interest and Ownership:**

**To be completed and signed by owner(s).** Grantee may provide their own release form to vessel owners for completion. A sample of this release form is located on our website:

[http://www.dbw.ca.gov/PDF/Funding/SAMPLE\\_Release\\_of\\_Interest\\_and\\_Liability\\_Form.pdf](http://www.dbw.ca.gov/PDF/Funding/SAMPLE_Release_of_Interest_and_Liability_Form.pdf)

**NOTE: (VTIP ONLY) Vessel ownership verification is required; however, it is not required that boat owners bring their registration up to date in order to surrender their vessel through the VTIP.**

- h. Reimbursement claims and support documents (as indicated above) are to be submitted to DBW at:

**Division of Boating and Waterways**

**One Capitol Mall, Suite 500**

**Sacramento, CA 95814**

**Attention: SAVE Unit**

- i. Submission of fraudulent invoices or other claim documentation is a breach of this Agreement, which shall result in forfeiture of all funds advanced and provided under this Agreement.
- j. All requests for payment must be submitted to DBW no later than 30 days after the expiration date of the agreement. DBW is not obligated to make payment on any reimbursement request(s) received or for any services completed after this date.

## **27. BUDGET CONTINGENCY CLAUSE**

- A. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program; this Agreement shall be of no further force and effect. In this event, DBW shall have no liability to pay any funds whatsoever to Grantee or to furnish any other considerations under this Agreement and Grantee shall not be obligated to perform any provisions of this Agreement.
- B. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, DBW shall have the option to either cancel this Agreement with no liability occurring to DBW, or offer an agreement amendment to Grantee to reflect the reduced amount.

## **28. INDEMNIFICATION**

Grantee shall be responsible for, and DPR shall not be answerable or accountable in any manner for, any loss or expense by reason of any damage or injury to person or property, or both, arising out of or related in any way to activities carried out by Grantee, its agents, officers, contractors, subcontractors and/or employees, under this Agreement Grantee shall protect, hold harmless, indemnify and defend DPR, its agents, officers, and/or employees against any and all actions, claims, and damages to persons or property, penalties, obligations and liabilities that may be asserted or claimed by any person, firm, association, entity, corporation, political subdivision, or other organization or person arising out of or in connection with Grantee or Grantee's contractor's or subcontractor's activities hereunder, whether or not there is concurrent passive negligence on the part of DPR, its agents, officers, and/or employees.

**29. FUNDS ASSIST**

The Funds Assist process has been developed by DBW as a method for grantees with excessive, unused funds to assist other participating SAVE agencies in need. Funds Assist is a voluntary action (by both agencies) until within three (3) months of the expiration date of the grant at which time it will become a required action of those agencies with remaining grant balances, at DBW's discretion.

The Funds Assist process works as follows:

- 1) An introduction is made by DBW between the agency with excessive funds (Agency A) and the agency in need (Agency B).
- 2) A deadline shall be imposed by DBW for the work to be completed by Agency B.
- 3) Agency B pays for all contractor invoices, as is required with the SAVE grant.
- 4) The 10% required match is the obligation of Agency B and may be met with cash, in-kind services, or a combination of both.
- 5) To obtain reimbursement, Agency B will required to supply the following to Agency A:
  - a. A Tax Identification Form (W-9)
  - b. All requirements/documents apply as outlined in this agreement under #26
  - c. A statement on Agency B's letterhead invoicing Agency A for the total reimbursement request.
  - d. Copies of completed forms and support documents to DBW for pre-approval.
- 6) Agency A completes the following actions:
  - a. Upon approval by DBW, pay Agency B the invoiced amount within 30 days and record as a pass-through grant (or use your accounting method preference).
  - b. Complete DBW's AWAFF and/or VTIP Reimbursement Claim Form and attach all supporting documents as listed in item b, c & d above, including the verification of payment to Agency B i.e., cancelled check or statement from Agency B of payment received.
  - c. Email the documents to the DBW program administrator for review. Once reviewed and approved, send finalized claim forms to DBW for payment processing.

DBW will act as a courtesy liaison between the agencies to ensure (as much as possible) that documents are correctly processed.

**INDEMNIFICATION**

Grantee and sub grantee (hereafter known as Agency A and Agency B) shall be responsible for, and DPR shall not be answerable or accountable in any manner for, any loss or expense by reason of any damage or injury to person or property, or both, arising out of or related in any way to activities carried out by Agency A and B, its agents, officers, contractors, subcontractors and/or employees, under this Agreement Agency A and B shall protect, hold harmless, indemnify and defend DPR, its agents, officers, and/or employees against any and all actions, claims, and damages to persons or property, penalties, obligations and liabilities that may be asserted or claimed by any person, firm, association, entity, corporation, political subdivision, or other organization or person arising out of or in connection with Agency A and B's contractor's or subcontractor's activities hereunder, whether or not there is concurrent

passive negligence on the part of DPR, its agents, officers, and/or employees.

If Agency B is a recipient of a current Save grant, as depleted or with insufficient funds for removal project, and receives assistance through the Funds Assist process, all provisions of the SAVE grant applies.

Approver initials: \_\_\_\_\_ Date: \_\_\_\_\_

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

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

**30. 90-DAY RETURN OF GRANT DOCUMENTS TO DBW**

Grant agreements issued to the awarded agency must be completed and returned within 90 days of the date of issuance according to the instructions issued by DBW with the grant agreement. If extenuating circumstances prevent the ability of the agency to meet this deadline, approval from DBW must be obtained in writing. DBW retains the right to determine approval or denial of extensions.

**31. ANTI-CORRUPTION**

SAVE grantees are required to report to DBW any written, suggested, or verbally implied cases whereby a contractor, subcontractor or other service provider increases their fee(s) due to the existence of a Grantee's SAVE grant, or inquires about the amount/balance of a SAVE grant in order to increase their fee(s), for possible investigation of price gouging. A two year history of charges applied to work of all known SAVE grant work by that contractor will be required by DBW for review.



## EXHIBIT C

GENERAL TERMS AND CONDITIONS**1. APPROVAL:**

This Agreement is of no force or effect until signed by both parties and approved by the Department of General Services, if required. Grantee may not commence performance until such approval has been obtained.

**2. EFFECTIVE DATE:**

Effective date means either the start date or the approval date by the Department of General Services (DGS), whichever is later. In cases where DGS approval is not required, this Agreement is of no force or effect until the date of the last DBW signature. No work shall commence until the effective date.

**3. AMENDMENT:**

No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties and approved as required. No oral understanding or Agreement not incorporated in the Agreement is binding on any of the parties.

**4. ASSIGNMENT:**

This Agreement is not assignable by the Grantee, either in whole or in part, without the consent of the State in the form of a formal written amendment.

**5. AUDIT:**

Grantee agrees that the awarding department, the Department of General Services, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. **Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated.** Grantee agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Grantee agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (Gov. Code §8546.7, Pub. Contract Code §10115 et seq., CCR Title 2, Section 1896).

**6. INDEMNIFICATION:**

Grantee agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by the subcontractor or Grantee in the performance of this Agreement.

**7. DISPUTES:**

Grantee shall continue with the responsibilities under this Agreement during any dispute.

**8. TERMINATION FOR CAUSE:**

The State may terminate this Agreement and be relieved of any payments should the Grantee fail to perform the requirements of this Agreement at the time and in the manner

herein provided. In the event of such termination the State may proceed with the work in any manner deemed proper by the State. All costs to the State shall be deducted from any sum due the Grantee under this Agreement and the balance, if any, shall be paid to the Grantee upon demand.

**9. RECYCLING CERTIFICATION:**

The Grantee shall certify in writing under penalty of perjury, the minimum, if not exact, percentage of post consumer material as defined in the Public Contract Code Section 12200, in products, materials, goods, or supplies offered or sold to the State regardless of whether the product meets the requirements of Public Contract Code Section 12209. With respect to printer or duplication cartridges that comply with the requirements of Section 12156(e), the certification required by this subdivision shall specify that the cartridges so comply (Pub. Contract Code §12205).

**10. NON-DISCRIMINATION CLAUSE:**

During the performance of this Agreement, Grantee and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (e.g., cancer), age (over 40), marital status, and denial of family care leave. Grantee and subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Grantee and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof as if set forth in full. Grantee and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other Agreement.

Grantee shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the Agreement.

**11. CERTIFICATION CLAUSES:**

The GRANTEE CERTIFICATION CLAUSES contained in the document CCC 307 are hereby incorporated by reference and made a part of this Agreement by this reference as if attached hereto.

**12. TIMELINESS:**

Time is of the essence in this Agreement.

**13. COMPENSATION:**

The consideration to be paid Grantee, as provided herein, shall be in compensation for all of Grantee's expenses incurred in the performance hereof, as outlined in Exhibit B, item #1.

**14. GOVERNING LAW:**

This Agreement is governed by and shall be interpreted in accordance with the laws of the State of California.

**15. ANTITRUST CLAIMS:**

The Grantee by signing this agreement hereby certifies that if these services or goods are obtained by means of a competitive bid, the Grantee shall comply with the requirements of the Government Codes Sections set out below.

- a. The Government Code Chapter on Antitrust claims contains the following definitions:
  - 1) "Public purchase" means a purchase by means of competitive bids of goods, services, or materials by the State or any of its political subdivisions or public agencies on whose behalf the Attorney General may bring an action pursuant to subdivision (c) of Section 16750 of the Business and Professions Code.
  - 2) "Public purchasing body" means the State or the subdivision or agency making a public purchase. Government Code Section 4550.
- b. In submitting a bid to a public purchasing body, the bidder offers and agrees that if the bid is accepted, it will assign to the purchasing body all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act (Chapter 2 (commencing with Section 16700) of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, materials, or services by the bidder for sale to the purchasing body pursuant to the bid. Such assignment shall be made and become effective at the time the purchasing body tenders final payment to the bidder. Government Code Section 4552.
- c. If an awarding body or public purchasing body receives, either through judgment or settlement, a monetary recovery for a cause of action assigned under this chapter, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the public body any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the public body as part of the bid price, less the expenses incurred in obtaining that portion of the recovery. Government Code Section 4553.
- d. Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under this part if the assignor has been or may have been injured by the violation of law for which the cause of action arose and (a) the assignee has not been injured thereby, or (b) the assignee declines to file a court action for the cause of action. See Government Code Section 4554.

**16. CHILD SUPPORT COMPLIANCE ACT:**

For any Agreement in excess of \$100,000, the Grantee acknowledges in accordance with Public Contract Code 7110, that:

- a. The Grantee recognizes the importance of child and family support obligations and shall fully comply with all applicable state and federal laws relating to child and family support enforcement, including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with section 5200) of Part 5 of Division 9 of the Family Code; and
- b. The Grantee, to the best of its knowledge is fully complying with the earnings assignment orders of all employees and is providing the names of all new employees

to the New Hire Registry maintained by the California Employment Development Department.

**17. UNENFORCEABLE PROVISION:**

In the event that any provision of this Agreement is unenforceable or held to be unenforceable, then the parties agree that all other provisions of this Agreement have force and effect and shall not be affected thereby.

**18. PRIORITY HIRING CONSIDERATIONS:**

If this Agreement includes services in excess of \$200,000, the Grantee shall give priority consideration in filling vacancies in positions funded by the agreement to qualified recipients of aid under Welfare and Institutions Code Section 11200 in accordance with Pub. Contract Code §10353.

**19. SMALL BUSINESS PARTICIPATION AND DVBE PARTICIPATION REPORTING REQUIREMENTS:**

- a. If for this Agreement Grantee made a commitment to achieve small business participation, then Grantee must within 60 days of receiving final payment under this Agreement (or within such other time period as may be specified elsewhere in this Agreement) report to the awarding department the actual percentage of small business participation that was achieved. (Govt. Code § 14841.)
- b. If for this Agreement Grantee made a commitment to achieve disabled veteran business enterprise (DVBE) participation, then Grantee must within 60 days of receiving final payment under this Agreement (or within such other time period as may be specified elsewhere in this Agreement) certify in a report to the awarding department: (1) the total amount the prime Grantee received under the Agreement; (2) the name and address of the DVBE(s) that participated in the performance of the Agreement; (3) the amount each DVBE received from the prime Grantee; (4) that all payments under the Agreement have been made to the DVBE; and (5) the actual percentage of DVBE participation that was achieved. A person or entity that knowingly provides false information shall be subject to a civil penalty for each violation. (Mil. & Vets. Code § 999.5(d); Govt. Code § 14841.)

**20. LOSS LEADER:**

If this agreement involves the furnishing of equipment, materials, or supplies then the following statement is incorporated: It is unlawful for any person engaged in business within this state to sell or use any article or product as a "loss leader" as defined in Section 17030 of the Business and Professions Code. (PCC 10344(e).)

**EXHIBIT D****CERTIFICATION**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Grantee to the clause(s) listed below. This certification is made under the laws of the State of California.

|  |                           |                   |
|--|---------------------------|-------------------|
| Grantee Agency Name (Printed)            |                           | Federal ID Number |
| City of Stockton                         |                           | 94-6000436        |
| By (Authorized Signature)                |                           |                   |
| Printed Name and Title of Person Signing |                           |                   |
| ,  |                           |                   |
| Date Executed                            | Executed in the County of |                   |
|  | San Joaquin               |                   |

**GRANTEE CERTIFICATION CLAUSES****1. STATEMENT OF COMPLIANCE:**

Grantee has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 8103) (Not applicable to public entities.)

**2. DRUG-FREE WORKPLACE REQUIREMENTS:**

Grantee will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

- a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.
- b. Establish a Drug-Free Awareness Program to inform employees about:
  - 1) the dangers of drug abuse in the workplace;
  - 2) the person's or organization's policy of maintaining a drug-free workplace;
  - 3) any available counseling, rehabilitation and employee assistance programs; and,
  - 4) penalties that may be imposed upon employees for drug abuse violations.
- c. Every employee who works on the proposed Agreement will:
  - 1) receive a copy of the company's drug-free workplace policy statement; and,
  - 2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Grantee may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Grantee has made false certification, or violated the certification by failing to

carry out the requirements as noted above. (Gov. Code §8350 et seq.)

**3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION:**

Grantee certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Grantee within the immediately preceding two-year period because of Grantee's failure to comply with an order of a Federal court, which orders Grantee to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)

**4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT:**

Grantee hereby certifies that Grantee will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Grantee agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the agreement equal to the lessor of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its agreement with the State.

Failure to make a good faith effort may be cause for non-renewal of a state agreement for legal services, and may be taken into account when determining the award of future contracts/agreements with the State for legal services.

**5. EXPATRIATE CORPORATIONS:**

Grantee hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

**6. SWEATFREE CODE OF CONDUCT:**

- a. All Grantees contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The Grantee further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.
- b. The Grantee agrees to cooperate fully in providing reasonable access to the Grantee's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the Grantee's compliance with the requirements under paragraph (a).

**7. DOMESTIC PARTNERS:**

For contracts over \$100,000 executed or amended after January 1, 2007, the Grantee certifies that Grantee is in compliance with Public Contract Code section 10295.3.

**EXHIBIT E****DOING BUSINESS WITH THE STATE OF CALIFORNIA**

The following laws apply to persons or entities doing business with the State of California.

**1. CONFLICT OF INTEREST:**

Grantee needs to be aware of the following provisions regarding current or former state employees. If Grantee has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (PCC 10410):

- 1) No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- 2) No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (PCC 10411):

- 1) For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
- 2) For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Grantee violates any provisions of above paragraphs, such action by Grantee shall render this Agreement void. (PCC 10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (PCC 10430 (e))

**2. LABOR CODE/WORKERS' COMPENSATION:**

Grantee needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Grantee affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

**3. AMERICANS WITH DISABILITIES ACT:**

Grantee assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)



**4. GRANTEE NAME CHANGE:**

An amendment is required to change the Grantee's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment. Any changes of the Grantee's representative shall be notified to DBW within 30 days written notice on Grantee's letterhead.

**5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:**

- a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the Grantee is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.
- b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate Grantee performing within the state not be subject to the franchise tax.
- c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

**6. RESOLUTION:**

A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.

**7. AIR OR WATER POLLUTION VIOLATION:**

Under the State laws, the Grantee shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

**8. PAYEE DATA RECORD FORM STD. 204:**

This form must be completed by all Grantees that are not another state agency or other governmental entity.

**EXHIBIT F****Bid/Proposal Attachment regarding the Darfur Contracting Act of 2008**

Effective January 1, 2009, all Invitations for Bids (IFB) or Requests for Proposals (RFP) for goods or services must address the requirements of the Darfur Contracting Act of 2008 (Act). (Public Contract Code sections 10475, et seq.; Stats. 2008, Ch. 272). The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with “scrutinized” companies that do business in the African nation of Sudan (of which the Darfur region is a part), for the reasons described in Public Contract Code section 10475.

A scrutinized company is a company doing business in Sudan as defined in Public Contract Code section 10476. Scrutinized companies are ineligible to, and cannot, bid on or submit a proposal for a contract with a State agency for goods or services. (Public Contract Code section 10477(a)).

Therefore, Public Contract Code section 10478 (a) requires a company that currently has (or within the previous three years has had) business activities or other operations outside of the United States to certify that it is not a “scrutinized” company when it submits a bid or proposal to a State agency. (See # 1 on the sample Attachment).

A scrutinized company may still, however, submit a bid or proposal for a contract with a State agency for goods or services if the company first obtains permission from the Department of General Services (DGS) according to the criteria set forth in Public Contract Code section 10477(b). (See # 2 on the sample Attachment).

The following sample Attachment may be included in an IFB or RFP to satisfy the Act’s certification requirements of bidders and proposers.

**EXHIBIT F – DARFUR CONTRACTING ACT**

Pursuant to Public Contract Code section 10478, if a bidder or proposer currently or within the previous three years has had business activities or other operations outside of the United States, it must certify that it is not a “scrutinized” company as defined in Public Contract Code section 10476.

**Therefore, to be eligible to submit a bid or proposal, please complete only one of the following three paragraphs (via initials for Paragraph # 1 or Paragraph # 2, or via initials and certification for Paragraph # 3):**

1. \_\_\_\_\_ We do not currently have, or we have not had within the previous three years, business activities or other operations outside of the United States.

**OR**

2. \_\_\_\_\_ We are a scrutinized company as defined in Public Contract Code section 10476, but we have received written permission from the Department of General Services (DGS) to submit a bid or proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid or proposal.

**OR**

3. \_\_\_\_\_ We currently have, or we have had within the previous three years, business activities or other operations outside of the United States, but we certify below that we are not a scrutinized company as defined in Public Contract Code section 10476.

**CERTIFICATION For # 3.**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective proposer/bidder to the clause listed above in # 3. This certification is made under the laws of the State of California.

|  |                           |                   |
|--|---------------------------|-------------------|
| Grantee Agency Name (Printed)            |                           | Federal ID Number |
| City of Stockton                         |                           | 94-6000436        |
| By (Authorized Signature)                |                           |                   |
| Printed Name and Title of Person Signing |                           |                   |
| ,  |                           |                   |
| Date Executed                            | Executed in the County of |                   |
|  | San Joaquin               |                   |

**YOUR BID OR PROPOSAL WILL BE DISQUALIFIED UNLESS YOUR BID OR PROPOSAL INCLUDES THIS FORM WITH EITHER PARAGRAPH #1 OR #2 INITIALED OR PARAGRAPH #3 INITIALED AND CERTIFIED**

## General

### 1. Applicant Information

- a. Applicant Name City of Stockton
- b. Organizational Unit Police Department - Neighborhood Services Section
- c. Address 22 E Weber Avenue #350
- d. Address 2
- e. City Stockton State CA Zip 95202
- f. Federal ID Number 94-6000436 Reference No.
- g. Agency Type
- ☒ City ☐ County
- ☐ Federally Recognized Native American Tribe ☐ District

### 2. Project Information

- a. Project Name Surrendered and Abandoned Vessel Exchange (SAVE) Fiscal Year 2017/2018
- b. Is implementing agency same as Applicant ☒ Yes ☐ No
- c. Implementing Agency Name
- d. Project Start Date Oct-01-2017 End Date Mar-01-2019
- e. Amount of Funds Requested \$67,500.00 Project Cost \$75,000.00

### 3. Contacts

#### a. Project Administrator

|                 |                                |       |    |     |                |
|-----------------|--------------------------------|-------|----|-----|----------------|
| Name            | Almarosa Vargas                |       |    |     |                |
| Title           | Administrative Analyst         |       |    |     |                |
| Mailing Address | 22 E Weber Ave #350            |       |    |     |                |
| City            | Stockton                       | State | CA | Zip | 95202          |
| Telephone       | (209) 937-8952                 |       |    | Fax | (209) 937-8962 |
| E-mail Address  | almarosa.vargas@stocktonca.gov |       |    |     |                |

#### b. Authorized Representative

|                 |                            |       |    |     |                |
|-----------------|----------------------------|-------|----|-----|----------------|
| Name            | Peter Lemos                |       |    |     |                |
| Title           | Operations Manager         |       |    |     |                |
| Mailing Address | 22 E Weber Ave #350        |       |    |     |                |
| City            | Stockton                   | State | CA | Zip | 95202          |
| Telephone       | (209) 937-7093             |       |    | Fax | (209) 937-8962 |
| E-mail Address  | Peter.Lemos@stocktonca.gov |       |    |     |                |

## **1. Agency Type and Area of Responsibility (AOR)**

The City of Stockton's Neighborhood Services Section currently falls under the Police Department's authority to address the public safety hazards affecting the waterways of Stockton. The section will designate one code enforcement officer to the SAVE Grant to improve the quality of life along all waterways in Stockton's jurisdiction.

The waterways are a tremendous resource to the greater community. The City of Stockton has 11 waterways. Downtown Stockton features a major port, public and private marinas, arena, ballpark, and hotel which showcase the most progressive waterfront redevelopment in California. The City of Stockton remains committed to protecting our valuable water resource by actively prosecuting violations of State Codes, local ordinances, and abating public health and safety hazards.

## **2. Statement of Need**

Over the years, the waterways running through the City have become a graveyard of countless abandoned recreational vessels. These are a public and safety hazard that threaten our water supply as well as the navigation of recreational boaters. Removing these watercrafts eliminates the current problems and will help deter future abandonment, navigational hazards, environmental discharges and dangerous floating debris. Abandoned vessels are often used as an illegal dumping ground for hazardous materials. The delta is littered with these types of vessels and their presence can encourage boaters to add to the blight rather than accept the responsibility of proper disposal.

We are looking to begin a basic vessel turn-in program. This would allow vessel owners to turn-in derelict vessels. In this program, the vessel qualifies to be removed from the waterway more rapidly as legal process is not required and reducing the time a deputy has to spend with these vessels. Vessel owners can be required to prepare their vessels for turn-in, by removing hazardous materials.

## 1. California State Senate Districts

Select one or more of the California State Senate Districts where the proposed project activities will occur. Copy and Paste the URL ([http://www.legislature.ca.gov/legislators\\_and\\_districts/districts/districts.html](http://www.legislature.ca.gov/legislators_and_districts/districts/districts.html)) in your browser to determine the State Senate district(s).

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| <input type="checkbox"/> State Senate 01 | <input type="checkbox"/> State Senate 02 | <input type="checkbox"/> State Senate 03 | <input type="checkbox"/> State Senate 04 | <input checked="" type="checkbox"/> State Senate 05 |
| <input type="checkbox"/> State Senate 06 | <input type="checkbox"/> State Senate 07 | <input type="checkbox"/> State Senate 08 | <input type="checkbox"/> State Senate 09 | <input type="checkbox"/> State Senate 10            |
| <input type="checkbox"/> State Senate 11 | <input type="checkbox"/> State Senate 12 | <input type="checkbox"/> State Senate 13 | <input type="checkbox"/> State Senate 14 | <input type="checkbox"/> State Senate 15            |
| <input type="checkbox"/> State Senate 16 | <input type="checkbox"/> State Senate 17 | <input type="checkbox"/> State Senate 18 | <input type="checkbox"/> State Senate 19 | <input type="checkbox"/> State Senate 20            |
| <input type="checkbox"/> State Senate 21 | <input type="checkbox"/> State Senate 22 | <input type="checkbox"/> State Senate 23 | <input type="checkbox"/> State Senate 24 | <input type="checkbox"/> State Senate 25            |
| <input type="checkbox"/> State Senate 26 | <input type="checkbox"/> State Senate 27 | <input type="checkbox"/> State Senate 28 | <input type="checkbox"/> State Senate 29 | <input type="checkbox"/> State Senate 30            |
| <input type="checkbox"/> State Senate 31 | <input type="checkbox"/> State Senate 32 | <input type="checkbox"/> State Senate 33 | <input type="checkbox"/> State Senate 34 | <input type="checkbox"/> State Senate 35            |
| <input type="checkbox"/> State Senate 36 | <input type="checkbox"/> State Senate 37 | <input type="checkbox"/> State Senate 38 | <input type="checkbox"/> State Senate 39 | <input type="checkbox"/> State Senate 40            |

## 2. California State Assembly Districts

Select one or more of the California State Assembly Districts where the proposed project activities will occur. Copy and Paste the URL ([http://www.legislature.ca.gov/legislators\\_and\\_districts/districts/districts.html](http://www.legislature.ca.gov/legislators_and_districts/districts/districts.html)) in your browser to determine the State Assembly district(s).

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| <input type="checkbox"/> State Assembly 76 | <input type="checkbox"/> State Assembly 77 | <input type="checkbox"/> State Assembly 78            | <input type="checkbox"/> State Assembly 79 | <input type="checkbox"/> State Assembly 80 |

## 3. California Congressional Districts

Select one or more of the California Congressional Districts where the proposed project activities will occur. Copy and Paste the URL (<https://www.govtrack.us/congress/members/CA>) in your browser to determine the Congressional district(s).

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| <input type="checkbox"/> Congressional District 1            | <input type="checkbox"/> Congressional District 2  | <input type="checkbox"/> Congressional District 3  | <input type="checkbox"/> Congressional District 4  |
| <input type="checkbox"/> Congressional District 5            | <input type="checkbox"/> Congressional District 6  | <input type="checkbox"/> Congressional District 7  | <input type="checkbox"/> Congressional District 8  |
| <input checked="" type="checkbox"/> Congressional District 9 | <input type="checkbox"/> Congressional District 10 | <input type="checkbox"/> Congressional District 11 | <input type="checkbox"/> Congressional District 12 |
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| <input type="checkbox"/> Congressional District 53           |  |  |  |

#### 4. County

Select one or more of the California Counties where the proposed project activities will occur.

- |                                       |  |   |  |                                     |   |
|---------------------------------------|--|---|--|-------------------------------------|---|
| <input type="checkbox"/> Alameda      | <input type="checkbox"/> Alpine        | <input type="checkbox"/> Amador                 | <input type="checkbox"/> Butte           | <input type="checkbox"/> Calaveras  | <input type="checkbox"/> Colusa         |
| <input type="checkbox"/> Contra Costa | <input type="checkbox"/> Del Norte     | <input type="checkbox"/> El Dorado              | <input type="checkbox"/> Fresno          | <input type="checkbox"/> Glenn      | <input type="checkbox"/> Humboldt       |
| <input type="checkbox"/> Imperial     | <input type="checkbox"/> Inyo          | <input type="checkbox"/> Kern                   | <input type="checkbox"/> Kings           | <input type="checkbox"/> Lake       | <input type="checkbox"/> Lassen         |
| <input type="checkbox"/> Los Angeles  | <input type="checkbox"/> Madera        | <input type="checkbox"/> Marin                  | <input type="checkbox"/> Mariposa        | <input type="checkbox"/> Mendocino  | <input type="checkbox"/> Merced         |
| <input type="checkbox"/> Modoc        | <input type="checkbox"/> Mono          | <input type="checkbox"/> Monterey               | <input type="checkbox"/> Napa            | <input type="checkbox"/> Nevada     | <input type="checkbox"/> Orange         |
| <input type="checkbox"/> Placer       | <input type="checkbox"/> Plumas        | <input type="checkbox"/> Riverside              | <input type="checkbox"/> Sacramento      | <input type="checkbox"/> San Benito | <input type="checkbox"/> San Bernardino |
| <input type="checkbox"/> San Diego    | <input type="checkbox"/> San Francisco | <input checked="" type="checkbox"/> San Joaquin | <input type="checkbox"/> San Luis Obispo | <input type="checkbox"/> San Mateo  | <input type="checkbox"/> Santa Barbara  |
| <input type="checkbox"/> Santa Clara  | <input type="checkbox"/> Santa Cruz    | <input type="checkbox"/> Shasta                 | <input type="checkbox"/> Sierra          | <input type="checkbox"/> Siskiyou   | <input type="checkbox"/> Solano         |
| <input type="checkbox"/> Sonoma       | <input type="checkbox"/> Stanislaus    | <input type="checkbox"/> Sutter                 | <input type="checkbox"/> Tehama          | <input type="checkbox"/> Trinity    | <input type="checkbox"/> Tulare         |
| <input type="checkbox"/> Tuolumne     | <input type="checkbox"/> Ventura       | <input type="checkbox"/> Yolo                   | <input type="checkbox"/> Yuba            |                                     |   |



## **1. Legal authority to remove abandoned vessels**

All Code Enforcement Officers are under the Police Department's authority to address the public safety hazards affecting the waterways of Stockton.

Vessels must first be determined to be "Abandoned" as described in the first paragraph of section 522 (a) of the Harbors and Navigation Code. Once this is determined, the vessel may be removed pursuant to the second paragraph of section 522 (a) of the Harbors and Navigation Code. Vessels may be removed pursuant to the procedures set forth in Section 526 et al. of the Harbors and Navigation Code.

The City of Stockton has a jurisdictional agreement with the San Joaquin County Sheriff's Department Boating Patrol for law enforcement activities along City Waterways. The City of Stockton actively cites owners for abandoning watercraft in public waterways.

Funding from the program shall not be used to remove commercial vessels.

## **2. Agency Experience**

In prior years, the City of Stockton has participated in the AWAFF program. During that time, more than 30 vessels have been removed. The removal of these vessels have removed boating hazards, reduced injury and property damage.

These funds brought positive attention and community support for all revitalizing activities to strengthen community ties to the waterways by enhancing access to the recreational, cultural, historical, natural and scenic resources. The City of Stockton is eager to obtain this funding to make recreational boating safer and more enjoyable experience for residents, visitors, and families.

There are more than 2500 berths available in the various waterways of San Joaquin County. As berths of these marinas lose their ability to pay for their berthing they tend to sell their vessels, very cheap or often give them away to get relief from this burden. Those persons accepting these vessels soon learn that they too cannot afford the berthing and take to the open waterway. These persons soon learn that they cannot live aboard a vessel that is not berthed in a marina, as this is prohibited by county ordinance. These people often abandon the vessel as they cannot afford to do anything else.

Uninsured vessels involved in boating accidents are often left at the scene as the cost for recovery exceeds the value of the vessel.

Additionally, the City of Stockton has 3 unmonitored launching facilities and our downtown marina has slips and docks for over 100 vessels.

### 3. Adjudication Process

When a potential abandoned vessel is located, the Code Enforcement Officer (CEO) generates a case and report. The initiating CEO attempts all avenues to identify and make contact with the owner of the vessel. If an owner is located, the CEO works with the owner to get the vessel removed. If the owner is unable to remove the vessel or is identified and not responding to contact attempts, the case is forwarded to the AWAf Coordinator, who ensures that the vessel meets the criteria of 522 H&N. The AWAf Coordinator will then have the AWAf CEO post a notice on the boat requesting anyone having an interest in the vessel to contact the Neighborhood Services Section (NSS). The Coordinator begins the AWAf form. The form requires the following information: Grant Year, Photograph in condition found, photograph of area after the removal of AWAf vessel, document case number, location (waterway name), GPS, description of item to be removed, estimated removal costs, actual removal costs, and inspecting CEO.

Once the coordinator determines that the vessel is cleared for removal, the contracted marine salver is contacted to have it removed. The City of Stockton and its employees do not conduct any salvage or destruction activities. Vessels are not stored by this agency.

The CEO works closely with the contracted marine salver to ensure the correct vessel is removed and that the vessel is completely removed. Local contracts require that all vessels removed must be destroyed or recycled.

### 4. Agency prevention efforts of abandoned vessels

The City of Stockton shares the State of California's concern and commitment to improvements in boating safety. It is the mission of the City of Stockton Police Department, to provide safe, healthier waterways trails for all boaters, residents and tourists. We understand the importance of having safe and accessible waterways. We will use these funds to:

- Remove public safety hazards
- Increase access to water trails
- Improve the quality of life for residents along the waterway
- Strengthen our relationship with all waterway stakeholders
- Bring revitalizing support for our natural resources

For public safety, we will use these funds to remove boating hazards, which pose a substantial hazard to navigation, reduce possibility of injury and property damage, and support safe use of our jurisdictional waterways. Additionally, we will leverage these funds and activities to continue to improve water quality through the removal of any hazardous materials associated with these vessels. We will work with stakeholders to make recreational boating safer and more enjoyable experience for residents, visitors, and families.

We will partner with federal, state, county, non-profit agencies, community groups and jurisdictions to improve recreational boating, fishing, water sports and related opportunities. These funds will increase the project momentum, energizing the section to continue to improve and strengthen our relationships with all stakeholders within the waterway to find consensual solutions to our community's recreational and boating needs.

## 5. Application Questionnaire

1. Does your agency have an active local enforcement program tasked with addressing abandoned vessels in your jurisdiction? ☐ Yes ☒ No

If yes, explain in detail. If no, elaborate on your agency's efforts to create a program or if you utilize enforcement services from another agency and how.

Currently, the City of Stockton partners with the San Joaquin County Sheriff's Office. They are the only full time, state authorized water borne law enforcement agency in the county. The Sheriff's Boating Safety Unit (BSU) is a year round assignment of six deputies and one Sergeant. All BSU deputies are trained to identify and conduct preliminary investigations. One BSU deputy is assigned as the AWAFF coordinator, and will conduct all follow up investigations and processes needed to remove the vessel.

2. Does your agency have a submerged navigational hazard abatement plan (SNHAP)? ☐ Yes ☒ No  
This may include: 1) An established internal process outlining procedures to prevent, mitigate and process abandoned vessels; 2) Bylaws, regulations, or ordinances that help prevent or mitigate abandoned vessels.

If Yes, provide plan documentation on the next page (Submerged Navigational Hazard Abatement Plan (SNHAP) documentation).

If No, explain your agency's efforts to create a SNHAP and anticipated date of effect.

The City of Stockton is currently in the process of adopting a SNHAP. We anticipate this to be in effect by the time grant funding is authorized to be used. A draft of the plan has been attached to the application.

3. At-risk vessels: Explain if/how your agency identifies at-risk vessels (what indicators do you look for). Do you identify and document existing owners/occupants, and do you work with owners to prevent vessels from being abandoned?

The City of Stockton plans to continue to build strong relationships with our harbor masters who will inform us about vessels who are delinquent in their berthing fees and are preparing to move. We also plan to work with the San Joaquin County Tax Collector's office regarding vessels that are delinquent in their taxes. If an at-risk vessel is identified, the CEO will contact the owner and advise them of the vessel abandonment law. The inclusion of the Vessel Turn In Program, we will be able to work with the owner with the removal of the vessel.

4. Does your agency regularly check vessels in your AOR for current registrations? ☐ Yes ☒ No

If Yes, What is your process?

5. List by name and size the bodies of water or waterways in your agency's area of responsibility. If you wish to add maps or photos, please click on the BLUE arrow below to upload.

| Name              | Size       | Attachment |
|-------------------|------------|------------|
| Legal Delta       | 1000 Miles |            |
| San Joaquin River | 13 Miles   |            |
| Bear Creek        | 6 Miles    |            |

|                  |         |  |
|------------------|---------|--|
| Mosher Slough    | 7 Miles |  |
| Five Mile Slough | 4 Miles |  |

6. Local agencies are required to make a 10 percent match by cash, or in-kind. Is your agency able to comply with the 10 percent match in advance before any grant money is reimbursed? ☒ Yes ☐ No

7. To provide additional information, please click on the Blue Arrow to [18183\\_\\_Stockton List of Waterways.pdf](#) add an attachment

**6. Submerged Navigational Hazard Abatement Plan (SNHAP) documentation**

| Attachment Title | Attachment                                 |
|------------------|--|
| Proposed SNHAP   | <a href="#">City of Stockton SNHAP.pdf</a> |

## 1. Outreach / Advertising plan for implementing a Vessel Turn-In Program

This will be the first year that the City of Stockton Police Department Neighborhood Services Section has participated in the Vessel Turn-In Program (VTIP). Due to the infancy of this program. Code Enforcement Officers working this program will identify VTIP vessels as they encounter them throughout the year. This will allow us to establish cost factors associated with accepting VTIP watercraft. This will allow us to better plan for future VTIP grant years.

## 2. Administrative Information

- Please state if you will accept surrendered vessels only within Area of Responsibility (AOR) or if you will accept outside Area of Responsibility requests

☒ Within AOR
 ☐ Within and Outside AOR

- Identify schedule for accepting surrendered vessels

☐ Daily
 ☐ Weekly
 ☐ Monthly
 ☒ As Needed

- Location where vessels will be accepted

☐ Agency Office
 ☐ Local Landfill
 ☒ Pickup by Agency or Salvager
 ☐ As Needed

- Storage area: Does your agency have a storage area for surrendered vessels pending destruction?
 ☐ Yes
 ☒ No

If Yes, identify the type of storage area

☐ Water
 ☐ Land

## 1. Applicant Certification

*Per Harbors and Navigation Code 525 (C) "A grant awarded by the department pursuant to subparagraph (A) shall be matched by a 10% contribution from the local agency receiving the grant." This matching fund may be rendered in cash, or through in-kind contributions which must be verified, and are at the discretion of DBW. These contributions may include (but are not limited to) the following: administrative costs, personnel hours, removal, and/or storage.*

*Grant monies WILL NOT be reimbursed by DBW unless 10% of each reimbursement claim is met.*

- a. ☒ Under penalty of perjury, I certify that I have examined this application and the document(s), proposal(s), and statement(s) submitted in conjunction herewith, and that to the best of my information and belief, the information contained herein is true, accurate, correct, and complete.
- b. ☒ I certify that I am the person authorized to submit this application on behalf of the applicant.

Prepared by:    Name:    Almarosa Vargas    Date:    04/27/2017

Reviewed by:    Name:    Almarosa Vargas    Date:    04/27/2017

Approving        Name:    Peter Lemos        Date:    04/27/2017  
Officer: