

## PROFESSIONAL SERVICES CONTRACT

THIS CONTRACT is entered into this \_\_\_\_ day of \_\_\_\_\_ 2024, between the CITY OF STOCKTON, a municipal corporation ("City"), and **CSG CONSULTANTS, INC.** whose address is **1303 J STREET, SUITE 270, SACRAMENTO, CA 95814** ("Consultant") for the **SCRIBNER STREET AREA BACKYARD SEWERS (PROJECT NO. UW23020)**, hereinafter referred to as "Project".

### RECITALS

- A. Consultant represents that it is licensed in the State of California and is qualified to provide the services proposed in the SCOPE OF WORK section of this Contract.
- B. City finds it necessary and advisable to use the services of the Consultant for the purposes provided in this Contract.

**NOW THEREFORE**, in consideration of the mutual promises, covenants, and conditions in this Contract, City and Consultant agree as follows:

**1. SCOPE OF SERVICES.** Subject to the terms and conditions set forth in this Contract, Consultant shall undertake and complete the services described in **Exhibit A**. Consultant shall provide said services at the time, place, and in the manner specified in **Exhibit C** and compatible with the standards of the profession. Consultant agrees that it shall produce a fully complete project that is acceptable to the City.

**2. COMPENSATION.** City shall pay Consultant for services outlined in **Exhibit A** according to the fee not to exceed the schedule detailed in **Exhibit B**, which is attached to this Contract and incorporated by this reference. Consultant agrees this fee is for full remuneration for performing all services and furnishing all staffing and materials called for in the scope of services. The payments shall be made on a monthly basis upon receipt and approval of Consultant's invoice. Total compensation for services and reimbursement for costs shall not exceed **\$185,060** or as otherwise mutually agreed to in a Contract Amendment.

**3. INSURANCE.** During the term of this Contract, Consultant shall maintain in full force and effect at its own cost and expense the insurance coverage as set forth in the attached **Exhibit D** and shall otherwise comply with the other provisions of **Exhibit D**.

**4. INDEMNITY AND HOLD HARMLESS.** With the exception that this section shall in no event be construed to require indemnification by Consultant to a greater extent than permitted under the public policy of the State of California, Consultant shall

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indemnify, and hold harmless the City of Stockton, its officers, officials, employees, and volunteers from and against any and all claims and causes of action which result in liabilities, judgments, awards, losses, damages, expenses, and costs (including reasonable attorneys' fees, expert and consultant fees, and other expenses of litigation) including, but not limited to, death or injury to persons, or damage to property, which arise out of any violation of federal, state, or municipal law or ordinance, to the extent damages are caused by the Consultant's negligent services provided under this Agreement, or are in any way caused by the negligent performance of work by the Consultant or Consultant's officers, agents, employees, or subcontractors. Consultant shall not be obligated to indemnify or defend City for claims finally determined by a court of law or arbitrator to arise from the negligence or willful misconduct of the City. It is the intent of the Parties that this indemnity obligation is at least as broad as is permitted under California law. To the extent California Civil Code sections 2782, et seq., limit the defense or indemnity obligations of Consultant to City, the intent hereunder is to provide the maximum defense and indemnity obligations allowed by Consultant under the law. The indemnity set forth in this section shall not be limited by insurance requirements or by any other provision of this Agreement.

With the exception that this section shall in no event be construed to require indemnification by Consultant to a greater extent than permitted under the public policy of the State of California, and in addition to the other indemnity obligations in this Agreement, Consultant shall indemnify, defend, and hold harmless the City of Stockton, its officers, officials, employees, and volunteers from and against claims, losses, expenses, and costs including, but not limited to, reasonable attorneys' fees, arising out of any claim brought against the City by an employee of Consultant, regardless of whether such claim may be covered by any applicable workers compensation insurance. Consultant's indemnification obligation is not limited in any way by any limitation on the amount or type of damages, compensation, or benefits payable by or for the Consultant under workers' compensation acts, disability acts, or other employee benefit acts.

**5. SCHEDULE AND TERM.** Consultant shall perform the scope of work as described in **Exhibit A** according to the schedule detailed in **Exhibit C**, which is attached to this Contract and incorporated by this reference. This Contract shall commence on the date written above and shall expire on **May 31, 2028**, unless extended by mutual agreement through the issuance of a Contract Amendment.

- a. Invoices submitted by Consultant to City must contain a brief description of work performed, time used, and include the City project number. Payment shall be made within thirty (30) days of approval of invoice by City.
- b. Upon completion of work and acceptance by City, Consultant shall have sixty (60) days in which to submit final invoicing for payment. An extension may be granted by City upon receiving a written request thirty (30) days in advance of said time limitation. City shall have no obligation or liability to pay any invoice for work performed which Consultant fails or neglects to

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submit within sixty (60) days, or any extension thereof granted by the City, after work is accepted by City.

**6. CONFORMANCE TO APPLICABLE LAWS.** Consultant shall comply with all applicable federal, State, and Municipal laws, rules, and ordinances. Consultant shall not discriminate in the employment of persons or in the provision of services under this Contract on the basis of any legally protected classification, including race, color, national origin, ancestry, sex or religion of such person.

a. TITLE VI

Title VI of the Civil Rights Act of 1964 requires that “no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.” (42 USC Section 2000d).  
<http://www.dol.gov/oasam/regs/statutes/titlevi.htm>.

The City of Stockton requires compliance with the requirements of Title VI in all of its programs and activities regardless of funding source.

b. DISCRIMINATION AND HARASSMENT POLICY

The City of Stockton has a Discrimination and Harassment Policy (**Exhibit E**). The purpose of this policy is to reaffirm the City’s commitment to demonstrating respect for all individuals by strictly prohibiting discrimination and harassment, including sexual harassment in the workplace, to define the types of behavior and conduct prohibited by this policy, and to set forth a procedure for reporting, investigating, and resolving complaints of discrimination and harassment in the workplace.

c. LABOR STANDARDS PROVISIONS/CALIFORNIA LABOR CODE

The bidder shall understand that conditions set forth in Chapter 1, Part 7, Division 2 of the California Labor Code shall be considered part of the contract agreement. [https://leginfo.legislature.ca.gov/faces/codes\\_displayText.xhtml?lawCode=LAB&division=2.&title=&part=7.&chapter=1.&article=2](https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=LAB&division=2.&title=&part=7.&chapter=1.&article=2).

d. PREVAILING WAGE RATES

Consultant and any subcontractor shall pay each employee engaged in the trade or occupation not less than the prevailing hourly wage rate. In accordance with the provisions of Section 1770 of the Labor Code, the Director of Department of Industrial Relations of the State of California has

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determined the general prevailing rates of wages and employer payments for health and welfare, pension, vacation, travel time, and subsistence pay as provided for in Section 1773.1, apprenticeship or other training programs authorized by Section 3093 and similar purposes applicable to the work to be done. Consultant performing the work under this contract shall obtain a copy of the wage rate determination and shall distribute copies to each subcontractor. As the wage determination for each craft reflects an expiration date, it shall be the prime Consultant and each subcontractor's responsibility to ensure that the prevailing wage rates of concern is current and paid to the employee.

- i. The Consultant performing the work shall be responsible for obtaining a copy of the State wage rate determination. State wage rates may be obtained at <http://www.dir.ca.gov/OPRL/pwd/Determinations/Northern/Northern.pdf>. The Consultant shall be responsible for posting said wage rates at a prominent location at the work site and shall maintain same in a good readable condition for the duration of the work.
- ii. Should the Consultant choose to work on a Saturday, Sunday or on a holiday recognized by the Labor Unions, the Consultant shall reimburse the City the actual cost of engineering, inspection, superintendence, and or other overhead expenses which are directly chargeable to the contract. Should such work be undertaken at the request of the City, reimbursement will not be required. To conform strictly with the provisions of Division 2, Part 7, Chapter 1, Article 2, of the Labor Code of the State of California. To forfeit as a penalty to City the sum of TWENTY-FIVE AND NO/100 DOLLARS (\$25.00) for each laborer, worker, or mechanic employed by CONTRACTOR, or by any subcontractor under Consultant, in the execution of this contract, for each calendar day during which any laborer, worker, or mechanic is required or permitted to work more than eight (8) hours and who is not paid the general prevailing rate of per diem wages for holiday and overtime work in violation of the provisions of Sections 1770 to 1781 of the Labor Code of the State of California. That all sums forfeited under the provisions of the foregoing sections shall be deducted from the payments to be made under the terms of this contract.
- iii. **PAYROLL RECORDS** - The Consultant to whom the contract is awarded shall ensure that the prime and each subcontractor will, in accordance with Section 1776 of the Labor Code, maintain certified payroll records. A copy of said records shall be provided with each invoice to the Public Works Department, Attention: Contract Compliance Officer. It shall be the Consultant's responsibility to obtain copies of the current prevailing wage rate determination for all

subcontractors. Additionally, certified payroll records must be uploaded to the DIR website as required by labor code.

- iv. **APPRENTICESHIP STANDARDS** - The Consultant shall comply with the provisions established in Section 1777.5 of the Labor Code concerning the 1) certified approval by local joint apprenticeship committees for the employment and training of apprentices, and 2) contribution of funds to administer and conduct apprenticeship programs, if applicable to the job.

e. **SANCTIONS**

Deliverables must conform with all applicable federal, state, and local laws. Such conformity includes compliance with federal sanctions, and Contractor certifies that it has not and will not engage in prohibited transactions with sanctioned persons or entities.

**7. RIGHTS AND DUTIES OF CITY.** City shall make available to Consultant all data and information in the possession of City which both parties deem necessary to complete the work, and City shall actively aid and assist Consultant in obtaining such information as may be deemed necessary from other agencies and individuals.

**8. OBLIGATIONS OF CONSULTANT.** Throughout the term of this Contract, Consultant represents and warrants that it has or will have at the time this Contract is executed, all licenses, permits, qualifications, insurance, and approvals of whatsoever nature which are legally required for the Consultant to practice its professions, and Consultant shall, at its own cost and expense, keep in effect during the life of this Contract all such licenses, permits, qualifications, insurance, and approvals. Consultant shall meet with the Public Works Director or other personnel of City or third parties as necessary on all matters connected with the carrying out of Consultant's services. Such meetings shall be held at the request of either party hereto. Consultant further warrants that it will follow the best current, generally accepted and professional practices to make findings, render opinions, prepare factual presentations, and provide professional advice and recommendations regarding this project.

**9. OWNERSHIP OF WORK.** All reports, drawings, designs, plan review comments, work product, and all other documents completed or partially completed by Consultant in the performance of this Contract shall become and remain the property of the City. Any and all copyrightable subject matter in all materials is hereby assigned to the City and the Consultant agrees to execute any additional documents that may be necessary to evidence such assignment. All materials shall be delivered to the City upon completion or termination of the work under this Contract. If any materials are lost, damaged, or destroyed before final delivery to the City, the Consultant shall replace them at its own expense. Consultant shall keep materials confidential. Materials shall not be used for purposes other than performance of services under this Contract and shall not

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be disclosed to anyone not connected with these services unless the City expressly provides prior written consent.

**10. CONTRACT AMENDMENTS.** City reserves the right to make such alterations as may be deemed necessary or advisable and to require such extra work as may be required for the proper completion of the work contemplated by Consultant. Any such changes will be set forth in a Contract Amendment which will specify, in addition to the work done in connection with the change made, adjustment of contract time, if any, and the basis of compensation for such work. A Contract Amendment will not become effective until approved by the authorized City official.

**11. TERMINATION.** The City may terminate this Contract at any time by mailing a notice in writing to Consultant. The Contract shall then be deemed terminated and no further work shall be performed by Consultant. If the Contract is so terminated, the Consultant shall be paid for that percentage of work actually completed at the time the notice of termination is received.

**12. CONSULTANT STATUS.** In performing the obligations set forth in this Contract, Consultant shall have the status of an independent contractor and Consultant shall not be considered to be an employee of the City for any purpose. All persons working for or under the direction of Consultant are its agents and employees, and are not agents of the City. Subcontractors shall not be recognized as having any direct or contractual relationship with the City. The persons engaged in the work, including employees of subcontractors and suppliers, will be considered employees of Consultant. The Consultant shall be responsible for the work of subcontractors, which shall be subject to the provisions of this Contract. The Consultant is responsible to the City for the acts and omissions of its subcontractors and persons directly or indirectly employed by them.

- a. If in the performance of this Contract any third persons are employed by Consultant, such persons shall be entirely and exclusively under the direction, supervision, and control of Consultant. All terms of employment including hours, wages, working conditions, discipline, hiring, and discharging or any other term of employment or requirement of law shall be determined by Consultant.
  - i. It is further understood and agreed that Consultant must issue W-2 forms or other forms as required by law for income and employment tax purposes for all of Consultant's personnel.
  - ii. As an independent contractor, Consultant hereby indemnifies and holds City harmless from any and all claims that may be made against the City based upon any contention by any third party that employer-employee relationship exists by reason of this Contract.

**13. ASSIGNMENT.** Consultant shall not assign, sublet, or transfer this Contract or any interest or obligation in the Contract without the prior written consent of the City, and then only upon such terms and conditions as City may set forth in writing. Consultant shall be solely responsible for reimbursing subcontractors.

**14. HEADINGS NOT CONTROLLING.** Headings used in the Contract are for reference purposes only and shall not be considered in construing this Contract.

**15. NOTICES.** Any and all notices herein required shall be in writing and shall be sent by certified or registered mail, postage prepaid, addressed as follows:

To Consultant: CSG Consultants, Inc.	To City: Public Works Director
1303 J Street	City of Stockton
Suite 270	22 E. Weber Ave., Rm. 301
Sacramento, CA 95814	Stockton, CA 95202

**16. LICENSES, CERTIFICATIONS, AND PERMITS.** Prior to the City's execution of this Contract and prior to the Consultant's engaging in any operation or activity set forth in this Contract, Consultant shall obtain a City of Stockton business license, which must be kept in effect during the term of this Contract. Consultant covenants that it has obtained all certificates, licenses, permits and the like required to perform the services under this Contract.

**17. RECORDS AND AUDITS.** City reserves the right to periodically audit all charges made by Consultant to City for services under this Contract. Upon request, Consultant agrees to furnish City, or a designated representative, with necessary information and assistance.

Consultant agrees that City or its delegate shall have the right to review, obtain, and copy all records pertaining to performance of the Contract. Consultant agrees to provide City or its delegate with any relevant information requested, and shall permit City or its delegate access to its premises, upon reasonable notice, during normal business hours for the purpose of interviewing employees and inspecting and copying such books, records, accounts, and other material that may be relevant to a matter under investigation for the purposes of determining compliance with this Contract. Consultant agrees to maintain such records for a period of three years from the date that final payment is made.

**18. CONFIDENTIALITY.** Consultant shall exercise reasonable precautions to prevent the unauthorized disclosure and use of City reports, information or conclusions.

**19. CONFLICTS OF INTEREST.** Consultant covenants that other than this Contract, Consultant has no financial interest with any official, employee, or other representative of the City. Consultant and its principals do not have any financial interest in real property, sources of income or investment that would be affected in any manner

or degree by the performance of Consultant's services under this Contract. If such an interest arises, Consultant will immediately notify City.

**20. WAIVER.** In the event either City or Consultant at any time waive any breach of this Contract by the other, such waiver shall not constitute a waiver of any other or succeeding breach of this Contract, whether of the same or of any other covenant, condition, or obligation.

**21. GOVERNING LAW.** California law shall govern any legal action pursuant to this Agreement with venue for all claims in the Superior Court of the County of San Joaquin, Stockton Branch or, where applicable, in the federal District Court of California, Eastern District, Sacramento Division.

**22. NO PERSONAL LIABILITY.** No official or employee of City shall be personally liable to Consultant in the event of any default or breach by City or for any amount due Consultant.

**23. INTEGRATION AND MODIFICATION.** The response by Consultant to the Request for Proposals and the Request for Proposals on file with the City Clerk are hereby incorporated herein by reference to the extent that such documents do not differ from the provisions and terms of this Contract that shall supersede such response to Request for Proposals. This Contract represents the entire integrated agreement between Consultant and City, supersedes all prior negotiations, representations, or agreements, either written or oral, between the parties, and may be amended only by written instrument signed by Consultant and City. All exhibits and this contract are intended to be construed as a single document. Should any inconsistency occur between the specific terms of this Contract and the attached exhibits, the terms of this Contract will prevail.

**24. SEVERABILITY.** The provisions of this Contract are severable to the extent that should any of its provisions or terms be declared void in whole or in part by operation of law or agreement of the parties, the remainder of the provisions or terms not expressly declared void shall remain enforceable and in full effect.

**25. THIRD PARTY RIGHTS.** Nothing in this Contract shall be construed to give any rights or benefits to anyone other than City and Consultant.

**26. AUTHORITY.** The undersigned hereby represent and warrant that they are authorized by the parties to execute this Contract.

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(Updated 04/24/23)



IN WITNESS WHEREOF: the parties have executed this Contract the day and year first hereinabove written.

**CITY OF STOCKTON**

By: \_\_\_\_\_  
HARRY BLACK  
CITY MANAGER

ATTEST:

BY: \_\_\_\_\_  
ELIZA R. GARZA, CMC  
CITY CLERK

APPROVED AS TO FORM:

BY: \_\_\_\_\_  
DEPUTY CITY ATTORNEY

**CSG CONSULTANTS, INC.**

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

Cyrus Kianpour

Print Name

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

## Detailed Work Plan

SECTION

6

CSG has reviewed the RFP and is in agreement with the scope of consultant services identified by the City. To clarify and organize the scope into separate tasks, we've summarized CSG's work plan below. Each task identifies the related deliverables which will be reviewed by a QA/QC Manager for completeness, paying particular attention to see that all bid items are properly defined, and payment sections of the specifications cover all significant cost elements and major items of work. The staff members identified in the organization chart will be assigned to specific tasks, outlined below, according to their strengths and experience to increase task completion efficiency and coordination. The proposed schedule is provided in Section 9.

### Task 1 PROJECT MANAGEMENT

Upon issuance of a Notice to Proceed, CSG will set up and manage the project. CSG will perform quality assurance and quality control prior to each milestone submittal and in conformance with City's Standards. CSG's Project Manager will act as the single point of contact to coordinate the project with the City.

Services under this task may include the following:

- *File Setup Maintenance, Management, and Sharing*
- *Quality Assurance and Quality Control Reviews prior to making milestone submittals to the City*
- *CPM Schedule Updates using Microsoft Project*
- *Monthly Invoices*

#### Task 1 Deliverables:

- QA/QC Reviews, Schedule Updates, Invoices

### Task 2 BACKGROUND RESEARCH

The CSG Team will perform the following background research tasks:

#### Task 2.1 – Data Collection/Public Notices

CSG will identify and collect existing base maps, right-of-way information, as-built drawings, utility information, assessor and subdivision maps, survey notes, sample plans and specifications from the City, County and other agencies. We will review and determine the extent of any extraordinary maintenance or reconstruction that may be needed. We will conduct site reconnaissance of the project site and perform visual assessment of existing site condition and evaluate project impacts to the existing roadway and utility improvements.

CSG will review City maintenance records and existing CCTV inspection reports and videos to evaluate the conditions of existing sewer pipes and recommend any pipe repairs.

CSG will prepare public notices in order to gain access to the adjacent properties during site reconnaissance. We will prepare right-of-entry letters and obtain property owners' signatures prior to any access on their properties during construction. We will identify any impacts, including service interruptions, encroachments, access restrictions and potential damage to private properties, and will recommend any necessary mitigation measures during the design stage.

### Task 2.2 – Topographic Survey

**Wong Engineering** will verify the limits of topographic surveys and level of accuracy with the City staff at the kickoff meeting and perform topographic surveys to collect horizontal and vertical information of sanitary sewer manholes, sewer laterals, other utilities crossing and/or near the sanitary sewer systems, curb and gutter, sidewalk, pavement, walls, fences, hardscape, landscape and other existing improvements along the sewer main alignment. Aerial images will be collected using a mapping drone to provide up to date images of the affected backyards allowing for identification of any potential private improvements that may be affected by the pipe replacement.

The CSG Team will coordinate with the City and County to obtain right of way maps, records of survey, subdivision maps and survey notes that will be the basis for determining the locations of rights of way, easements and recorded monuments which will be affected by the project. The team will confirm the presence of the recorded monuments in the field and determine how the monuments are to be shown on the construction plans. The monuments will be field surveyed. Based on field observation, it appears that the project will not impact the existing monuments. We will set horizontal and vertical control based on City's Horizontal Control Survey. The elevation will be based on City's benchmarks.



*Figure 1-Manhole on 7th Street*

### Task 2.3 – Utility Research and Coordination

CSG will first start with requesting maps and depth information, if available, from all the relevant utility companies (Cal Water, PG&E, AT&T and Comcast). We will review utility information and identify any conflicts with proposed improvements.

CSG will coordinate with utility companies to discuss proposed improvements and any potential conflicts, adjustments and relocations of their facilities, and potential service interruptions. We will prepare and submit a project limit map showing the project area to request utility information from utility companies. During preliminary design stage, we will prepare and submit Utility Letter "A" and to the City for review prior to sending the letter to the utility companies. Utility information received from the utility companies will be shown on a base map in both plan and profile views. During 50% design phase, we will prepare and submit Utility Letter "B" to the City for review prior to sending it to utility companies. Two sets of half-sized 50% plan will be submitted with the Letter "B" to utility companies to confirm any utility conflicts and whether any future utilities are proposed. These plans will show existing surface features, utilities, and proposed improvements to the existing sanitary sewer main and bypass lines. Comments from the reviews by the utility companies will be addressed on the subsequent design plan sets for their review and approval. During 100% design phase, we will prepare and submit Utility Letter "C" to the City for review prior to sending it to utility companies. Two sets of half-sized 100% plan will be submitted with the Letter "C" to utility companies to indicate whether any changes to the design plans have been made since the submittal of Letter "B", and request written confirmation of utility relocations, if any, and utility relocation schedule. We will provide copies of all utility data obtained from the utility companies to the City for its records.

Services under this task may include the following:

- *Prepare and deliver public notices along with right-of-entry letter to property owners*
- *Research and collect existing project information and data*
- *Review of available maintenance reports and CCTV inspection reports and videos*
- *Field Investigations, including but not limited to identifying locations of sanitary sewer main, laterals, curb, gutter, wall, fence, and utility covers*
- *Topographic survey*
- *Monument research, based on right of way maps, subdivision maps and notes provided by the City*

- *Field confirmation of research identified monuments*
- *Utility Map Requests*
- *Coordination with Utility Companies*
- *Preparation and Submittal of Utility Letters A, B and C with 50% and 100% Plans*
- *Perform utility potholing where the project lines cross public streets.*
  - *East Sixth west of Superior Street.*
  - *Seventh Street E east of Scribner Street*
- *Verify location of sewer on north side of East Sixth, located generally along back of sidewalk utilizing Ground Penetrating Radar methods.*

**Task 2 Deliverables:**

- Obtaining Existing Records and Maps, Topographic Survey Data, Utility Map Requests, Utility Letters A, B and C with two half-sized Sets of 50% and 100% Plans; Utility Data received from Utility Companies

**Task 3 ENVIRONMENTAL SERVICES (Not In Contract)**

- City staff will provide CEQA documents and processing.

**Task 4 PS&E DESIGN (50%, 90%, AND 100% DESIGN STAGES)**

CSG will prepare a base map at a convenient scale, with aerial photos as background, showing the existing topographic survey data, utility information and other existing roadway improvements to facilitate the design of necessary improvements using the City's latest benchmark information. CSG will coordinate with City staff to determine the format and setup of plan sheets for the project. A preliminary index schematic will be prepared for the City's review and concurrence. CSG will develop plans, specifications, and estimates for the project based on the final selection of sewer pipe rehabilitation measures. The plans will include existing locations and depths of sewer manholes and nearby utilities, types and limits of sewer pipe rehabilitation treatments, locations and limits of sewerage flow bypass pipes, limits of pavement repairs if needed, preservation of existing survey monuments, and pollution prevention and traffic control. The plans will be based on the following table which reflects the type and number of plan sheets anticipated for the project:

Sheet Description	Estimated Sheets
Title/General Notes/Key Map	2
Horizontal Control Plan	1
Improvement Plans	10
Construction Details	2
Bypassing Plans	1
Pollution Prevention Plans	1
Traffic Control Plans	1
<b>TOTAL</b>	<b>18</b>

**Assumptions:**

The number of sheets shown in the above table may change based on our final determination during design stage.

PS&E documents will be prepared in accordance with the latest City's standards and California MUTCD. A response matrix will be prepared listing City's review comments and CSG's responses to those comments. Agreed upon comments will be incorporated. The original redlined comments from the City will be returned with the succeeding submittals. CSG will finalize the plans, specifications and engineer's estimate for the project. The completion of the final PS&E package will constitute a "Ready to Advertise" condition. Services under this task may include the following:



*Figure 2-Manhole on 6th Street*

- *Prepare Base Map showing existing improvements*
- *Develop and update Plans at 50%, 90% and 100% Design Stages*
- *Review and respond to City's comments in a Comment Matrix*
- *Develop and update Technical Specifications in City's "boiler plate" format in Microsoft Word*
- *Perform Quantity Takeoffs and generate and update Engineer's Estimates in Microsoft Excel*
- *Prepare and submit Final PS&E Package*

**Task 4 Deliverables:**

- Base Map showing Existing Improvements in PDF format, Plans in 24"x36" format and in PDF format, one (1) copy of Specifications in PDF format and one (1) copy of Engineer's Estimates in PDF format at each submittal stage, additional one (1) sets of final Plans on 24"x36" mylar sheets, signed and stamped Specifications in MS Word and PDF formats on a CD, and signed and stamped Engineer's Estimate in Excel and PDF formats on a CD and Construction Drawing Files in AutoCAD and PDF format at Final Submittal Stage, Comment Matrix in MS Word document format

**Task 5 PUBLIC OUTREACH**

The CSG Team will prepare and send public notices with right of entry letters to the affected property owners and residents, in order to gain access to the private properties for site reconnaissance and investigations. Right of Entry letters will be prepared in English and Spanish. CSG will identify any impacts, including service interruptions, encroachments, access restrictions and potential damage to private properties and recommend any necessary mitigation measures during the design stage. After the completion of field reconnaissance and initial design, CSG will prepare exhibits and documents to explain the proposed improvements, the benefits to the property owner, and the expected construction impacts to accompany the City's request to enter. Right-of-entry letters with property owners' signatures will be acquired by CSG before the field reconnaissance and construction.

**Task 5 Deliverables:**

- *Public Notices, Signed Right of Entry Letters*

## Task 6 COORDINATION/MEETINGS

Upon issuance of a Notice to Proceed, CSG will schedule a Kick Off meeting with the City to clearly identify and discuss the project objectives, scope, schedule and budget. At this meeting, points of contact will be established; schedules reviewed; standards and guidelines identified; and expectations communicated. CSG will attend up to three (3) design review meetings: after completion of design assessment, after receiving the City review comments at 50% submittal, and after receiving the City review comments at 95% submittal. CSG will attend the pre-construction meeting as required. CSG will be responsible for coordination between City and Subconsultants, involved in the project. Services under this task may include the following:

- *Kick Off Meeting coordination and attendance*
- *Design review meetings (up to 3 total) with City*
- *Coordination with City, Subconsultants*
- *Attendance of pre-construction meeting*
- *Attendance of construction meetings with contractor if needed*



Figure 3- Edward Merlo School

### Task 6 Deliverables:

- Meeting Agendas and Minutes

## Task 7 BID PHASE SUPPORT SERVICES AND RESIDENT ENGINEER (RE) FILE

CSG will provide assistance to the City during the advertisement and bid period and will furnish the resident engineer with any pertinent project data required to administer the construction contract. Services under this task may include the following:

- *Review Submittals*
- *Prepare Letters of Clarifications*
- *Prepare Contract Addenda*
- *Prepare and Submit Supplemental Conform Drawings if needed*
- *Provide Resident Engineer Project Data*

### Task 7 Deliverables:

- Letters of Clarifications, Contract Addenda, Conform Drawings in PDF, Resident Engineer file on CD



## **Task 8 CONSTRUCTION SUPPORT SERVICES / AS BUILT DRAWINGS**

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CSG will provide engineering support to the City during the construction of the project. Services under this task may include the following:

- *Attend pre-construction meeting*
- *Review Shop Drawing submittals*
- *Respond to Requests for Information (RFI)*
- *Prepare Clarification Sketches*
- *Perform Field Observations (up to 1 visit)*
- *Prepare Record Drawings on mylars based upon receipt of as-built information from the contractor*
- *Prepare and update As-Built Drawings in AutoCAD based upon receipt of red-lines from the contractor*

### **Task 8 Deliverables:**

- Requests for Clarifications, Clarification Sketches, Record Drawings on Mylars, As-Built Drawings in AutoCAD and on Mylars

## **Task 9 PRESERVING SURVEY MONUMENTS**

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Based on our site visit, only one monument was observed in the vicinity of the manholes located in the public right-of-way. That monument was several feet away and judged to be located in an area unlikely to be disturbed by the anticipated construction activities. Any existing monuments in the area of construction will be identified and listed on the improvement plans with appropriate notes about the need for preservation of the monuments, all in accordance with the requirements of Section 8771 of the professional Land Surveyors Act. We are assuming that no monuments will be affected by construction operations.

### **Task 9 Deliverables:**

- Identification of monuments on the Improvement Plans, conformance with Section 8771.

## **Task 10 RIGHTS OF ENTRY**

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CSG will prepare exhibits identifying the work to be performed on the prospective private properties and a cover letter accompanying the City provided Right of Entry form. We estimate that approximately 65 properties will have actual construction activities performed and another 25 properties will be affected by service interruptions.

### **Task 10 Deliverables:**

- Letters to accompany Right of Entry forms, exhibits and details detailing type of work and/or service interruption to be expected. Letters I and explanation of work to be bilingual.

CITY OF STOCKTON - SCRIBNER STREET AREA BACKYARD SANITARY SEWER LINE REHABILITATION										
PROJECT NO. UW 23020										
REVISED RESOURCE ALLOCATION ESTIMATE PREPARED BY CSG CONSULTANTS - 01/23/2024										
Task Description	Principal Engineer	Senior Engineer	Associate Engineer	CSG Totals		LSA Associates (Environmental)	Wong Engineering (Topographic Survey)	Postage, reproduction, etc.	Exaro Technologies (Pothole, GPR)	Totals
Category	\$235	\$210	\$180	Hours	Cost					Cost
Task 1 - Project Management										
City and Subconsultant Coordination	4			4	\$ 940					\$ 940
File Setup and Maintain, Management, and sharing			4	4	\$ 720					\$ 720
Quality Assurance & Quality Control Review	12			12	\$ 2,820					\$ 2,820
Microsoft Project CPM Schedule and Update	4			4	\$ 940					\$ 940
Monthly Invoices	6			6	\$ 1,410					\$ 1,410
Subtotal - Task 1	26	0	4	30	\$ 6,830	\$0	\$0	\$0	\$0	\$ 6,830
Task 2 - Background Research										
Field Investigation		12	12	24	\$ 4,680					\$ 4,680
Research, Collect and Review Recorded Files		2	8	10	\$ 1,860					\$ 1,860
Topographic Surveys & Right of Way Mapping	2			2	\$ 470		\$11,700			\$ 12,170
Prepare Utility Map Request Letter		2	6	8	\$ 1,500					\$ 1,500
Utility Coordination	2	8		10	\$ 2,150					\$ 2,150
Potholing	2		2	4	\$ 830				\$18,100	\$ 18,930
Ground Penetrating Radar	2		2	4	\$ 830				\$5,050	\$ 5,880
Subtotal - Task 2	8	24	30	62	\$ 12,320	\$0	\$11,700	\$0	\$23,150	\$ 47,170
Task 3 - Environmental Services										
N.I.C.				0	\$ -					\$ -
Subtotal - Task 2	0	0	0	0	\$ -	\$0	\$0	\$0	\$0	\$ -
Task 4 - Plans. Specification, Estimate (PS&E)										
50% PS&E	24	40	160	224	\$ 42,840					\$ 42,840
90% PS&E	12	24	88	124	\$ 23,700					\$ 23,700
95% PS&E	8	16	48	72	\$ 13,880					\$ 13,880
Final PS&E	6	12	40	58	\$ 11,130					\$ 11,130
Create Mylar Drawings			2	2	\$ 360			\$100		\$ 460
Subtotal - Task 4	50	92	338	480	\$ 91,910	\$0	\$0	\$100	\$0	\$ 92,010
Task 5 - Public Outreach										
Prepare Public Notices and Right of Entry	2	8	12	22	\$ 4,310					\$ 4,310
Prepare address labels	1		6	7	\$ 1,315					\$ 1,315
Distribute Public Notice and Collect Right of Entry		4	8	12	\$ 2,280			\$120		\$ 2,400
Subtotal - Task 5	3	12	26	41	\$ 7,905	\$0	\$0	\$120	\$0	\$ 8,025
Task 6 - Coordination and Meetings										
Project Kickoff Meeting	3	3		6	\$ 1,335					\$ 1,335
Review Meeting After 50% Submittal (1)	2	2		4	\$ 890					\$ 890
Review Meeting After 90% Submittal (1)	2	2		4	\$ 890					\$ 890
Prepare meeting muiutes		4		4	\$ 840					\$ 840
Subtotal - Task 6	7	11	0	18	\$ 3,955	\$0	\$0	\$0	\$0	\$3,955
Task 7 - Bid Support Services and Resident Engineer File										
Respond to RFI		4		4	\$ 840					\$ 840
Prepare Addendum		2	4	6	\$ 1,140					\$ 1,140
Prepare Conform Set Drawing		4	8	12	\$ 2,280					\$ 2,280
Prepare Resident Engineer File		2	4	6	\$ 1,140					\$ 1,140
Subtotal - Task 7	0	12	16	28	\$ 5,400	\$0	\$0	\$0	\$0	\$ 5,400
Task 8 - Construction Support Services / As-Built Drawings										
Attend Pre-Construction Meeting	4	4		8	\$ 1,780					\$ 1,780
Review Shop Drawing Submittal	2	8		10	\$ 2,150					\$ 2,150
Response to RFI	2	8		10	\$ 2,150					\$ 2,150
Prepare Change Orders		4		4	\$ 840					\$ 840
Field Observations (1)	6	6		12	\$ 2,670					\$ 2,670
Prepare As-Built Drawings		2	4	6	\$ 1,140			\$100		\$ 1,240
Subtotal - Task 8	14	32	4	50	\$ 10,730	\$0	\$0	\$100	\$0	\$ 10,830
Task 9 - Preserving Survey Monuments										
Identify and List Monuments	1		4	5	\$ 955					\$ 955
				0	\$ -					\$ -
Subtotal - Task 9	1	0	4	5	\$955	\$0	\$0	\$0	\$0	\$955
Task 10 - Rights of Entry										
Prepare Right of Entry Letters	2		12	14	\$ 2,630					\$ 2,630
Prepare Exhibits	4		24	28	\$ 5,260					\$ 5,260
Coordinate w/ City	4			4	\$ 940					\$ 940
Distribute Construction Right of Entry	1		4		\$ 955			\$100		\$ 1,055
Subtotal - Task 10	11	0	40	46	\$ 9,785	\$0	\$0	\$100	\$0	\$ 9,885
Total All Tasks	120	183	462	760	\$ 149,790	\$0	\$11,700	\$420	\$23,150	\$ 185,060
TOTAL					\$149,790	\$0	\$11,700	\$420	\$23,150	\$185,060



CSG Consultants, Inc.  
City of Stockton  
Scribner Street Backyard Sewers, Project No. UW23020

ATTACHMENT B

EXHIBIT C

ID	Task Name	Duration	Start	Finish	May	Jun	Qtr 3, 2024 Jul	Aug	Sep	Qtr 4, 2024 Oct	Nov	Dec	Qtr 1, 2025 Jan	Feb	Mar	Qtr 2, 2025 Apr	May	Jun	Qtr 3, 2025 Jul	Aug	Sep	Qtr 4, 2025 Oct	Nov	Dec
1	Task 1 - Project Management	202 days	Mon 6/3/24	Tue 3/11/25	Task 1 - Project Management																			
2	Notice to Proceed	0 days	Mon 6/3/24	Mon 6/3/24	6/3	EXHIBIT																		
3	Kick Off Meeting	1 day	Mon 6/10/24	Mon 6/10/24	6/10																			
4	Obtain City Encroachment Permit for Survey	11 days	Mon 6/17/24	Mon 7/1/24	7/1																			
5	City and Subconsultant Coordination	196 days	Tue 6/11/24	Tue 3/11/25	3/11	City and Subconsultant Coordination																		
6	Task 2 - Background Research	211 days	Mon 6/3/24	Mon 3/24/25	Task 2 - Background Research																			
7	Research, Collect and Review Record Files	16 days	Mon 6/3/24	Mon 6/24/24	6/24	Research, Collect and Review Record Files																		
8	Field Investigation	5 days	Tue 6/25/24	Mon 7/1/24	7/1	Field Investigation																		
9	Potholing / GPR	15 days	Tue 6/25/24	Mon 7/15/24	7/15	Potholing / GPR																		
10	Topographic Survey	5 days	Tue 7/16/24	Mon 7/22/24	7/22	Topographic Survey																		
11	Prepare Right of Way Map	10 days	Tue 7/23/24	Mon 8/5/24	8/5	Prepare Right of Way Map																		
12	Utility Map Request and Review	25 days	Tue 6/25/24	Mon 7/29/24	7/29	Utility Map Request and Review																		
13	Utility Coordination	170 days	Tue 7/30/24	Mon 3/24/25	3/24	Utility Coordination																		
14	Task 3 - Environmental Services (Not In Contract)	0 days	Mon 6/3/24	Mon 6/3/24	6/3	Task 3 - Environmental Services (Not In Contract)																		
15	Task 4 - PS&E Design	127 days	Tue 7/23/24	Wed 1/15/25	Task 4 - PS&E Design																			
16	Prepare Base Maps	10 days	Tue 7/23/24	Mon 8/5/24	8/5	Prepare Base Maps																		
17	Prepare 50% PS&E	29 days	Tue 8/6/24	Fri 9/13/24	9/13	Prepare 50% PS&E																		
18	Submit 50% PS&E	0 days	Fri 9/13/24	Fri 9/13/24	9/13	Submit 50% PS&E																		
19	City Review	15 days	Mon 9/16/24	Fri 10/4/24	10/4	City Review																		
20	Design Meeting #1	0 days	Wed 10/9/24	Wed 10/9/24	10/9	Design Meeting #1																		
21	Prepare 95% PS&E	26 days	Thu 10/10/24	Thu 11/14/24	11/14	Prepare 95% PS&E																		
22	Submit 95% PS&E	0 days	Thu 11/14/24	Thu 11/14/24	11/14	Submit 95% PS&E																		
23	City Review	10 days	Fri 11/15/24	Thu 11/28/24	11/28	City Review																		
24	Design Meeting #2	0 days	Tue 12/3/24	Tue 12/3/24	12/3	Design Meeting #2																		
25	Prepare 100% PS&E	11 days	Wed 12/4/24	Wed 12/18/24	12/18	Prepare 100% PS&E																		
26	Submit 100% PS&E to City	0 days	Wed 12/18/24	Wed 12/18/24	12/18	Submit 100% PS&E to City																		
27	City Review	15 days	Thu 12/19/24	Wed 1/8/25	1/8	City Review																		
28	Submit Final PS&E	0 days	Wed 1/15/25	Wed 1/15/25	1/15	Submit Final PS&E																		
29	Task 5 - Public Outreach	218 days	Mon 7/1/24	Wed 4/30/25	Task 5 - Public Outreach																			
30	Prepare Public Notices and Collect Right of Entry before Field Investigation	21 days	Mon 7/1/24	Mon 7/29/24	7/29	Prepare Public Notices and Collect Right of Entry before Field Investigation																		
31	Prepare Public Notices and Collect Right of Entry before Construction	55 days	Thu 2/13/25	Wed 4/30/25	4/30	Prepare Public Notices and Collect Right of Entry before Construction																		
32	Task 7 – Bid Support Services and Resident Engineer File	99 days	Thu 1/23/25	Tue 6/10/25	Task 7 – Bid Support Services and Resident Engineer File																			
33	Prepare Resident Engineer File	7 days	Thu 1/23/25	Fri 1/31/25	1/31	Prepare Resident Engineer File																		
34	Advertise for Bid	21 days	Thu 2/13/25	Thu 3/13/25	3/13	Advertise for Bid																		
35	Open Bids	0 days	Thu 3/13/25	Thu 3/13/25	3/13	Open Bids																		
36	City Council Approval of Contract	0 days	Tue 6/10/25	Tue 6/10/25	6/10	City Council Approval of Contract																		
37	Task 8 - Construction Support	109 days	Wed 7/9/25	Mon 12/8/25	Task 8 - Construction Support																			
38	Pre-construction	10 days	Wed 7/9/25	Tue 7/22/25	7/22	Pre-construction																		
39	Construction Support	68 days	Wed 7/23/25	Fri 10/24/25	Construction Support																			
40	Prepare As-built Drawings	10 days	Mon 10/27/25	Fri 11/7/25	Prepare As-built Drawings																			
41	Project Close-out	1 day	Mon 12/8/25	Mon 12/8/25	Project Close-out																			
42	Task 10 - Rights of Entry	73 days	Wed 1/15/25	Fri 4/25/25	Task 10 - Rights of Entry																			
43	Prepare Right of Entry Documents	15 days	Wed 1/15/25	Tue 2/4/25	2/4	Prepare Right of Entry Documents																		
44	Distribute ROE letters	3 days	Wed 2/5/25	Fri 2/7/25	2/7	Distribute ROE letters																		
45	Follow up and Collection of ROE	35 days	Mon 3/10/25	Fri 4/25/25	4/25	Follow up and Collection of ROE																		

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**Insurance Requirements for Professional Services**  
**Scribner Street Area Backyard Sewer Replacement**

Consultant shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Consultant, its agents, representatives, or employees.

**MINIMUM SCOPE AND LIMIT OF INSURANCE**

Coverage shall be at least as broad as:

1. **Commercial General Liability (CGL):** Insurance Services Office Form CG 00 01 covering CGL on an "occurrence" basis, including products and completed operations, property damage, bodily injury and personal & advertising injury with limits no less than **\$2,000,000** per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this project/location (ISO CG 25 03 or 25 04) or the general aggregate limit shall be twice the required occurrence limit.
2. **Automobile Liability:** Insurance Services Office Form Number CA 0001 covering, Code 1 (any auto), or if Consultant has no owned autos, Code 8 (hired) and 9 (non-owned), with limit no less than **\$1,000,000** per accident for bodily injury and property damage.
3. **Workers' Compensation** insurance as required by the State of California, with Statutory Limits, and Employer's Liability Insurance with limit of no less than **\$1,000,000** per accident for bodily injury or disease.  
***(Not required if consultant provides written verification it has no employees)***
4. **Professional Liability** (Errors and Omissions) Insurance appropriate to the Consultant's profession, with limit no less than **\$2,000,000** per occurrence or claim, **\$2,000,000** aggregate.

If the Consultant maintains broader coverage and/or higher limits than the minimums shown above, the City of Stockton requires and shall be entitled to the broader coverage and/or the higher limits maintained by the contractor. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the City of Stockton.

**Other Insurance Provisions**

The insurance policies are to contain, or be endorsed to contain, the following provisions:

***Additional Insured Status***

The City of Stockton, its officers, officials, employees, and volunteers are to be covered as additional insureds on the CGL policy with respect to liability arising out of work or operations performed by or on behalf of the Contractor including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to the Contractor's insurance (at least as broad as ISO Form CG 20 10 11 85 or if not available, through the addition of **both** CG 20 10, CG 20 26, CG 20 33, or CG 20 38; **and** CG 20 37 if a later edition is used). Additional insured Name of Organization shall read "City of Stockton, its officers, officials, employees, and volunteers." Policy shall cover City of Stockton, its officers, officials, employees, and volunteers for all locations work is done under this contract.

***Primary Coverage***

For any claims related to this contract, the **Contractor's insurance coverage shall be primary and non-contributory** and at least as broad as ISO CG 20 01 04 13 as respects the City of Stockton, its officers, officials, employees, and volunteers. Any insurance or self-insurance maintained by the City of Stockton, its officers, officials, employees, or volunteers shall be excess of the Contractor's insurance and shall not contribute with it. This requirement shall also apply to any Excess or Umbrella liability policies. The City of Stockton does not accept endorsements limiting the Contractor's insurance coverage to the sole negligence of the Named Insured.

***Umbrella or Excess Policy***

The Contractor may use Umbrella or Excess Policies to provide the liability limits as required in this agreement. This form of insurance will be acceptable provided that all of the Primary and Umbrella or Excess Policies shall provide all of the insurance coverages herein required, including, but not limited to, primary and non-contributory, additional insured, Self-Insured Retentions (SIRs), indemnity, and defense requirements. The Umbrella or Excess policies shall be provided on a true "following form" or broader coverage basis, with coverage at least as broad as provided on the underlying Commercial General Liability insurance. No insurance policies maintained by the Additional Insureds, whether primary or excess, and which also apply to a loss covered hereunder, shall be called upon to contribute to a loss until the Contractor's primary and excess liability policies are exhausted.

***Notice of Cancellation***

Each insurance policy required above shall provide that coverage shall not be canceled, except with notice to the City of Stockton.

***Waiver of Subrogation***

Contractor hereby grants to City of Stockton a waiver of any right to subrogation which any insurer of said Contractor may acquire against the City of Stockton by virtue of the payment of any loss under such insurance. Contractor agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this

provision applies regardless of whether or not the City of Stockton has received a waiver of subrogation endorsement from the insurer.

### ***Self-Insured Retentions***

Self-insured retentions must be declared to and approved by the City of Stockton. The City of Stockton may require the Contractor to purchase coverage with a lower retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention. The policy language shall provide, or be endorsed to provide, that the self-insured retention may be satisfied by either the named insured or City of Stockton. The CGL and any policies, including Excess liability policies, may not be subject to a self-insured retention (SIR) or deductible that exceeds \$25,000 unless approved in writing by City of Stockton. Any and all deductibles and SIRs shall be the sole responsibility of Contractor or subcontractor who procured such insurance and shall not apply to the Indemnified Additional Insured Parties. City of Stockton may deduct from any amounts otherwise due Contractor to fund the SIR/deductible. Policies shall NOT contain any self-insured retention (SIR) provision that limits the satisfaction of the SIR to the Named. The policy must also provide that Defense costs, including the Allocated Loss Adjustment Expenses, will satisfy the SIR or deductible. City of Stockton reserves the right to obtain a copy of any policies and endorsements for verification.

### ***Acceptability of Insurers***

Insurance is to be placed with insurers authorized to conduct business in the state with a current A.M. Best's rating of no less than A:VII, unless otherwise acceptable to the City of Stockton.

### ***Claims Made Policies***

If any of the required policies provide claims-made coverage:

1. The Retroactive Date must be shown, and must be before the date of the contract or the beginning of contract work.
2. Insurance must be maintained and evidence of insurance must be provided ***for at least five (5) years after completion of the contract of work.***
3. If coverage is canceled or non-renewed, and not replaced ***with another claims-made policy form with a Retroactive Date prior to*** the contract effective date, the Contractor must purchase "extended reporting" coverage for a minimum of ***five (5)*** years after completion of work.

***Verification of Coverage***

Contractor shall furnish the City of Stockton with original certificates and amendatory endorsements or copies of the applicable policy language effecting coverage required by this clause **and a copy of the Declarations and Endorsements Pages of the CGL and any Excess policies listing all policy endorsements**. All certificates and endorsements and copies of the Declarations & Endorsements pages are to be received and approved by the City of Stockton before work commences. However, failure to obtain the required documents prior to the work beginning shall not waive the Contractor's obligation to provide them. The City of Stockton reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time. City of Stockton reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

***Subcontractors***

Consultant shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and Contractor shall ensure that City of Stockton is an additional insured on insurance required from subcontractors.

***Duration of Coverage***

CGL & Excess liability policies **for any construction related work, including, but not limited to, maintenance, service, or repair work**, shall continue coverage for a minimum of 5 years for Completed Operations liability coverage. Such Insurance must be maintained and evidence of insurance must be provided ***for at least five (5) years after completion of the contract of work***.

***Special Risks or Circumstances***

City of Stockton reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

**Certificate Holder Address**

The address for mailing certificates, endorsements and notices shall be:

City of Stockton  
Its Officers, Officials, Employees, and Volunteers  
400 E Main Street, 3<sup>rd</sup> Floor – HR  
Stockton, CA 95202

CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE

Subject:  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	Directive No. <b>HR-15</b>	Page No. <b>1 of 14</b>
	Effective Date:  <b>5/1/2015</b>	Revised From: <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
 PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

**I. PURPOSE**

The purpose of this policy is to reaffirm the City's commitment to demonstrating respect for all individuals by strictly prohibiting discrimination and harassment, including sexual harassment in the workplace. This policy defines prohibited behavior and conduct, and sets forth a procedure for reporting, investigating and resolving complaints of discrimination, harassment, in the workplace, including retaliation and hostile work environment.

**II. POLICY**

- A. The City of Stockton prohibits any form of discrimination and/or harassment of any person based on race, religious creed, color, national origin, ancestry, military and veterans status, physical or mental disability, medical condition, genetic characteristics or information, denial of family and medical care leave, marital status, sexual orientation, sex (including gender, gender identity, gender expression, transgender, pregnancy, childbirth and breastfeeding), political affiliation, age (40 and older), concerted labor activity, or any other category or attribute consistent with state or federal law. All such discrimination and harassment is unlawful and shall not be tolerated. In addition, under the federal Affordable Care Act (ACA), the City of Stockton prohibits discrimination and/or harassment, or retaliation against an employee who obtains coverage, receives a tax credit or subsidy through the Health Care "Market Place" or "Exchange."
- B. It is an unlawful employment practice to discriminate against or to harass an unpaid intern or volunteer on the basis of any legally protected classification unless an exception applies, such as a bona fide occupational qualification.
- C. The City will neither tolerate nor condone discrimination and/or harassment of employees by managers, supervisors, co-workers, or non-employees with whom City employees have a business service, or professional relationship.
- D. All City employees and non-employees share a responsibility to assist in

CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Directive No. HR-15</b>	<b>Page No. 2 of 14</b>
	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

maintaining an employment environment free of discrimination and harassment. This policy applies to all aspects of City employment, including, but not limited to, hiring, reassignment, placement, promotion, employment action, disciplinary action, layoff, reemployment, transfer, leave of absence, compensation and benefits, training; or other terms of treatment of that person in an unpaid internship, or another limited duration program to provide unpaid work experience for that person, or the harassment of an unpaid intern or volunteer.

- E. All allegations of discrimination and/or harassment shall be investigated immediately by the City, in accordance with this policy. If it is determined that any prohibited activity has occurred, remedial action shall be taken. Such action may include discipline up to and including discharge. In addition, under applicable law, individual supervisors and employees may be subject to personal liability and/or punitive damages in any litigation arising as a result of such conduct.
- F. All new hires shall attend harassment awareness training, and supervisors and managers shall attend harassment awareness and prevention training for supervisors every two years.
- G. The City of Stockton prohibits retaliation against any employee or non-employee by another employee, non-employee, supervisor, or manager for reporting, filing, testifying, assisting or participating in any manner in any investigation, proceeding, or hearing conducted by the employer or a federal or state enforcement agency.
- H. This policy applies to all officials, employees, volunteers, unpaid interns, agents, or contractors of the City.
- I. This policy shall be administered by the Director of Human Resources.

CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE

Subject:  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	Directive No. <b>HR-15</b>	Page No. <b>3 of 14</b>
	Effective Date:  <b>5/1/2015</b>	Revised From: <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

**III. DEFINITION AND EXAMPLES OF DISCRIMINATION AND HARASSMENT**

- A. "Discrimination," as used in this policy, is any action, behavior, practice, or process that is intended to deny, or results in the denial of, employment rights, privileges, or benefits because of a person's race, religious creed, color, national origin, ancestry, military and veterans status, physical or mental disability, medical condition, genetic characteristics or information, denial of family and medical care leave, marital status, sexual orientation, sex (including gender, gender identity, gender expression, transgender, pregnancy, childbirth and breastfeeding), political affiliation, age (40 and older), concerted labor activity, or any other prohibition identified under state and federal law. The following are examples of conduct that may constitute discrimination:
1. Soliciting applications from a source where all or most of potential workers are of the same race or color.
  2. Considering a person's gender as the basis for differences in pay, work assignments, performance evaluations, training, discipline, or any other area of employment; and
  3. Questioning a job applicant about the existence, nature and severity of a disability.
- B. "Harassment," as used in this policy, consists of any conduct affecting another person because of his or her race, religious creed, color, national origin, ancestry, military and veterans status, physical or mental disability, medical condition, genetic characteristics or information, denial of family and medical care leave, marital status, sexual orientation, sex (including gender, gender identity, gender expression, transgender, pregnancy, childbirth and breastfeeding), political affiliation, age (40 and older), concerted labor activity, or any other category or attribute identified under state and federal law when such conduct has the purpose or the effect of: (1) creating an intimidating, hostile or offensive work environment; (2) unreasonably interfering with the employee's or non-employee's work performance; or (3)



CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	Directive No. <b>HR-15</b>	Page No. <b>4 of 14</b>
	Effective Date:  <b>5/1/2015</b>	Revised From: <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
 PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

otherwise adversely affecting an employee's or non-employee's employment opportunities.

Harassment may take many forms, including, but not limited to, the following examples:

1. Verbal Harassment: Epithets, derogatory and offensive comments or slurs based on race, religion, color, national origin, ancestry, physical or mental disability, marital status, pregnancy, medical condition, gender, sexual orientation, political affiliation, age, or any other category or attribute identified under state and federal law.
  2. Physical Harassment: Assault, impeding or blocking movement that results in the physical interference with normal work or movement on the basis of race, religion, color, national origin, ancestry, physical or mental disability, marital status, pregnancy, medical condition, gender, sexual orientation, political affiliation, age, or any other category or attribute identified under state and federal law.
  3. Visual Harassment: The displaying of posters, photography, notices, bulletins, e-mails, cartoons or drawings with derogatory and offensive content based on race, religion, color, national origin, ancestry, physical or mental disability, marital status, pregnancy, medical condition, gender, sexual orientation, political affiliation, age, or any other category or attribute identified under state and federal law.
- C. "Sexual harassment," as used in this policy, is a subcategory of harassment, and is specifically defined by law as unwanted sexual advances, requests for sexual favors or visual, verbal or physical conduct of a sexual nature when:
1. Submission to such conduct is made a term or condition of employment; or
  2. Submission to or rejection of such conduct is used as a basis for employment decisions affecting the individual; or

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3. Such conduct has the purpose or effect of unreasonably interfering with an employee's or non-employee's work performance or creating an intimidating, hostile or offensive working environment because of the persistent, severe or pervasive nature of the conduct.

Examples of Sexual Harassment include, but are not limited to the following:

- a. Unwelcome sexual overtures or propositions.
- b. Offering employment benefits or status in exchange for sexual favors.
- c. Making or threatening retaliation after a negative response to sexual advances.
- d. Visual conduct such as leering, making sexual gestures, displaying sexually suggestive objects or pictures, cartoons, calendars or posters.
- e. Verbal conduct such as using epithets or slurs, telling sexually explicit jokes, or making derogatory or suggestive comments about a person's body or dress.
- f. Written communications of a sexual nature distributed in hard copy, soft copy or via a computer network.
- g. Verbal abuse of a sexual nature, graphic verbal commentary about an individual's body, sexually degrading words to describe an individual, suggestive or obscene letters, notes or invitations.
- h. Physical conduct such as touching, assaulting, impeding or blocking movements.

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- i. Retaliation for making harassment reports or threatening to report harassment.

D. Affordable Care Act (ACA) Anti-Retaliation

Pursuant to section §1558 of the Affordable Care Act, the City prohibits discrimination or retaliation towards any employee who:

1. Receives a health insurance tax credit or subsidy through the Health Care "Marketplace" or "Exchange", by which can trigger a penalty payable by the employer;
2. Reports potential violations of protections afforded under Title I of the Act, which provides guaranteed availability protections among other things;
3. Testifies in a proceeding concerning such violation;
4. Assists or participates in a proceeding concerning a violation; or
5. Objects to, or refuses to participate in, any activity, policy, practice, or assigned task that the employee reasonably believes to be in violation of any provision of the Title I of the Act.

An employee who believes that he or she has been discharged or otherwise discriminated against in violation of section §1558 of the Affordable Care Act may seek relief in accordance with the procedures, notifications, burdens of proof, remedies, and statutes of limitation set forth in section 2087(b) of title 15, United States Code.

IV. REPORTING AND COMPLAINT PROCEDURES

A. Immediate Action Required

The City's reporting and complaint procedures provide for an immediate, thorough and objective investigation of discrimination or harassment claims, appropriate disciplinary action taken against any person found to have engaged in prohibited behavior, and appropriate alternative remedies to any

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employee or non-employee subject to discrimination or harassment. To accomplish this, such incidents must be reported immediately to a supervisor or manager.

1. Employee's and Non-Employee's Responsibilities when Subjected to Discrimination and/or Harassment
  - a. Employees or non-employees who believe they have been subjected to discrimination or harassment, or are aware of discrimination or harassment against others, shall report the situation immediately to his/her supervisor or manager, except as specified in subsection (b), below. Employees and non-employees shall report any such incidents occurring in the workplace, whether committed by coworkers, supervisors or managers, or third persons doing business with the City, such as customers or vendors, or other non-employees. If comfortable doing so, an employee or non-employee who has a complaint of discrimination or harassment is encouraged to directly inform the person(s) engaging in the behavior that such conduct is offensive and insist the behavior to stop.
  - b. Employees and non-employees must immediately contact a supervisor or manager to register a complaint of discrimination or harassment, unless that supervisor or manager is the individual engaging in the unwanted behavior. In that case, the employee or non-employee may contact someone at the next supervisory level. If the employee or non-employee feels uncomfortable dealing directly with his or her immediate supervisor or manager, he or she may contact the department head, or the Director of Human Resources (or either of their designees) to register a complaint of discrimination or harassment.
  - c. Employees and non-employees may file a formal complaint of harassment or discrimination with their department head or

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with Human Resources. To assist the City in conducting a thorough investigation, complaints shall be submitted in writing and shall include specific details of the incident(s), the names of the individuals involved, the names of any witnesses, and any documentary evidence (notes, pictures, cartoons, etc.) that will corroborate the allegations.

- d. Employees and non-employees shall immediately report any retaliation to a supervisor, manager, department head or Director of Human Resources (or designee). All retaliation complaints shall be immediately, objectively and thoroughly investigated in accordance with the investigation procedures. If a report of retaliation is substantiated, appropriate disciplinary action, up to and including discharge shall be taken.

2. Supervisor's or Manager's Responsibilities to Eliminate Discrimination and/or Harassment

- a. A supervisor or manager is responsible for enforcing the City's discrimination and harassment policy. Supervisors or managers must ensure that all employees and non-employees are aware of the City's policy through open discussion of the policy at staff meetings and by posting the policy in a conspicuous location accessible to all staff members.
- b. A supervisor or manager shall be cognizant of employees' and non-employees' behavior and shall not permit any employee or non-employee under their supervision to be subjected to or engage in any conduct prohibited by this policy.
- c. A supervisor or manager who observes conduct prohibited by this policy shall immediately direct the employee or non-employee to cease the conduct.

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- d. A supervisor or manager who receives a complaint of prohibited conduct is required to take the complaint seriously, and report the matter immediately to the department head; be supportive of the complainant; ensure there is no retaliation against the complainant; conduct an internal fact-finding review into the allegations; obtain as much detailed information as possible; thoroughly document the findings; communicate in written form to the parties the resolution of the complaint; and report to and consult with the Human Resources Department promptly, without delay.
- B. Confidentiality. The City will make every effort to protect the privacy and confidentiality of all parties involved, as well as any information and/or documentation obtained, to the extent possible consistent with a thorough investigation.
- C. Penalty for Non-Compliance. The City shall take disciplinary action, up to and including discharge, against any supervisor or manager who fails in his/her responsibility to take immediate action in response to an employee's or non-employee's complaint of discrimination or harassment. Further, such disciplinary action shall be taken against a supervisor or manager who fails to stop discriminatory or harassing conduct committed in his/her presence or to stop such conduct about which the supervisor or manager has knowledge.

**V. INVESTIGATION PROCEDURES**

A. Determination of Responsibility for Investigation

If a formal complaint is filed with the department head or the Director of Human Resources (or either of their designees), the department head and the Director of Human Resources shall consult with one another to determine whether the department or Human Resources shall conduct the fact-finding investigation into the allegations. Either the department head or the Director of Human Resources (or either of their designees), depending on who is

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responsible for the investigation, shall issue written notification to the complainant and alleged harasser(s). The notification shall specify the nature of the complaint, and inform the parties that an investigation into the allegations of discrimination and/or harassment shall be conducted.

B. Investigative Guidelines

The investigation shall include the following steps taken in the order best suited to the circumstances:

1. Identify and preserve the evidence.
2. Confirm the name and position of the complainant. Interview the complainant.
3. Allow the complainant the opportunity to place the complaint in writing.
4. Obtain the identity of the alleged harasser(s).
5. Obtain as many details as possible regarding the incident(s) that prompted the complaint, including the number of occurrences, dates, times, locations, and witnesses (if applicable).
6. Ascertain how the complainant felt about the alleged incident when it occurred; complainant's response(s) to the alleged behavior; and witness statements (if applicable).
7. Ascertain if any threats or promises were made in connection with the alleged harassment.
8. Ascertain if the complainant knows of or suspects that there are other victims of harassment by the same person(s).
9. Ascertain whether the complainant has spoken to anyone, especially



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supervisors, about the harassment.

10. Ascertain what resolution would be acceptable to the complainant.
11. Interview the alleged harasser to get his or her side of the story, including any possible motivation for a false allegation.
12. Interview witnesses who were identified by the complainant regarding the alleged harasser or other persons identified during the investigation.
13. Interview witnesses who were identified by the alleged harasser or other persons identified during the investigation.
14. Advise all participants that the investigation is "confidential" and not to engage in any retaliatory conduct, as such conduct is subject to disciplinary action up to and including discharge. Confidentiality will be maintained to the extent possible. An individual who is interviewed during the course of an investigation is prohibited from discussing the substance of the interview, except as otherwise directed by a supervisor or the Director of Human Resources. Any individual who discusses the content of an investigatory interview will be subject to discipline or other appropriate sanction.
15. Conduct follow-up interviews, if warranted.
16. Prepare report of findings and discuss with management and designated legal staff.

**VI. RESPONDING TO THE COMPLAINT**

- A. Following the completion of the fact-finding investigation, either the department head or the Director of Human Resources (or either of their designees), depending on who is responsible for the investigation, shall



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make a report of findings, along with a recommendation regarding the appropriate remedial action to be taken, if warranted. The recommendation shall be made after reviewing the findings of the investigation, giving consideration to all factual information, the nature of the alleged conduct, and the totality of the circumstances. If the investigation was conducted by the Director of Human Resources, or designee, the Director, or designee, shall confer with the affected department head and both shall concur on the remedial action to be taken, if any. If the investigation was conducted by the department head, the department head shall confer with the Director of Human Resources prior to making the report of findings and both shall concur on the remedial action to be taken, if any.

- B. If either the department head or the Director of Human Resources does not concur with the findings and recommendation of the other, the City Attorney (or designee) shall review and resolve the matter in dispute.
- C. Report of findings and recommendation shall be treated as a confidential document and no other distribution shall be made without first consulting with the City Attorney's Office. A completed investigation report will not be disclosed, except as it is deemed necessary to support a disciplinary action, to take remedial action, to defend the City in adversarial proceedings, or to comply with the law or court order.
- D. Either the department head or the Director of Human Resources (or either of their designees), depending on who is responsible for the investigation shall provide a written response to the complainant and the person alleged to have committed the misconduct, discrimination and/or harassment. The response shall include a copy of the City's discrimination and harassment policy and a memorandum indicating the City's determination as to whether the complaint is:
  - 1. Unsustained: The investigation failed to disclose sufficient evidence to substantiate the allegation(s).
  - 2. Unfounded: The investigation proved that the act(s) or omission(s)

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complained of did not occur. The finding also applies when the individual employee(s) named in the complaint were not involved in the act(s) or omission(s) alleged.

3. Sustained: The investigation disclosed sufficient evidence to substantiate the allegation(s) made in the complaint; appropriate action will be taken.

- E. Details regarding any specific fact-findings or disciplinary action to be taken will not be communicated to the complainant. The City Attorney shall review the response for legal sufficiency before dissemination.
- F. The City shall close and retain the investigation file, in accordance with applicable laws, regulations, and City policy regarding retention of City records.

## VII. DISCIPLINE

Disciplinary action imposed as a result of any investigation conducted pursuant to this policy shall be commensurate with the severity of the offense, up to and including discharge, even for a first offense.

## VIII. ALTERNATIVE REMEDIES

If upon exhausting all internal remedies to file, investigate, and respond to a charges of discrimination/harassment, pursuant to title VII of the Federal Civil Rights Act of 1964 (42 U.S.C §§ 2000e *et seq.*), any person has a right to file a charge of discrimination/harassment with the Equal Employment Opportunity Commission ("EEOC"). In addition, pursuant to the California Fair Employment and Housing Act (Gov. Code §§ 12900 – 12996.) a person may also file a complaint of discrimination/harassment with the California Department of Fair Employment and Housing ("DFEH"). Employees or non-employees who believe that they have been subjected to discrimination/harassment may file a complaint with either of these

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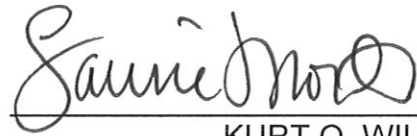
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agencies. Both the EEOC and DFEH serve as neutral fact-finders and attempt to assist parties in resolving disputes voluntarily.

**IX. COMMUNICATION OF POLICY**

This policy shall be provided to all managers, supervisors, employees, volunteers, unpaid interns, agents or contractors of the City and shall be posted in the appropriate places. All employees shall participate in City approved harassment awareness training as directed by management or Human Resources; and all supervisors, as required by law, shall participate in City approved interactive harassment awareness training and education sessions at least once every two years, or as otherwise specified by law.

APPROVED:



KURT O. WILSON  
CITY MANAGER

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