



Rural Development

PA AN No. 1291 (1780)
October 22, 2014

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SUBJECT: Rural Utilities Service Bulletin 1780-26 (PA Revision 9-2014)
EJCDC Contract Documents for Pennsylvania

TO: Area Loan Specialists, Technicians, State Engineers
Water and Environmental Programs
Rural Development, Pennsylvania

FROM: THOMAS P. WILLIAMS /s/ *Thomas P. Williams*
State Director

PURPOSE/INTENDED OUTCOME:

The PA Administrative Notice (AN) is intended to provide guidance on performing construction contracts on Rural Development Water and Environmental Programs (WEP) projects using the Engineers Joint Contract Document Committee (EJCDC) suite of contract documents.

COMPARISON WITH PREVIOUS AN:

This AN replaces PA AN No. 1254 (1780), which was issued on October 27, 2010 and expired October 31, 2011.

IMPLEMENTATION RESPONSIBILITIES:

In order to comply with RD Instruction 1780.61, the Agency has customarily provided guide contract documents for the use of WEP borrowers/grantees in performing construction.

It is the Rural Utilities Service's policy that the Engineers Joint Contract Documents Committee (EJCDC) documents be used as the foundation for the engineering and construction contract documents for all Water and Waste Disposal program actions.

Rural Utilities Service issued RUS Bulletin 1780-26 on April 11, 2014 to reflect the continued use of EJCDC documents, specifically the Agreement between Owner and Engineer for Professional Service (2014 Edition) and Construction Series Documents (2013 Edition), and to provide guidance on the use of the EJCDC documents.

EXPIRATION DATE:
October 31, 2015

FILING INSTRUCTIONS:
Preceding RUS Instruction 1780

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In accordance with RD Instruction 2006-B (2006.55), the Pennsylvania State Office has modified the Bulletin to comply with state statutes. In addition, the Bulletin has been assembled and formatted to form a guidance document that is a "ready to use" handout by borrowers/grantees and their engineers.

USE OF PRIOR VERSIONS OF EJCDC DOCUMENTS

Although this Bulletin is effective on the date signed, older versions of EJCDC documents may be used in the following circumstances:

1. Project-specific EJCDC documents approved prior to the effective date of this Bulletin are still considered approved. This Bulletin does not retroactively change the status of an individual document already approved.
2. If a set of construction contracts was approved before the effective date of this Bulletin, the associated documents from the same EJCDC construction series may be used during the construction project.

APPROVAL OF PREVIOUS ENGINEERING AGREEMENT

The approval of a previous edition EJCDC engineering agreement before the cut-off date does not enable the continued use of previous edition construction documents for that project.

All previous versions of EJCDC documents must not be approved by RD staff for use on Water and Waste Disposal (WWD) projects. RD staff should use this time to notify all stakeholders that previous versions of EJCDC documents will no longer be accepted.

USE BY STAFF

This Bulletin is to be used by Rural Development staff in providing information and guidance to applicants and professional consultants in the development of agreements that are legally sufficient, ensure appropriate services are provided for a reasonable fee, and expedite the achievement of the applicant's goals.

This AN Provides a set of documents based on the RUS Bulletin 1780-26, which are modified for use in Pennsylvania and have been assembled and formatted to form a guidance document that is a "ready to use" handout by borrowers/grantees and their engineers. These documents are named RUS Bulletin 1780-26 (PA Revision September 2014) and are to be used in conjunction with the EJCDC documents for all WEP projects in Pennsylvania.

If you have any questions, please contact the Water and Environmental Program Staff at 717- 237-2188.

Attachment

PA EJCDC GUIDANCE DOCUMENTS FOR BORROWERS/GRANTEES AND
ENGINEERS
(September 2014)

1. GENERAL

It is the Pennsylvania Rural Utilities Service's (RUS) policy that the Engineers Joint Contract Documents Committee (EJCDC) documents be used as the foundation for the Engineering and Construction contract documents for all Water and Waste Disposal program actions.

a Approved Documents. Subject to the modifications indicated in this Bulletin, the Engineers Joint Contract Documents Committee (EJCDC) developed the following documents which were previously approved by the Rural Utilities Service (RUS) for procurement of professional and construction services by loan and grant recipients:

- (1) Agreement between Owner and Engineer for Professional Services (EJCDC No. E-500, 2014 Edition)
- (2) Agreement between Owner and Contractor for Construction Contract (Stipulated Price) (EJCDC No. C-520, 2013 Edition)
- (3) Standard General Conditions of the Construction Contract (EJCDC No. C-700, 2013 Edition)

b Associated Documents. In addition to items 2 and 3, there are also associated construction contract documents, some of which are available through EJCDC and its member organizations and some of which are to be developed by the engineer based on instructions in this Bulletin.

c Alternative Documents. Recipients not wishing to use EJCDC documents may submit alternative documents for review and consideration. Such documents must be modified to meet all federal and state requirements and must be approved for each project by the Agency and the USDA Office of General Counsel (OGC). When modified as described in this Bulletin, the EJCDC documents listed above have been determined to meet such requirements and generally do not require OGC approval.

2. AVAILABILITY

The EJCDC documents are available online from any of the sponsoring organizations: the National Society of Professional Engineers (www.nspe.org); American Council of Engineering Companies (www.acec.org); and American Society of Civil Engineers (www.asce.org); or directly from EJCDC (www.ejcdc.org). EJCDC documents are proprietary and include a license agreement. RUS offices will not distribute EJCDC documents for any purpose other than training or to illustrate the appropriate use of the integrated set of documents on RUS financially assisted projects.

3. PURPOSE

Assembly of Documents. This Bulletin consists of exhibits with required modifications that when combined with the standard EJCDC documents and appropriate drawings, specifications and other required documents, create a complete set of engineering and construction contracts for use with WWD projects. However, the documents in these exhibits are not to be used as a substitute for the careful evaluation of the requirements for a project. The owner, their engineer, and legal counsel, with RD consultation, must determine the best approach for a successful outcome.

4. OWNER RESPONSIBILITY

- a Verify Bulletin is Current. Before an applicant or consultant proceeds with the development of an engineering agreement or a set of construction contract documents, they should contact the Rural Development State Office to verify they have the most current information specific to the type of project and state or other jurisdiction where the project is located.
- b Contractual and Administrative Issues. The Owner is responsible for the settlement of all contractual and administrative issues arising out of procurement entered into in support of a loan or grant. These include, but are not limited to: source evaluation; protests; disputes; and claims. Matters concerning violations of laws are to be referred to the applicable local, state, or Federal authority.
- c Modifications. It is RUS policy that applicants use the EJCDC documents with minimal modification. However, RUS recognizes each project is unique and that modifications may be required to satisfy project requirements or state statutes. If changes must be made to the standard documents to address project-specific issues, they must be made via **bold type additions** and deletions with strike outs or addenda showing all revisions. Because the EJCDC documents are fully integrated, when making a modification in one document applicants must ensure that appropriate modifications are made in all affected documents.

5. USE OF EXHIBITS

The following explains the purpose of each Exhibit to this Bulletin.

EXHIBIT A THE ENGINEERING AGREEMENT - MODIFICATIONS FOR RUS FUNDED PROJECTS: This exhibit explains the use of the EJCDC Owner -Engineer Agreement for RUS funded projects and includes instructions for modification and review of the Agreement Between Owner and Engineer for Professional Services (EJCDC E-500)

EXHIBIT B REVISIONS TO EJCDC E-500: This exhibit contains the list of revisions to the E-500 (2014), "Agreement Between Owner and Engineer for Professional Services" for RUS funded WWD projects. The exhibit consists of a checklist of changes that must be made to the standard EJCDC documents to ensure they comply with Agency requirements. The actual changes must be made using either **bold type** additions and deletions with strike outs or addenda showing all revisions.

EXHIBIT C RUS CERTIFICATION PAGE: This exhibit consists of a certification, to be signed by the engineer and owner, stating the fees for engineering services and certifying that the required changes were made to the Owner -Engineer Agreement. This certification is to be attached as the last page of the Owner- Engineer Agreement.

EXHIBIT D THE CONSTRUCTION CONTRACT AND BIDDING DOCUMENTS -MODIFICATIONS FOR RUS FUNDED PROJECTS: This exhibit explains the use of the EJCDC construction contract and bidding documents. It includes a table of all the required documents and instruction for modification and review of these documents.

EXHIBIT E ENGINEER'S DEVELOPMENT OF INSTRUCTIONS TO BIDDERS: This exhibit contains instructions for the engineer to develop Instructions to Bidders using C-200 (2013), "Suggested Instructions to Bidders" and a checklist of modifications included in the exhibit.

EXHIBIT F ENGINEER'S DEVELOPMENT OF BID FORM: This exhibit contains a checklist of changes that must be made by the engineer to the C-410 (2013), "Bid Form for Construction Contracts".

EXHIBIT G ENGINEER'S DEVELOPMENT OF AGREEMENT BETWEEN OWNER AND CONTRACTOR: This exhibit contains a checklist of changes that must be made by the engineer to C-520 (2013), "Agreement between Owner and Contractor for Construction Contract (Stipulated Price)".

EXHIBIT H ENGINEER'S DEVELOPMENT OF SUPPLEMENTARY CONDITIONS: This exhibit contains instructions for the engineer to develop Supplementary Conditions using C-800 (2013), "Guide to the Preparation of Supplementary Conditions" and a checklist of modifications included in the exhibit.

EXHIBIT I CERTIFICATE OF OWNER'S ATTORNEY AND AGENCY CONCURRENCE: This exhibit consists of two certificates, on a single page, to be attached to the construction contract and signed upon execution. The first is a certificate signed by the owner's attorney and the second is the

State Engineer's concurrence in the executed construction contract. This certificate is to be attached after the Owner-Contractor Agreement (C-520) in the construction contract.

EXHIBIT J ENGINEER'S CERTIFICATION OF FINAL PLANS AND SPECIFICATIONS: This exhibit is a certification by the engineer to the owner and RD that the plans and specifications have been completed in accordance with RUS requirements. This certificate is to be provided to the Agency with the final plans and specifications prior to advertisement for bids.

EXHIBIT K RUS FORMS: This exhibit contains required RUS Agency forms that are required to be included in the Contract Documents:

- a. Notice of Intent to Award
- b. Form AD-1048
- c. Form RD 400-6
- d. RD Instruction 1940-Q, Exhibit 1
- e. Standard Form LLL
- f. Seismic Certification
- g. Temporary Construction Sign

EXHIBITS TO BULLETIN

- A The Engineering Agreement – Modifications for RUS Funded Projects
- B Revisions to EJCDC E-500
- C RUS Certification Page
- D The Construction Contract and Bidding Documents
- E Engineer's Development of Instructions to Bidders
- F Engineer's Development of Bid Form
- G Engineer's Development of Agreement between Owner and Contractor
- H Engineer's Development of Supplementary Conditions
- I Certification of Owner's Attorney and Agency Concurrence
- J Engineer's Certification of Final Plans and Specifications
- K USDA- Rural Utility Services Forms

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ABBREVIATIONS

CFR -Code of Federal Regulations
EJCDC -Engineers Joint Contract Documents Committee
EO -Executive Order
OGC -Office of General Counsel
PL -Public Law
RD -Rural Development
RPR -Resident Project Representative
RUS -Rural Utilities Service
USC -United States Code
USDA -United States Department of Agriculture
WWD -Water and Waste Disposal

PA EJCDC GUIDANCE DOCUMENTS FOR BORROWERS/GRANTEES AND
ENGINEERS
(September 2014)

ENGINEERING AGREEMENT MODIFICATIONS

ENGINEERING AGREEMENT MODIFICATIONS FOR RUS FUNDED PROJECTS

PURPOSE

This exhibit explains the use of the EJCDC Owner – Engineer Agreement for RUS funded projects and includes instructions for modification and review of the Agreement Between Owner and Engineer for Professional Services (EJCDC E-500)

2 GENERAL INFORMATION

The EJCDC has developed a 2014 edition of the Owner-Engineer Agreement that, when assembled as described in this Bulletin, is acceptable for use on WWD projects funded by RUS.

3 INSTRUCTIONS

- a Process: Instructions to modify EJCDC E-500 prior to use on RUS funded WWD projects are as follows:
- (1) Engineer must attach the list of "Revisions to the EJCDC E-500" to the Agreement as an addendum or make the specific changes listed using bold type additions and deletions with strike-outs.
 - (2) Engineer must include the "RUS Certification Page" in the Agreement (Exhibit C of this Bulletin).
 - (3) Project-specific requirements may be added to Exhibit J of E-500.
 - (4) Owner and Engineer must select a payment method from Exhibit C of E-500 (see below).
 - (5) Owner and Engineer must sign the Agreement and complete and sign the RUS Certification Page (Exhibit C of this Bulletin).
 - (6) Agency must review to ensure changes were made as required or revisions were attached and that the certification is attached, completed, and acceptable.
 - (7) Agency completes and signs the RUS Certification page.
- b Approval. The executed Owner-Engineer Agreement must be approved by Rural Development prior to Agency concurrence in any payment of RUS funding for engineering services.
- c Subsurface Utility Data. ASCE 38, "Standard Guideline for the Collection and Depiction of Existing Subsurface Utility Data," is mentioned in Exhibits A and B of the Agreement. Note that the use of this ASCE standard is optional, but the scope of engineering services in this Agreement includes the Engineer discussing whether or not the standard will be used on a given project.
- d Payment for Services. The standard Exhibit C from E-500, "Payments

to Engineer for Services and Reimbursable Expenses," should be used along with the E-500 Owner-Engineer Agreement, but only the following Compensation Packets are allowed for use with RUS funded projects (other compensation packets are not allowed):

- (1) Allowed for Basic Services:
Lump Sum (Compensation Packet BC-1)
Standard Hourly Rates (Compensation Packet BC-2)
- (2) Allowed for RPR Services:
Lump Sum (Compensation Packet RPR-1)
Standard Hourly Rates (Compensation Packet RPR-2)
- (3) Allowed for Additional Services:
Standard Hourly Rates (Compensation Packet AS-1)

- f Insurance. Exhibit G (to E-500), "Insurance," amounts should be established by the Owner based on advice from the Owner's attorney or a risk manager hired by the Owner.
- g Limitations of Liability. Exhibit I (to E-500), "Limitations of Liability," is not to be used on RUS funded projects. It should be deleted or crossed out by the Engineer and Owner prior to execution of the Agreement.

REVISIONS TO EJCDC E-500

- o Amend paragraph 4.0I.A by inserting the following text after the first sentence: "Invoices must include a breakdown of services provided."
- o In paragraph 6.04.B replace "shall" with "may".
- o Modify paragraph 7.01.A.25 by striking ", as an Additional Service."
- o Add paragraph 7.01.A.38 to the Agreement as follows:

Agency – The Rural Utilities Service or any designated representative of Rural Utilities Service, including USDA, Rural Development.

- o Add paragraph 8.05 to the Agreement as follows:

8.05 Federal Requirements

- A. Agency Concurrence. Signature of a duly authorized representative of the Agency in the space provided on the signature page of EJCDC form E-500 hereof does not constitute a commitment to provide financial assistance or payments hereunder but does signify that this Agreement conforms to Agency's applicable requirements. This Agreement shall not be effective unless the Funding Agency's designated representative concurs. No amendment to this Agreement shall be effective unless the Funding Agency's designated representative concurs.
- B. Audit and Access to Records. Owner, Agency, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the Engineer which are pertinent to the Agreement, for the purpose of making audits, examinations, excerpts, and transcriptions. Engineer shall maintain all required records for three years after final payment is made and all other pending matters are closed.
- C. Restrictions on Lobbying. Engineer and each Consultant shall comply with "Restrictions on Lobbying" if they are recipients of engineering services contracts and subcontracts that exceed \$100,000 at any tier. If applicable, Engineer must complete a certification form on lobbying activities related to a specific Federal loan or grant that is a funding source for this Agreement. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other applicable award. Each tier shall disclose any lobbying with non-Federal funds that takes place in

connection with obtaining any Federal award. Certifications and disclosures are forwarded from tier to tier up to the Owner. Necessary certification and disclosure forms shall be provided by Owner.

- D. Suspension and Debarment. Engineer certifies, by signing this Agreement, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared -ineligible or voluntarily excluded from participation in this transaction by any Federal department or agency. Engineer will not contract with any Consultant for this project if it or its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. Necessary certification forms shall be provided by the Owner. The Engineer will complete and submit a form AD-1048, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – lower tier transactions," to the Owner who will forward it the USDA, Rural Development processing office.

- O Replace paragraph A1.01.A.1.b with "In addition, Engineer must identify, study, and evaluate multiple potential alternative solutions potentially available to Owner, unless Owner and Engineer mutually agree with Agency concurrence that only one feasible solution exists. The number of alternative solutions should be appropriate to the specific project as concurred in by the Agency."
- D Delete paragraph A1.01.A.1.c.
- O Insert the following additional text at the end of Article A1.01.A.8: "The Report mentioned in paragraph 1.01.A.8 of Exhibit A to the Agreement is the Preliminary Engineering Report as defined in RUS Bulletin 1780-2. This document must meet customary professional standards as required by 7 CFR 1780.55. The Report must be concurred in by the Agency."
- O Modify paragraph A1.01.A.10 by inserting "and approved by the Agency" after "When mutually agreed."
- D Add the following immediately after paragraph A1.01.A.14: "Provide an Environmental Report as defined at 7 CFR 1794 and RUS Bulletin 1794A-602 or other Agency approved format. The Environmental Report must be concurred in by the Agency."
- O Replace paragraph A1.01.A.16 with "Revise the Report and any other Study and Report Phase deliverables in response to Owner's and Agency's comments, as appropriate, and furnish three (3) written copies and one (1) electronic copy of the revised Report and any other Study and Report Phase deliverables to the Owner within [] days of receipt of Owner's and Agency's comments."
- O Modify paragraph A1.02.A by inserting "and concurrence by Agency" after the words "acceptance by Owner."
- D Modify paragraph A1.02.A.2 by inserting "and Agency" after "authorized by Owner."
- D Add the following to the end of paragraph A1.02.A.8: "Engineer must also incorporate all Agency regulations, forms, and design and construction standards applicable to the project in development of the documents indicated in this Article."
- D Add the following immediately after paragraph A1.03.A.9: "The Engineer shall identify the building codes and accessibility standards used in the design and indicate them on the drawings and specifications and certify that the final drawings and specifications comply with those standards."

- O Modify paragraph A1.03.A.10 by adding the "and Agency" after the word "counsel."
- O Insert paragraph A1.03.A.12 stating, "Provide the Owner and Agency with a written certification that the final Drawings and Specifications, other assembled Construction Contract Documents, bidding-related documents (or requests for proposals or other construction procurement documents), and any other Final Design Phase deliverables comply with all requirements of Agency. Use the Engineer's Certification of Final Plans and Specifications (Attachment GC-B) for this purpose."
- O Modify paragraph A1.03.B by deleting the period at the end of the paragraph and adding: "and all final design phase deliverables have been accepted by Owner."
- D Add the following to the end of paragraph A1.04.A.2: "Obtain Agency concurrence on any addenda that modify the bidding documents. Obtain prior concurrence where possible."
- D Replace paragraph A1.04.A.6 with the following: "The Engineer shall evaluate and determine the acceptability of "or equals" and substitute materials and equipment proposed by prospective contractors prior to award of contracts for the Work. Engineer shall issue a bid addendum for any and all approved "or equals" and substitutes. Review of substitutes and "or equals" shall be in accordance with the General Conditions of the Construction Contract and applicable Agency regulations. Services under this paragraph are subject to the provisions of Paragraph A2.02.A.2 of this Exhibit A."
- D Add the following sentence immediately after paragraph A1.04.A.9: "Upon award of the Construction Contract, the Engineer shall furnish to Owner five executed copies of the Contract Documents and one electronic copy of the signed documents, including Drawings and Specifications."
- D Paragraph A1.05.A.4: Insert "and chair" after "Participate in" regarding the preconstruction conference.
- D Delete "If requested by Owner to do so" from Article A1.05.A.6 regarding the Engineer maintaining a set of Drawings and Specifications.
- D Insert paragraph A1.05.A.9.c stating "The visits described in Article A1.05.A.9.a shall be at least monthly and the Engineer shall document all visits to the project with copies furnished to the Owner and Agency."

- D Add the following text at the end of paragraph A1.05.A.18: "Review of substitutes and "or equals" shall be in accordance with the General Conditions of the Construction Contract and applicable Agency regulations."
- D Modify paragraph A1.05.A.22 by striking the words "Receive from Contractor, review, and transmit to Owner the annotated record documents which are to be assembled by Contractor in accordance with the Construction Contract Documents to obtain final payment. The extent of Engineer's review of record documents shall be to check that Contractor has submitted all pages."
- D Add the following to the end of paragraph A1.05.A.22: "Receive from Contractor and review the annotated record documents which are to be assembled by Contractor in accordance with the Construction Contract Documents to obtain final payment. The Engineer shall prepare Record Drawings, and furnish such Record Drawings to Owner."
- D Insert paragraph A1.05.A.24.a: "Upon Substantial Completion, the Engineer shall provide a copy of the Certificate of Substantial Completion to the Agency."
- D Add the following text after "preparation or review of environmental assessments and impact statements" in A2.01.A.1: "not including preparation of the Environmental Report defined under Basic Services."
- D Replace the period at the end of Article A2.01.A.4 with a comma and add the following text to the end of the Article: "but only if the Owner's request is made after completion of the Study and Report Phase."
- D Mark paragraph A2.01.A.17 as "[Deleted]."
- D Replace paragraph A2.02.A.2 with the following: "Services in making revisions to Drawings and Specifications occasioned by the acceptance of substitute materials or equipment other than "or equal" items; evaluation and determination of an excessive number of proposed "or equals" or substitutions, whether proposed before or after award of the Construction Contract."

- D Modify Exhibit C, Compensation Packet BC-1, paragraph C2.01.A.2, by adding "and Agency" after "approved in writing by the Owner."
- D Modify Exhibit C, Compensation Packet BC-1, paragraph C2.01.B by inserting "with concurrence of the Owner and Agency. Modifications to compensation shall be made by Amendment." after "the compensation amount for Engineer's services shall be appropriately adjusted."
- D Modify Exhibit C, Compensation Packet BC-2, paragraph C2.01.A.5, by inserting "and Agency" after "approved in writing by Owner."
- D Modify Exhibit C, Compensation Packet BC-2, paragraph C2.01.A.8, by inserting the following text at the end of the paragraph, "Changes will not be effective unless and until concurred in by the Owner and Agency. Modifications to fees shall be made by Amendment."
- D Modify text of Exhibit C, Compensation Packet BC-2, paragraph C2.03.C.2 by inserting "and Agency" after Owner in "Engineer shall give Owner written notice thereof."
- D Modify text of Exhibit C, Compensation Packet BC-2, paragraph C2.03.C.2 by inserting the following text at the end of the paragraph: "Any Modifications to fees shall be made by Amendment."
- O Modify Exhibit C, Compensation Packet BC-2, paragraph C2.03.D by deleting "at cost" and inserting "at no cost" at the end of the paragraph.
- D Modify Exhibit C, Compensation Packet RPR-1, paragraph C2.04.A.3 by inserting the following text at the end of the paragraph, "Changes will not be effective unless and until concurred in by the Owner and Agency. Modifications to fees shall be made by Amendment."
- D Add paragraph C2.04.A.2 to Exhibit C, Compensation Packet RPR-2, by adding the following text to the end of the paragraph: "If rate(s) for RPR services is not indicated in Appendix Two to Exhibit C, "Standard Hourly Rates Schedule," the Standard Hourly Rate for RPR services is \$ _____ per hour."
- D Modify Exhibit C, Compensation Packet RPR-2, paragraph 2.04.B.4, by inserting the following text at the end of the paragraph, "Changes will not be effective unless and until concurred in by the Owner and Agency. Modifications to fees shall be made by Amendment."

- O Modify Exhibit C, Compensation Guide RPR-2, paragraph 2.04.C.3.B by inserting "and Agency" after Owner in "Engineer shall give Owner written notice thereof."
- D Modify Exhibit C, Compensation Guide RPR-2, paragraph 2.04.C.3.B by inserting the following text to the end of the paragraph: "Modifications to fees shall be made by Amendment."
- O Modify Exhibit C, Compensation Packet RPR-2, paragraph C2.04.C.4 by deleting "at cost" and inserting "at no cost" at the end of the paragraph.
- O Modify Exhibit C, Compensation Packet AS-1, paragraph C2.05.A.1, by inserting the following text at the end of the paragraph, "The total compensation under this paragraph is estimated to be \$ and this amount shall not be exceeded without written approval of Owner and concurrence by Agency. An itemized estimate of this amount shall be attached to this Agreement. Modifications to fees shall be made by Amendment."
- O Modify Exhibit C, Compensation Packet AS-1, paragraph C2.05.B.4, by inserting the following text at the end of the paragraph, "Changes will not be effective unless and until concurred in by the Owner and Agency. Modifications to fees shall be made by Amendment."
- O Modify Exhibit C, Compensation Packet AS-1, paragraph C2.05.C.3 by deleting "at cost" and inserting "at no cost" at the end of the paragraph.

- O Add the following to the end of Exhibit D, Article D1.01.A: "Full time Resident Project Representation is required unless requested in writing by the Owner and waived in writing by the Agency."

- D Mark paragraph D1.01.C.12.b as [Deleted] regarding Resident Project representative role in Change Orders, Work Change Directives, and Field Orders.

- O Add the following to the end of Exhibit F, Article F5.02.D: "Engineers determinations on types and quality of materials, equipment, and component systems to be included in the Drawings and Specifications are subject to approval by Agency in accordance with requirements of 7 CFR 1780, including open and free competition."

RUS CERTIFICATION PAGE

PROJECTNAME: _____

The Engineer and Owner hereby concur in the Funding Agency required revisions to E-500. In addition, Engineer certifies to the following:

All modifications required by RUS Bulletin 1780-26 have been made in accordance the terms of the license agreement, which states in part that the Engineer "must plainly show all changes to the Standard EJCDC Text, using 'Track Changes' (redline/strikeout), highlighting, or other means of clearly indicating additions and deletions." Such other means may include attachments indicating changes (e.g. Supplementary Conditions modifying the General Conditions).

SUMMARY OF ENGINEERING FEES

Note that the fees indicated on this table are only a summary and if there is a conflict with any provision of Exhibit C, the provisions there overrule the values on this table. Fees shown in will not be exceeded without the concurrence of the Agency. Any Modifications to fees shall be made by Amendment.

Basic Services	\$ _____
Resident Project	\$ _____
Observation	
Additional Services	\$ _____
TOTAL:	\$ _____

Any adjustments to engineering fees or changes to maximum estimated values must be approved by the Agency and must include a table of what specific category or categories of fees are being changed, what fees were before and after the change, and the resulting total fee. Any Modification to fees shall be made by Amendment.

Engineer Date

Name and Title

Owner Date

Name and Title

Agency Concurrence:

As lender or insurer of funds to defray the costs of this Contract, and without liability for any payments thereunder, the Agency hereby concurs in the form, content, and execution of this Agreement.

Agency Representative Date

Name and Title

PA EJCDC GUIDANCE DOCUMENTS FOR BORROWERS/GRANTEES AND
ENGINEERS
(September 2014)

**CONSTRUCTION CONTRACT AND BIDDING DOCUMENTS
MODIFICATIONS**

CONSTRUCTION CONTRACT AND BIDDING DOCUMENTS MODIFICATIONS FOR RUS FUNDED PROJECTS

PURPOSE

This exhibit explains the use of the EJCDC construction contract and bidding documents. It includes a table of all the required documents and instructions for modification and review of these documents.

2 GENERAL INFORMATION

The EJCDC has developed a 2013 edition of the Construction Series (Owner-Contractor) documents that when assembled as described in this Bulletin is acceptable for use on WWD projects funded by RUS. All contract documents must be approved by the USDA, Rural Development State Engineer prior to advertisement for bids, the Agency must concur in award, and the executed contract documents must be approved by the USDA, Rural Development State Engineer prior to Agency concurrence in any payment of RUS funding for construction services. A copy of the signature page on the last page of this exhibit must be used for this purpose.

3 INSTRUCTIONS

- a Assembly of Documents. Bid packages must be assembled in accordance with the following notes, requirements of Exhibits E through H, and the table below:
- b Indicating Revised Text. Although the following instructions direct that changes be made to various EJCDC construction documents, actual changes to EJCDC standard language must be made using either **bold type additions** or deletions with strike outs or addenda showing all revisions.
- c General Conditions. The EJCDC General Conditions (C-700) should not be modified. Changes to C-700 should only be made via the Supplementary Conditions, except in unusual cases as approved by the USDA State Engineer.
- d EJCDC Suggested Language. The Instruction to Bidders and Supplementary General Conditions must be developed by the Engineer based on EJCDC guidance documents and the instructions and Exhibits below. The USDA State Engineer must verify that the instructions and Exhibits below were followed prior to any advertisement for bids.
- e EJCDC Standard Language. The Bid Form and the Agreement Between Owner and Contractor are standard documents from EJCDC, but must be modified before use on an RUS funded project as explained below. The USDA State Engineer must verify that the instructions and Exhibits below were followed prior to advertisement for bidding.

- f Project Signs. It is customary that project signs identifying the Owner, Contractor, Engineer, and Funding Agencies be displayed during project construction. The sign requirements are not included in the Supplementary Conditions, but should be a part of the specifications prepared by the Engineer. The Engineer should contact the Rural Development State Office for specific requirements and include the sign standard in the bid package.

Note that at least five copies of the executed construction contracts documents (two for Agency, one for Engineer, one for Contractor, and one for Owner) must be submitted to the RD State Office for review and acceptance before issuance of the Notice to Proceed.

Assembling the Construction Contract and Bidding Documents

Contents	FORM
Table of Contents	Prepared by Consultant
Advertisement for Bids	EJCDC C-111
Instructions to Bidders	EJCDC C-200 , Prepared by Consultant, Modified by Exhibit E
Bid Form	EJCDC C-410 , Modified by Exhibit F
Bid Bond	EJCDC C-430
Statement of Contractor's Qualifications	EJCDC C-451
RD Form 400-6 - Compliance Statement	Supplied by Rural Development (Exhibit K)
RD AD 1048 - Certification Regarding Debarment	Supplied by Rural Development (Exhibit K)
RD Instruction 1940-Q, Exh A-1- Certification for Contracts, Grants & Loans	Supplied by Rural Development (Exhibit K)
Notice of Intent to Award	Supplied by Rural Development (Exhibit K)
Notice of Award	EJCDC C-510
Agreement between Owner and Contractor	EJCDC C-520 , Modified by Exhibit G
Certificate of Owner's Atty and Agency Concurrence	PA Exhibit I
Performance Bond	EJCDC C-610
Payment Bond	EJCDC C-615
Standard General Conditions	EJCDC C-700
Supplementary General Conditions	EJCDC C-800 , Prepared by Consultant, Modified by Exhibit H
Special Conditions	Prepared by Consultant -use this section for additional conditions
PA Prevailing Wage Rates	PA Prevailing Wage Rates
Federal Wage Rates	Davis Bacon Wage Rates - Only required if other funding source
RD Instruction 1940-C Exhibit A (Davis Bacon)	Supplied by RD - Only required if Federal Wage Rates have been included
Project Sign	Supplied by Rural Development (Exhibit K)
Notice to Proceed	EJCDC C-550
Contractor's Application for Payment	EJCDC C-620
Contract Change Order	EJCDC C-941
Certificate of Substantial Completion	EJCDC C-625
Seismic Certification	Supplied by Rural Development (Exhibit K)
Certification of Final Plans and Specifications	Engineer Submittal – PA Exhibit J
Plans and Specifications	Engineer Submittal

ENGINEER'S DEVELOPMENT OF INSTRUCTIONS TO BIDDERS

The Engineer will develop the Instructions to Bidders using the Suggested Instructions to Bidders (EJCDC C-200, 2013) and using the instructions provided in this Bulletin. In addition, the Engineer must ensure that any applicable state or Federal wage rate requirements are added to the Instructions to Bidders (ITB) at Article 24. The USDA, Rural Utilities Service, Water and Waste Disposal program does not require the use of Davis Bacon Wage rates in most cases, but other sources of federal funds may.

- D ITB 3.01 The second suggested version of 3.01 is not acceptable for use on RUS funded projects. Owners must not preclude entities from submitting bids.

- D ITB 4.02B Insert the following text at the end of the paragraph: **Call Before You Dig!** Pennsylvania State law requires a three (3) business day notice (does not include state holidays or weekends), but not more than ten (10) business days prior to the start of excavation and 10 business day notice, but not more than 90 business days in Design Stage. Call 8-1-1 or 1-800-242-1776, PA One Call Serial No. . The Designer has obtained this Serial Number as required by PA Act 287, as amended.

- D ITB 8.01 Bid security must be at least 5% of the Bidder's maximum Bid price.

- D ITB 8.02 Delete sentence "If the Successful Bidder fails to execute and deliver the Contract Documents and furnish the required contract security with 15 days after the Notice of Award, Owner may consider Bidder to be in default, annul the Notice of Award, and the Bid security of that Bidder will be forfeited." and replace with "If the Successful Bidder fails to execute and deliver the Contract Documents and furnish the required contract security with **15 days after the Notice of Intent to Award**, Owner may consider the Bidder to be in default, annul the **Notice of Intent to Award** or Notice of Award and the Bid security of that Bidder will be forfeited."

- D ITB 8.03 Delete 61 days and replace with **121** days.

- D ITB 9.01 The second suggested version of 9.01 (applicable to Price-plus-Time bids) is not acceptable for use on RUS funded projects.

- D ITB 11 The following text shall be used or Article 11: **ARTICLE 11 – SUBSTITUTE AND "OR-EQUAL" ITEMS**
 - 11.1 The Contract for the Work, if awarded, will be on the basis of materials and equipment specified or described in the Bidding Documents, and those "or-equal" or substitute materials and equipment subsequently approved by

Engineer prior to the submittal of Bids and identified by Addendum. No item of material or equipment will be considered by Engineer as an "or-equal" or substitute unless written request for approval has been submitted by Bidder and has been received by Engineer at least 15 days prior to the date for receipt of Bids in the case of a proposed substitute and 5 days prior in the case of a proposed "or-equal." Each such request shall comply with the requirements of Paragraphs 7.04 and 7.05 of the General Conditions. The burden of proof of the merit of the proposed item is upon Bidder. Engineer's decision of approval or disapproval of a proposed item will be final. If Engineer approves any such proposed item, such approval will be set forth in an Addendum issued to all prospective Bidders. Bidders shall not rely upon approvals made in any other manner. Substitutes and "or-equal" materials and equipment may be proposed by Contractor in accordance with Paragraphs 7.04 and 7.05 of the General Conditions after the Effective Date of the Contract.

- 11.2 All prices that Bidder sets forth in its Bid shall be based on the presumption that the Contractor will furnish the materials and equipment specified or described in the Bidding Documents, as supplemented by Addenda. Any assumptions regarding the possibility of post-Bid approvals of "or- equal" or substitution requests are made at Bidder's sole risk.
- 11.3 If an award is made, Contractor shall be allowed to submit proposed substitutes and "or-equals" in accordance with the General Conditions.
- D ITB 12.01 Do not include this first paragraph of Article 12.
- D ITB 12.02 Do not include this second paragraph of Article 12.
- D ITB 12.03 Insert the following text at the beginning of the third paragraph of Article 12, "If required by the bid documents."
- D ITB 12.05 Insert new paragraph "Contractor shall not be required to employ any Subcontractor, Supplier, individual, or entity against whom Contractor has reasonable objection."
- D ITB 12.06 Insert new paragraph "The Contractor shall not award work to Subcontractor(s) in excess of the limits stated in SC 7.06."
- D ITB 14.01 The third suggested version of 14.01 (Sectional Bids) is not acceptable for use on RUS funded projects.
- D ITB 14.01 The fourth suggested version of 14.01 (for cost-plus-fee bids) is not acceptable for use on RUS funded projects.

- D ITB 14.04 Do not include Article 14.04 (applicable only to Price-plus-Time bids).
- D ITB 16.03 Delete 24 hours and Replace with two (2) business days.
- D ITB 17.01 The second suggested version of 17.01 (bids will be opened privately) is not acceptable for use on R fWlded projects .
- D ITB 19.03.A In evaluating Bids, Owner will consider whether or not the Bids comply with the prescribed requirements, and such alternates, unit prices and other data, as may be requested in the Bid Form or prior to the Notice of Intent to Award.
- D ITB 19.03.B The second version of 19.03.B (for Sectional bids) will not be used.
- D ITB 19.03.B The fourth version of 19.03.B (for Cost-plus-Fee bids) will not be used.
- O ITB 19.03.C Will not be used (applicable only to Price-plus-Time bids).
- D ITB 20.02 Insert the following paragraph: "The party to whom the Notice of Intent to Award is given will be required to obtain the Performance Bond and Payment Bond within fifteen (15) calendar days from the date of receipt of the Notice of Intent to Award. The Notice of Intent to Award shall be accompanied by the necessary Bond forms."
- D ITB 20.03 Insert the following paragraph: In case the bonds, Agreement, or certificates of insurance submitted by the Bidder do not meet the requirements of the Contract Documents, and changes are to be made before these documents can be accepted by the Owner and Rural Development, the Bidder is obligated to accept an extension of the date of award of the Contract, or the date of issuance of Notice to Proceed, as the case may be, for that period of additional time required to furnish acceptable documents.
- D ITB 21.01 Insert the following language at beginning of 21.01: "Within fifteen (15) days after the approval of the Bonds by the Owner and Rural Development, the Owner will issue the Notice of Award."
- D ITB 21.02 Insert the following paragraph: "This Contract is expected to be funded in part with funds provided by the United States Department of Agriculture, Rural Utilities Service (RUS). Refer to Supplementary General Conditions for Federal Requirements."

D **ITB 21.03** Insert the following paragraph: **"Concurrence by RUS in the award of the Contract is required before the Contract is effective."**

D ITB 24 The following text must be used for Article 24:

ARTICLE 24 WAGE RATE REQUIREMENTS

24.1.1 The work under this contract is subject to the provisions of the Pennsylvania Prevailing Wage Act of 1961, P.L. 987, No. 442, as amended and currently in effect. Refer to paragraph 18 of the Supplementary condition for the Labor Standards Provision clause that are part of this contract.

OR

24.2 The prevailing wage rates of the Department of Labor {apply/do not apply} to this project. The Labor Standards Provisions found at 29 CFR 5.5(a) apply to this project if the prevailing wage rates of the Department of Labor apply. If the contract price is in excess of \$100,000, provisions of the Contract Work and safety Standards at 29FR 5.5(b) also apply.

ENGINEER'S DEVELOPMENT OF BID FORM

Development of the Bid Form must be based on the Bid Form for Construction Contracts (EJCDC C-410, 2013) as modified below.

- D **Article 2.01** Delete Article 2.01 and replace with the following language:
"The Bid will remain subject to acceptance for {60 days} after the Bid opening, except if the award is delayed by a required approval of another government agency (including RUS), the sale of bonds, or the award of a grant, the Owner shall reject all bids or award the contract to the lowest responsible and responsive bidder within one hundred twenty (120) days of the bid opening, or for such longer period of time that Bidder may agree to in writing upon request of Owner."

- D In Article 5, "Basis of Bid," do not use the Suggested Formats for Sectional Bids. (Lump Sum Price for Sections).

- D In Article 5, "Basis of Bid," do not use the Suggested Formats for Price-plus-Time Bids or Cost-plus- Fee bids.

- D Use the first version of Article 6.01 regarding "Time of Completion."

- D Add the following additional required Attachments to Article 7.01, "Attachments to this Bid":
 - H. If Bid amount exceeds \$10,000, signed Compliance Statement (RD 400-6). Refer to specific equal opportunity requirements set forth in the Supplemental General Conditions;

 - I. If Bid amount exceeds \$25,000, signed Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions (AD-1048);

 - I. If Bid amount exceeds \$100,000, signed RD Instruction 1940-Q, Exhibit A-1, Certification for Contracts, Grants, and Loans.

- K. Disclosure of Lobbying Activities, Standard Form LLL**

- L. Pennsylvania E-Verification Form**

ENGINEER'S DEVELOPMENT OF AGREEMENT BETWEEN OWNER AND CONTRACTOR

Development of the Agreement between Owner and Contractor must be based on EJCDC C-520, 2013, as modified below:

- D **Delete paragraph 4.03B in its entirety and insert the following in its place:
[Deleted]**
- D Delete paragraph 4.04 in its entirety and insert the following in its place: [Deleted]
- D Amend paragraph 6.02.A.1.a by adding 95 to the blank.
- D Amend paragraph 6.02.A.1.a by deleting the period at the end of the first sentence, replacing it with a semicolon, and by striking out the following text: "If the Work has been 50 percent completed as determined by Engineer, and if the character and progress of the Work have been satisfactory to Owner and Engineer, then as long as the character and progress of the Work remain satisfactory to Owner and Engineer, there will be no additional retainage;"
- D Amend paragraph 6.02.A.1.b by adding 95 to the blank.
- D Amend paragraph 6.02.B by inserting "of the entire construction to be provided under the Contract Documents" after "Substantial Completion."

ENGINEER'S DEVELOPMENT OF SUPPLEMENTARY CONDITIONS

The Engineer will develop Supplementary Conditions using the guidance from the Guide to the Preparation of Supplementary Conditions (EJCDC C-800, 2013), instructions provided in this Bulletin, and by adding other project-specific supplementary conditions as required for the project.

The Supplementary Conditions document that is developed for a specific Project is the contractual means by which the Standard General Conditions (EJCDC C-700, 2013) are modified and supplemented for the Project. The references in the Supplementary Conditions items below (and in EJCDC C-800 as published) to adding, amending, or supplementing are referring to the paragraphs of C-700. Thus the first item below, SC-1.01.A.8, is a contractual provision that adds the stated language ("The Change Order form to be used etc.") to Paragraph 1.01.A.8 of C-700.

As in C-800 itself, the actual Supplementary Conditions (contract terms) are shown in **bold** as modified below. Also included below are a few Guidance Notes to assist in development of the Project-specific Supplementary Conditions document. The Guidance Notes are not in bold.

The Supplementary Conditions items that follow are mandatory for each specific Project, unless noted otherwise. In most cases they are new (supplemental) SC items; in a few cases, they replace or expand on a Supplementary Condition item that is in EJCDC C-800, as published.

In addition to including the items that follow in the Supplementary Conditions document for the specific Project, the Engineer (in cooperation with the Owner) also should follow the guidance of EJCDC C-800, as published, to develop other SC items for inclusion in the Project-specific Supplementary Conditions document; as the published guidance indicates, some of the published SC items are mandatory, or require additional Project-specific input, such as insurance coverage limits. Other SC items in C-800 as published are optional but in many cases will be useful for the specific Project.

Include the following RDS-mandated Supplementary Conditions (or follow the Guidance Notes provided) in the Supplementary Conditions document for the specific Project:

- D SC 1.01.A.8 Add the following language at the end of last sentence of Paragraph 1.01.A.8: The Change Order form to be used on this Project is EJCDC C-941. Agency approval is required before Change Orders are effective.

- D SC 1.01.A.48 Add the following language at the end of the last sentence of Paragraph 1.01.A.48: A Work Change Directive cannot change Contract Price or Contract Times without a subsequent Change Order.

- D SC 1.01.A.49 Add the following new Paragraph after Paragraph 1.01.A.48:

Abnormal Weather Conditions – Conditions of extreme or unusual weather for a given region, elevation, or season as determined by Engineer. Extreme or unusual weather that is typical for a given region, elevation, or season should not be considered Abnormal Weather Conditions.

- D SC 1.01.A.50 Add the following new Paragraph after Paragraph 1.01.A.49:

Agency - The Project is financed in whole or in part by USDA Rural Utilities Service pursuant to the Consolidated Farm and Rural Development Act (7 USC Section 1921 et seq.). The Rural Utilities Service programs are administered through the USDA Rural Development offices; therefore, the Agency for these documents is USDA Rural Development.

- D SC 1.01.A.51 Add the following new Paragraph after Paragraph 1.01.A.50:

Notice of Intent to Award -The written notice by Owner to the apparent Successful bidder stating that upon compliance by the apparent Successful Bidder with the conditions enumerated therein, including presentation of executed performance and payment bonds within the time specified, Owner may issue the Notice of Award.

- D SC-2.01.A. Delete paragraph 2.01.A in its entirety and insert the following in its place:
 - A. Bonds: The apparent Successful Bidder shall within fifteen (15) days after the receipt of the Notice of Intent to Award furnish the Owner with a Performance Bond and a Payment Bond in penal sums equal to the amount of the Contract Price, meeting the requirements of Article 6 of the General Conditions.

- D SC 2.02.A Amend the first sentence of Paragraph 2.02.A. to read as follows:

Owner shall furnish to Contractor five copies of the Contract Documents (including one fully executed counterpart of the Agreement), and one copy in electronic portable document format (PDF).

- D SC2.06.B (Non-mandatory). Guidance Note: If the parties do not intend to develop electronic or digital transmittal protocols, then Paragraph 2.06B of the General Conditions may be deleted. Use the following Supplementary Condition in such case:

SC- 2.06.B Delete Paragraph 2.06.B and replace it with the term [Deleted].

Guidance Note, continued: If the use of electronic data, electronic media, or electronic project monitoring is planned for this Project, then the parties may develop a protocol with the assistance of the Engineer or Consensus DOCS form 200.2 may be added to the Construction Contract as an Exhibit. If Consensus DOCS form 200.2 will be used, then include the following Supplementary Condition:

SC-2.06.B Add the following language to the end of 2.06.B: Special requirements for electronic data apply to this Project. See attached Exhibit entitled "Electronic Communications Protocol Addendum," Consensus DOCS form 200.2.

- D SC 4.01.A Amend the last sentence of Paragraph 4.01.A by striking out the following words: In no event will the Contract Times commence to run later than the sixtieth day after the day of Bid opening or the thirtieth day after the Effective Date of the Contract, whichever date is earlier.
- D SC 4.05.C.2 Amend Paragraph 4.05.C.2 by striking out the following text: "abnormal weather conditions;" and inserting the following text: Abnormal Weather Conditions;
- D SC 5.03 Guidance Note: Amend Paragraph 5.03 using one of the suggested Paragraphs SC 5.03 in EJCDC C-800, concerning reports and drawings of conditions at the Site, and any Technical Data in the reports and drawings on whose accuracy the Contractor may rely.
- D SC 5.06 Guidance Note: Amend Paragraph 5.06 using one of the suggested Paragraphs SC 5.06 from EJCDC C-800, concerning reports and drawings regarding Hazardous Environmental Conditions at the Site, and any Technical Data in those reports and drawings on whose accuracy the Contractor may rely.
- D SC 6.03 Guidance Note: Amend Paragraph 6.03 identifying specific insurance

overage requirements using guidance from EJCDC C-800.

- D SC 7.04.A Amend the third sentence of Paragraph 7.04.A by striking out the following words: Unless the specification or description contains or is followed by words reading that no like, equivalent, or 'or-equal' item is permitted.
- D SC 7.04.A.1 Amend the last sentence of Paragraph a.3 by striking out "and;" and adding a period at the end of Paragraph a.3.
- D SC 7.04.A.1 Delete paragraph 7.04.A.1.a.4 in its entirety and insert the following in its place: [Deleted]
- D SC 7.Q6.A Amend Paragraph 7.06.A by adding the following text to the end of the Paragraph: "The Contractor shall not award work valued at more than fifty percent of the Contract Price to Subcontractor(s), without prior written approval of the Owner."
- D SC 7.06.B Delete paragraph 7.06.B in its entirety and insert the following in its place: [Deleted]
- D SC 7.06.E Amend the second sentence of Paragraph 7.06.E by striking out "Owner may also require Contractor to retain specific replacements; provided, however, that".
- D SC-7.08.B. Add an additional paragraph after 7.08.A. reading as follows:
 - B. If applicable laws and regulations require inspection of the work by the Pennsylvania Department of Transportation, Pennsylvania Turnpike Commission, or similar public agency, the CONTRACTOR shall be responsible for coordinating the performance of the Work with inspectors employed by or for the public agency. The expense of these inspections shall be borne by the CONTRACTOR. In the event the public agency requires payment for this inspection from the OWNER, the OWNER shall deduct the amount due and payable for such services from compensation otherwise due the CONTRACTOR. It is expressly understood, by and between the CONTRACTOR and the OWNER, that the cost for such public agency inspection has been included within the price bid for such portions of the Work as are affected by this public agency inspection.
- D SC 10.03 Guidance Note: Amend Paragraph 10.03 using one of the two alternatives presented in C- 800's section on SC 10.03 (either the Engineer will

provide Resident Project Representative services on the Project, with specific authority and responsibilities, or Engineer will not provide Resident Project Representative services).

- D SC 11.07.C Add the following new Paragraph after Paragraph 11.07.B:

All Contract Change Orders must be concurred in by Agency before they are effective.

- D SC 13.02.C Delete Paragraph 13.02.C in its entirety and insert the following in its place: [Deleted]

- D SC 15.01.B.3 Add the following language at the end of paragraph 15.01.B.3:

The retainage stipulated in the Agreement shall be five percent (5%) of each Application for Payment until the ENGINEER certifies Substantial Completion. Additional amounts may be retained if the Contract is not proceeding satisfactorily. No payments will be made that would deplete the retainage, place in escrow any funds that are required for retainage, or invest the retainage for the benefit of the Contractor.

- D SC 15.01.B.4 Add the following new Paragraph after Paragraph 15.01.B.3:

The Application for Payment form to be used on this Project is EJCDC C-620. The Agency must approve all Applications for Payment before payment is made.

- D SC 15.01.D.1 Delete Paragraph 15.01.D.1 in its entirety and insert the following in its place:

The Application for Payment with Engineer's recommendations will be presented to the Owner and Agency for consideration. If both the Owner and Agency find the Application for Payment acceptable, the recommended amount less any reduction under the provisions of Paragraph 15.01.E will become due twenty (20) days after the Application for Payment is presented to the Owner, and the Owner will make payment to the Contractor.

- D SC 15.02.A Amend Paragraph 15.02.A by striking out the following text: "no later than seven days after the time of payment by Owner" and insert "no later than the time of payment by Owner."

- D SC 18.09 Add the following new paragraph after Paragraph 18.08:

Tribal Sovereignty. No provision of this Agreement will be construed by any of the signatories as abridging or debilitating any sovereign powers of the

{insert name of Tribe} Tribe; affecting the trust-beneficiary relationship between the Secretary of the Interior, Tribe, and Indian landowner(s); or interfering with the government-to-government relationship between the United States and the Tribe.

- D SC 19 Add Article 19 titled "FEDERAL REQUIREMENTS"
- O SC 19.01 Add the following language as Paragraph 19.01 with the title "Agency Not a Party":
 - A. This Contract is expected to be funded in part with funds provided by Agency. Neither Agency, nor any of its departments, entities, or employees is a party to this Contract.
- D SC 19.02 Add the following sections after Article 19.01 with the title "Contract Approval":
 - A. Owner and Contractor will furnish Owner's attorney such evidence as required so that Owner's attorney can complete and execute the following "Certificate of Owner's Attorney" (Attachment GC-A) before Owner submits the executed Contract Documents to Agency for approval.
 - B. Concurrence by Agency in the award of the Contract is required before the Contract is effective.
- O SC 19.03 Add the following language after Article 19.02.B with the title "Conflict of ~~Inter~~est":
 - A. Contractor may not knowingly contract with a supplier or manufacturer if the individual or entity who prepared the plans and specifications has a corporate or financial affiliation with the supplier or manufacturer. Owner's officers, employees, or agents shall not engage in the award or administration of this Contract if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when: (i) the employee, officer or agent; (ii) any member of their immediate family; (iii) their partner or (iv) an organization that employs, or is about to employ, any of the above, has a financial interest in Contractor. Owner's officers, employees, or agents shall neither solicit nor accept gratuities, favors or anything of monetary value from Contractor or subcontractors.
- D SC 19.04 Add the following language after Article 19.03.A with the title "Gratuities":
 - A. If Owner finds after a notice and hearing that Contractor, or any of Contractor's agents or representatives, offered or gave gratuities (in

the form of entertainment, gifts, or otherwise) to any official, employee, or agent of Owner or Agency in an attempt to secure this Contract or favorable treatment in awarding, amending, or making any determinations related to the performance of this Contract, Owner may, by written notice to Contractor, terminate this Contract. Owner may also pursue other rights and remedies that the law or this Contract provides. However, the existence of the facts on which Owner bases such findings shall be an issue and may be reviewed in proceedings under the dispute resolution provisions of this Contract.

- B. In the event this Contract is terminated as provided in paragraph 19.04.A, Owner may pursue the same remedies against Contractor as it could pursue in the event of a breach of this Contract by Contractor. As a penalty, in addition to any other damages to which it may be entitled by law, Owner may pursue exemplary damages in an amount (as determined by Owner) which shall not be less than three nor more than ten times the costs Contractor incurs in providing any such gratuities to any such officer or employee.

- D SC 19.05 Add the following language after Article 19.04.B with the title "Audit and Access to Records":

- A. Owner, Agency, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the Contractor which are pertinent to the Agreement, for the purpose of making audits, examinations, excerpts, and transcriptions. Engineer shall maintain all required records for three years after final payment is made and all other pending matters are closed.

- D SC 19.06 Add the following language after Article 19.05.A with the title "Small, Minority and Women's Businesses":

- A. If Contractor intends to let any subcontracts for a portion of the work, Contractor shall take affirmative steps to assure that small, minority and women's businesses are used when possible as sources of supplies, equipment, construction, and services. Affirmative steps shall consist of: (1) including qualified small, minority and women's businesses on solicitation lists; (2) assuring that small, minority and women's businesses are solicited whenever they are potential sources; (3) dividing total requirements when economically feasible, into small tasks or quantities to permit maximum participation of small, minority, and women's businesses; (4) establishing delivery schedules, where the requirements of the work permit, which will encourage participation by small, minority and women's businesses; (5) using the services and assistance of the Small Business Administration and

the Minority Business Development Agency of the U.S. Department of Commerce; (6) requiring each party to a subcontract to take the affirmative steps of this section; and (7) Contractor is encouraged to procure goods and services from labor surplus area firms.

- D SC 19.07 Add the following after Article 19.06.A with the title "Anti-Kickback":
- A. Contractor shall comply with the Copeland Anti-Kickback Act (18 USC 874 and 40 USC 276c) as supplemented by Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Buildings or Public Works Financed in Whole or in Part by Loans or Grants of the United States"). The Act provides that Contractor or subcontractor shall be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public facilities, to give up any part of the compensation to which they are otherwise entitled. Owner shall report all suspected or reported violations to Agency.
- D SC 19.08 Add the following after Article 19.07.A with the title "Clean Air and Pollution Control Acts":
- A. If this Contract exceeds \$100,000, compliance with all applicable standards, orders, or requirements issued under section 306 of the Clean Air Act (42 U.S.C. 1857(h) and 42 USC 7401et. seq.), section 508 of the Clean Water Act (33 U.S.C. 1368) and Federal Water Pollution Control Act (33 USC 1251et seq.), Executive Order 11738, and Environmental Protection Agency regulations is required. Contractor will report violations to the Agency and the Regional Office of the EPA.
- D SC 19.09 Add the following after Article 19.08 with the title "State Energy Policy":
- A. Contractor shall comply with the Energy Policy and Conservation Act (P.L. 94-163). Mandatory standards and policies relating to energy efficiency, contained in any applicable State Energy Conservation Plan, shall be utilized.
- D SC 19.10 Add the following after Article 19.09 with the title "Equal Opportunity Requirements":
- A. If this Contract exceeds \$10,000, Contractor shall comply with Executive Order 11246, "Equal Employment Opportunity," as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and as

supplemented by regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."

- B. Contractor's compliance with Executive Order 11246 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative active obligations required by the Standard Federal Equal Employment Opportunity Construction Contract Specifications, as set forth in 41 CFR Part 60-4 and its efforts to meet the goals established for the geographical area where the Contract is to be performed. The hours of minority and female employment and training must be substantially uniform throughout the length of the Contract, and in each trade, and Contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project for the sole purpose of meeting Contractor's goals shall be a violation of the Contract, the Executive Order, and the regulations in 41 CFR part 60-4. Compliance with the goals will be measured against the total work hours performed.
- C. Contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within 10 working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the Contract resulting from this solicitation. The notification shall list the name, address, and telephone number of the subcontractor; employer identification number; estimated dollar amount of subcontract; estimated starting and completion dates of the subcontract; and the geographical area in which the Contract is to be performed.
- D. SC 19.11 Add the following after Article 19.10 with the title "Restrictions on Lobbying":
 - A. Contractor and each subcontractor shall comply with Restrictions on Lobbying (Public Law 101-121, Section 319) as supplemented by applicable Agency regulations. This Law applies to the recipients of contracts and subcontracts that exceed \$100,000 at any tier under a Federal loan that exceeds \$150,000 or a Federal grant that exceeds \$100,000. If applicable, Contractor must complete a certification form on lobbying activities related to a specific Federal loan or grant that is a funding source for this Contract. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, or an employee of a member of Congress in connection

with obtaining any Federal contract, grant, or any other award covered by 31U.S.C. 1352. Each tier shall disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Certifications and disclosures are forwarded from tier to tier up to the Owner. Necessary certification and disclosure forms shall be provided by Owner.

- D SC 19.12 Add the following after Article 19.11A with the title "Environmental Requirements":

When constructing a Project involving trenching and/or other related earth excavations, Contractor shall comply with the following environmental conditions:

- A. Wetlands -When disposing of excess, spoil, or other construction materials on public or private property, Contractor shall not fill in or otherwise convert wetlands.
- B. Floodplains – When disposing of excess, spoil, or other construction materials on public or private property, Contractor shall not fill in or otherwise convert 100-year floodplain areas (Standard Flood Hazard Area) delineated on the latest Federal Emergency Management Agency Floodplain Maps, or other appropriate maps, e.g., alluvial soils on NRCS Soil Survey Maps.
- C. Historic Preservation -Any excavation by Contractor that uncovers an historical or archaeological artifact or human remains shall be immediately reported to Owner and a representative of Agency. Construction shall be temporarily halted pending the notification process and further directions issued by Agency after consultation with the State Historic Preservation Officer (SHPO).
- D. Endangered Species – Contractor shall comply with the Endangered Species Act, which provides for the protection of endangered and/or threatened species and critical habitat. Should any evidence of the presence of endangered and/or threatened species or their critical habitat be brought to the attention of Contractor, Contractor will immediately report this evidence to Owner and a representative of Agency. Construction shall be temporarily halted pending the notification process and further directions issued by Agency after consultation with the U.S. Fish and Wildlife Service.
- E. Mitigation Measures - The following environmental mitigation measures are required on this Project: {Insert mitigation measures here}.

- D SC 19.13 Add the following after Article 19.12 with the title "Prevailing Wage":
- A. During the performance of the Work under this Contract the CONTRACTOR must abide by the provisions of the Pennsylvania Prevailing Wage Act of 1961, P.L. 987, No. 442, as amended and currently in effect, and its implementing regulations.
1. Labor Standards Provisions. The Required Provisions as stated in Title 34, Pennsylvania Code, Section 9.103, are hereby incorporated into this Contract. The CONTRACTOR will be responsible for complying with these provisions and the OWNER will be solely responsible for receiving copies of certified payrolls and the final certification under 34 Pa. Code 9.103(12). Suggest copy of 34 Pa. Code 9.103 be included in documents.
 2. Wage Determination. {Insert wage determination. }
- OR
- A. During the performance of the Work under this Contract the CONTRACTOR must abide by the Labor Standards Provisions of the Davis-Bacon and Related Acts.
1. Wage Determination. {Insert wage determination}.
 2. Labor Standards Provisions. The Labor Standards Provisions as stated in RD Instruction 1940-C, Exhibit A are hereby incorporated into this Contract. The CONTRACTOR will be responsible for complying with these provisions and the OWNER and Agency will monitor compliance. (Suggest copy of Exhibit A be included in documents.)

CERTIFICATE OF OWNER'S ATTORNEY AND AGENCY CONCURRENCE

CERTIFICATE OF OWNER'S ATTORNEY

PROJECT NAME:

CONTRACTOR NAME:

I, the undersigned, representative of _____
the duly authorized and acting legal, do hereby certify as follows:

I have examined the attached Contract(s) and performance and payment bond(s) and the manner of execution thereof, and I am of the opinion that each of the aforesaid agreements is adequate and has been duly executed by the proper parties thereto acting through their duly authorized representatives; that said representatives have full power and authority to execute said agreements on behalf of the respective parties named thereon; and that the foregoing agreements constitute valid and legally binding obligations upon the parties executing the same in accordance with the terms, conditions, and provisions thereof.

Name

Date

AGENCY CONCURRENCE

As lender or insurer of funds to defray the costs of this Contract, and without liability for any payments thereunder, the Agency hereby concurs in the form, content, and execution of this Agreement.

Agency Representative

Date

Name

ENGINEER'S CERTIFICATION OF FINAL PLANS AND SPECIFICATIONS

PROJECT NAME: _____

The final Drawings and Specifications, other assembled Construction Contract Documents, bidding- related documents (or requests for proposals or other construction procurement documents), and any other Final Design Phase deliverables, comply with all requirements of the U.S. Department of Agriculture, Rural Utilities Service, to the best of my knowledge and professional judgment.

If the Engineers Joint Contract Documents Committee (EJCDC) documents have been used, all modifications required by RUS Bulletin 1780-26 have been made in accordance the terms of the license agreement, which states in part that the Engineer "must plainly show all changes to the Standard EJCDC Text, using 'Track Changes' (redline/strikeout), highlighting, or other means of clearly indicating additions and deletions." Such other means may include attachments indicating changes (e.g. Supplementary Conditions modifying the General Conditions).

Engineer

Date

Name and Title

EXHIBIT K RUS FORMS: This exhibit contains required RUS Agency form that are required to be included in the Contract Document:

- a. Notice of Intent to Award
- b. Form AD-1048
- c. Form RD 400-6
- d. RD Instruction 1940-Q Exhibit 1
- e. Standard form LLL
- f. Seismic Certification
- g. Temporary Construction sign

**Notice of Intent to Award
(EJCDC 2013)**

TO: _____
(Apparent Successful Bidder)

(Address)

Gentlemen:

It appears that you are the low bidder on Contract _____
for the construction of _____
for the _____. Pursuant to the Specification under which your Proposal
was submitted you are hereby notified that the OWNER represented by the undersigned intends
to award a Contract to you for the aforesaid work. The Contract Price is computed to be \$. , on the
basis of the acceptance of your Proposal.

Enclosed herewith are copies of the required Performance BOND and Payment BOND to be
executed by the Contracting Party and by an approved corporate surety, as required
by **Article 6 (Bonds and Insurance) of the General Conditions**. The BONDS shall be
executed in {number} counterparts, each of which shall be deemed an original, each
with an original power of attorney, and returned to the undersigned within fifteen (15) days after
receipt of this letter.

The BONDS, accompanied by the proper powers of attorney from the corporate surety, must be
supplied before an award of the Contract can be made to you.

If you fail to execute and deliver the BONDS within the time specified, you shall forfeit to the
OWNER, as liquidated damages for such failure or refusal, the security deposited with your
Proposal.

Dated this _____ day of _____, _____

Owner
By _____
Title _____

ACCEPTANCE OF NOTICE

Receipt of the above NOTICE OF
INTENT TO AWARD is hereby acknowledged
this the _____ day
of _____

By _____
Title _____

U.S. DEPARTMENT OF AGRICULTURE

**Certification Regarding Debarment, Suspension, Ineligibility
and Voluntary Exclusion - Lower Tier Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, **Federal Register** (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name

PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s)

Date

Instructions for Certification

1. By signing and submitting this form, the prospective lower tier participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

COMPLIANCE STATEMENT

This statement relates to a proposed contract with _____

(Name of borrower or grantee)

who expects to finance the contract with assistance from either the Rural Housing Service (RHS), Rural Business-Cooperative Service (RBS), or the Rural Utilities Service (RUS) or their successor agencies, United States Department of Agriculture (whether by a loan, grant, loan insurance, guarantee, or other form of financial assistance). I am the undersigned bidder or prospective contractor, I represent that:

1. I have, have not, participated in a previous contract or subcontract subject to Executive Order 11246 (regarding equal employment opportunity) or a preceding similar Executive Order.
2. If I have participated in such a contract or subcontract, I have, have not, filed all compliance reports that have been required to file in connection with the contract or subcontract.
 If the proposed contract is for \$50,000 or more: or If the proposed nonconstruction contract is for \$50,000 or more and I have 50 or more employees, I also represent that:
3. I have, have not previously had contracts subject to the written affirmative action programs requirements of the Secretary of Labor.
4. If I have participated in such a contract or subcontract, I have, have not developed and placed on file at each establishment affirmative action programs as required by the rules and regulations of the Secretary of Labor.

I understand that if I have failed to file any compliance reports that have been required of me, I am not eligible and will not be eligible to have my bid considered or to enter into the proposed contract unless and until I make an arrangement regarding such reports that is satisfactory to either the RHS, RBS or RUS, or to the office where the reports are required to be filed.

I also certify that I do not maintain or provide for my employees any segregated facilities at any of my establishments, and that I do not permit my employees to perform their services at any location, under my control, where segregated facilities are maintained. I certify further that I will not maintain or provide for my employees any segregated facilities at any of my establishments, and that I will not permit my employees to perform their services at any location, under my control, where segregated facilities are maintained. I agree that a breach of this certification is a violation of the Equal Opportunity clause in my contract. As used in this certification, the term "segregated facilities" means any waiting rooms, work areas, restrooms and wash rooms, restaurants and other eating areas time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise. I further agree that (except where I have obtained identical certifications for proposed subcontractors for specific time periods) I will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity clause; that I will retain such certifications in my files; and that I will forward the following notice to such proposed subcontractors (except where the proposed subcontractors have submitted identical certifications for specific time periods):

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays the valid OMB control number. The valid OMB control number for this information collection is 0575-0018. The time required to complete this information collection is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

**NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENTS FOR
CERTIFICATIONS OF NON-SEGREGATED FACILITIES**

A certification of Nonsegregated Facilities, as required by the May 9, 1967, order (32F.R. 7439, May 19, 1967) on Elimination of Segregated Facilities, by the Secretary of Labor, must be submitted prior to the award of a subcontract exceeding \$ 10,000 which is not exempt from the provisions of the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semiannually, or annually).

NOTE: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

DATE _____

(Signature of Bidder or Prospective Contractor)

Address (including Zip Code)

CERTIFICATION FOR CONTRACTS, GRANTS AND LOANS

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant or Federal loan, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant or loan.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant or loan, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subcontracts, and subgrants under grants and loans) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(name)

(date)

(title)

oOo

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0346-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year quarter date of last report
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input checked="" type="checkbox"/> Subawardee Tier , if known : Congressional District, if known : 4c	5. f Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known :	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable :	
8. Federal Action Number, if known :	9. Award Amount, if known : \$	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, M/):	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, M/):	
11 Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only: _____		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

SEISMIC DESIGN & ACKNOWLEDGEMENT POLICY & REGULATIONS

Water and Waste Disposal program design policies to address seismic safety are included at 7 CFR 1780.57(0) and 7 CFR 1792, Subpart C. Subpart C, "Seismic Safety of Federally Assisted New Building Construction" includes requirements applicable to the design of any building, defined as a structure fully or partially enclosed and intended for sheltering persons or property.

Design engineers and architects must ensure that all new buildings are designed in compliance with the International Code Council's "International Building Code," the American Society of Civil Engineers' "Minimum Design Loads for Buildings and Other Structures," or other standard providing a level of safety substantially equivalent to the /eve/ provided by the National Earthquake Hazards Reduction Program, "Recommended Provisions for the Development of Seismic Regulation for New Buildings."

1792 Subpart C requires that the design engineer place an acknowledgement on the plan cover sheet submitted for Rural Development concurrence indicating the identification and date of the model code or standard that was used in the seismic design of the building project. The plan and specifications must also be dated, signed, and sealed by the registered architect or engineer; however, there is no requirement for completion of a certification form for I/VIND.

SAMPLE ACKNOWLEDGEMENT FOR DRAWING COVER SHEET

The undersigned hereby acknowledges that the project structures and buildings have been designed in accordance with the following model building code or standard and complies with the requirements of 7 CFR Part 1792, §1792.103:

<hr/>	
[Identification and Date of Model Code or Standard]	
<hr/>	<hr/>
Signatu re	Date
<hr/>	
State & License No.	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">(Seal)</div>

TEMPORARY CONSTRUCTION SIGN FOR RURAL DEVELOPMENT PROJECTS

-----WHITE BACKGROUND-----

Project Title

Sponsor / Developer

Official(s) or Sponsor Address

Architect or Engineer
(second line)

Contractor
(second line)

 **USDA**
9---:•iii

Committed to the future of rural communities.

Financed by United States Department of Agriculture (USDA) Rural Development

This institution is an equal opportunity provider.

Barack Obama, President of the United States
Tom Vilsack, Secretary of Agriculture

-----BLACK LETTERING-----

BLACK LETTERING

LETTERING (GREEN, PMS 343)

SIGN DIMENSIONS: 1200 mm x 2400 mm x 19 mm (approx. 4' x 8' x 3/4")
PLYWOOD PANEL (APA RATED A-B GRADE-EXTERIOR)