

Rubin & Hays

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RECEIVED

OCT 14 2019

PUBLIC SERVICE
COMMISSION

October 9, 2019

Ms. Gwen R. Pinson
Executive Director
Public Service Commission
P.O. Box 615
Frankfort, Kentucky 40602

Re: Cumberland County Water District PSC Application - KRS 278.023

Dear Director Pinson:

Enclosed please find the original and ten (10) copies of the Application of the Cumberland County Water District for a Certificate of Public Convenience and Necessity to construct, finance and increase rates pursuant to KRS 278.023.

Also enclosed are eleven (11) copies of the exhibits required pursuant to 807 KAR 5.069, with the **exception of the Preliminary and Final Engineering Reports, of which two copies are enclosed and the Plans and Specifications on electronic media in portable document format.**

If you need any additional information or documentation, please let us know.

Sincerely,

Rubin & Hays

By 
W. Randall Jones

WRJ:jlm
Enclosures
cc: Distribution List

DISTRIBUTION LIST

**Re: Cumberland County Water District Waterworks Revenue Bonds, Series 2020,
in the principal amount of \$560,000 (Highway 704 Water Project).**

Ms. Hilda Gay Legg
State Director
USDA, Rural Development
771 Corporate Drive, Suite 200
Lexington, Kentucky 40503-5744

Phone: (859) 224-7336

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USDA, Rural Development
957 Campbellsville Road
Columbia, Kentucky 42728-1901
mark.givens@usda.gov

Telephone: (270) 384-6431

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Mr. Matthew Dyer, Manager
Cumberland County Water District
133 Lower River Street
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ccwateroffice@yahoo.com

Telephone: (270) 864-3133

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OCT 14 2019

PUBLIC SERVICE
COMMISSION

COMMONWEALTH OF KENTUCKY

BEFORE THE PUBLIC SERVICE COMMISSION

In the Matter of:

THE APPLICATION OF THE CUMBERLAND)
COUNTY WATER DISTRICT FOR A CERTIFICATE)
OF PUBLIC CONVENIENCE AND)
NECESSITY TO CONSTRUCT A SYSTEM) Case No. 2019 - 00377
IMPROVEMENTS PROJECT AND AN ORDER)
APPROVING A CHANGE IN RATES AND)
AUTHORIZING THE ISSUANCE OF SECURITIES)
PURSUANT TO KRS 278.023)

APPLICATION

This Application of the Cumberland County Water District ("Applicant"), respectfully shows:

1. That Applicant is a water district created and existing under and by virtue of Chapter 74 of the Kentucky Revised Statutes.
2. That the post office address of Applicant is:

Cumberland County Water District
c/o Mr. Matthew Dyer, Manager
133 Lower River Street
Burkesville, Kentucky 42717
Phone: (270) 864-3133
Fax: (270) 864-3865
email address: ccwateroffice@yahoo.com
3. That Applicant, pursuant to the provisions of KRS 278.023, seeks (i) a Certificate of Public Convenience and Necessity ("CPCN"), permitting Applicant to construct a waterworks improvement project (the "Project"); (ii) an Order approving increased water rates; and (iii) authorization to issue securities for the purpose of financing said Project.
4. That the Project is described in the attached **Exhibit "A"**.
5. That Applicant proposes to finance the construction of the Project through the issuance of \$560,000 of its Waterworks Revenue Bonds and a grant from USDA, Rural

Development ("RD") in the amount of \$240,000. Applicant has a commitment from RD to purchase said \$560,000 of bonds maturing over a 40-year period, at an interest rate not to exceed 2.125% per annum as set out in the RD Letter of Conditions and Form RD 1940-1 Request for Obligation of Funds filed herewith as **Exhibit B**.

6. That Applicant does not contemplate having the Project constructed with any deviation from minimum construction standards of this Commission.

7. That Applicant files herewith the following Exhibits pursuant to 807 KAR 5:069, Section 2 in support of this Application:

- A. Description of Project (**Exhibit "A"**).
- B. Copy of RD Letter of Conditions and Form RD 1940-1 (**Exhibit "B"**).
- C. Copy of RD Letter of Concurrence in Contract Award (**Exhibit "C"**).
- D. Copy of Notice of Proposed Rate Change (**Exhibit "D"**).
- E. Copy of Preliminary Engineering Report, Final Engineering Report and certified bid tabulations.
- F. Certified statement from the Chairman of Applicant (**Exhibit "E"**), based upon statements of the Engineers for Applicant, concerning the following:
 - (1) The proposed plans and specifications for the Project have been designed to meet the minimum construction and operating requirements set out in 807 KAR 5:066 Section 4(3) and (4); Section 5(1); Sections 6 and 7; Section 8(1) through (3); Section 9(1) and Section 10.
 - (2) All other state approvals or permits have been obtained;
 - (3) The proposed rates of Applicant shall produce the total revenue requirements recommended in the engineering reports; and
 - (4) Setting out the dates when it is anticipated that construction will begin and end.
- G. Copy of the Plans and Specifications of the Project on electronic storage medium in portable document format.

8. That Applicant has complied with the "public postings" requirement of 807 KAR 5:069, Section 3(1)(a) and (b) by posting a copy of the Notice of Proposed Rate Change (the "Notice") (i) at its place of business; and (ii) within five (5) business days of the date this

Application is submitted to the Commission, on its website (www.cumberlandcountywater.wordpress.com) along with a hyperlink to the location on the Commission's website where the case documents are available. Applicant has also arranged for the publication, prior to or at the same time this Application is filed, of the Notice pursuant to 807 KAR 5:069, Section 3(2) in the newspapers of general circulation in Applicant's service area. Said Notice sets out the content requirements of 807 KAR 5:069, Section 3(4). A copy of said Notice is filed herewith as **Exhibit "D"**. Applicant shall file with this Commission no later than fifteen (15) days from the date this Application was initially filed, an affidavit and tearsheet from the publisher as required by 807 KAR 5:069 Section 3(3)(b).

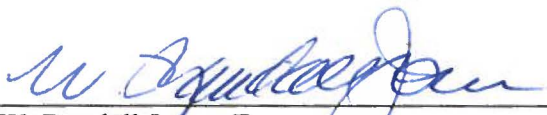
9. That the foregoing constitutes the documents necessary to obtain the approval of this Commission in accordance with Section 278.023 of the Kentucky Revised Statutes and in accordance with the "Filing Requirements" specified in 807 KAR 5:069, Section 2.

WHEREFORE, Applicant, the Cumberland County Water District asks that the Kentucky Public Service Commission grant to Applicant the following:

- a. A Certificate of Public Convenience and Necessity permitting Applicant to construct a water system improvement project.
- b. An Order authorizing the issuance of securities, viz., \$560,000 of Cumberland County Water District Waterworks Revenue Bonds at an interest rate not to exceed 2.125% per annum.
- c. An Order approving the proposed water rates as set out in Section 31 of the RD Letter of Conditions filed herewith as an Exhibit.

Cumberland County Water District

By: 
Chairman
Board of Water Commissioners


W. Randall Jones, Esq.
Rubin & Hays, Counsel for Applicant
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Louisville, Kentucky 40202
Phone: (502) 569-7534
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wrjones@rubinhays.com

COMMONWEALTH OF KENTUCKY)
) SS:
COUNTY OF CUMBERLAND)

The undersigned, Troy Norris, being duly sworn, deposes and states that he is the Chairman of the Board of Commissioners of the Cumberland County Water District, Applicant, in the above proceedings; that he has read the foregoing Application and has noted the contents thereof; that the same is true of his own knowledge, except as to matters which are therein stated on information or belief, and as to those matters, he believes same to be true.


IN TESTIMONY WHEREOF, witness the signature of the undersigned on this October 7, 2019.



Troy Norris, Chairman
Cumberland County Water District

Subscribed and sworn to before me by Troy Norris, Chairman of the Board of Commissioners of the Cumberland County Water District on this October 7, 2019.

My Commission expires: July 27, 2020.



Notary Public

EXHIBIT A

The existing 6" water line serving Kentucky Highway 704 (Crocus Creek Road) was installed in the early 1970's and is of poor overall construction, lacking suitable bedding and cover. This issue is further compounded due to extremely rocky subsoil conditions. Accordingly, the line is subject to frequent breaks, leaks and other emergency repair situations. These repairs are generally cumbersome and costly due to the area's rough terrain. In order to correct these deficiencies, the project proposes the replacement of 13,600 LF of deteriorating 6" water line and appurtenances adjacent to Kentucky Highway 704 with new 6" PVC. A small portion of 8" HDPE is also proposed to be installed in one exceptionally rocky area. In addition, a new master meter vault will be installed near the intersection of Kentucky Highway 61 and Kentucky Highway 704. The proposed project will improve service to approximately 90 existing customers in total, with 20 of those being connected directly to the line to be replaced.



February 12, 2018

Mr. Alvin Pharis, Chairman
Cumberland County Water District
133 Lower River Street
Burkesville, KY 42717

SUBJECT: Recipient Name: Cumberland County Water District
Project Name: HWY 704 Water System Improvements

Dear Chairman Pharis:

This letter establishes conditions which must be understood and agreed to by you before further consideration may be given to the application. The loan and grant will be administered on behalf of the Rural Utilities Service (RUS) by the State and Area office staff of USDA Rural Development. Any changes in project cost, source of funds, scope of services or any other significant changes in the project or applicant must be reported to and approved by USDA Rural Development, by written amendment to this letter. Any changes not approved by Rural Development shall be cause for discontinuing processing of the application. It should also be understood that Rural Development is under no obligation to provide additional funds to meet an overrun in construction costs.

This letter is not to be considered as loan or grant approval or as a representation as to the availability of funds. The docket may be completed on the basis of a RUS loan not to exceed \$560,000 and a RUS grant not to exceed \$240,000. No applicant cash contribution will be required.

If Rural Development makes the loan, the interest rate will be the lower of the rate in effect at the time of loan approval or the rate in effect at the time of loan closing, unless the applicant otherwise chooses. The loan will be considered approved on the date a signed copy of Form RD 1940-1, "Request for Obligation of Funds," is mailed to you.

Please complete and return the attached Form RD 1942-46, "Letter of Intent to Meet Conditions," if you desire that further consideration be given to your application.

The "Letter of Intent to Meet Conditions" must be executed within three weeks from the date of this letter or it becomes invalid unless a time extension is granted by Rural Development.

If the conditions set forth in this letter are not met within 210 days from the date hereof, Rural Development reserves the right to discontinue the processing of the application. In signing Form RD 1942-46, "Letter of Intent to Meet Conditions," you are agreeing to complete the following as expeditiously as possible:

Rural Development • Kentucky State Office
771 Corporate Drive, Suite 200, Lexington, Kentucky 40502
Voice (859) 224-7300 • Fax (855) 661-8335 • TTY (859) 224-7422

USDA is an equal opportunity provider, employer and lender.

1. Number of Users and Their Contribution:

There shall be 2,489 water users, of which all are existing users. The Area Director will review and authenticate the number of users and amount of connection fees prior to advertising for construction bids.

2. Grant Agreement:

Attached is a copy of RUS Bulletin 1780-12, "Water and Waste System Grant Agreement," for your review. You will be required to execute a completed form at the time of grant closing.

3. Drug-Free Work Place:

Prior to grant closing, the District will be required to execute Form AD-1049, "Certification Regarding Drug-Free Workplace Requirements (Grants) Alternative I - For Grantees Other Than Individuals."

4. Repayment Period:

The loan will be scheduled for repayment over a period not to exceed 40 years from the date of the Bond. Principal payment will not be deferred. Payments will be in accordance with applicable KRS, which requires interest to be paid semi-annually (January 1st and July 1st) and principal will be due on or before the first of January. Rural Development may require the City to adopt a supplemental payment agreement providing for monthly payments of principal and interest so long as the bond is held or insured by RUS. Monthly payments will be approximate amortized installments.

5. Recommended Repayment Method:

Payments on this loan shall be made using the Preauthorized Debit (PAD) payment method. This procedure eliminates the need for paper checks and ensures timely receipt of RD loan payments. To initiate PAD payments, Form RD 3550-28, "Authorization Agreement for Preauthorized Payments," should be signed by the District to authorize the electronic withdrawal of funds from your designated bank account on the exact installment payment due date. The Area Director will furnish the necessary forms and further guidance on the PAD procedure.

6. Reserve Accounts:

Reserves must be properly budgeted to maintain the financial viability of any operation. Reserves are important to fund unanticipated emergency maintenance, pay for repairs, and assist with debt service should the need arise.

The District will be required to deposit \$175 per month into a "Funded Debt Reserve Account" until the account reaches \$21,000. The deposits are to be resumed any time the account falls below the \$21,000.

The required monthly deposits to the Reserve Account and required Reserve Account levels are in addition to the requirements of the District's prior loan resolutions.

The monthly deposits to the Reserve Account are required to commence with the first month of the first full fiscal year after the facility becomes operational.

The District also needs to fund an account for short-lived assets by depositing a sum of \$667 monthly to the account. The funds in the short-lived asset account may be used by the District as needed to replace or add short-lived assets in the District's water system.

7. Security Requirements:

A combined pledge of gross water revenue(s) will be provided in the Bond Ordinance. Bonds shall rank on a parity with existing bonds, if possible.

If this is not possible, the bond will be subordinate and junior to the existing bonds, in which case the District will be required to abrogate its right to issue additional bonds ranking on a parity with the existing bonds, so long as any unpaid indebtedness remains on this bond issue.

Additional security requirements are contained in [RUS Bulletin 1780-12, "Water and Waste System Grant Agreement," and RUS Bulletin 1780-28, "Loan Resolution Security Agreement," which also serves as an assignment of income.] A draft of all security instruments must be reviewed and concurred in by the Agency prior to advertising for bids. The Loan Resolution must be duly adopted and executed prior to loan closing. The Grant Agreement must be fully executed prior to the first disbursement of grant funds.

8. Land Rights and Real Property:

The District will be required to furnish satisfactory title, easements, etc., necessary to install, maintain and operate the facility to serve the intended users.

The pipelines will be on private rights-of-way where feasible. Easements and options are to be secured prior to advertising for construction bids.

9. Organization:

The District will be legally organized under applicable KRS, which will permit them to perform this service, borrow, or repay money.

The District must maintain a current registration of their Dun and Bradstreet Data Universal Numbering System (DUNS) number in SAM.gov (System for Award Management) in order to receive federal loan and/or grant financial assistance. This registration must be updated/renewed at least annually.

10. Business Operations:

The District will be required to operate the system under a well-established set of resolutions, rules and regulations. A budget must be established annually and adopted by the District after review by Rural Development. At no later than loan pre-closing, the District will be required to furnish a prior approved management plan to include, as a minimum, provisions for management, maintenance, meter reading, miscellaneous services, billing, collecting, delayed payment penalties, disconnect/reconnect fees, bookkeeping, making and delivering required reports and audits.

11. Conflict of Interest Policy:

Prior to obligation of funds, you will certify in writing that your organization has in place an up-to-date written policy on conflict of interest. The policy will include, at a minimum: (1) a requirement for those with a conflict/potential conflict to disclose the conflict/potential conflict; (2) a prohibition of interested members of the applicant's governing body from voting on any matter in which there is a conflict, and (3) a description of the specific process by which the governing body will manage identified or potential conflicts.

You must also submit a disclosure of planned or potential transactions related to the use of Federal funds that may constitute or present the appearance of personal or organizational conflict of interest. Disclosure must be in the form of a written letter signed and dated by the applicant's official.

A negative disclosure in the same format is required if no conflicts are anticipated. Sample conflict of interest policies may be found at the National Council of Nonprofits website, <https://www.councilofnonprofits.org/tools-resources/conflict-of-interest>, or in Internal Revenue Service Form 1023, Appendix A, "Sample Conflict of Interest Policy," at <http://www.irs.gov/pub/irs-pdf/i1023.pdf>. Though these examples reference non-profit corporations, the requirement applies to all types of Agency borrowers.

Disclosure must be in the form of a written letter signed and dated by the applicant's official. A negative disclosure of the same format is required if no conflicts are anticipated. Assistance in developing a conflict of interest policy is available through Agency-contracted technical assistance providers if desired.

12. Accounts, Records and Audits:

The District will be required to maintain adequate records and accounts and submit annual budgets and year-end reports (annual audits)/statistical and financial reports, quarterly and annually, in accordance with subsection 1780.47 of RUS Instruction 1780.

13. Insurance and Bonding:

The following insurance and bonding will be required:

- A. Adequate Liability and Property Damage Insurance including vehicular coverage, if applicable, must be obtained and maintained by the District. The District should obtain amounts of coverage as recommended by its attorney, consulting engineer and/or insurance provider.
- B. Worker's Compensation - The District will carry worker's compensation insurance for employees in accordance with applicable state laws.
- C. Fidelity Bond - The District will provide Fidelity Bond Coverage for all persons who have access to funds. Coverage may be provided either for all individual positions or persons, or through "blanket" coverage providing protection for all appropriate employees and/or officials. The amount of coverage required for all RUS loans is \$275,000.
- D. Real Property Insurance - The District will obtain and maintain adequate fire and extended coverage on all structures including major items of equipment or machinery located in the structures. The amounts of coverage should be based on recommendations obtained by the District from its attorney, consulting engineer and/or insurance provider. Subsurface lift stations do not have to be covered except for the value of electrical and pumping equipment therein.
- E. Flood Insurance - The District will obtain and maintain adequate coverage on any facilities located in special flood and mudslide prone areas.

14. Planning and Performing Development:

- A. The engineer should not be authorized to commence work on final plans and specifications until a determination has been made that the project can be planned and constructed within the estimated cost shown in paragraph "28" of this letter. The engineer may then proceed to develop final plans and specifications to be completed no later than 240 days from this date, and prepare bid documents. The Area Director is prepared to furnish the necessary guide to follow so as to keep the project plans and documents within our guidelines and requirements.

The project must be constructed by the design/bid/build method of construction. The project should not be advertised for construction bids until all easements and enforceable options have been obtained, and total funds are committed or available for the project.

- B. The following documents will be submitted to Rural Development for review and must be concurred in by Rural Development prior to advertisement for construction bids:
1. Final plans, specifications and bid documents.
 2. Applicant's letter on efforts to encourage small business and minority - owned business participation.
 3. Legal Service Agreements.
 4. Engineering Agreements.

Revision in these documents will be subject to Rural Development concurrence. Any agreements, contracts, etc. not reviewed and approved by Rural Development will not be eligible for payment from project funds or revenues from facilities financed by this Agency.

15. Bid Tabulation:

Immediately after bid opening, you must provide the Agency with the bid tabulation and your engineer's evaluation of bids and recommendations for contract awards. If the Agency agrees that the construction bids received are acceptable, adequate funds are available to cover the total project costs, and all the requirements of this letter have been satisfied, the Agency will authorize you to issue the Notice of Award.

- A. Cost Overruns – If bids are higher than expected, or if unexpected construction problems are encountered, you must utilize all options to reduce cost overruns. Negotiations, redesign, use of bidding alternatives, rebidding or other means will be considered prior to commitment of subsequent funding by the Agency. Any requests for subsequent funding to cover cost overruns will be contingent on the availability of funds.

Cost overruns exceeding 20% of the development cost at time of loan or grant approval or where the scope of the original purpose has changed will compete for funds with all other applications on hand as of that date.

- B. Excess Funds – If bids are lower than anticipated at time of obligation, excess funds must be deobligated prior to start of construction except in the cases addressed in this paragraph. In cases where the original PER for the project included items that were not bid, or were bid as an alternate, the State Office official may modify the project to fully utilize obligated funds for those items. Amendments to the PER, ER, and letter of conditions may be needed for any work not included in the original project scope. In all cases, prior to start of construction, excess funds will be deobligated, with grant funds being deobligated first. Excess funds do not include contingency funds as described in this letter.

16. Contract Documents, Final Plans and Specifications:

- A. The contract documents must consist of the EJCDC construction contract documents as indicated in RUS Bulletin 1780-26 or other Agency-approved forms of agreement.
- B. The contract documents, final plans and specifications must comply with RUS Instruction 1780, Subpart C – Planning, Designing, Bidding, Contracting, Constructing and Inspections, and must be submitted to the Agency for concurrence prior to advertising for bids along with an updated cost estimate. The Agency may require another updated cost estimate if a significant amount of time elapses between the original submission and advertising for bids.

- C. The use of any procurement method other than competitive sealed bids must be requested in writing and approved by the Agency.

17. Contract Review:

Your attorney will certify that the executed contract documents, including performance and payment, if required are adequate and that the persons executing these documents have been properly authorized to do so in accordance with RUS Instruction 1780.61(b).

18. Civil Rights & Equal Opportunity:

You should be aware of and will be required to comply with other federal statute requirements including but not limited to:

A. Section 504 of the Rehabilitation Act of 1973:

Under Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), no handicapped individual in the United States shall, solely by reason of their handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Rural Development financial assistance.

B. Civil Rights Act of 1964:

All borrowers are subject to, and facilities must be operated in accordance with, Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.) and Subpart E of Part 1901 of this Title, particularly as it relates to conducting and reporting of compliance reviews. Instruments of conveyance for loans and/or grants subject to the Act must contain the covenant required by paragraph 1901.202(e) of this Title.

C. The Americans with Disabilities Act (ADA) of 1990:

This Act (42 U.S.C. 12101 et seq.) prohibits discrimination on the basis of disability in employment, state and local government services, public transportation, public accommodations, facilities, and telecommunications. Title II of the Act applies to facilities operated by state and local public entities that provide services, programs, and activities. Title III of the Act applies to facilities owned, leased, or operated by private entities that accommodate the public.

D. Age Discrimination Act of 1975:

This Act (42 U.S.C. 6101 et seq.) provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

E. Limited English Proficiency (LEP) under Executive Order 13166:

LEP statutes and authorities prohibit exclusion from participation in, denial of benefits of, and discrimination under Federally-assisted and/or conducted programs on the ground of race, color, or national origin. Title VI of the Civil Rights Act of 1964 covers program access for LEP persons.

LEP persons are individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English. These individuals may be entitled to language assistance, free of charge. You must take reasonable steps to ensure that LEP persons receive the language assistance necessary to have meaningful access to USDA programs, services, and information your organization provides.

These protections are pursuant to Executive Order 13166 entitled, "Improving Access to Services by Persons with Limited English Proficiency" and further affirmed in the USDA Departmental Regulation 4330-005, "Prohibition Against National Origin Discrimination Affecting Persons with Limited English Proficiency in Programs and Activities Conducted by USDA."

Agency financial programs must be extended without regard to race, color, religion, sex, national origin, marital status, age, or physical or mental handicap.

You must display posters (provided by the Agency) informing users of these requirements, and the Agency will monitor your compliance with these requirements during compliance reviews.

19. Closing Instructions:

The Office of General Counsel, our Regional Attorney, will be required to write closing instructions in connection with this loan. Conditions listed therein must be met by the District.

20. Compliance with Special Laws and Regulations:

The District will be required to conform to any and all state and local laws and regulations affecting this type project.

21. Treatment Plant and System Operator:

The District is reminded that the water treatment plant and the water system operator must have an Operator's Certificate issued by the State.

22. Prior to Pre-Closing the Loan, the District Will Be Required to Adopt:

- A. Form RUS Bulletin 1780-27, "Loan Resolution (Public Bodies)."
- B. Form RD 400-1, "Equal Opportunity Agreement."
- C. Form RD 400-4, "Assurance Agreement."
- D. Form AD-1047, "Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transaction."
- E. Form RD 1910-11, "Applicant Certification Federal Collection Policies for Consumer or Commercial Debts."
- F. RD Instruction 1940-Q, Exhibit A-1, "Certification for Contracts, Grants and Loans."
- G. RUS Bulletin 1780-22, "Eligibility Certification."

23. Refinancing and Graduation Requirements:

The District is reminded that if at any time it shall appear to the Government that the District is able to refinance the amount of the RUS indebtedness then outstanding, in whole or in part, by obtaining a loan from commercial sources at reasonable rates and terms, upon the request of the Government, the District will apply for and accept such loan in sufficient amount to repay the Government.

24. Commercial Interim Financing:

The District will be required to use commercial interim financing for the project during construction for the RUS loan portion of the financing, if available at reasonable rates and terms.

Before the loan is closed, the District will be required to provide Rural Development with statements from the contractor, engineer and attorneys that they have been paid to date in accordance with their contract or other agreements and, in the case of the contractor, that he has paid his suppliers and sub-contractors.

25. Disbursement of Project Funds:

A construction account for the purpose of disbursement of project funds (RUS) will be established by the District prior to start of construction. The position of officials entrusted with the receipt and disbursement of RUS project funds will be covered by a "Fidelity Bond," with USDA Rural Development as Co-Obligee, in the amount of construction funds on hand at any one time during the construction phase.

For each "construction account" as established, if the amount of RUS loan and grant funds plus any applicant contributions or funds from other sources to be deposited into the account are expected to exceed \$250,000 at any time, the financial institution will secure the amount in excess of \$250,000 by pledging collateral with the Federal Reserve Bank in an amount not less than the excess in accordance with 7 CFR, 1902.7(a).

Agency funds will be disbursed into the construction account through an electronic transfer system. The borrower should complete Form SF-3881, "Electronic Funds Transfer Payment Enrollment Form," for each account where funds will be electronically received. The completed form(s) must be received by Rural Development at least thirty (30) days prior to the first advance of funds.

Monthly audits of the District's construction account records shall be made by Rural Development.

Borrowers receiving federal loan and/or grant funds by EFT will have funds directly deposited to a specified account at a financial institution with funds being available to the recipient on the date of payment

Any applicant contribution will be the first funds expended, followed by other funding sources. Interim financing or Agency loan funds will be expended after all other funding sources unless an agreement is reached with all other funding sources on how funds are to be disbursed prior to start of construction or loan closing, whichever occurs first. Interim financing funds or Agency loan funds must be used prior to the use of Agency grant funds. The Grant funds must not be disbursed prior to loan funds except as specified in RUS Instruction 1780.45 (d). In the unlikely event the Agency mistakenly disburses funds, the funds will be remitted back to the Agency electronically.

During construction, the District shall disburse project funds in a manner consistent with subsection 1780.76 (e) of RUS Instruction 1780. Form RD 1924-18, "Partial Payment Estimate," or similar form approved by Rural Development, shall be used for the purpose of documenting periodic construction estimates, and shall be submitted to Rural Development for review and acceptance. Prior to disbursement of funds by the District, the Board of Directors shall review and approve each payment estimate. All bills and vouchers must be approved by Rural Development prior to payment by the District.

Form RD 440-11, "Estimate of Funds Needed for 30-Day Period Commencing _____," will be prepared by the District and submitted to Rural Development in order that a periodic advance of federal cash may be requested.

26. Disbursement of Grant Funds:

The RUS funds will be advanced as they are needed in the amount(s) necessary to cover the RUS proportionate share of obligations due and payable by the District.

Grant funds are to be deposited in an interest bearing account in accordance with 2 CFR part 200 and interest in excess of \$500 per year remitted to the Agency.

The funds should be disbursed by the recipient immediately upon receipt and there should be little interest accrual on the Federal funds. Recipients shall maintain advances of Federal funds in interest-bearing account, unless:

- a. The recipient receives less than \$120,000 in Federal awards per year.
- b. The best reasonably available interest-bearing account would not be expected to earn interest in excess of \$500 per year on Federal cash balances.
- c. The depository would require an average or minimum balance so high that it would not be feasible within the expected Federal and non-Federal cash resources.
- d. A foreign government or banking system prohibits or precludes interest-bearing accounts.

27. Project Budget:

Estimated expenditures are as follows:

Project Costs:

Development	\$585,000
Legal and Administrative	15,000
Engineering Fees	116,500
Interest	25,000
Contingencies	<u>58,500</u>
TOTAL PROJECT COST	\$800,000

Project Funding:

RUS Loan	\$560,000
RUS Grant	<u>240,000</u>
TOTAL FUNDING	\$800,000

Any changes in funding sources following obligation of Agency funds must be reported to the processing official. Project feasibility and funding will be reassessed if there is a significant change in project costs after bids are received. If actual project costs exceed the project cost estimates, an additional contribution by the Owner may be necessary. Prior to advertisement for construction bids, you must provide evidence of applicant contributions and approval of other funding sources. This evidence should include a copy of the commitment letter. Agency funds will not be used to pre-finance funds committed to the project from other sources.

Obligated loan or grant funds not needed to complete the proposed project will be de-obligated prior to start of construction. Any reduction will be applied to grant funds first. An amended letter of conditions will be issued for any changes to the total project budget.

28. Construction Completion Timeframe:

All projects are required to be completed and all funds disbursed within five years of obligation. If funds are not disbursed within five years of obligation, you must submit a written waiver request with adequate justification of extenuating circumstances beyond your control for an extension of time. Any additional requests for waivers beyond the initial extension will be submitted through the State Office to the Assistant Administrator for concurrence decision.

29. Use of Remaining Project Funds:

The applicant contribution shall be considered as the first funds expended. After providing for all authorized costs, any remaining project funds will be considered to be RUS grant funds and refunded in proportion to participation in the project. If the amount of unused project funds exceeds the grants, that part would be RUS loan funds.

30. Proposed Operating Budget:

You will be required to submit to Rural Development a copy of your proposed annual operating budget that supports the proposed loan repayment prior to this agency giving you written authorization to proceed with the bidding phase. The operating budget should be based on a typical year cash flow, subject to completion of this project in the first full year of operation. Form RD 442-7, Operating Budget, or similar form may be utilized for this purpose.

31. Rates and Charges:

Rates and charges for facilities and services rendered by the District must be at least adequate to meet cost of maintaining, repairing and operating the water system and meeting required principal and interest payments and the required deposits to debt service and/or depreciation reserve.

Water rates will be at least:

5/8 x 3/4-Inch (Residential and Non-Residential)

First	2,000	gallons @ \$29.10 - Minimum Bill.
Next	3,000	gallons @ \$ 7.70 – per 1,000 gallons.
Next	5,000	gallons @ \$ 6.70 – per 1,000 gallons.
All Over	10,000	gallons @ \$ 5.70 – per 1,000 gallons.

1-Inch (Residential and Non-Residential)

First	5,000	gallons @ \$52.20 - Minimum Bill.
Next	5,000	gallons @ \$ 6.70 – per 1,000 gallons.
All Over	10,000	gallons @ \$ 5.70 – per 1,000 gallons.

1-1/2-Inch (Non-Residential)

First	12,500	gallons @ \$99.95 - Minimum Bill.
All Over	12,500	gallons @ \$ 5.70 – per 1,000 gallons.

2-Inch (Non-Residential)

First	25,000	gallons @ \$171.20 - Minimum Bill.
All Over	25,000	gallons @ \$ 5.70 – per 1,000 gallons.

Dale Hollow State Park

First	300,000	gallons @ \$1,738.70 - Minimum Bill.
All Over	300,000	gallons @ \$ 5.70 – per 1,000 gallons.

32. Water Purchase Contract:

The District will submit a Water Purchase Contract for approval by Rural Development before advertising for construction bids. If the contract is not on Form RD 442-30, "Water Purchase Contract," the contract will require approval by our Regional Attorney. The contract must meet the requirements of subsection 1780.62 of RUS Instruction 1780.

33. Vulnerability Assessment/Emergency Response Plan (VA/ERP):

The Agency requires all financed water and wastewater systems to have a VA/ERP in place. Borrowers with existing systems must provide a certification that a VA/ERP has been completed prior to advertising for bids. The documents are not submitted to the Agency for VA/ERP requirements throughout the life of the loan.

34. Floodplain Construction:

The District will be required to pass and adopt a Resolution or amend its By-Laws whereby the District will deny any water service to any future customer wishing to build on or develop property located within a designated floodplain.

If a customer or developer requests service for construction in a designated floodplain, the customer or developer must provide evidence and a justification for approval by the District and Rural Development officials that there are no other alternatives to construction or development within the designated floodplain. The community must be a participant in the National Flood Insurance Program (NFIP) and the customer or developer must obtain the required permits prior to the tap on restrictions being waived.

35. Water Withdrawal Permit:

The District will be required to obtain satisfactory evidence that a revised water Withdrawal permit has been secured from the Division of Water. The permit must be obtained prior to the commencement of construction on the water project.

36. Division of Water (DOW) Health & Sanitary Certification:

The Median Household Income (MHI) for the District's service area qualifies this project for the poverty interest rate. A certification from the Division of Water stating this project will remove a health or sanitary problem will be required. This certification must be obtained prior to loan pre-closing.

37. Mitigation Measures:

- A. The project shall be in compliance with all requirements noted in the Governor's Office for Local Development letter dated March 27, 2017, from Ms. Lee Nalley.
- B. The line design and construction shall be accomplished in a way that will leave flood plains and farmland without effect after construction is complete. The Army Corps of Engineers Nationwide Permit No. 12 applies to all floodplain and wetland utility line construction.
- C. Any excavation by Contractor that uncovers a historical or archaeological artifact shall be immediately reported to Owner and a representative of Agency. Construction shall be temporarily halted until RD can consult with the State Historical Preservation Officer and issue further directions.

- D. The design and construction shall be in compliance with all local, state and federal environmental statutes, regulations and executive orders applicable to the project.
- E. Best Management Practices shall be incorporated into the project design, construction, and maintenance.

38. System for Award Management:

You will be required to maintain a Dun and Bradstreet Data Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM) database. Renewal can be done on-line at: <http://sam.gov>.

This registration must be renewed and revalidated every twelve (12) months for as long as there are Agency funds to be expended.

To ensure the information is current, accurate and complete, and to prevent the SAM account expiration, the review and updates must be performed within 365 days of the activation date, commonly referred to as the expiration date. The registration process may take up to 10 business days. (See 2 CFR Part 25 and the "Help" section at <http://sam.gov>).

39. Prepayment and Extra Payments:

Prepayments of scheduled installments, or any portion thereof, may be made at any time at the option of borrower, with no penalty.

Security instruments, including bonding documents, must contain the following language regarding extra payments, unless prohibited by State statute:

Prepayments of scheduled installments, or any portion thereof, may be made at any time at the option of the borrower. Refunds, extra payments and loan proceeds obtained from outside sources for the purpose of paying down the Agency debt, shall, after payment of interest, be applied to the installments last to become due under this note and shall not affect the obligation of borrower to pay the remaining installments as scheduled in your security instruments.

40. Security/Operational Inspections:

The Agency will inspect the facility and conduct a review of your operations and records management system and conflict of interest policy every three years for the life of the loan. You must participate in these inspections and provide the required information.

41. American Iron & Steel:

Section 746 of Title VII of the Consolidated Appropriations Act of 2017 (Division A - Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2017) applies a new American Iron and Steel requirement:

- (1) No Federal funds made available for this fiscal year for the rural water, waste water, waste disposal, and solid waste management programs authorized by the Consolidated Farm and Rural Development Act (7 U.S.C. 1926 et seq.) shall be used for a project for the construction, alteration, maintenance, or repair of a public water or wastewater system unless all of the iron and steel products used in the project are produced in the United States.

- (2) The term "iron and steel products" means the following products made primarily of iron or steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials.
- (3) The requirement shall not apply in any case or category of cases in which the Secretary of Agriculture (in this section referred to as the "Secretary") or the designee of the Secretary finds that— a. applying the requirement would be inconsistent with the public interest; b. iron and steel products are not produced in the United States in sufficient and reasonably available quantities or of a satisfactory quality; or c. inclusion of iron and steel products produced in the United States will increase the cost of the overall project by more than 25 percent.

42. Final Approval Conditions:

Final approval of this assistance will depend on your willingness, with the assistance of all your co-workers, to meet the conditions of this letter in an orderly and systematic manner. Then too, final approval will depend on funds being available.

If you desire to proceed with your application, the Area Director will allot a reasonable portion of time to provide guidance in application processing.

Sincerely,



HILDA GAYLE
State Director

Enclosures

- cc: Area Director – Columbia, Kentucky
Lake Cumberland ADD – Russell Springs, Kentucky
Monarch Engineering – Lawrenceburg, Kentucky
Lindsey Bell – Burkesville, Kentucky
Rubin & Hays – Louisville, Kentucky
PSC - ATTN: Talina Mathews - Frankfort, Kentucky

REQUEST FOR OBLIGATION OF FUNDS

INSTRUCTIONS-TYPE IN CAPITALIZED ELITE TYPE IN SPACES MARKED () Complete Items 1 through 29 and applicable Items 30 through 34. See FMI.							
1. CASE NUMBER ST CO BORROWER ID 20-029-*****3686		LOAN NUMBER		FISCAL YEAR			
2. BORROWER NAME Cumberland County Water District			3. NUMBER NAME FIELDS (1, 2, or 3 from Item 2)				
			4. STATE NAME Kentucky				
			5. COUNTY NAME Cumberland				
GENERAL BORROWER/LOAN INFORMATION							
6. RACE/ETHNIC CLASSIFICATION 1 - WHITE 2 - BLACK 3 - AIAN 4 - HISPANIC 5 - A/PI		7. TYPE OF APPLICANT 1 - INDIVIDUAL 2 - PARTNERSHIP 3 - CORPORATION 4 - PUBLIC BODY 5 - ASSOC. OF FARMERS 6 - ORG OF FARMERS 7 - NONPROFIT-SECULAR 8 - NONPROFIT-FAITH BASED 9 - INDIAN TRIBE 10 - PUBLIC COLLEGE/UNIVERSITY 11 - OTHER		8. COLLATERAL CODE 1 - REAL ESTATE SECURED 2 - REAL ESTATE AND CHATTEL 3 - NOTE ONLY OR CHATTEL ONLY 4 - MACHINERY ONLY 5 - LIVESTOCK ONLY 6 - CROPS ONLY 7 - SECURED BY BONDS 8 - RLP ACCT		9. EMPLOYEE RELATIONSHIP CODE 1 - EMPLOYEE 2 - MEMBER OF FAMILY 3 - CLOSE RELATIVE 4 - ASSOC.	
10. SEX CODE 1 - MALE 2 - FEMALE 3 - FAMILY UNIT 4 - ORGAN MALE OWNED 5 - ORGAN FEMALE OWNED 6 - PUBLIC BODY		11. MARITAL STATUS 1 - MARRIED 2 - SEPARATED 3 - UNMARRIED (INCLUDES WIDOWED/DIVORCED)		12. VETERAN CODE 1 - YES 2 - NO		13. CREDIT REPORT 1 - YES 2 - NO	
14. DIRECT PAYMENT 3 (See FMI)		15. TYPE OF PAYMENT 1 - MONTHLY 2 - ANNUALLY 3 - SEMI-ANNUALLY 4 - QUARTERLY		16. FEE INSPECTION 1 - YES 2 - NO			
17. COMMUNITY SIZE 1 - 10 000 OR LESS (FOR SFH AND HPG ONLY) 2 - OVER 10,000				18. USE OF FUNDS CODE (See FMI)			
COMPLETE FOR OBLIGATION OF FUNDS							
19. TYPE OF ASSISTANCE 067 (See FMI)		20. PURPOSE CODE 3		21. SOURCE OF FUNDS		22. TYPE OF ACTION 1 - OBLIGATION ONLY 2 - OBLIGATION/CHECK REQUEST 3 - CORRECTION OF OBLIGATION	
23. TYPE OF SUBMISSION 1 - INITIAL 2 - SUBSEQUENT		24. AMOUNT OF LOAN \$560,000.00		25. AMOUNT OF GRANT \$240,000.00			
26. AMOUNT OF IMMEDIATE ADVANCE		27. DATE OF APPROVAL MO DAY YR 02 15 18		28. INTEREST RATE 2.1250 %		29. REPAYMENT TERMS 40	
COMPLETE FOR COMMUNITY PROGRAM AND CERTAIN MULTIPLE-FAMILY HOUSING LOANS							
30. PROFIT TYPE 1 - FULL PROFIT 2 - LIMITED PROFIT 3 - NONPROFIT							
COMPLETE FOR EM LOANS ONLY			COMPLETE FOR CREDIT SALE-ASSUMPTION				
31. DISASTER DESIGNATION NUMBER (See FMI)			32. TYPE OF SALE 1 - CREDIT SALE ONLY 2 - ASSUMPTION ONLY 3 - CREDIT SALE WITH SUBSEQUENT LOAN 4 - ASSUMPTION WITH SUBSEQUENT LOAN				
FINANCE OFFICE USE ONLY			COMPLETE FOR FP LOANS ONLY				
33. OBLIGATION DATE MO DA YR			34. BEGINNING FARMER/RANCHER (See FMI)				

If the decision contained above in this form results in denial, reduction or cancellation of USDA assistance, you may appeal this decision and have a hearing or you may request a review in lieu of a hearing. Please use the form we have included for this purpose.

Position 2

ORIGINAL - Borrower's Case Folder COPY 1 - Finance Office COPY 2 - Applicant/Lender COPY 3 - State Office

CERTIFICATION APPROVAL

For All Farmers Programs

EM, OL, FO, and SW Loans

This loan is approved subject to the availability of funds. If this loan does not close for any reason within 90 days from the date of approval on this document, the approval official will request updated eligibility information. The undersigned loan applicant agrees that the approval official will have 14 working days to review any updated information prior to submitting this document for obligation of funds. If there have been significant changes that may affect eligibility, a decision as to eligibility and feasibility will be made within 30 days from the time the applicant provides the necessary information.

If this is a loan approval for which a lien and/or title search is necessary, the undersigned applicant agrees that the 15-working-day loan closing requirement may be exceeded for the purposes of the applicant's legal representative completing title work and completing loan closing.

35. COMMENTS AND REQUIREMENTS OF CERTIFYING OFFICIAL

Approval of financial assistance is subject to the provisions of the Letter of Conditions dated 2/12/2018, and any amendments thereto.

2/15/18 Obligation entered over terminal. am

36. I HEREBY CERTIFY that I am unable to obtain sufficient credit elsewhere to finance my actual needs at reasonable rates and terms, taking into consideration prevailing private and cooperative rates and terms in or near my community for loans for similar purposes and periods of time. I agree to use the sum specified herein, subject to and in accordance with regulations applicable to the type of assistance indicated above, and request payment of such sum. I agree to report to USDA any material adverse changes, financial or otherwise, that occur prior to loan closing. I certify that no part of the sum specified herein has been received. I have reviewed the loan approval requirements and comments associated with this loan request and agree to comply with these provisions.

(For FP loans at eligible terms only) If this loan is approved, I elect the interest rate to be charged on my loan to be the lower of the interest rate in effect at the time of loan approval or loan closing. If I check "NO", the interest rate charged on my loan will be the rate specified in Item 28 of this form. YES NO

WARNING: Whoever, in any matter within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under this title or imprisoned not more than five years, or both."

Date 2-15, 20 18

[Signature]
Alvin Pharis, Chairman

(Signature of Applicant)

Date _____, 20 _____

(Signature of Co-Applicant)

37. I HEREBY CERTIFY that all of the committee and administrative determinations and certifications required by regulations prerequisite to providing assistance of the type indicated above have been made and that evidence thereof is in the docket, and that all requirements of pertinent regulations have been complied with. I hereby approve the above-described assistance in the amount set forth above, and by this document, subject to the availability of funds, the Government agrees to advance such amount to the applicant for the purpose of and subject to the availability prescribed by regulations applicable to this type of assistance.

[Signature]

(Signature of Approving Official)

Typed or Printed Name: Hilda Gay Legg

Date Approved: 2/15/18

Title: State Director

38. TO THE APPLICANT: As of this date 2/26/18 am, this is notice that your application for financial assistance from the USDA has been approved, as indicated above, subject to the availability of funds and other conditions required by the USDA. If you have any questions contact the appropriate USDA Servicing Office.



United States Department of Agriculture

Rural Development

September 30, 2019

Kentucky State Office

771 Corporate Drive,
Suite 200
Lexington, KY
40503

SUBJECT: Cumberland County Water District
Ky Hwy, 704 Water Improvements
Contract Award Concurrence

Voice 859.224.7300
Fax 859.224.7425
TTY 859.224.7422

TO: Area Office
Columbia, Kentucky

Based on the bids received and the recommendation of the consulting engineer, Rural Development concurs in the award of subject contract to the low bidder, Stotts Construction Co., in the amount of \$469,480.

If you have any questions, please contact Julie Anderson, State Engineer, at (859) 224-7348.

Julie Anderson
Hilda G. Legg
State Director
Rural Development

Cc: Monarch Engineering

USDA is an equal opportunity provider and employer.

If you wish to file a Civil Rights program complaint of discrimination, complete the USDA Program Discrimination Complaint Form (PDF), found online at http://www.ascr.usda.gov/complaint_filing_cust.html, or at any USDA office, or call (866) 632-9992 to request the form. You may also write a letter containing all of the information requested in the form. Send your completed complaint form or letter to us by mail at U.S. Department of Agriculture, Director, Office of Adjudication, 1400 Independence Avenue, S.W., Washington, D.C. 20250-9410, by fax (202) 690-7442 or email at program.intake@usda.gov.

NOTICE OF PROPOSED RATE CHANGE

In accordance with the requirements of the Kentucky Public Service Commission ("PSC") as set out in 807 KAR 5:069, Section 3, notice is hereby given to the customers of the Cumberland County Water District ("District") of a change in water rates for users of the District's water system. The changes in water rates are required by the U.S. Department of Agriculture, acting through Rural Development ("RD") in connection with a loan by RD to the District in the principal amount of \$560,000 to be evidenced by the issuance by the District of its waterworks revenue bonds in such amount, which RD has agreed to purchase provided the District meets certain conditions of RD, including revising the water rates as set forth below:

Current Monthly Water Rates

<u>5/8" x 3/4" Meters</u>	<u>Monthly Rate</u>
First 2,000 gallons	\$28.16 Minimum Bill
Next 3,000 gallons	\$7.65 Per 1,000 gallons
Next 5,000 gallons	\$6.65 Per 1,000 gallons
All Over 10,000 gallons	\$5.65 Per 1,000 gallons

<u>1" Meters</u>	<u>Monthly Rate</u>
First 5,000 gallons	\$51.11 Minimum Bill
Next 5,000 gallons	\$6.65 Per 1,000 gallons
All Over 10,000 gallons	\$5.65 Per 1,000 gallons

<u>1-1/2" Meters</u>	<u>Monthly Rate</u>
First 12,500 gallons	\$98.49 Minimum Bill
All Over 12,500 gallons	\$5.65 Per 1,000 gallons

<u>2" Meters</u>	<u>Monthly Rate</u>
First 25,000 gallons	\$169.11 Minimum Bill
All Over 25,000 gallons	\$5.65 Per 1,000 gallons

<u>Dale Hollow State Park</u>	<u>Monthly Rate</u>
First 300,000 gallons	\$1,722.86 Minimum Bill
All Over 300,000 gallons	\$5.65 Per 1,000 gallons

Proposed Monthly Water Rates

<u>5/8" x 3/4" Meters</u>	<u>New Monthly Rate</u>	<u>Dollar Change</u>	<u>Percent Change</u>
First 2,000 gallons	\$29.10	\$0.94	3.34%
Next 3,000 gallons	\$7.70	\$0.05	0.65%
Next 5,000 gallons	\$6.70	\$0.05	0.75%
All Over 10,000 gallons	\$5.70	\$0.05	0.89%

<u>1" Meters</u>	<u>New Monthly Rate</u>	<u>Dollar Change</u>	<u>Percent Change</u>
First 5,000 gallons	\$52.20	\$1.09	2.13%
Next 5,000 gallons	\$6.70	\$0.05	0.75%
All Over 10,000 gallons	\$5.70	\$0.05	0.89%
<u>1-1/2" Meters</u>	<u>New Monthly Rate</u>	<u>Dollar Change</u>	<u>Percent Change</u>
First 12,500 gallons	\$99.95	\$1.46	1.48%
All Over 12,500 gallons	\$5.70	\$0.05	0.89%
<u>2" Meters</u>	<u>New Monthly Rate</u>	<u>Dollar Change</u>	<u>Percent Change</u>
First 25,000 gallons	\$171.20	\$2.09	1.24%
All Over 25,000 gallons	\$5.70	\$0.05	0.89%
<u>Dale Hollow State Park</u>	<u>New Monthly Rate</u>	<u>Dollar Change</u>	<u>Percent Change</u>
First 300,000 gallons	\$1,738.70	\$15.84	0.92%
All Over 300,000 gallons	\$5.70	\$0.05	0.89%

Customer Class	Average Monthly Usage Per Customer (Gallons)	Average Monthly Bill (Present Rates)	Average Monthly Bill (Proposed Rates)	Increase in Average Monthly Bill (\$)	Increase in Average Monthly Bill (%)
5/8" x 3/4" Meter	3,059	\$36.26	\$37.25	\$0.99	2.73%
1" Meter	11,078	\$90.45	\$91.85	\$1.40	1.55%
1-1/2" Meter	0	\$0	\$0	\$0	0%
2" Meter	182,833	\$1,060.87	\$1070.85	\$9.98	0.94%
Dale Hollow State Park	610,000	\$3,474.36	\$3,505.70	\$31.34	0.90%

The proposed monthly water rates shall be effective for water sold after the date of the final approving Order of the PSC, which Order is expected to be issued no later than 30 days of the filing of the Application. The Application for approval of the rate change has been filed with the PSC and may be examined during normal business hours at the following locations: (i) Cumberland County Water District Office, 133 Lower River Street, Burkesville, KY 42717; (ii) PSC, 211 Sower Boulevard, Frankfort, Kentucky, Monday through Friday, 8:00 a.m. to 4:30 p.m., E.T.; and (iii) via the PSC website at <http://psc.ky.gov>. Comments regarding the Application may be submitted to the PSC via its website or by mail to PSC, P.O. Box 615, Frankfort, Kentucky 40602.

The proposed rates are required under the terms of an agreement between the District and RD and KRS 278.023 does not grant the PSC any discretionary authority to

modify or reject any portion of the agreement between the District and RD, or to defer the issuance of all necessary orders to implement the terms of the agreement. The RD loan proceeds will be used to finance the costs of the installation of approximately 13,800 linear feet of 6-inch water main plus all necessary appurtenances along Kentucky Highway 704.

Signed: Troy Norris, Chairman, Cumberland County Water District.

**CERTIFICATE OF CHAIRMAN OF CUMBERLAND COUNTY
WATER DISTRICT AS TO STATEMENT REQUIRED BY
SECTION 2(6) OF 807 KAR 5:069**

I, the undersigned, hereby certify that I am the duly qualified and acting Chairman of the Cumberland County Water District and that said District is in the process of arranging to finance the construction of improvements to the water system (the "Project"), in cooperation with Monarch Engineering, Inc., Lawrenceburg, Kentucky, the Engineers for the District (the "Engineers").

Based on information furnished to me by said Engineers, I hereby certify as follows:

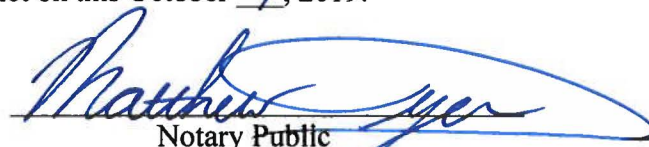
1. That the proposed plans and specifications for the Project have been designed to meet the minimum construction and operating requirements set out in 807 KAR 5:066 Section 4(3) and (4); Section 5(1); Sections 6 and 7; Section 8(1) through (3); Section 9(1) and Section 10.
2. That all other state approvals and/or permits have been obtained.
3. That the rates proposed by the District in its current Application filed with the Kentucky Public Service Commission are contemplated to produce total revenue requirements recommended in the Engineering Reports prepared by such Engineers and filed with the Kentucky Public Service Commission.
4. That it is now contemplated that construction of the Project will begin on or about December 1, 2019, and will end on or about May 1, 2020.

IN TESTIMONY WHEREOF, witness my signature this October 7, 2019.


Chairman
Cumberland County Water District

STATE OF KENTUCKY)
) SS
COUNTY OF CUMBERLAND)

Subscribed and sworn to before me by Troy Norris, Chairman of the Board of Commissioners of the Cumberland County Water District on this October 7, 2019.


Notary Public
In and For Said State and County

RECEIVED

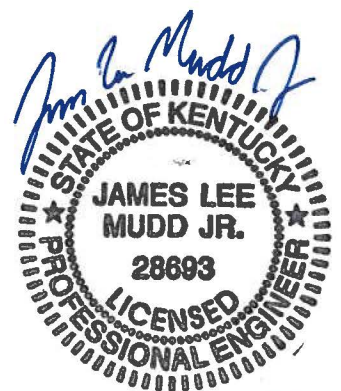
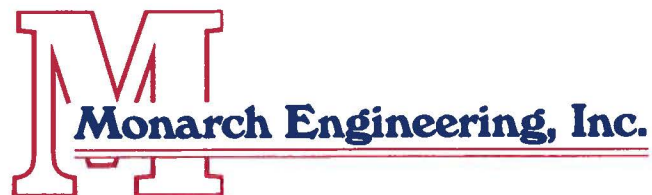
OCT 14 2019

PUBLIC SERVICE
COMMISSION

**PRELIMINARY ENGINEERING REPORT
FOR THE
CUMBERLAND COUNTY WATER DISTRICT**

**KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

**JUNE 2017
REVISED JULY 2017**



7-14-2017

**PRELIMINARY ENGINEERING REPORT
KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS
CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY**

I. GENERAL

This Preliminary Engineering Report is intended to analyze the proposed water system improvements that are being planned by the Cumberland County Water District. The improvements include the replacement of an aging and undersized water line located in southern Cumberland County, Kentucky

Rural Development "Kentucky Guide 7A" will be submitted at a later date and will serve as the Summary Addendum to this report. The Summary Addendum will further analyze the capability of the District to execute this project through an evaluation of its financial standing and overall system operation.

II. PROJECT PLANNING AREA

GENERAL

The proposed project area consists of a portion of the rural water system located in northern Cumberland County. Specifically, the project route will lie parallel and adjacent to Kentucky Highway 704 (Crocus Creek Road). The new water main and appurtenances will be installed on state highway rights-of-way or on utility easements granted to the District. The topography of these areas is generally un-level, varying from gently rolling hills to narrow ridges with steep ravines. The land use in this area is mainly agricultural with intermittent areas of residential development. Both the topography and land use within the project area are typical for this region of Kentucky.

Attached as a part of this report are location and topographic maps which depict the water main route and proposed connection points to existing system mains. The location of the major appurtenances proposed as part of this project (master meter vault) is also shown.

POPULATION

According to data from the 2010 U.S. Census, Cumberland County, Kentucky had a total population of 6,856 distributed into 2,883 households. The Cumberland County Water District provides potable water service to 2,544 residential customers, of which all are located in Cumberland County. Accordingly, it is estimate that the District serves nearly 88.2% of the population in Cumberland County. This translates into a population of 6,052 Cumberland County residents being served by the District.

According to U.S. Census Bureau estimates the population of Cumberland County is decreasing by 0.25 % annually. This compares to an annualized decrease of nearly 0.4% between the 2000 and 2010 U.S. Census. However, the majority of this population decrease is attributed to losses within the City of Burkesville, which is the only area of the county which is not served by the District. Considering the above data, it is estimated that the overall population growth with the system is nearly flat.

It should be noted however, that the population trends within Cumberland County are difficult to quantify using U.S. Census data alone. This is due to the large number of part-time residents which live in the area sporadically throughout the year. This phenomena is tied largely to the portions of the county near Dale Hollow Lake, but is also a factor in all portions of the system to some degree. The scenic beauty of the area, along with low land prices, contribute to area being selected as a second home for citizens from other areas. Although they are not permanent residents, the demand of these customers must be met when they are living in the area.

DEMAND

Considering the 2015 calendar year, the average daily demand for the Cumberland County Water District distribution system was 330,000 gallons. Over the same period, the maximum daily demand was 705,000 gallons, which occurred on 4/25/2015.

Considering the overall demand growth of the system, the previous 20 year period was examined, extending from the 1995 to 2015. The annual system demand for 1995 was 91,367,000 gallons. This increased to 120,453,000 in 2015. This represents an annualized demand growth of a nearly 1.6% over that period. Noting that the population gains in the area we're slightly negative or flat over this period, it is important to note that there is not a positive correlation between population and demand for the District's system.

As described above, this is due in large part to the high number of part-time residents in the area. These households are likely not included as part of the population statistics, but do however contribute the demand growth of the system. In addition, the area has become home to a large number of poultry producers over the last decade. These facilities are large water consumers and therefore share in the increased system demands.

The estimated useful life of the proposed water line is 60 years. Considering a demand growth of a 1.5% annually over that period, yields a projected annual system demand of 228,860,700. This corresponds to an average daily demand of nearly 627,000 gallons

III. EXISTING FACILITIES

The Cumberland County Water District owns and operates a water distribution system which serves the rural population of Cumberland County, Kentucky. The District was formed as a result of a 1996 merger between the Marrowbone Water District and the South Cumberland Water District, both of which served the rural areas of Cumberland County. Both Water Districts were initially formed in the 1960's; with many of the systems initial components being constructed during that decade. The merger coincided with the completion of a major project that included an expansion of Marrowbone's existing water treatment plant and construction of the Jackson Hollow transmission main which linked the two Districts.

The recent completion of a new water treatment plant by the City of Burkesville along with construction of the District's Jackson Hollow Pump Station has allowed the District to shut down its aging and undersized water treatment plant. The District now purchases all water for resale from the City of Burkesville and the City of Albany. Currently, portions of the system north of the Cumberland River are supplied solely by the City of Burkesville via the Jackson Hollow Pump Station. The portions of the system south of Cumberland River

are supplied through multiple connections with the City of Burkesville and the City of Albany. Water Purchase contracts with each supplier have recently been updated and at present, the District does not exceed the contracted amounts.

The water distribution system consists of a network of water supply and distribution mains along with a series of water tanks and pump stations. This includes various sized water lines ranging from 2-inch to 8-inch, six pumps stations, and five water storage tanks with a rated capacity of 650,000 gallons. The majority of the system has been in place for less than 50 years. Pipe material within the system consists of cast iron and asbestos cement for the older lines and plastic for the newer ones. Water loss within the system has remained excessively high for several decades. The rough terrain and generally sparse population distribution combine to create a situation where water loss is difficult to control.

The Company operates the water system through a Board of Commissioners, a General Manager, as well as office and field personnel. The Board of Commissioners consists of a chairperson and four commissioners, all of which are appointed by the Cumberland County Fiscal Court.

Information regarding the current rate structure, annual operating and maintenance data, a tabulation of monthly users and revenue, and a list of the outstanding bonds can be found in the summary addendum which will be submitted at a later date.

IV. NEED FOR THE PROJECT

The existing 6" water line serving Sulphur Creek Road was installed in the early 1970's and is of poor overall construction, lacking suitable bedding and cover. This issue is further compounded due to extremely rocky subsoil conditions. Accordingly, the line is subject to frequent breaks, leaks and other emergency repair situations. These repairs are generally cumbersome and costly due to the area's rough terrain. The proposed project will improve service to approximately 90 existing customers in total, with 18 of those being connected directly to the line to be replaced.

V. ALTERNATIVES CONSIDERED

Based on the need for potable water due to the continued demand for service and also the growth within the project area, the Cumberland County Water District must take the necessary steps to continue to provide service as required by the Kentucky Division of Water and the Kentucky Public Service Commission. The final project scope determination was centered on meeting existing and future customer demands without significantly burdening the District's ability to meet its current and future financial obligations.

The primary alternative explored was the rehabilitation of the existing Highway 449 Water Storage Tank. The existing interior and exterior tank coating systems have reached the end of their useful life. Failures of the existing coating system are located sporadically throughout all surfaces. A few areas on the tank are beginning to show signs severe pitting and metal loss, however metal loss has been minimal up to this point. Modern tank coating systems have an expected lifespan of 15 – 20 years, so the original tank coatings have largely fulfilled this cycle. It is recommended that both the interior and exterior of the tank be

completely blasted and recoated. Although the condition of the tank is generally poor, the improvements on Kentucky 704 are more urgent. Given the District's limited financial resources at this time, the tank rehabilitation was not included as part of the proposed project.

The replacement of an additional sections of undersized and problematic water lines along Lacy Garrett Road, Pittman Creek Road, and Leatherwood Road in western Cumberland County were also evaluated as an alternative to the proposed project. The inclusion of these additional line replacements would have incorporated the construction of an additional 17,500 L.F. of 3" water line and appurtenances into the project. Similar to the existing main on Kentucky Highway 704, the condition of the existing lines serving these areas is poor, primarily due to substandard construction practices during their original installation. Accordingly, the lines are subject to frequent breaks, leaks and other emergency repair situations. Additionally, the existing lines are undersized 1-inch and 2-inch and struggle to meet system demands during periods of peak usage.

It was determined that the Highway 449 Water Storage Tank rehabilitation and additional water line replacements in the western portion of the should be delayed so to decrease the debt service impact of project. However, all or a portion of this work may be completed if the as-bid construction cost of the project are less than anticipated herein.

VI. PROPOSED PROJECT

In order to correct the above-described deficiencies, the project proposes the replacement of 13,800 LF of deteriorating 6" water line and appurtenances adjacent to Kentucky Highway 704 (Crocus Creek Road) with new 6" PVC. In addition, a new master meter vault will be installed. As previously mentioned, the proposed project will improve service to approximately 90 existing customers in total, with 18 of those being connected directly to the line to be replaced.

An itemized cost estimate is included in this report and outlines all of the individual construction items along with their associated estimated unit costs. A summary cost estimate recaps all of the project costs and outlines the funding scheme for the project, is also included in this report. The total cost of the expansion and improvements is estimated to be \$800,000 with full funding being provided by USDA Rural Development loan and grant funds.

VII. OPERATION & MAINTENANCE COST COMPARISON

When considering the Operation and Maintenance (O&M) cost associated with the existing system and the proposed project, the analysis is being done based solely on the components being impacted by this project.

EXISTING SYSTEM

The existing 6" water line serving Kentucky Highway 704 was installed in the early 1970's and is of poor overall construction. Accordingly, should the line continue to remain in service, frequent repairs will continue to be required on a regular basis. Based on data supplied by the District, the major repairs (i.e. significant leak) are required once per month

on average. In addition, minor repairs (i.e. minor leak) are required about twice per month. The average cost for each repair category was determined considering the following costs: for man-hours, overtime, fuel, equipment, materials, water lost, water used for flushing and lab testing costs. It was determined that the cost are \$3,500 and \$500 respectively. Additional maintenance costs for the line are minimal, and are estimated to be approximately \$1,000 per year. Accordingly, the total annual maintenance cost is approximately \$54,000.

Like all water mains, the operational cost of the existing line is minimal. The operation of the line, aside from customer meter related tasks, includes primarily flushing and performing line locates. Flushing of the line is performed monthly, requiring roughly 540,000 gallons annually. This corresponds to a purchased water cost of \$1,150. The existing line doesn't have tracer wire, so line locates are time and labor intensive. It is estimated that six line locates are required annually. When factoring in the labor and equipment cost, the approximate cost of each locate is nearly \$350. The corresponding annual cost of all locates is therefore nearly \$2,100. Accordingly, the annual average operational cost is approximately \$3,250.

Considering the above data, it is estimated that the annual O&M cost of the existing 6" water line are approximately \$57,250 per year.

PROPOSED PROJECT

The proposed project will replace the existing 6" line with a new main of the same size. The new line will be installed using superior and appropriate materials and construction standards. Accordingly, the line is expected to perform virtually leak free for the duration of its 60 year plus life cycle. Therefore, the anticipated annual number of repairs will be greatly reduced as compared to the existing line. It is estimated that this will be on the order of one major and two minor repairs annually. Using the same estimate cost per repair noted above, the total annual repair cost for the new line will be \$4,500. Similar to the existing line, additional maintenance costs for the line will minimal, and are estimated to be roughly \$1,000 per year. Accordingly, the total annual maintenance cost is approximately \$5,500.

Similar to the existing line, the operational cost for the new line will include primarily flushing and performing line locates. Flushing of the new line will also be performed monthly. Similar to that for the existing line, this corresponds to a purchased water cost of \$1,150. The proposed line will be installed with a tracer wire, allowing line located to be performed by one man in just a few minutes. When factoring in the small labor cost, the approximate cost of each locate is will be on the order of \$100. Considering six line locates per year, the corresponding annual cost of all locates will be about \$600. Accordingly, the annual average operational cost will be approximately \$1,750.

Considering the above data, it is estimated that the annual O&M cost of the proposed project are approximately \$7,250 per year. This represents an annual cost savings of roughly \$50,000 as compared to the existing line.

VIII. LIFE CYCLE COST ANALYSIS (LCCA)

CAPITAL COST

The total estimated construction cost for the proposed project \$585,000 with a corresponding total project cost of **\$800,000**.

DISCOUNT RATE

Per the current version of Appendix C of OMB Circular A-94, the real discount rates are as follows:

3-Year 0.3	5-Year 0.6	7-Year 0.8	10-Year 1.0	20-Year 1.2	30-Year 1.5
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PLANNING PERIOD

As recommend by USDA Rural Development, this LCCA utilizes a **20 year** planning period to compare the alternatives.

USEFUL LIFE

The useful life of the components included in the project is estimated to be 60 years.

SPPW & USPW FACTORS

i	N	SPPW (P/F)	USPW (P/A)
0.012	20	0.78775	17.68729
0.015	30	0.63976	24.01583
0.015	40	0.55126	29.91584
0.015	50	0.47500	34.99968
0.015	60	0.40929	39.38026

UNIFORM SERIES PRESENT WORTH (USPW) O&M COSTS

Proposed Project:

Annual O&M Costs = \$7,250/year (See above O&M cost calculation)

USPW Factor = 17.68729

$17.68729 \times \$7,250 = \mathbf{\$128,233}$

SINGLE PAYMENT PRESENT WORTH (SPPW) SALVAGE VALUE

Proposed Project:

Capital Costs = \$800,000

Useful Life = 60 Years

Annual Depreciation = \$800,000 / 60 years = \$13,333

Salvage Value @ 20 years = \$800,000 – (20 x \$13,333) = \$533,333

SPPW Factor = 0.40929

\$533,333 x 0.40929 = **\$218,288**

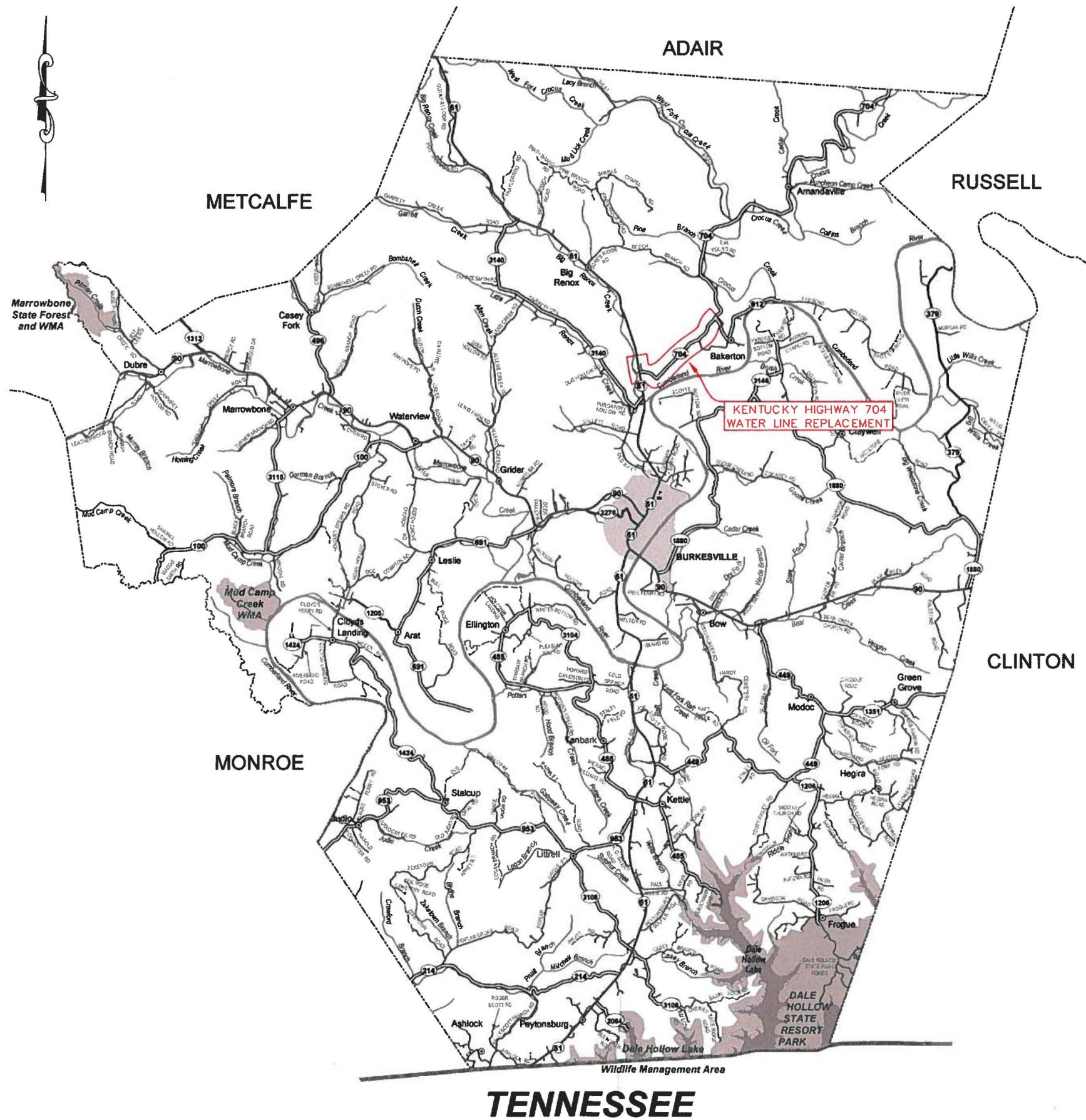
NET PRESENT WORTH CALCULATION

NPW = C + USPW(O&M) – SPPW(SV)

Option	Capital Cost	USPW (O&M)	SPPW (SV)	NPW
Proposed Project	\$800,000	\$128,233	\$218,288	\$709,945

IX. CONCLUSIONS AND RECOMMENDATIONS

Based on the need for the Cumberland County Water District to continue to supply their existing customers on Kentucky Highway 704 with a resilient and dependable potable water supply, it is recommended that the Cumberland County Water District pursue the financial assistance as outlined herein so that the proposed project can be implemented as soon as possible.



M Monarch Engineering, Inc.
 556 CARLTON DRIVE
 LAWRENCEBURG, KY 40342

DESCRIPTION: LOCATION MAP
 KENTUCKY HIGHWAY 704
 WATER SYSTEM REPLACEMENT

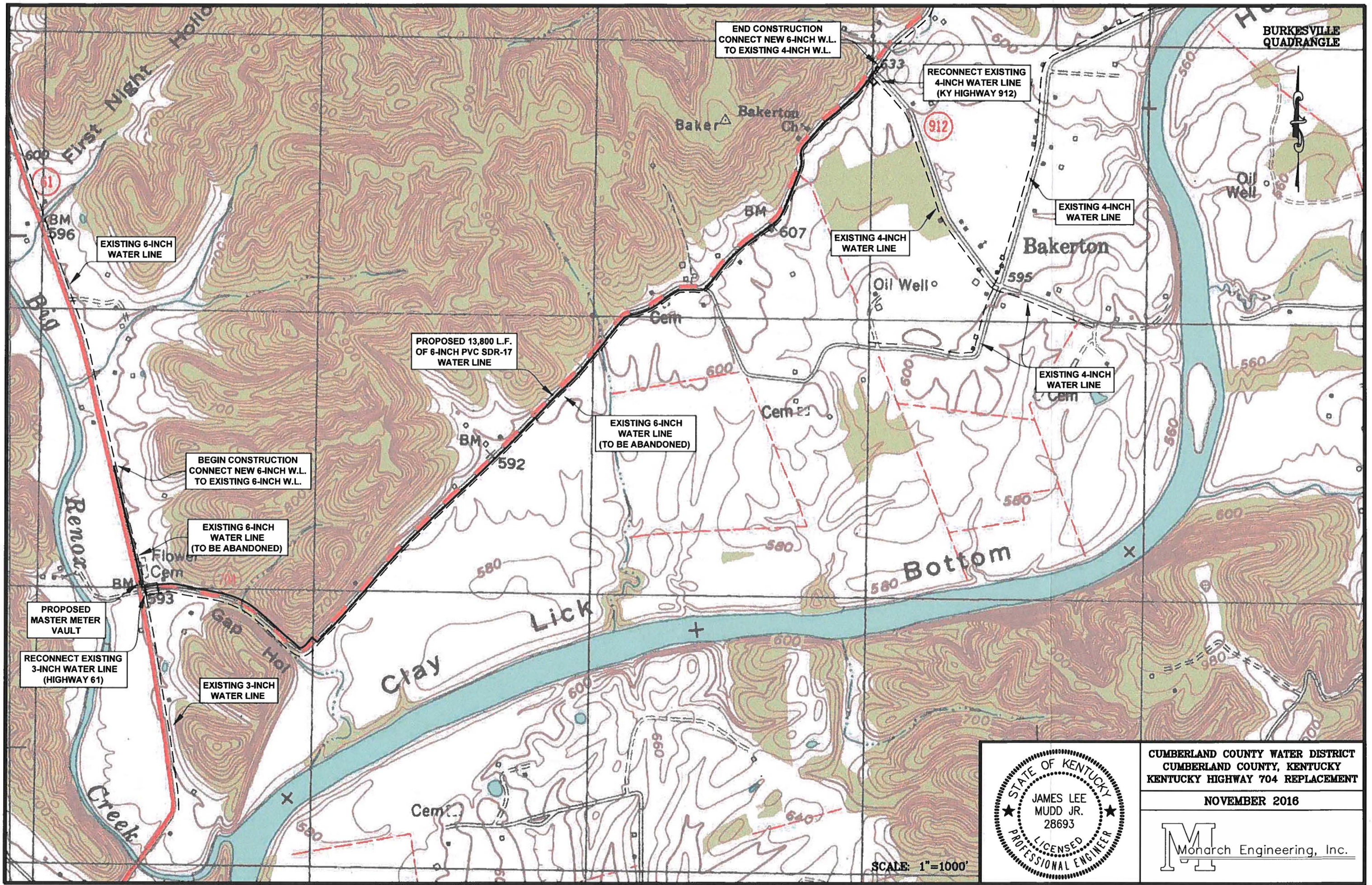
CUSTOMER:
 CUMBERLAND COUNTY WATER DISTRICT
 CUMBERLAND COUNTY, KENTUCKY

PROJECT NO. 1600
 DATE: JUNE 2017
 DRAWN BY: JLM
 CHECKED BY: DSB
 CHECKED BY: DMB
 SCALE: N.T.S.

SHEET:
 LM-1



TENNESSEE



END CONSTRUCTION
CONNECT NEW 6-INCH W.L.
TO EXISTING 4-INCH W.L.

RECONNECT EXISTING
4-INCH WATER LINE
(KY HIGHWAY 912)

BURKESVILLE
QUADRANGLE

EXISTING 6-INCH
WATER LINE

EXISTING 4-INCH
WATER LINE

PROPOSED 13,800 L.F.
OF 6-INCH PVC SDR-17
WATER LINE

EXISTING 4-INCH
WATER LINE

BEGIN CONSTRUCTION
CONNECT NEW 6-INCH W.L.
TO EXISTING 6-INCH W.L.

EXISTING 6-INCH
WATER LINE
(TO BE ABANDONED)

EXISTING 4-INCH
WATER LINE

EXISTING 6-INCH
WATER LINE
(TO BE ABANDONED)

PROPOSED
MASTER METER
VAULT

RECONNECT EXISTING
3-INCH WATER LINE
(HIGHWAY 61)

EXISTING 3-INCH
WATER LINE



CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY
KENTUCKY HIGHWAY 704 REPLACEMENT

NOVEMBER 2016



SCALE: 1"=1000'

**PRELIMINARY COST ESTIMATE
CUMBERLAND COUNTY WATER DISTRICT
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

NOVEMBER 2016

PROJECT COSTS

DEVELOPMENT	\$585,000
CONTINGENCY	58,500
ENGINEERING DESIGN	58,000
CONSTRUCTION INSPECTION	40,500
LEGAL & ADMINISTRATIVE	15,000
ENVIRONMENTAL ASSESSMENT	8,000
PRELIMINARY ENGINEERING REPORT	10,000
CONSTRUCTION INTEREST	<u>25,000</u>
TOTAL PROJECT COSTS	\$800,000

PROJECT FINANCING

USDA RURAL DEVELOPMENT LOAN	560,000
USDA RURAL DEVELOPMENT GRANT	<u>240,000</u>
TOTAL PROJECT FINANCING	\$800,000

**PRELIMINARY COST ESTIMATE
CUMBERLAND COUNTY WATER DISTRICT
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

NOVEMBER 2016

ITEM NO.	DESCRIPTION	QUANTITY	UNIT COST	TOTAL COST
1	6-Inch PVC SDR-17 Water Line	13,800 LF	\$30.00	\$414,000.00
2	4-Inch PVC SDR-17 Water Line	200 LF	20.00	4,000.00
3	3-Inch PVC SDR-17 Water Line	200 LF	20.00	4,000.00
4	Bore & Case for 6-Inch Water Line	200 LF	225.00	45,000.00
5	Bore & Case for 3-Inch Water Line	80 LF	170.00	13,600.00
6	Free Bore & Case for 6-Inch Water Line	40 LF	120.00	4,800.00
7	Creek Crossing for 6-Inch Water Line	100 LF	100.00	10,000.00
8	6-Inch Gate Valve	6 EA	1,200.00	7,200.00
9	4-Inch Gate Valve	2 EA	1,000.00	2,000.00
10	3-Inch Gate Valve	1 EA	800.00	800.00
11	Type II Connection	3 EA	3,000.00	9,000.00
12	Direct Connection	1 EA	2,000.00	2,000.00
13	3-Way Flush Hydrant	4 EA	3,500.00	14,000.00
14	Meter Reconnection	18 EA	700.00	12,600.00
15	3/4-Inch P.E. Service Tubing	1,200 LF	10.00	12,000.00
16	Master Meter Vault Assembly	1 EA	20,000.00	20,000.00
17	Exploration	50 HR	200.00	10,000.00
		Subtotal		\$585,000.00
		Contingencies		58,500.00
		Total Construction		\$643,500.00

**PROJECTED FINANCIAL IMPACT
CUMBERLAND COUNTY WATER DISTRICT
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVMENTS
NOVEMBER 2016**

I. DEBT SERVICE EXPENSE

Loan Amount: \$560,000

Interest Rate: 2.50%

Term: 40 Years

Annual Debt Service: \$23,000

Annual Reserve Account Allowance: $(\$23,000 \times 0.10) = \$2,300$

Total Annual Debt Payment: $(\$23,000 + \$2,300) = \$25,300$

II. ASSOCIATED RATE INCREASE

Monthly Payment $(\$25,300 / 12) = \$2,108.33$

Number of Customers: 2,462

Average Increase per Customer: $\$2,108.33 / 2,462 = \0.86 per Customer per Month

RECEIVED

OCT 14 2019

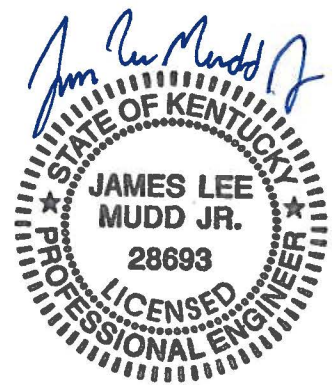
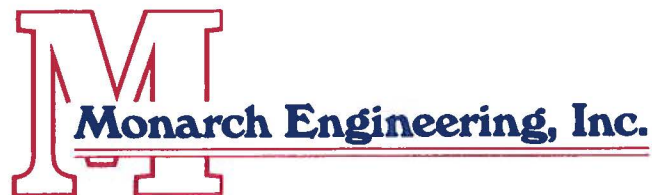
PUBLIC SERVICE
COMMISSION

FINAL ENGINEERING REPORT

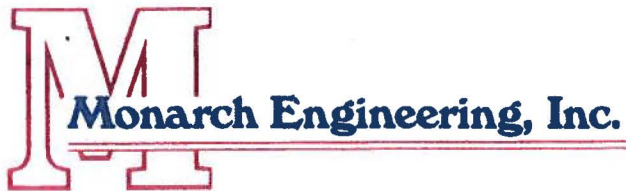
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS

CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

AUGUST 2019



8-26-19



August 26, 2019

Mr. Troy Norris, Chairman
Cumberland County Water District
133 Lower River Street
Burkesville, Kentucky 42717

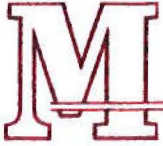
Re: Kentucky Highway 704 Water System Improvements
Bid Results and Recommendation for Contract Award

Dear Mr. Norris:

On August 23, 2019, bids were received by the District for construction of the Kentucky Highway 704 Water System Improvements project. This project includes the replacement of the aging and problematic 6-inch water line laying adjacent to Kentucky Highway 704 in northern Cumberland County. Four proposals were received, with the lowest being submitted by Stotts Construction Co., Inc. of Columbia, Kentucky, for \$469,480.00. A summarized tabulation of all bids received, and a Final Project Budget have been included for your reference.

As indicated in the attached Final Project Budget, the total "as-bid" project costs are within the amount of allocated financing. Proceeding with a contract award to the low bidder would allow contingency funds in the amount of \$174,020.00. Therefore, based on the competitive nature of the bids received, and the necessity of the proposed improvements, we recommend that the Company consider awarding a contract to Stotts Construction Co., Inc. for the full bid amount. This recommendation is contingent upon approval from USDA Rural Development, and the Kentucky Public Service Commission.

Given the substantial amount of contingency funds which are likely to remain following completion of the project, the inclusion of an additional project phase should be considered. Gauging from ongoing discussions regarding the deteriorating condition of the Highway 449 Water Storage Tank, it is recommended that these funds be used to complete the rehabilitation of the tank. As you are aware, the interior of the tank was recoated earlier this year, but the needed work on the exterior has yet to be performed. The total estimated cost to complete the exterior rehabilitation is \$297,000 as detailed as part of the Final Project Budget. Depending upon the amount of contingency funds necessary to complete the Highway 704 Improvements, District funds of up to approximately \$170,000 will be required to move forward with the tank rehabilitation. However, if the Highway 704 Improvements can be completed within budget, using only a limited amount of contingency funds, the District contribution to the tank rehabilitation will be reduced to approximately \$125,000. Therefore, it is recommended that construction of the Highway 704 Improvements be complete in full, and the exact amount of contingency funds known, prior to the receipt of construction bids for the tank rehabilitation. Please note that these additional improvements will require approval from both USDA Rural Development and the Kentucky Public Service Commission.



August 26, 2019
Page Two

Should you have any questions or require any additional information, please advise.

Sincerely,

A handwritten signature in blue ink that reads "Lee Mudd". The signature is written in a cursive, flowing style.

Lee Mudd, P.E.
Project Engineer

/jlm

Attachments

Cc: **Mark Givens**
Area Specialist, USDA Rural Development

Julie Anderson
State Engineer, USDA Rural Development

Anthony Hollinsworth
Program Director, USDA Rural Development

MONARCH ENGINEERING, INC.
 556 Carlton Drive
 Lawrenceburg, KY 40342
 Phone (502) 839-1310
 Fax (502) 839-1373

BID TABULATIONS
CUMBERLAND COUNTY WATER DISTRICT
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS
CUMBERLAND COUNTY, KENTUCKY
BID DATE: AUGUST 23, 2019 @ 11:00 A.M. LOCAL TIME

Stotts Construction Co., Inc. P.O. Box 1689 Columbia, KY 42728	Flo-Line Contracting 189 Sunstar Blvd. Monticello, KY 42633
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ITEM NO.	DESCRIPTION	QUANTITY	UNIT PRICE	TOTAL COST	UNIT PRICE	TOTAL COST
	BASE BID CONTRACT					
1	8-Inch HDPE DR-9 Water Line	1,700 LF	\$35.00	\$59,500.00	\$48.50	\$82,450.00
2	6-Inch PVC SDR 17 Water Line	11,500 LF	23.00	264,500.00	23.00	264,500.00
3	6-Inch PVC SDR 17 I.B.R.J. Water Line	340 LF	20.00	6,800.00	30.00	10,200.00
4	4-Inch PVC SDR 17 Water Line	100 LF	20.00	2,000.00	15.00	1,500.00
5	2-Inch PVC SDR 17 Water Line	50 LF	20.00	1,000.00	14.00	700.00
6	Bore & Case for 6-Inch Water Line	240 LF	110.00	26,400.00	110.00	26,400.00
7	Driveway Bore & Case for 6-Inch Water Line	30 LF	50.00	1,500.00	110.00	3,300.00
8	Creek Crossing for 6-Inch Water Line	320 LF	40.00	12,800.00	65.00	20,800.00
9	6-Inch Gate Valve	8 EA	1,200.00	9,600.00	1,100.00	8,800.00
10	2-Inch Gate Valve	1 EA	820.00	820.00	700.00	700.00
11	3-Way Flush Hydrant Assembly	5 EA	4,200.00	21,000.00	4,200.00	21,000.00
12	Direct Connection	6 EA	900.00	5,400.00	800.00	4,800.00
13	Meter Setting (less Meter)	1 EA	1,000.00	1,000.00	750.00	750.00
14	Standard Meter Reconnection	20 EA	400.00	8,000.00	600.00	12,000.00
15	Service Line Reconnection	1 EA	100.00	100.00	400.00	400.00
16	3/4-Inch PE Service Line	630 LF	12.00	7,560.00	9.00	5,670.00
17	1-Inch PE Service Line	400 LF	15.00	6,000.00	9.50	3,800.00
18	2-Inch HDPE Encasement Pipe for Service Lines via Directional Bore	400 LF	45.00	18,000.00	25.00	10,000.00
19	Master Meter Vault	1 LS	15,000.00	15,000.00	12,500.00	12,500.00
20	Exploration	50 HR	50.00	2,500.00	50.00	2,500.00
	TOTAL BASE BID			\$469,480.00		\$492,770.00

THE ABOVE IS A TRUE AND COMPLETE TABULATION OF BIDS RECEIVED AT 11:00 A.M. LOCAL TIME, FRIDAY, AUGUST 23, 2019 AT THE CUMBERLAND COUNTY WATER DISTRICT.

BY:

James Lee Mudd
 JAMES LEE MUDD
 28693
 JAMES LEE MUDD
 LICENSED PROFESSIONAL ENGINEER

8-23-19

Date

Project No. 1801

MONARCH ENGINEERING, INC.
 556 Carlton Drive
 Lawrenceburg, KY 40342
 Phone (502) 839-1310
 Fax (502) 839-1373

BID TABULATIONS
CUMBERLAND COUNTY WATER DISTRICT
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS
CUMBERLAND COUNTY, KENTUCKY
BID DATE: AUGUST 23, 2019 @ 11:00 A.M. LOCAL TIME

			Cumberland Pipeline, LLC 4129 Highway 379 Russell Springs, KY 42642		United Pipeline, Inc. 150 Hill Road Tompkinsville, KY 42167	
ITEM NO.	DESCRIPTION	QUANTITY	UNIT PRICE	TOTAL COST	UNIT PRICE	TOTAL COST
	BASE BID CONTRACT					
1	8-Inch HDPE DR-9 Water Line	1,700 LF	\$75.00	\$127,500.00	\$55.00	\$93,500.00
2	6-Inch PVC SDR 17 Water Line	11,500 LF	22.50	258,750.00	30.00	345,000.00
3	6-Inch PVC SDR 17 I.B.R.J. Water Line	340 LF	26.00	8,840.00	37.00	12,580.00
4	4-Inch PVC SDR 17 Water Line	100 LF	20.00	2,000.00	28.00	2,800.00
5	2-Inch PVC SDR 17 Water Line	50 LF	26.00	1,300.00	26.00	1,300.00
6	Bore & Case for 6-Inch Water Line	240 LF	190.00	45,600.00	210.00	50,400.00
7	Driveway Bore & Case for 6-Inch Water Line	30 LF	120.00	3,600.00	180.00	5,400.00
8	Creek Crossing for 6-Inch Water Line	320 LF	75.00	24,000.00	110.00	35,200.00
9	6-Inch Gate Valve	8 EA	1,113.00	8,904.00	2,000.00	16,000.00
10	2-Inch Gate Valve	1 EA	686.00	686.00	1,600.00	1,600.00
11	3-Way Flush Hydrant Assembly	5 EA	4,040.00	20,200.00	6,000.00	30,000.00
12	Direct Connection	6 EA	1,800.00	10,800.00	3,500.00	21,000.00
13	Meter Setting (less Meter)	1 EA	957.00	957.00	1,500.00	1,500.00
14	Standard Meter Reconnection	20 EA	637.00	12,740.00	900.00	18,000.00
15	Service Line Reconnection	1 EA	550.00	550.00	500.00	500.00
16	3/4-Inch PE Service Line	630 LF	11.00	6,930.00	25.00	15,750.00
17	1-Inch PE Service Line	400 LF	11.00	4,400.00	26.00	10,400.00
18	2-Inch HDPE Encasement Pipe for Service Lines via Directional Bore	400 LF	46.50	18,600.00	57.00	22,800.00
19	Master Meter Vault	1 LS	16,728.00	16,728.00	30,610.00	30,610.00
20	Exploration	50 HR	200.00	10,000.00	100.00	5,000.00
	TOTAL BASE BID			\$583,085.00		\$719,340.00

**FINAL PROJECT BUDGET
CUMBERLAND COUNTY WATER DISTRICT
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

AUGUST 2019

PROJECT COSTS

DEVELOPMENT	\$469,480
CONTINGENCY	47,020
ENGINEERING DESIGN	58,000
CONSTRUCTION INSPECTION	40,500
LEGAL & ADMINISTRATIVE	15,000
ENVIRONMENTAL ASSESSMENT	8,000
PRELIMINARY ENGINEERING REPORT	10,000
CONSTRUCTION INTEREST	25,000
PHASE II - HWY 449 STORAGE TANK REHABILITATION (SEE ATTACHMENT)	<u>127,000</u>
TOTAL PROJECT COSTS	\$800,000

PROJECT FINANCING

USDA RURAL DEVELOPMENT LOAN	\$560,000
USDA RURAL DEVELOPMENT GRANT	<u>240,000</u>
TOTAL PROJECT FINANCING	\$800,000

**FINAL PROJECT BUDGET
CUMBERLAND COUNTY WATER DISTRICT
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

**PRELIMINARY COST ESTIMATE
PHASE II - HIGHWAY 449 WATER STORAGE TANK REHABILITATION**

AUGUST 2019

PROJECT COSTS

DEVELOPMENT	\$225,000
CONTINGENCY	22,500
ENGINEERING DESIGN	27,000
CONSTRUCTION INSPECTION	<u>22,500</u>
TOTAL PROJECT COSTS	\$297,000

PROJECT FINANCING

REMAINING USDA RURAL DEVELOPMENT GRANT	\$127,000
CUMBERLAND COUNTY WATER DISTRICT	<u>170,000</u>
TOTAL PROJECT FINANCING	\$297,000

CUMBERLAND COUNTY WATER DISTRICT

KENTUCKY HIGHWAY 704

WATER SYSTEM IMPROVEMENTS

CUMBERLAND COUNTY, KENTUCKY

TABLE OF CONTENTS

COVER	
GENERAL NOTES	GN-1
PLAN SHEETS	1 - 9
UTILITY VAULT DETAILS	UV-1
MAINTENANCE OF TRAFFIC PLAN	MOT-1
STANDARD DETAIL DRAWINGS	SD-1 - SD-2

BOARD OF COMMISSIONERS

TROY NORRIS, CHAIRMAN
 GARLAND HIENEMAN
 MARK VIBBERT
 JAY CARY
 ERIC CARVER

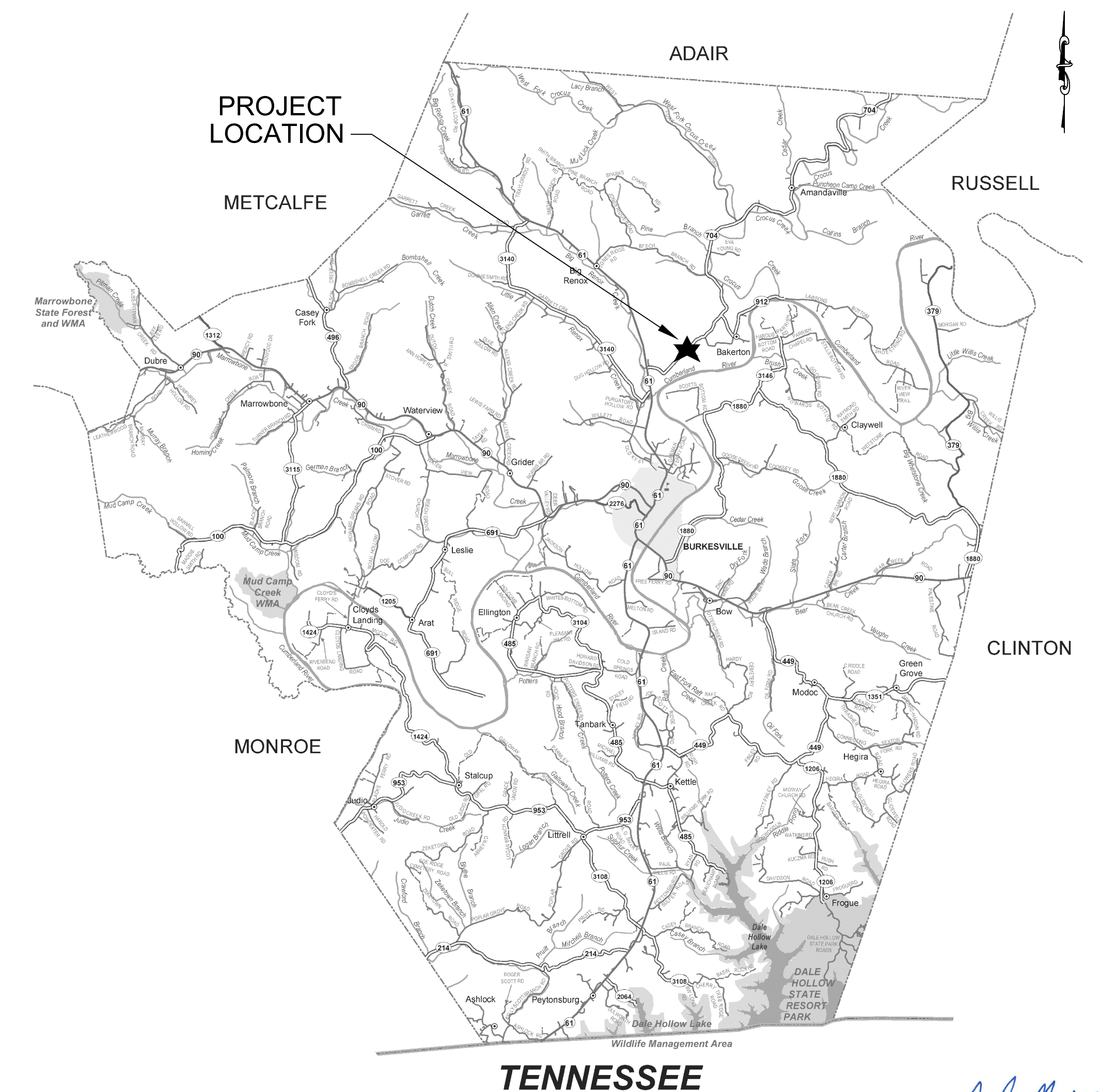
MANAGER
 MATTHEW DYER

LOCAL COUNSEL
 LINDSEY G. BELL

MAY 2019

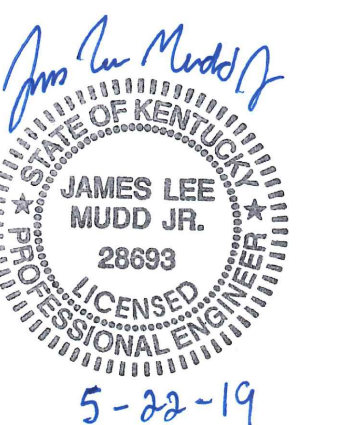
PROJECT FUNDED BY:
 USDA RURAL DEVELOPMENT

LOCATION MAP



M
 Monarch Engineering, Inc.

556 CARLTON DRIVE
 LAWRENCEBURG, KY 40342



LOCATION AND SCOPE OF PROJECT

THE PROJECT SITE IS GENERALLY DEFINED AS CUMBERLAND COUNTY, KENTUCKY. THE WORK TO BE DONE UNDER THIS CONTRACT INCLUDES FURNISHING ALL MATERIALS, EQUIPMENT, AND LABOR NECESSARY TO CONSTRUCT THE KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS PROJECT IN ACCORDANCE WITH THE PLANS, SPECIFICATIONS AND CONTRACT DOCUMENTS.

GENERAL NOTES

- IT IS THE INTENTION OF THESE PLANS TO CONSTRUCT ALL WORK IN ACCORDANCE WITH ALL APPLICABLE REQUIREMENTS OF THE CUMBERLAND COUNTY, THE KENTUCKY DEPARTMENT FOR ENVIRONMENTAL PROTECTION, AND THE U.S. ARMY CORPS OF ENGINEERS, WHERE THERE IS A CONFLICT BETWEEN THE CONTRACT DOCUMENTS, PLANS, AND SPECIFICATIONS AND THE PERMIT REQUIREMENTS OF THE AGENCY CONTROLLING THE UTILITY OR RESPECTIVE RIGHTS-OF-WAY, THE MORE RESTRICTIVE SHALL GOVERN.
- THE CONTRACTOR AND ANY APPLICABLE SUBCONTRACTORS SHALL ATTEND A PRE-CONSTRUCTION MEETING AT A TIME AND PLACE ARRANGED BY THE ENGINEER, IN WHICH THE AFFECTED PARTIES WILL BE PRESENT. ALSO, A PRE-CLEARING WALK THROUGH WILL NEED TO BE ATTENDED BY THE CONTRACTOR.
- FOLLOWING THE PRE-CONSTRUCTION MEETING, THE CONTRACTOR SHALL NOTIFY THE ENGINEER A MINIMUM OF THREE (3) WORKING DAYS PRIOR TO THE START OF CONSTRUCTION FOR INSPECTION COORDINATION. NO WORK CAN COMMENCE UNTIL ALL PERMITS HAVE BEEN OBTAINED AND THE CONTRACTOR HAS BEEN GIVEN THE AUTHORITY TO PROCEED.
- THE CONTRACTOR SHALL NOTIFY KENTUCKY 811 AT LEAST 72 HOURS IN ADVANCE OF CONSTRUCTION, FOR LOCATION AND MARKING OF ALL EXISTING UTILITIES.
- LOCATIONS AND ELEVATIONS OF EXISTING UNDERGROUND UTILITIES AS SHOWN ON THE PLANS ARE APPROXIMATE. NO GUARANTEE IS EITHER EXPRESSED OR IMPLIED AS TO THE COMPLETENESS OR ACCURACY THEREOF. THE CONTRACTOR SHALL BE EXCLUSIVELY RESPONSIBLE FOR DETERMINING AND VERIFYING THE LOCATION, DEPTH, AND ELEVATION OF THE EXISTING UTILITIES WITHIN THE CONSTRUCTION AREA PRIOR TO THE START OF CONSTRUCTION. THE CONTRACTOR SHALL NOTIFY THE ENGINEER IF ANY CONFLICTS ARE APPARENT OR IF LOCATIONS AND DEPTHS DIFFER SIGNIFICANTLY FROM THE PLANS.
- ALL ELEVATIONS REFER TO THE CURRENT NORTH AMERICAN VERTICAL DATUM OF 1988 (NAVD '88).
- THE ENGINEER HAS NOT PERFORMED PROPERTY OR RIGHT-OF-WAY SURVEYS FOR ANY OF THE AREAS INCLUDED IN THIS PROJECT. RIGHT-OF-WAY OR PROPERTY LINES SHOWN ON THE PLANS ARE APPROXIMATE AND ARE SHOWN FOR GENERAL ORIENTATION ONLY. PROPERTY CORNERS OR OTHER SURVEY MARKERS HAVE NOT BEEN LOCATED, UNLESS SPECIFICALLY CALLED OUT ON THE PLANS.
- ALL PROPERTIES OR FACILITIES IN THE SURROUNDING AREAS, PUBLIC OR PRIVATE, DESTROYED OR OTHERWISE DAMAGED BY THE CONTRACTORS OPERATIONS SHALL BE REPLACED OR REPAIRED TO THE SATISFACTION OF THE AUTHORITY HAVING JURISDICTION OF THE PROPERTY OR FACILITY BY THE CONTRACTOR AT THEIR OWN EXPENSE.
- IF, IN THE OPINION OF THE ENGINEER, WORK HAS NOT PROGRESSED IN A REASONABLE AND TIMELY MANNER, THE ENGINEER SHALL HAVE THE RIGHT, WITH THE APPROVAL OF THE OWNER, TO DIRECT THE CONTRACTOR TO PROCEED WITH THE WORK OR ANY PORTION THEREOF IMMEDIATELY. IN THE EVENT THAT THE CONTRACTOR DOES NOT PROCEED WITH THE WORK IMMEDIATELY, AS DIRECTED BY THE ENGINEER, THE ENGINEER, UNDER THE DIRECTION OF THE OWNER, MAY ORDER ANY OR ALL OTHER OPERATIONS OF THE CONTRACTOR, UNDER THIS CONTRACT, TO CEASE UNTIL THE CLEANUP AND RESTORATION WORK IS PROCEEDING IN AN ACCEPTABLE MANNER. SHOULD THE CONTRACTOR FAIL TO COMPLY WITH THESE PROVISIONS, THE OWNER MAY, WITH OR WITHOUT NOTICE, CAUSE THE REQUIRED RESTORATION AND CLEANUP TO BE DONE BY THE OWNER OR OTHERS AND WILL DEDUCT THE COST OF SAID WORK FROM ANY FUNDS DUE OR TO BECOME DUE TO THE CONTRACTOR UNDER THIS CONTRACT. THE PERFORMANCE OF SUCH WORK BY THE OWNER OR OTHERS SHALL SERVE IN NO WAY TO RELEASE THE CONTRACTOR FROM HIS GENERAL OF PARTICULAR LIABILITY FOR THE SAFETY OF THE PUBLIC OR COMPLETION OF THE WORK.
- ACTIONS MUST BE TAKEN TO MINIMIZE THE TRACKING OF MUD AND SOIL FROM CONSTRUCTION AREAS ONTO PUBLIC ROADWAYS. SOIL TRACKED ONTO THE ROADWAY SHALL BE REMOVED DAILY.
- ALL WORK SHALL BE INCORPORATED IN TO THOSE UNIT PRICES LISTED IN THE CONTRACT DOCUMENTS. ANY ITEMS NOT SPECIFICALLY LISTED IN THE UNIT PRICES SHALL BE CONSIDERED INCIDENTAL TO THE WORK AND SHALL NOT BE ELIGIBLE FOR SEPARATE PAYMENT OR COMPENSATION.

EROSION AND SEDIMENTATION CONTROL NOTES

- THE CONTRACTOR SHALL COMPLY WITH ALL EROSION AND SEDIMENTATION CONTROL REQUIREMENTS OF THE BOTH THE STATE OF KENTUCKY AND THE U.S. ARMY CORPS OF ENGINEERS FOR ALL DISTURBED AREAS INCLUDED IN THE PROJECT.
- THE CONTRACTOR SHALL CONDUCT CONSTRUCTION OPERATIONS IN A MANNER THAT WILL REDUCE ACCELERATED EROSION TO THE MINIMUM AND PREVENT DAMAGING SILTATION TO EXISTING SEWERS AND WATER COURSES LEADING FROM THE PROJECT AREA.
- THE CONTRACTOR SHALL CONDUCT WORK IN SUCH A MANNER AS TO PREVENT THE ENTRY OF FUELS, OILS, BITUMINOUS MATERIALS, CHEMICALS, SEWERAGE, OR OTHER HARMFUL MATERIALS INTO NEARBY LAKES AND STREAMS.
- WASTE DISPOSAL AREAS SHALL BE SELECTED BY THE CONTRACTOR WITH FULL CONSIDERATION OF EROSION AND SEDIMENT CONTROL, SELECTION OF DISPOSAL SITE(S), AND CONTROL OF OPERATIONS, AND THE RESTORATION OF SAID AREAS SHALL BE SUBJECT TO APPROVAL OF THE ENGINEER.
- EXCAVATIONS FROM THE PROJECT AREA INCLUDING CHANNELS AND WATERCOURSES SHALL NOT BE DEPOSITED IN OR NEAR RIVERS, STREAMS, OR PONDS WHERE IT MAY ENTER THE WATERWAY.
- AT THE COMPLETION OF EACH DAYS CONSTRUCTION, CARE SHOULD BE TAKEN TO ENSURE THAT MINIMAL EROSION WILL OCCUR IN TRENCHES AND TO STOCKPILED MATERIALS UNTIL RESUMPTION OF WORK.
- THE CONTRACTOR SHALL CONFINE CONSTRUCTION OPERATIONS TO THE MINIMUM AMOUNT OF WORKING SPACE PRACTICAL TO AID IN THE MINIMIZATION OF SOIL EROSION.
- THE PROJECT WILL BE CONTINUALLY OBSERVED BY VARIOUS STATE & LOCAL REGULATORY AGENCIES FOR EROSION CONTROL COMPLIANCE. DEFICIENCIES WILL BE CORRECTED BY THE CONTRACTOR IMMEDIATELY UPON NOTICE OF SUCH DEFICIENCIES. FAILURE TO CORRECT THE DEFICIENCIES MAY RESULT IN THE ISSUANCE OF A STOP WORK ORDER AND THERE WILL BE NO CONTRACT TIME EXTENSION GRANTED FOR THIS TYPE OF STOPPAGE.
- TEMPORARY SOIL EROSION CONTROL MEASURES CONSISTING OF SILT FENCE, MULCHING, AND TARPING SHALL BE IMPLEMENTED THROUGHOUT THE ENTIRE CONSTRUCTION PHASE OF THE PROJECT, AND SHALL BE REMOVED BY THE CONTRACTOR AFTER THE PERMANENT SOIL EROSION MEASURES HAVE BEEN ESTABLISHED.
- PERMANENT SOIL EROSION MEASURES CONSISTING OF AN APPROVED SEED MIXTURE AND MULCH BLANKET SHALL BE COMPLETED WITHIN FIVE (5) CALENDAR DAYS OF FINAL GRADING. IN THE EVENT IT IS NOT POSSIBLE TO PERMANENTLY STABILIZE THE AREA DUE TO SITE CONDITIONS OR SEASONAL LIMITATIONS, THE TEMPORARY MEASURES SHALL REMAIN IN FORCE AND SHALL BE MAINTAINED BY THE CONTRACTOR UNTIL SUCH TIME IT IS PRACTICAL TO COMPLETE THE PERMANENT SOIL EROSION CONTROL MEASURES.
- THE ENGINEER SHALL HAVE FULL AUTHORITY TO TEMPORARILY SUSPEND WORK IN THE EVENT THAT ANY OF THE ABOVE REQUIREMENTS ARE NOT BEING MET BY THE CONTRACTOR, OR IF CONDITIONS INDICATE THAT ADDITIONAL TEMPORARY MEASURES ARE WARRANTED, IN THE OPINION OF THE ENGINEER OR REGULATORY AGENCIES.
- PRIOR TO THE START OF CONSTRUCTION, THE CONTRACTOR SHALL INSTALL INLET FILTERS AT ALL INLETS IN THE CONSTRUCTION AREA.
- THE CONTRACTOR SHALL BE RESPONSIBLE FOR THE MAINTENANCE OF ANY REQUIRED ACCESS ROAD SURFACES AND SOIL EROSION CONTROL MEASURES WITHIN THE CONSTRUCTION AREA UNTIL THE FULL COMPLETION OF THE PROJECT.
- ALL NON-PAVED DISTURBED AREAS SHALL BE RESTORED AS INDICATED ON THE PLANS. IF NOT SPECIFICALLY STATED ON THE PLANS, RESTORATION SHALL CONSIST OF 4-INCHES OF TOPSOIL, FERTILIZER, SEED AND MULCH. UNLESS OTHERWISE STATED, ALL DISTURBED AREAS SHALL BE SEEDED WITH A SEED MIX APPROVED BY THE ENGINEER.

WORK LIMITS

IF INDICATED ON THE PLANS, THE CONTRACTOR SHALL KEEP ALL OPERATIONS WITHIN THE WORK LIMITS SHOWN. OTHERWISE, THE CONTRACTOR SHALL ESTABLISH CONSTRUCTION LIMITS WITHIN THE EXISTING AND/OR PROPOSED RIGHTS-OF-WAY AND EASEMENTS AS DIRECTED BY THE ENGINEER. THIS REQUIREMENT SHALL INCLUDE MATERIAL STOCKPILING AND EQUIPMENT STORAGE. THE CONTRACTOR MAY NOT EXIT THE ESTABLISHED PROJECT WORK LIMITS WITHOUT EXPLICIT PERMISSION FROM THE OWNER AND THE ENGINEER.

UTILITIES

FOR PROTECTION OF UNDERGROUND UTILITIES AND IN CONFORMANCE WITH KENTUCKY LAW, THE CONTRACTOR SHALL SHALL DAIL KENTUCKY 811 A MINIMUM OF THREE (3) FULL WORKING DAYS, EXCLUDING SATURDAYS, SUNDAYS, AND HOLIDAYS, PRIOR TO BEGINNING WORK IN EACH EXCAVATION AREA WHERE PUBLIC UTILITIES HAVE NOT BEEN PREVIOUSLY LOCATED. MEMBERS WILL THUS BE ROUTINELY NOTIFIED. THIS DOES NOT RELIEVE THE CONTRACTOR OF THE RESPONSIBILITY OF NOTIFYING UTILITY OWNERS WHO MAY NOT BE PART OF THE "KY 811" ALERT SYSTEM. UTILITY LOCATIONS SHOWN ON THE PLANS ARE ONLY APPROXIMATE AND SHOULD BE LOCATED IN THE FIELD PRIOR TO ANY EXCAVATION.

WORK WITHIN STREAMS, CREEKS & WATERWAYS

ANY AND ALL WORK TO BE COMPLETED WITHIN STREAMS, CREEKS & WATERWAYS SHALL BE COMPLETED ONLY DURING TIMES OF LOW FLOW AS DETERMINED BY THE ENGINEER. THE CONTRACTOR SHALL STRICTLY LIMIT THE USE OF HEAVY EQUIPMENT WITHIN THE WATERCOURSE AT ALL TIMES. STREAM FLOW SHALL NOT BE RESTRICTED OR IMPEDED AT ANY TIME DURING THE COURSE OF CONSTRUCTION.

DISRUPTION OF SERVICE

THE CONTRACTOR SHALL COORDINATE ALL DISRUPTIONS OF SERVICE WITH THE OWNER AND ENGINEER. PRIOR TO ANY DISRUPTION, THE CONTRACTOR SHALL INFORM BOTH PARTIES OF HIS INTENTIONS, METHODS AND PROJECTED DURATION OF DISTURBANCE AND RECEIVE THEIR APPROVAL PRIOR TO INITIATING THE SPECIFIC WORK.

WORK WITHIN PUBLIC ROAD RIGHT-OF-WAYS

WHEN PERFORMING WORK ALONG OR ACROSS ANY PUBLIC ROADWAY, THE CONTRACTOR SHALL POST WARNING SIGNS PAINTED ORANGE AND THEY SHALL BE FOUR FEET BY FOUR FEET MOUNTED ON POSTS IN ACCORDANCE WITH THE FHWA MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES (MUTCD). THE SIGNS SHALL BE AS FOLLOWS:

- CAUTION UTILITY WORK 1500 FEET
- CAUTION UTILITY WORK 1000 FEET
- CAUTION UTILITY WORK 500 FEET

ALL SIGNS, BARRICADES, LIGHTS, AND TRAFFIC CONTROL SHALL BE INSTALLED IN ACCORDANCE WITH THE SECTION 6 OF THE MUTCD.

THE CONTRACTOR SHALL MAINTAIN TWO FLAG MEN AT ALL TIMES WHERE MACHINERY IS IN OPERATION WHERE THE FLOW OF TRAFFIC WILL BE DISTURBED. THERE IS NO EXCEPTION TO THIS REQUIREMENT. THE USE OF RADIOS WILL BE REQUIRED WHEN VISUAL CONTACT BETWEEN THE FLAGMEN DOES NOT EXIST.

THE CONTRACTOR SHALL BE RESPONSIBLE FOR KEEPING ENTIRE ROADWAY FREE AND CLEAR AT THE END OF EACH WORKING DAY. NO EQUIPMENT SHALL BE LEFT ON OR PARKED ALONG THE ROAD RIGHT OF WAY. AT THE COMPLETION OF EACH WORK DAY, THE CONTRACTOR SHALL BACKFILL ALL OPEN TRENCHES AND INSTALL ALL TRAFFIC CONTROL SIGNS, BARRICADES, AND LIGHTS IN ACCORDANCE WITH THE KENTUCKY TRANSPORTATION DEPARTMENT'S MANUAL ON UNIFORM TRAFFIC CONTROL DEVICES.

SPECIAL REQUIREMENTS OF KYTC ENCROACHMENT PERMIT

ALL WATER MAINS INSTALLED ON KYTC RIGHT-OF-WAY SHALL BE INSTALLED WITH 42" MINIMUM COVER.

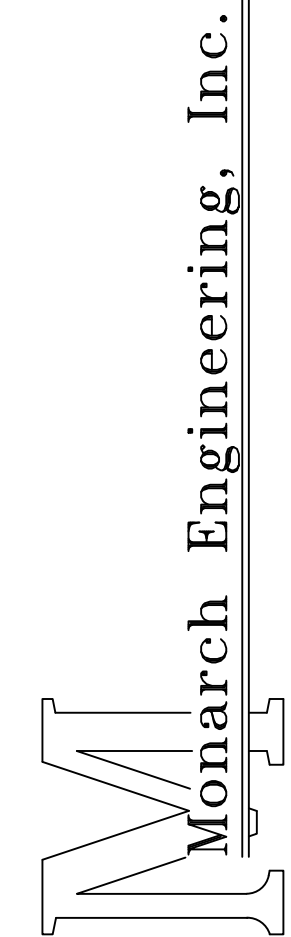
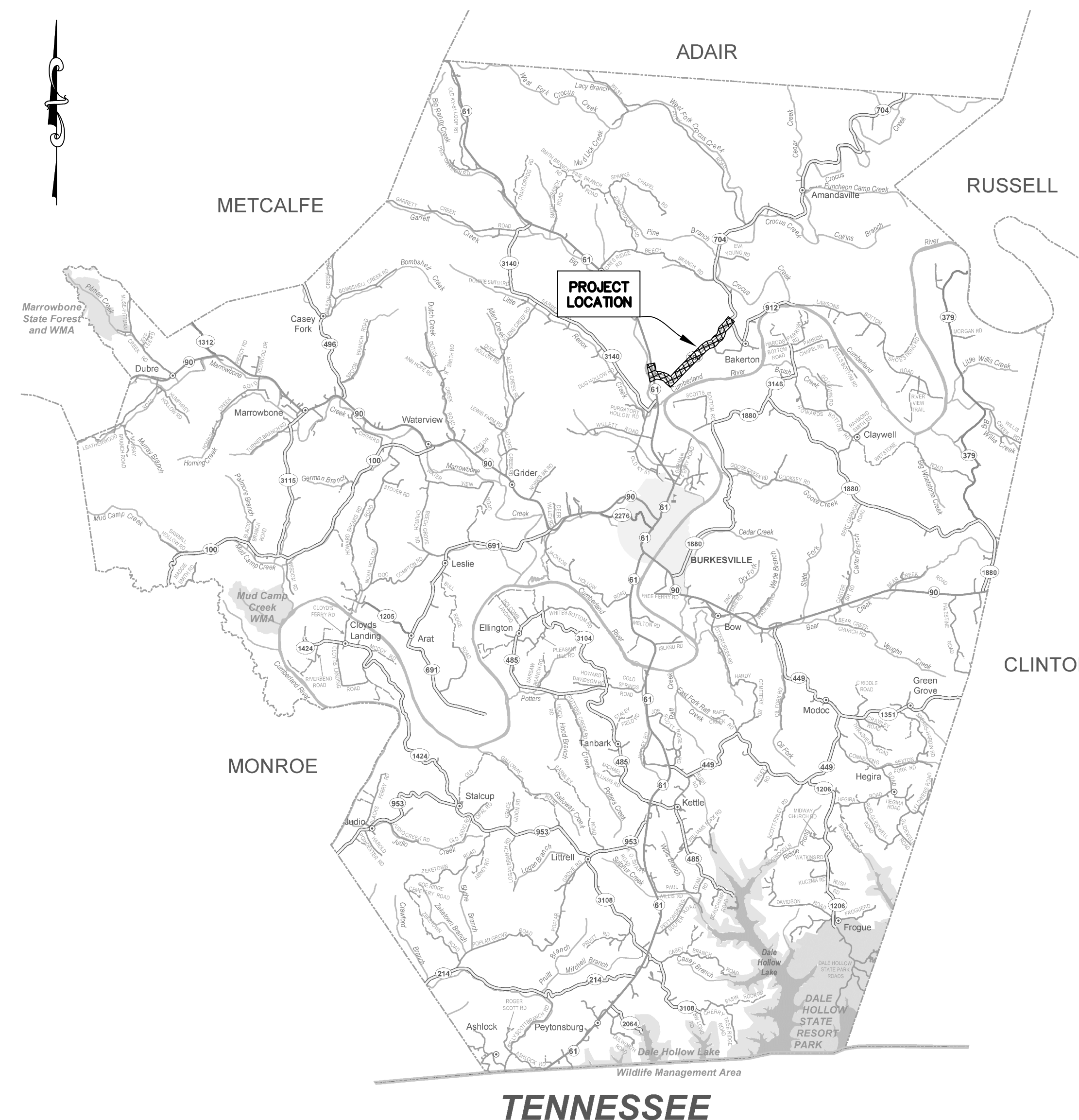
REGARDING THE PORTION OF THE NEW WATER LINE TO BE INSTALLED ON THE KENTUCKY HIGHWAY 704 RIGHT-OF-WAY, SPECIFICALLY THOSE AREAS WHERE THE EXISTING ROCK CUTS ARE TO BE EXTENDED, THE CONTRACTOR SHALL BE ADVISED AS TO THE FOLLOWING REQUIREMENTS:

IN ORDER TO PREVENT OR MINIMIZE THE POTENTIAL OF DAMAGING THE SHOULDER OF THE ROADWAY WITH THE EXCAVATION ADJACENT TO OR INTO ROCK CUTS, THE ROCK SHOULD BE HOE RAMMED PRIOR TO EXCAVATION TO PREVENT UPLIFTING OF ROCK SEAMS UNDER THE ROADWAY.

DAMAGED SECTIONS OF ROADWAY PAVEMENT WILL BE RESTORED TO THE SATISFACTION OF THE KYTC DISTRICT 8 PERMIT ENGINEER. THIS MAY INCLUDE COMPLETE REPLACEMENT OF ANY PAVED MATERIAL INCLUDING THE SHOULDER EDGE WITH APPROVED METHODS.

IN THOSE LOCATIONS WHERE THE NEW WATER MAIN WILL BE INSTALLED IN THE ROADWAY DITCHLINE, THE DITCHLINE SHALL RECONSTRUCTED TO THE PROPER SHAPED AND BACKFILL MATERIAL SHALL BE SUCH THAT IT WILL MINIMIZE WASHOUT. IN ADDITION, THE DITCHLINE SHALL BE LINED WITH CHANNEL LINING AGGREGATE IN THOSE LOCATIONS INDICATED ON THE PLANS.

PROJECT LOCATION MAP



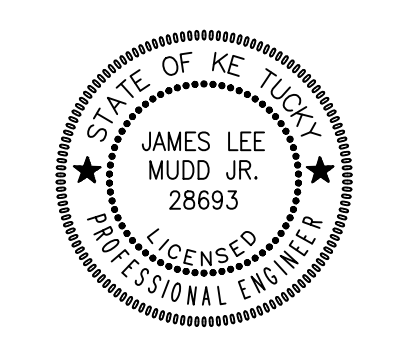
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

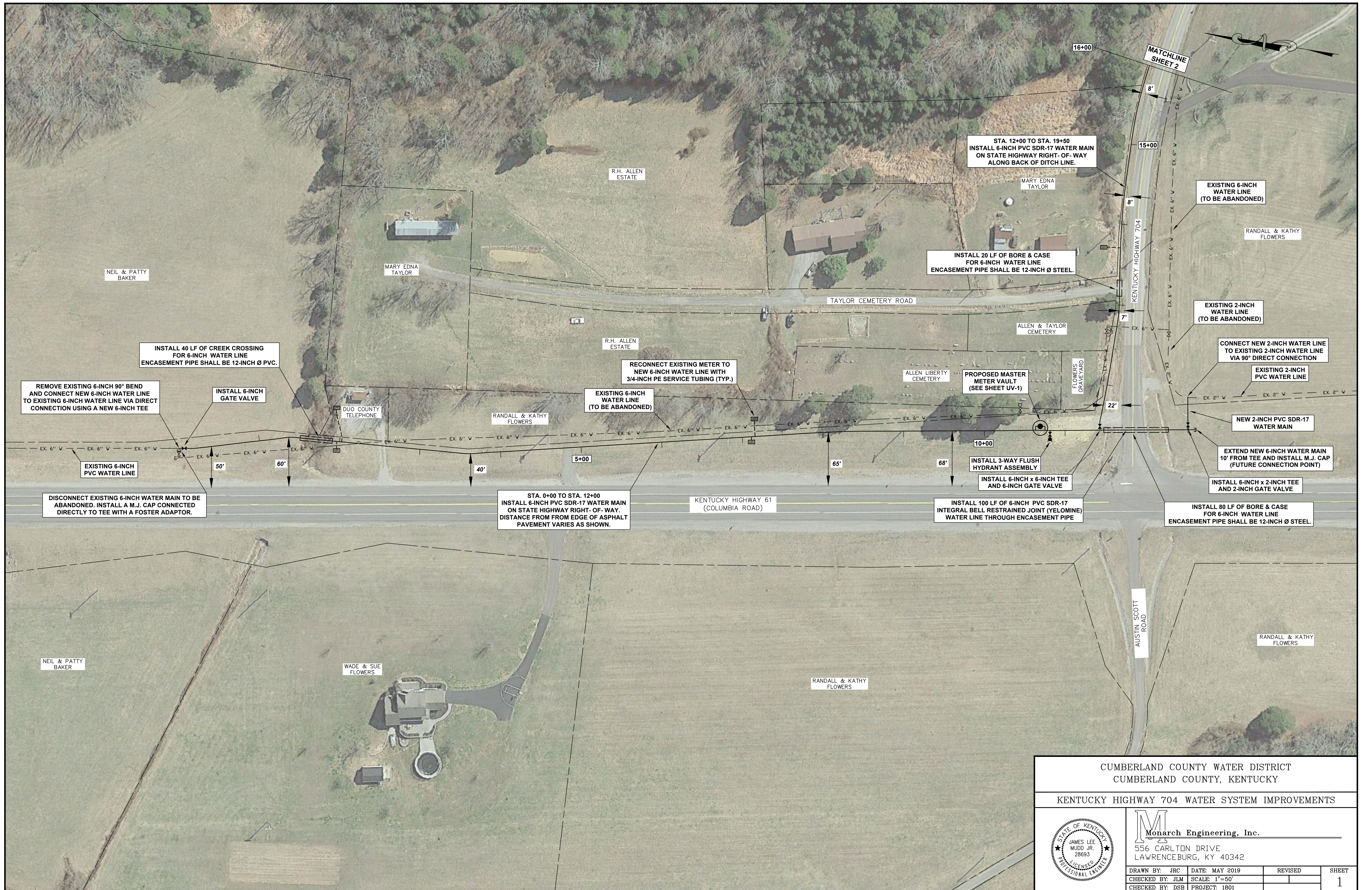
DESCRIPTION:
**GENERAL NOTES
KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

CUSTOMER:
**CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY**

PROJECT NO. 1801
DATE: MAY 2019
DRAWN BY: JLM
CHECKED BY: DSB
CHECKED BY: DMB
SCALE: AS NOTED

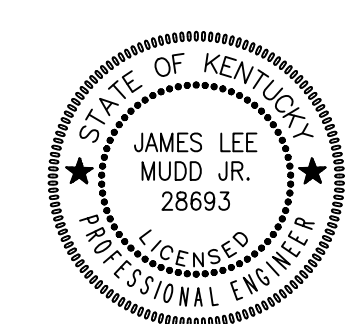
SHEET:
GN-1





CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS



Monarch Engineering, Inc.
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

DRAWN BY: JRC	DATE: MAY 2019	REVISED	SHEET
CHECKED BY: JLM	SCALE: 1"=50'		1
CHECKED BY: DSB	PROJECT: 1801		



WADE & SUE FLOWERS

PORTER & MARGARET MCCOY

R.H. ALLEN ESTATE

STA. 19+50 TO STA. 23+00
 INSTALL NEW 8-INCH HDPE WATER MAIN ON STATE HIGHWAY RIGHT-OF-WAY ALONG BACK OF DITCH LINE (APPROX. 4' FROM THE EDGE OF PAVEMENT). IN SOME AREAS, THE CONTRACTOR WILL BE REQUIRED TO EXTEND ROCK CUT AN ADDITIONAL 2-3 FEET INTO BANK TO ALLOW FOR WATER LINE INSTALLATION

STA. 23+00 TO STA. 25+00
 INSTALL 8-INCH HDPE WATER MAIN SUCH THAT IT IS LOCATED APPROX. 4' FROM CONCRETE WINGWALL AT CROSS DRAIN.

STA. 25+00 TO STA. 30+80
 INSTALL NEW 8-INCH HDPE WATER MAIN ON STATE HIGHWAY RIGHT-OF-WAY ALONG BACK OF DITCH LINE (APPROX. 4' FROM THE EDGE OF PAVEMENT). IN SOME AREAS, THE CONTRACTOR WILL BE REQUIRED TO EXTEND ROCK CUT AN ADDITIONAL 2-3 FEET INTO BANK TO ALLOW FOR WATER LINE INSTALLATION

STA. 19+50
 END NEW 6-INCH PVC SDR-17 WATER MAIN
 BEGIN NEW 8-INCH HDPE DR-9 WATER MAIN

INSTALL CONCRETE RESTRAINT WALL APPROXIMATELY 5' FROM END OF HDPE PIPING (SEE SHEET SD-1 FOR DETAIL)

STA. 12+00 TO STA. 19+50
 INSTALL 6-INCH PVC SDR-17 WATER MAIN ON STATE HIGHWAY RIGHT-OF-WAY ALONG BACK OF DITCH LINE

INSTALL 6-INCH GATE VALVE

EXISTING 6-INCH WATER LINE (TO BE ABANDONED)

INSTALL 1-INCH PE SERVICE TUBING FROM NEW 6-INCH WATER MAIN TO VICINITY OF EXISTING METERS

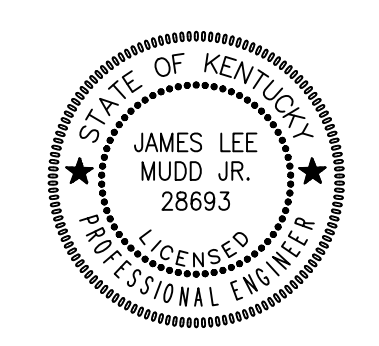
INSTALL 40 LF OF 2-INCH Ø HDPE ENCASEMENT PIPE FOR 1-INCH SERVICE LINE VIA DIRECTIONAL BORE

RECONNECT EXISTING METERS TO NEW 1-INCH SHARED SERVICE LINE WITH 3/4-INCH PE SERVICE TUBING

RANDALL & KATHY FLOWERS

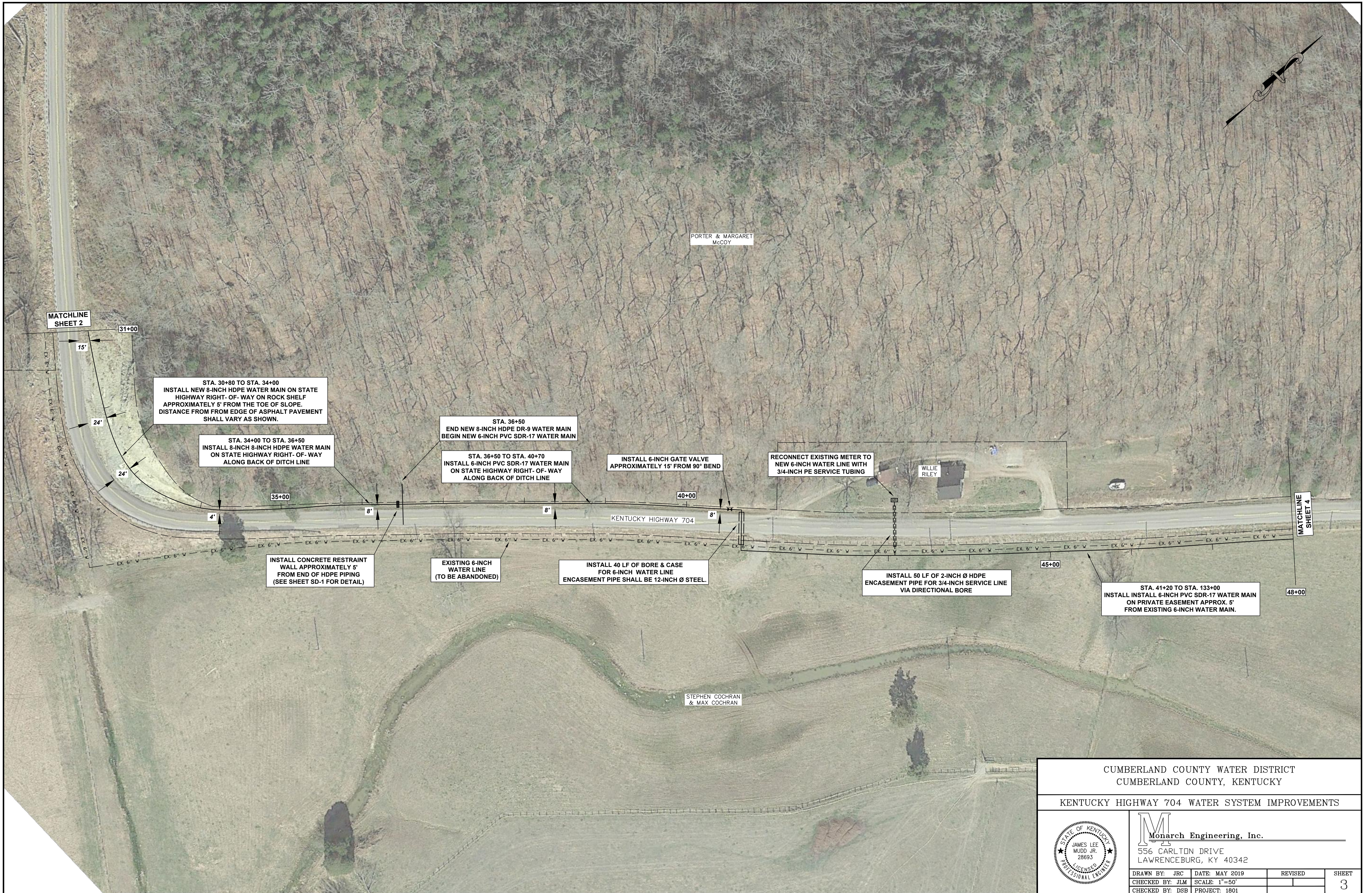
CUMBERLAND COUNTY WATER DISTRICT
 CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS



Monarch Engineering, Inc.
 556 CARLTON DRIVE
 LAWRENCEBURG, KY 40342

DRAWN BY: JRC	DATE: MAY 2019	REVISED	SHEET
CHECKED BY: JLM	SCALE: 1"=50'		2
CHECKED BY: DSB	PROJECT: 1801		



MATCHLINE SHEET 2

MATCHLINE SHEET 4

STA. 30+80 TO STA. 34+00
 INSTALL NEW 8-INCH HDPE WATER MAIN ON STATE HIGHWAY RIGHT-OF-WAY ON ROCK SHELF APPROXIMATELY 5' FROM THE TOE OF SLOPE. DISTANCE FROM FROM EDGE OF ASPHALT PAVEMENT SHALL VARY AS SHOWN.

STA. 34+00 TO STA. 36+50
 INSTALL 8-INCH HDPE WATER MAIN ON STATE HIGHWAY RIGHT-OF-WAY ALONG BACK OF DITCH LINE

STA. 36+50
 END NEW 8-INCH HDPE DR-9 WATER MAIN BEGIN NEW 6-INCH PVC SDR-17 WATER MAIN

STA. 36+50 TO STA. 40+70
 INSTALL 6-INCH PVC SDR-17 WATER MAIN ON STATE HIGHWAY RIGHT-OF-WAY ALONG BACK OF DITCH LINE

INSTALL 6-INCH GATE VALVE APPROXIMATELY 15' FROM 90° BEND

RECONNECT EXISTING METER TO NEW 6-INCH WATER LINE WITH 3/4-INCH PE SERVICE TUBING

INSTALL CONCRETE RESTRAINT WALL APPROXIMATELY 5' FROM END OF HDPE PIPING (SEE SHEET SD-1 FOR DETAIL)

EXISTING 6-INCH WATER LINE (TO BE ABANDONED)

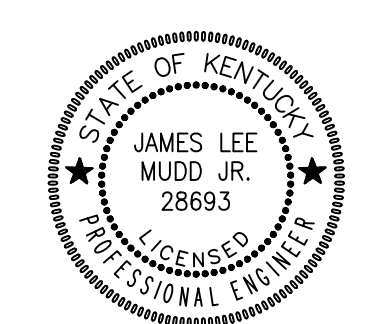
INSTALL 40 LF OF BORE & CASE FOR 6-INCH WATER LINE ENCASUREMENT PIPE SHALL BE 12-INCH Ø STEEL.

INSTALL 50 LF OF 2-INCH Ø HDPE ENCASUREMENT PIPE FOR 3/4-INCH SERVICE LINE VIA DIRECTIONAL BORE

STA. 41+20 TO STA. 133+00
 INSTALL 6-INCH PVC SDR-17 WATER MAIN ON PRIVATE EASEMENT APPROX. 5' FROM EXISTING 6-INCH WATER MAIN.

CUMBERLAND COUNTY WATER DISTRICT
 CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS



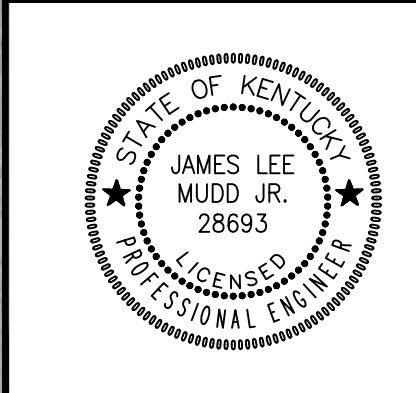
Monarch Engineering, Inc.
 556 CARLTON DRIVE
 LAWRENCEBURG, KY 40342

DRAWN BY: JRC	DATE: MAY 2019	REVISED	SHEET
CHECKED BY: JLM	SCALE: 1"=50'		3
CHECKED BY: DSB	PROJECT: 1801		



CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS



Monarch Engineering, Inc.
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

DRAWN BY: JRC	DATE: MAY 2019	REVISED	SHEET
CHECKED BY: JLM	SCALE: 1"=50'		4
CHECKED BY: DSB	PROJECT: 1801		



JAMES & NANCY NEATHERY
AND
JEFFERY & TINA NEATHERY

PORTER & MARGARET
McCOY

RECONNECT EXISTING METER TO
NEW 6-INCH WATER LINE WITH
3/4-INCH PE SERVICE TUBING

INSTALL 40 LF OF 2-INCH Ø HDPE
ENCASEMENT PIPE FOR 3/4-INCH SERVICE LINE
VIA DIRECTIONAL BORE

INSTALL 30 LF OF CREEK CROSSING
FOR 6-INCH WATER LINE
ENCASEMENT PIPE SHALL BE 12-INCH Ø PVC.

RECONNECT EXISTING METER TO
NEW 6-INCH WATER LINE WITH
3/4-INCH PE SERVICE TUBING

INSTALL 20 LF OF CREEK CROSSING
FOR 6-INCH WATER LINE
ENCASEMENT PIPE SHALL BE 12-INCH Ø PVC.

STA. 41+20 TO STA. 133+00
INSTALL 6-INCH PVC SDR-17 WATER MAIN
ON PRIVATE EASEMENT APPROX. 5'
FROM EXISTING 6-INCH WATER MAIN.

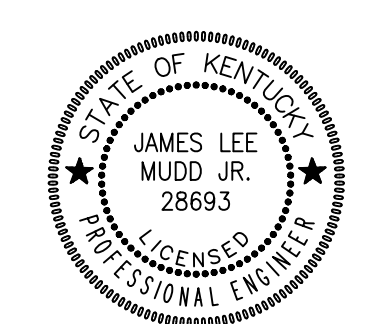
EXISTING 6-INCH
WATER LINE
(TO BE ABANDONED)

STEPHEN COCHRAN
& MAX COCHRAN

JAMES & NANCY
NEATHERY

CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

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CHECKED BY: JLM	SCALE: 1"=50'		5
CHECKED BY: DSB	PROJECT: 1801		



RECONNECT EXISTING METER TO NEW 6-INCH WATER LINE WITH 3/4-INCH PE SERVICE TUBING

INSTALL 40 LF OF 2-INCH Ø HDPE ENCASEMENT PIPE FOR 3/4-INCH SERVICE LINE VIA DIRECTIONAL BORE

INSTALL 50 LF OF 2-INCH Ø HDPE ENCASEMENT PIPE FOR 1-INCH SERVICE LINE VIA DIRECTIONAL BORE

RECONNECT EXISTING METER TO NEW 6-INCH WATER LINE WITH 1-INCH PE SERVICE TUBING

STA. 41+20 TO STA. 133+00
INSTALL 6-INCH PVC SDR-17 WATER MAIN ON PRIVATE EASEMENT APPROX. 5' FROM EXISTING 6-INCH WATER MAIN.

INSTALL 40 LF OF CREEK CROSSING FOR 6-INCH WATER LINE ENCASEMENT PIPE SHALL BE 12-INCH Ø PVC.

EXISTING 6-INCH WATER LINE (TO BE ABANDONED)

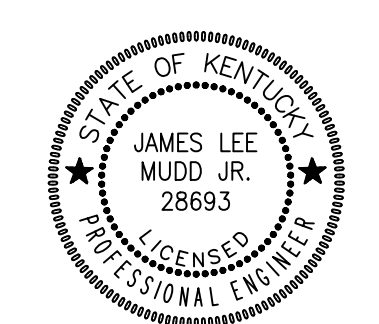
RECONNECT EXISTING METER TO NEW 6-INCH WATER LINE WITH 3/4-INCH PE SERVICE TUBING

INSTALL 25 LF OF DRIVEWAY BORE & CASE FOR 6-INCH WATER LINE ENCASEMENT PIPE SHALL BE 12-INCH Ø PVC.

INSTALL 6-INCH GATE VALVE APPROXIMATELY 5' FROM FENCE

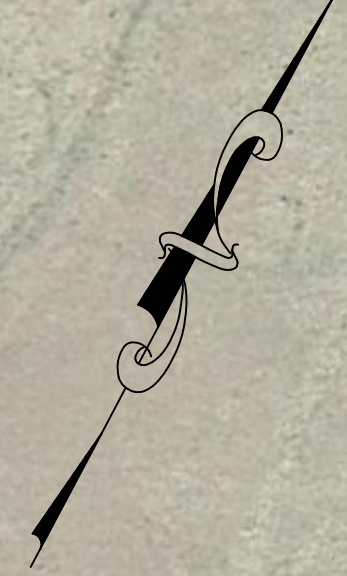
CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

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CHECKED BY: JLM	SCALE: 1"=50'		6
CHECKED BY: DSB	PROJECT: 1801		



MATCHLINE
SHEET 6

MATCHLINE
SHEET 8

STA. 41+20 TO STA. 133+00
INSTALL 6-INCH PVC SDR-17 WATER MAIN
ON PRIVATE EASEMENT APPROX. 5'
FROM EXISTING 6-INCH WATER MAIN.

INSTALL 50 LF OF BORE & CASE
FOR 6-INCH WATER LINE
ENCASEMENT PIPE SHALL BE 12-INCH Ø STEEL.

INSTALL 80 LF OF 6-INCH PVC SDR-17
INTEGRAL BELL RESTRAINED JOINT (YELOMINE)
WATER LINE THROUGH ENCASEMENT PIPE

INSTALL 3-WAY FLUSH
HYDRANT ASSEMBLY
INSTALL 6-INCH
GATE VALVE

RECONNECT EXISTING 1-INCH SERVICE LINE
TO NEW 6-INCH WATER MAIN
WITH 1-INCH PE SERVICE TUBING

EXISTING 6-INCH
WATER LINE
(TO BE ABANDONED)

INSTALL 40 LF OF CREEK CROSSING
FOR 6-INCH WATER LINE
ENCASEMENT PIPE SHALL BE 12-INCH Ø PVC.

INSTALL 40 LF OF 2-INCH Ø HDPE
ENCASEMENT PIPE FOR 1-INCH SERVICE LINE
VIA DIRECTIONAL BORE

RECONNECT EXISTING METER TO
NEW 6-INCH WATER LINE WITH
3/4-INCH PE SERVICE TUBING

INSTALL 1-INCH PE SERVICE TUBING
FROM NEW 6-INCH WATER MAIN TO
VICINITY OF EXISTING METERS

RECONNECT EXISTING METERS TO
NEW 1-INCH SHARED SERVICE LINE
WITH 3/4-INCH PE SERVICE TUBING

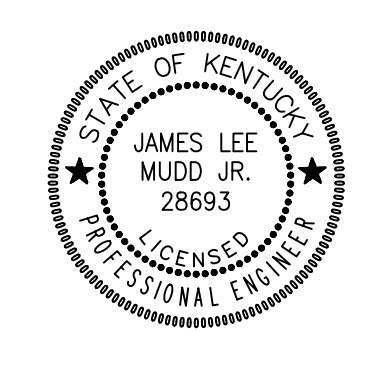
INSTALL 20 LF OF CREEK CROSSING
FOR 6-INCH WATER LINE
ENCASEMENT PIPE SHALL BE 12-INCH Ø PVC.

INSTALL 60 LF OF CREEK CROSSING
FOR 6-INCH WATER LINE
ENCASEMENT PIPE SHALL BE 12-INCH Ø PVC.

INSTALL 80 LF OF 6-INCH PVC SDR-17
INTEGRAL BELL RESTRAINED JOINT (YELOMINE)
WATER LINE THROUGH ENCASEMENT PIPE

CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS



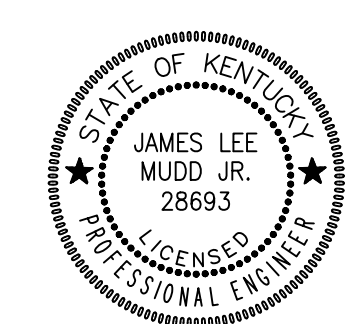
Monarch Engineering, Inc.
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

DRAWN BY: JRC	DATE: MAY 2019	REVISED	SHEET
CHECKED BY: JLM	SCALE: 1"=50'		7
CHECKED BY: DSB	PROJECT: 1801		



CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS



Monarch Engineering, Inc.
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

DRAWN BY: JRC	DATE: MAY 2019	REVISED	SHEET
CHECKED BY: JLM	SCALE: 1"=50'		8
CHECKED BY: DSB	PROJECT: 1801		



MATCHLINE
SHEET 8

125+00

130+00

STA. 41+20 TO STA. 133+00
INSTALL 6-INCH PVC SDR-17 WATER MAIN
ON PRIVATE EASEMENT APPROX. 5'
FROM EXISTING 6-INCH WATER MAIN.

EXISTING 6-INCH
WATER LINE
(TO BE ABANDONED)

INSTALL 50 LF OF BORE & CASE
FOR 6-INCH WATER LINE
ENCASEMENT PIPE SHALL BE 12-INCH Ø STEEL.

INSTALL 70 LF OF 6-INCH PVC SDR-17
INTEGRAL BELL RESTRAINED JOINT (YELOMINE)
WATER LINE THROUGH ENCASEMENT PIPE

CONNECT NEW 6-INCH WATER LINE
TO EXISTING 4-INCH WATER LINE
VIA 90° DIRECT CONNECTION AND
A 6-INCH x 4-INCH REDUCER

INSTALL 6-INCH
GATE VALVE

INSTALL 3-WAY FLUSH
HYDRANT ASSEMBLY

INSTALL 6-INCH x 6-INCH TEE
AND 6-INCH GATE VALVE

INSTALL 6-INCH x 4-INCH REDUCER
APPROX. 5' FROM GATE VALVE

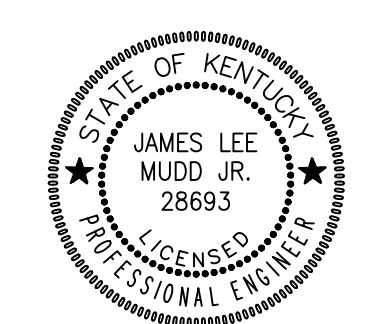
CONNECT NEW 4-INCH WATER LINE
TO EXISTING 4-INCH WATER LINE
VIA DIRECT CONNECTION

EXISTING 4-INCH
PVC WATER LINE

EXISTING 4-INCH
PVC WATER LINE

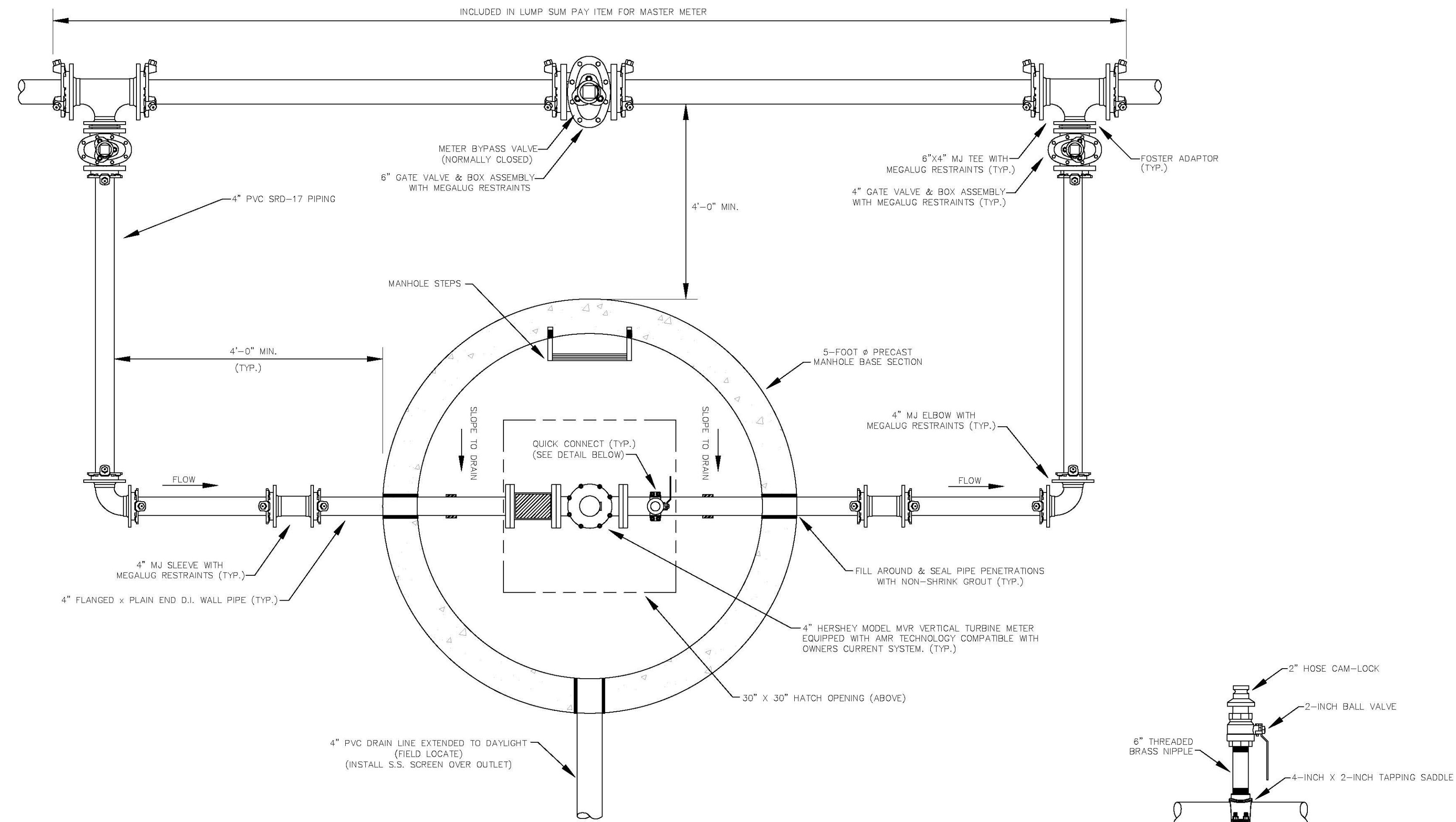
CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704 WATER SYSTEM IMPROVEMENTS

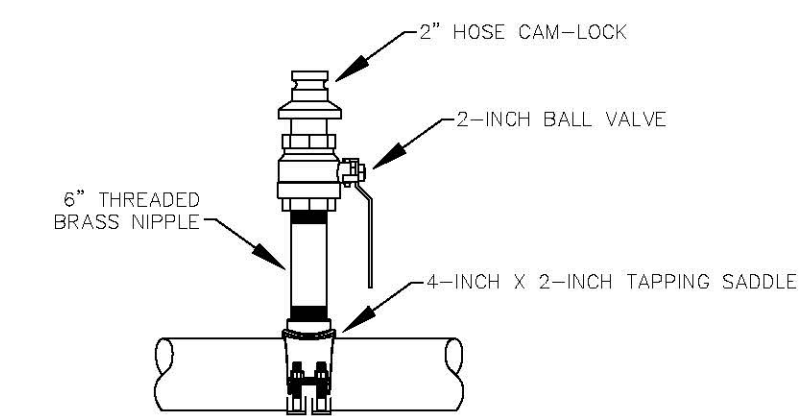


Monarch Engineering, Inc.
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

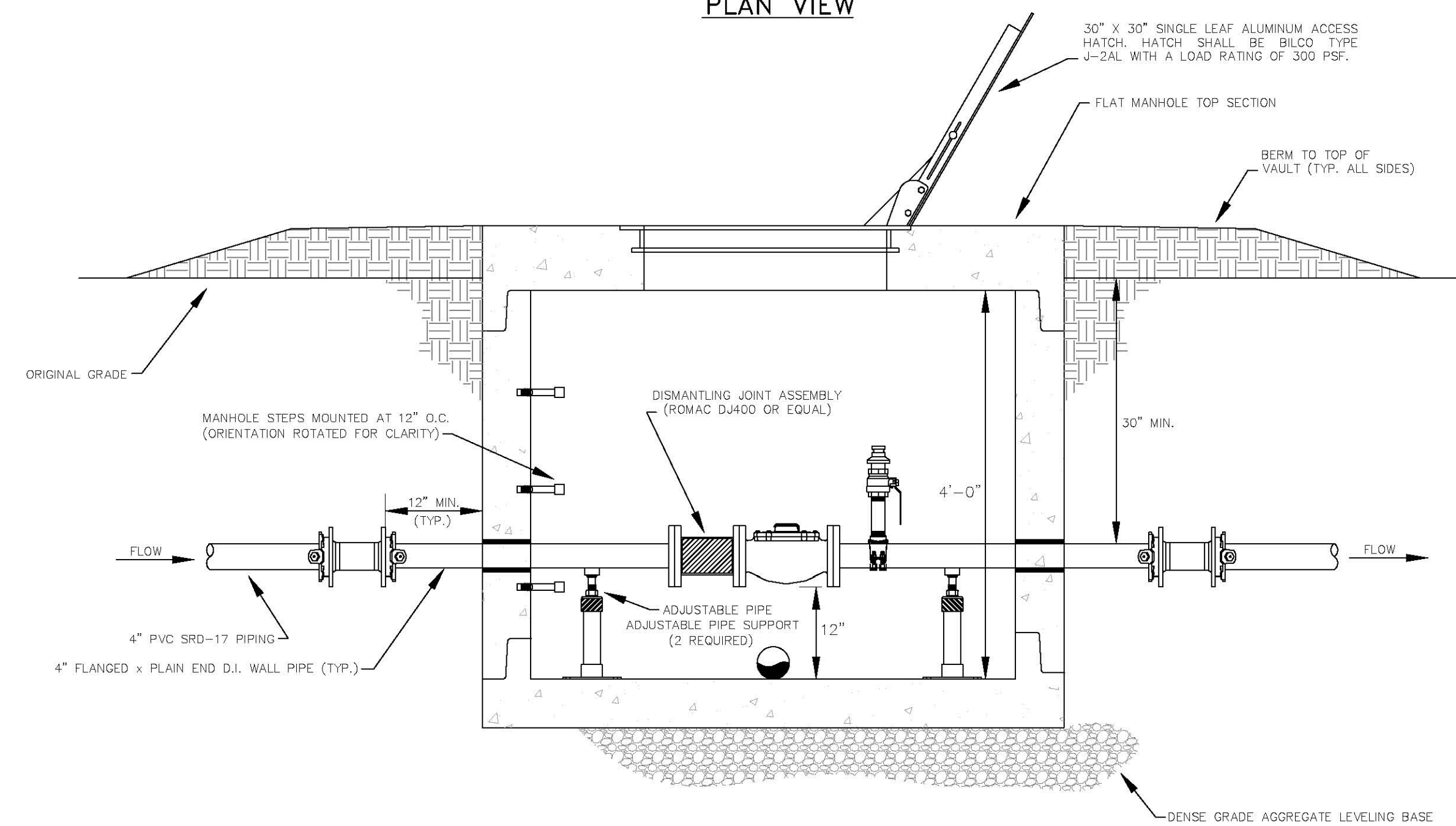
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CHECKED BY: JLM	SCALE: 1"=50'		9
CHECKED BY: DSB	PROJECT: 1801		



PLAN VIEW



QUICK CONNECT DETAIL



SECTION VIEW

MASTER METER VAULT DETAILS

Monarch Engineering, Inc.

556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

DESCRIPTION:

UTILITY VAULT DETAIL DRAWINGS

CUSTOMER:

CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

PROJECT NO. 1801

DATE: MAY 2019

DRAWN BY: JLM

CHECKED BY: DSB

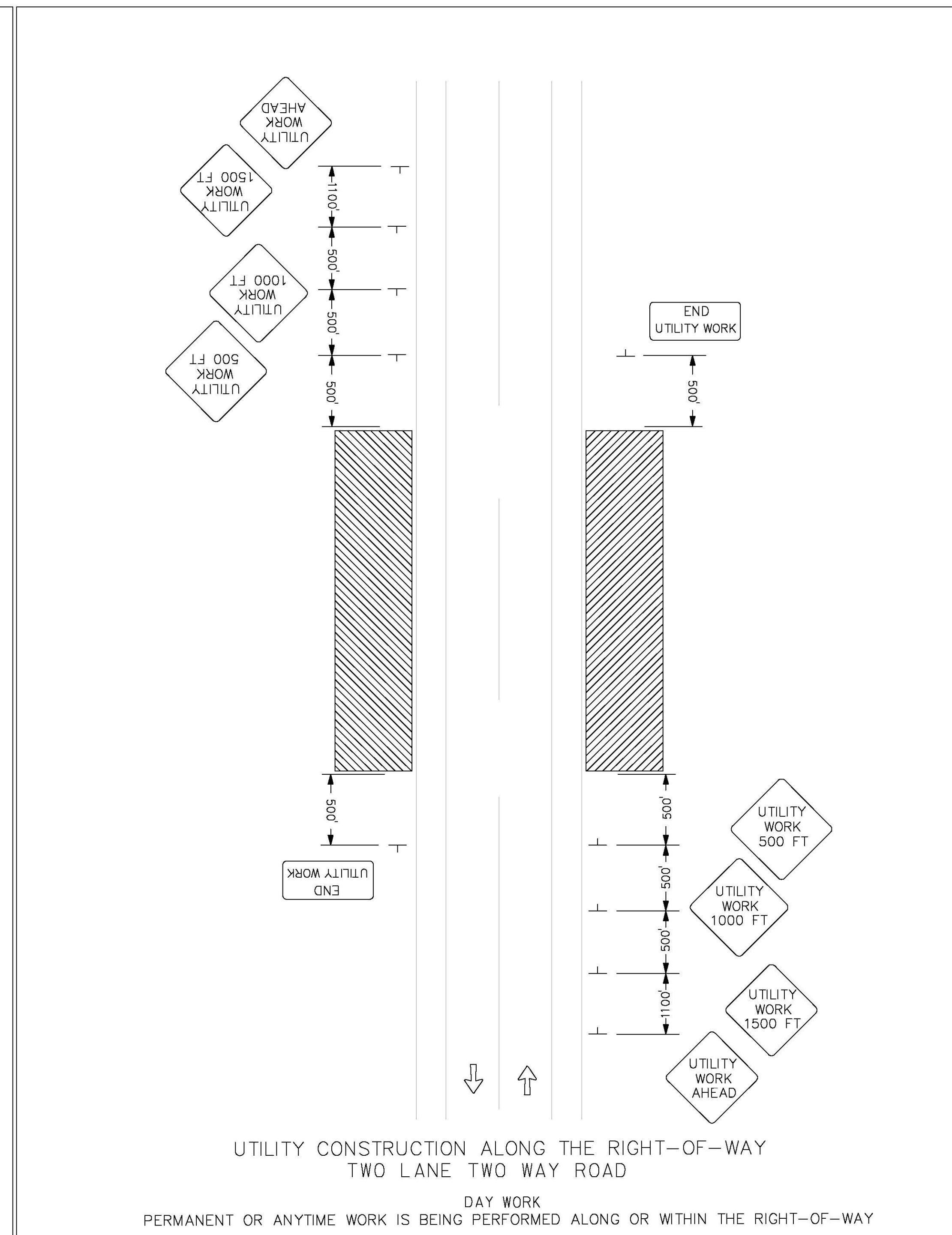
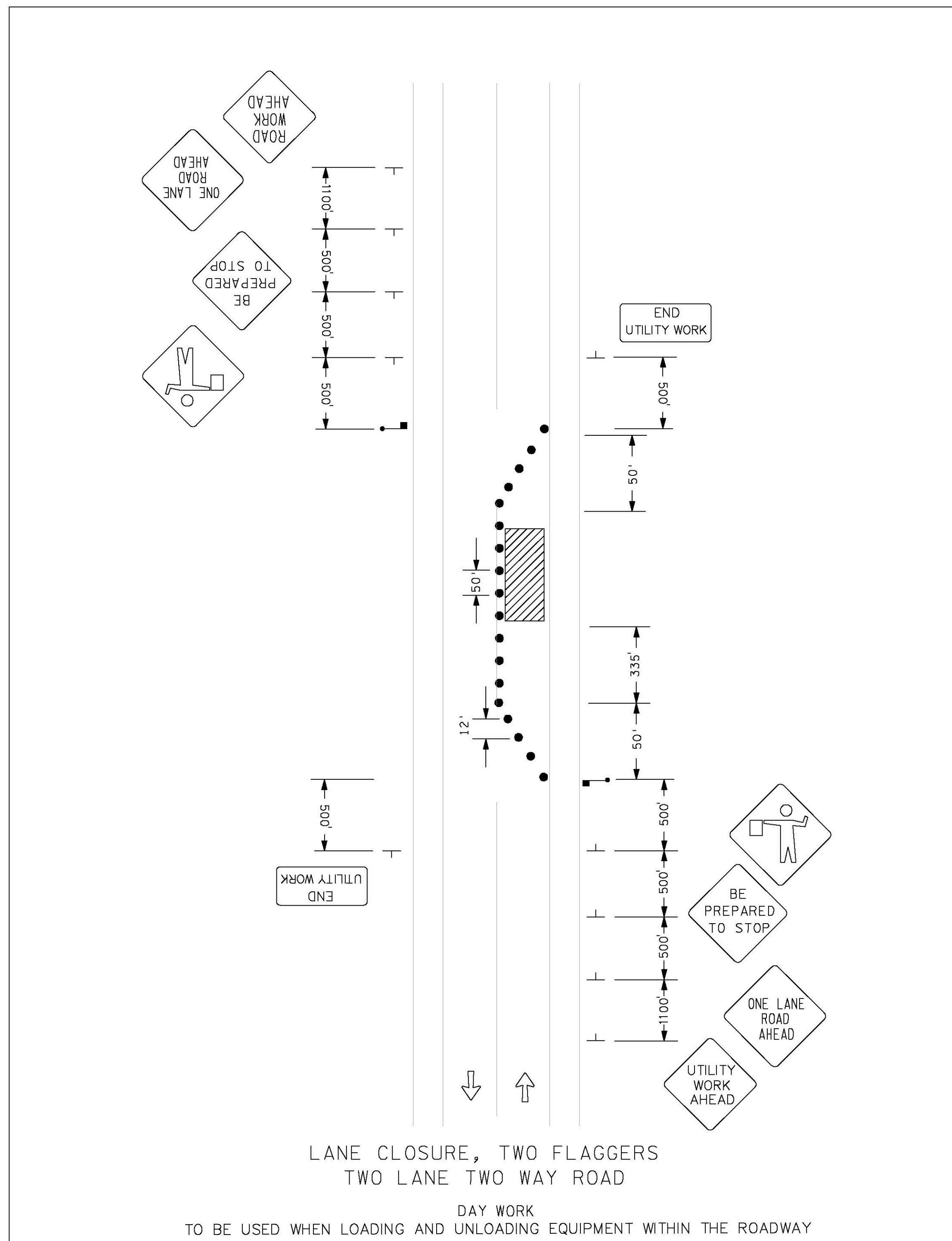
CHECKED BY: DMB

SCALE: N.T.S.

SHEET:

UV-1





NOTES & GUIDELINES

GENERAL INFORMATION:

1. THE CONTRACTOR SHALL FURNISH, INSTALL AND MAINTAIN THE DEVICES IN THIS TRAFFIC CONTROL PLAN UNLESS OTHERWISE NOTED.
2. FIELD CONDITIONS MAY REQUIRE MODIFICATIONS OF THIS LAYOUT AS DEEMED NECESSARY BY THE ENGINEER.
3. ALL DISTANCES ARE APPROXIMATE.
4. THE CONTRACTOR IS RESPONSIBLE FOR PROTECTING ANY WORK AREAS NEAR TRAFFIC IN ACCORDANCE WITH KYDOT STANDARDS

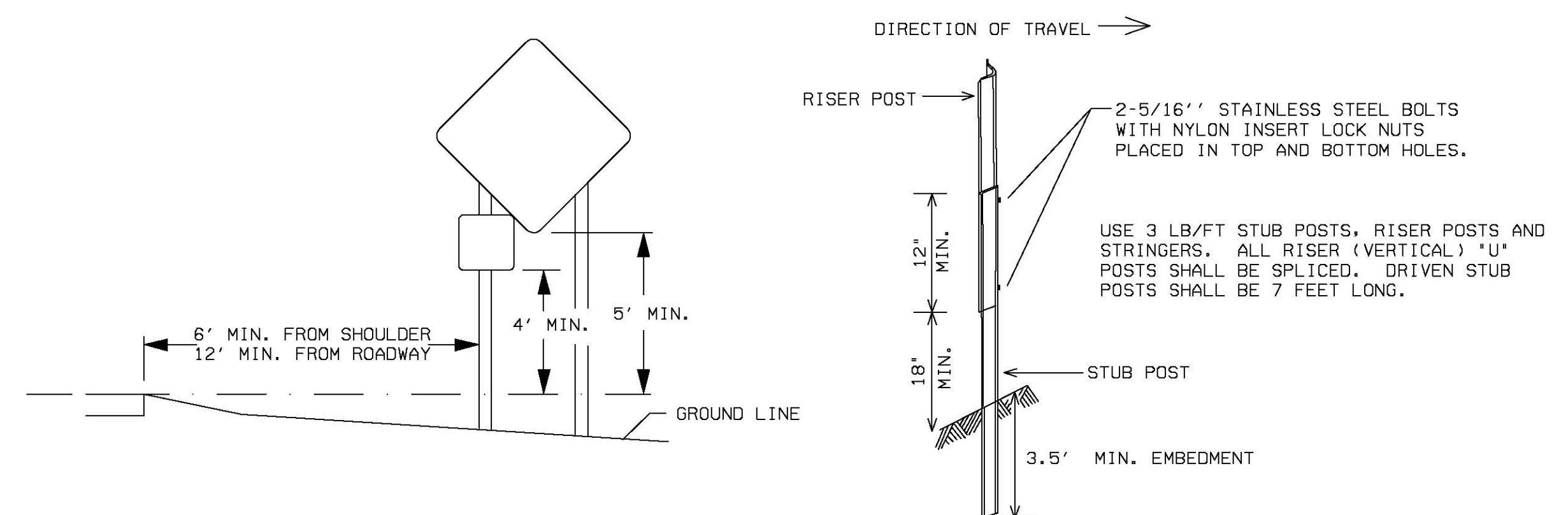
SIGNING:

1. ALL TRAFFIC CONTROL DEVICES, INCLUDING OVERHEAD SIGNS ON ROADS OPEN TO TRAFFIC THAT ARE NOT CONSISTANT WITH TRAFFIC OPERATION SHALL BE COVERED, REMOVED OR REVISED AS DIRECTED BY THE ENGINEER.
2. WHEN SIGNS ARE INSTALLED, THEY SHALL BE MOUNTED ON POSTS DRIVEN INTO THE GROUND AT THE PROPER HEIGHT AND LATERAL OFFSET AS DETAILED BY THE KYDOT. IF THIS IS NOT POSSIBLE THEY WILL BE MOUNTED ON PORTABLE SUPPORTS AS APPROVED BY THE ENGINEER. WHEN THE SIGNS ARE REMOVED THE SIGN POSTS SHALL ALSO BE REMOVED AS SOON AS POSSIBLE.
3. THE CONTRACTOR SHALL BE RESPONSIBLE FOR ANY EXTRA SIGNING NEEDED TO FACILITATE TRAFFIC SWITCHES OR FOR TRANSITIONING TRAFFIC FROM ONE STAGE TO ANOTHER.
4. ALL ORANGE WARNING AND ORANGE GUIDE SIGNS SHALL BE FABRICATED WITH SIGN SHEETING MATERIAL AS LISTED ON THE KYDOT APPROVED PRODUCT LIST FOR "SHEETING FOR RIGID TEMPORARY WORK ZONE SIGNS".
5. THE CONTRACTOR SHALL COORDINATE THE INSTALLATION OF THE FINAL SIGNS TO ASSURE THAT THE FINAL SIGNS ARE INSTALLED AS NEEDED, OR PROVIDE TEMPORARY SIGNING AT THEIR EXPENSE UNTIL THE FINAL SIGNING IS INSTALLED.

TRAFFIC CONTROL DEVICES & SYMBOLS LEGEND

SYMBOL	DESCRIPTION	SIGN	COLOR	SIZE
	AREA CLOSED TO TRAFFIC / WORK AREA		BLACK ON ORANGE	36" x 36"
	TRAFFIC CONTROL SIGN		BLACK ON ORANGE	36" x 36"
	DRUM-LIKE CHANNELIZER =		BLACK ON ORANGE	36" x 36"
	FLAGGER LOCATION		BLACK ON ORANGE	36" x 36"
			BLACK ON ORANGE	36" x 36"
			BLACK ON ORANGE	36" x 36"
			BLACK ON ORANGE	36" x 36"
			BLACK ON ORANGE	36" x 18"

SIGN CONSTRUCTION DETAILS



DESCRIPTION:

MAINTENANCE OF TRAFFIC PLAN

CUSTOMER:

**CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY**

Monarch Engineering, Inc.

556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

PROJECT NO. 1801

DATE: MAY 2019

DRAWN BY: JLM

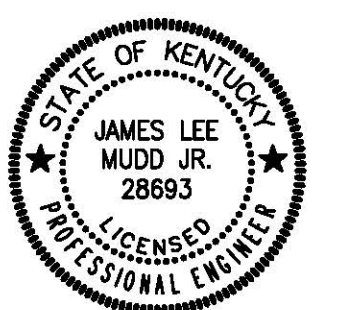
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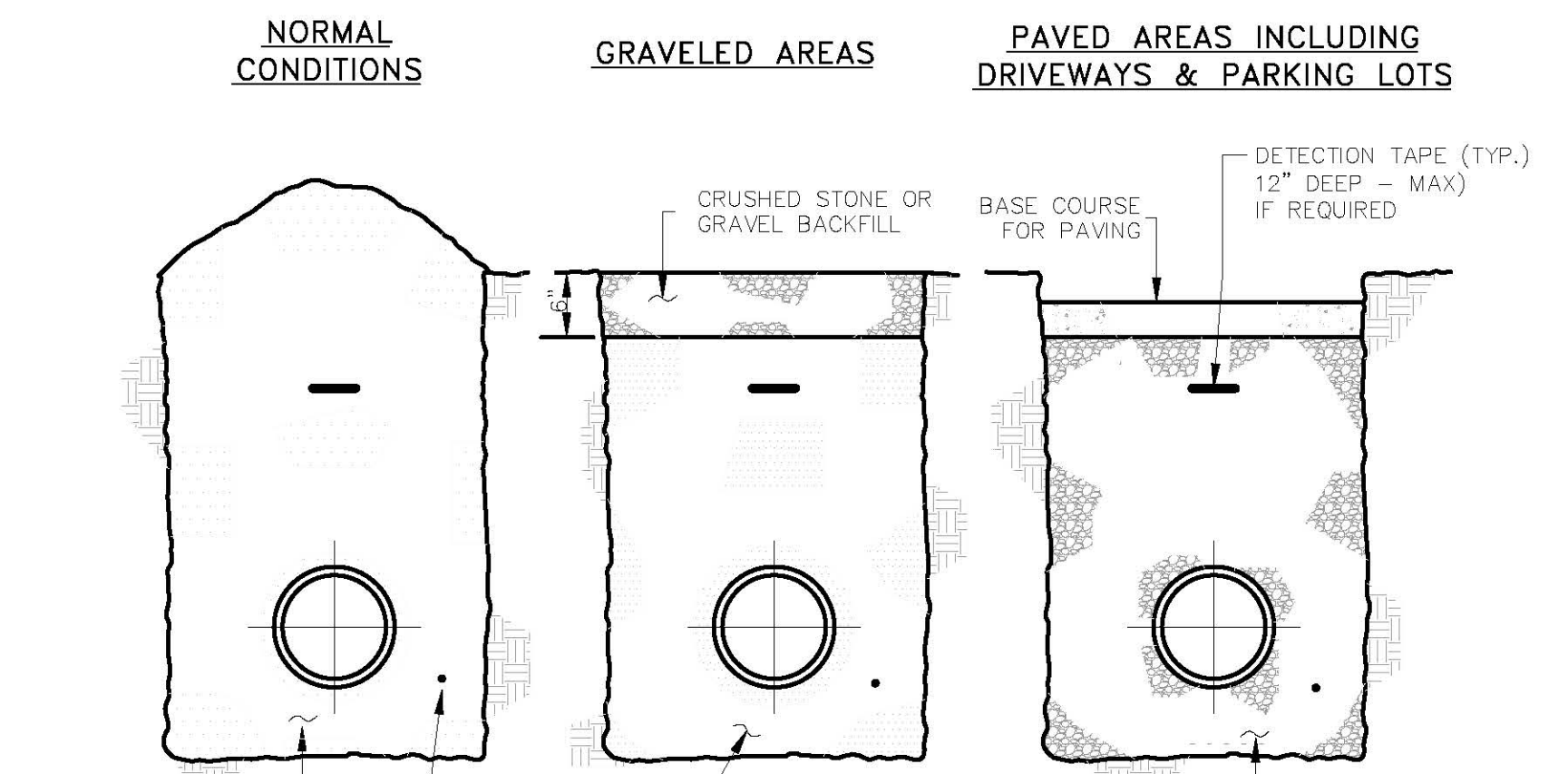
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SCALE: N.T.S.

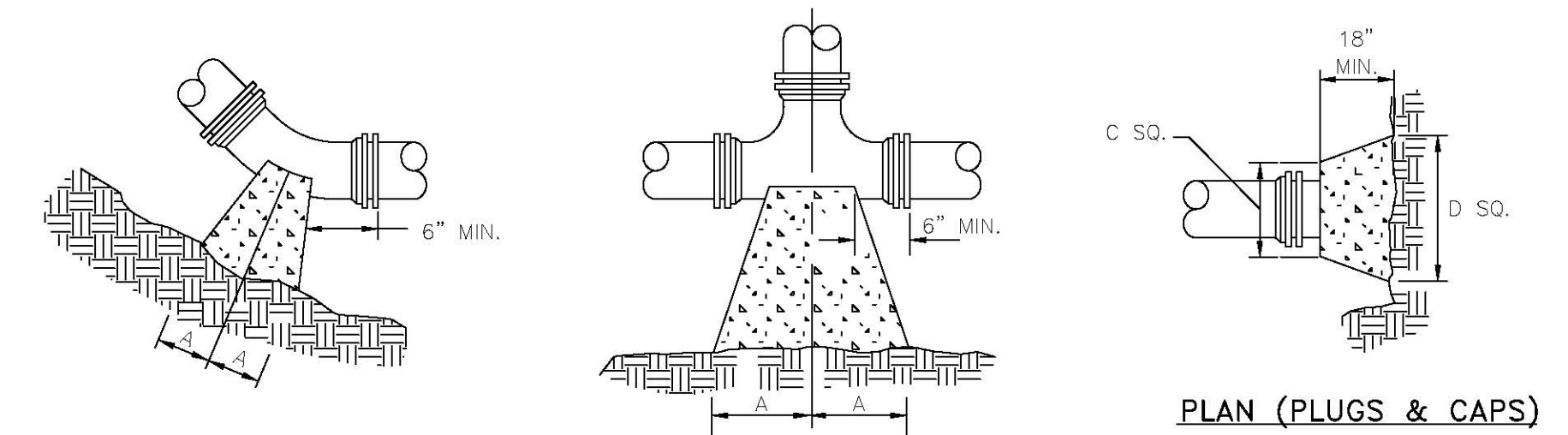
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MOT-1





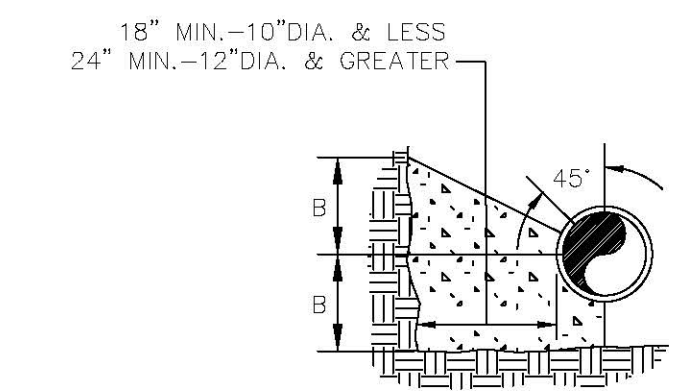
BACKFILLING



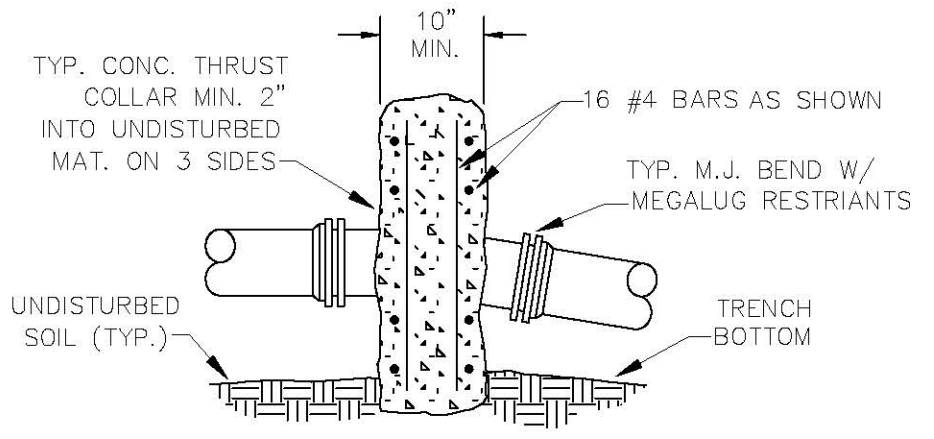
PLAN (HORIZONTAL BENDS)

PLAN (TEES)

PLAN (PLUGS & CAPS)



SECTION (HORIZONTAL BENDS & TEES)

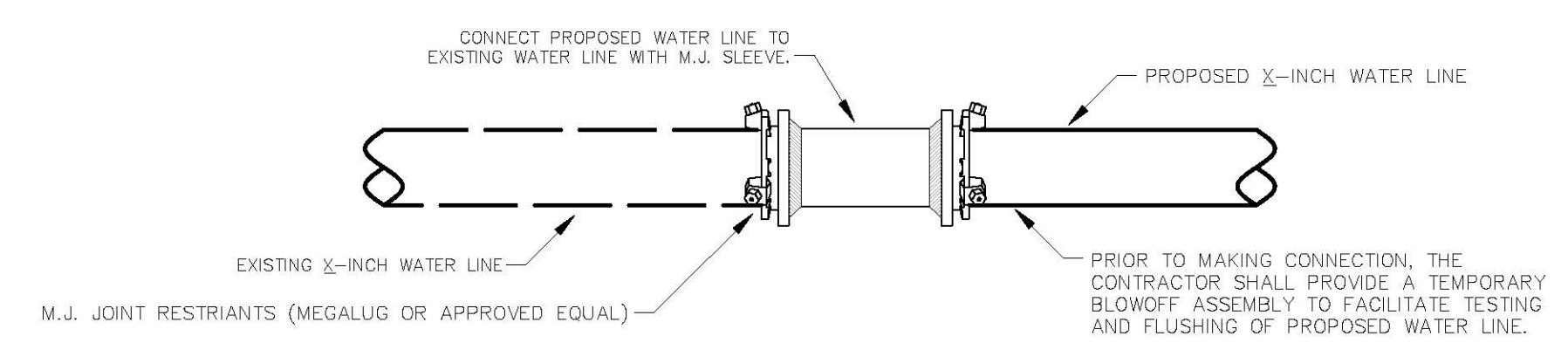


SECTION (VERTICAL BENDS)

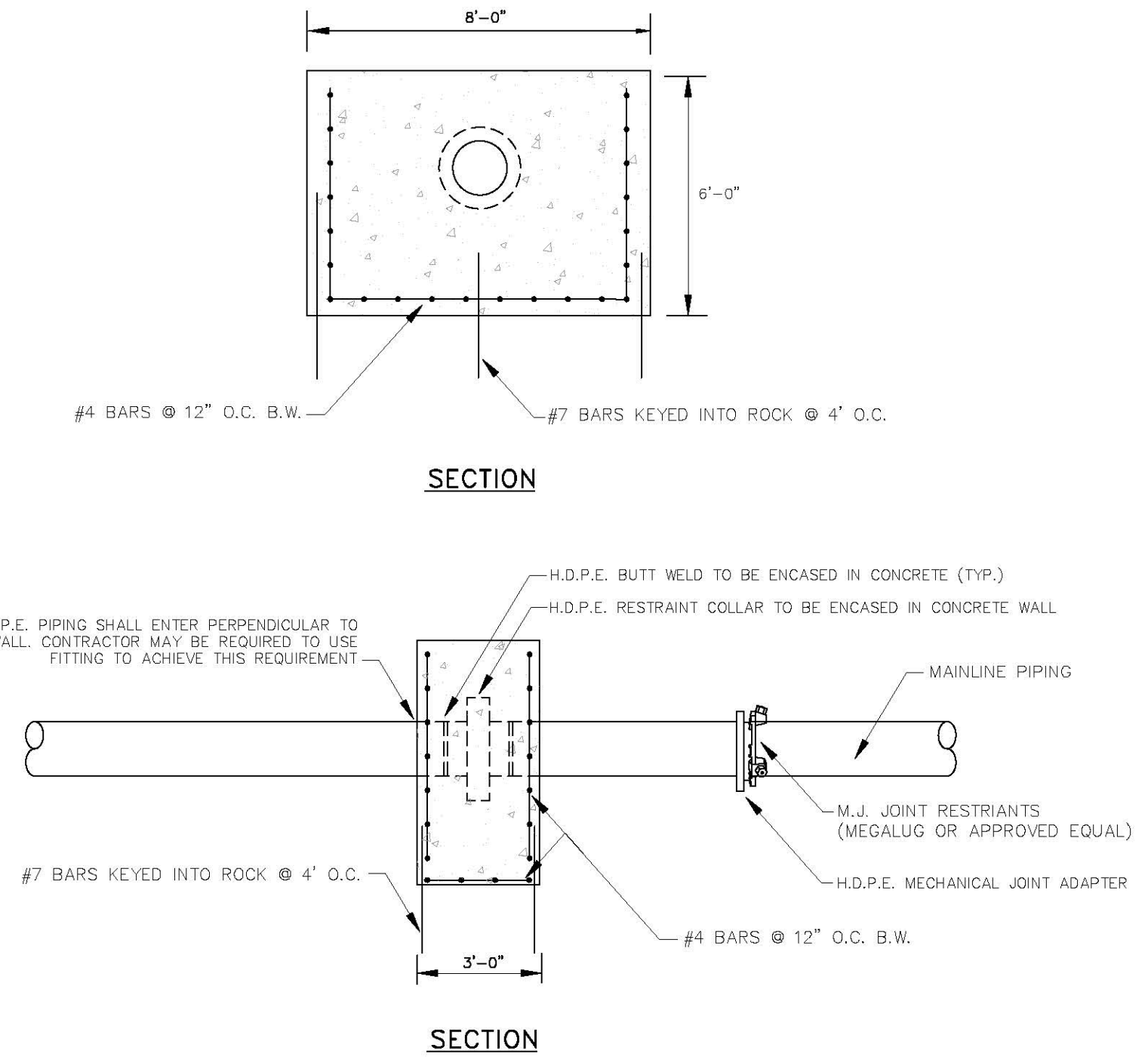
PIPE SIZE	90° BEND		45° BEND		22 1/2° BEND		11 1/4° BEND		TEE		PLUG	
	A	B	A	B	A	B	A	B	A	B	C	D
4"	8"	12"	8"	8"	6"	6"	6"	6"	11"	9"	10"	6"
6"	18"	12"	8"	10"	8"	8"	8"	8"	11"	10"	12"	18"
8"	18"	13"	10"	10"	8"	8"	8"	8"	11"	12"	12"	24"
10"	20"	16"	12"	14"	8"	12"	8"	12"	14"	16"	16"	30"
12"	20"	16"	12"	14"	8"	12"	8"	12"	14"	16"	16"	30"
16"	26"	20"	16"	18"	11"	13"	11"	13"	18"	20"	20"	36"
24"	82"	42"	62"	30"	44"	22"	22"	16"	82"	42"	82"	42"
30"	185"	42"	100"	42"	52"	42"	40"	30"	185"	42"	185"	42"

- NOTES:
- FOR VERT. BEND DOWN IN EXCESS OF 11 1/4° BEND, ANCHORAGE SHALL BE DESIGNED BY ENGINEER.
 - FOR VERT. BEND UPWARD, BLOCKING TO BE SIMILAR TO THAT FOR HORIZ. BEND.
 - GLANDS & BOLTS SHALL REMAIN ACCESSIBLE AND MUST BE PROTECTED FROM CONCRETE BY PLASTIC SHEETING OR OTHERWISE.
 - ALL THRUST BLOCK & SUPPORT CONCRETE SHALL BE 3000 PSI READY MIX
 - THRUST BLOCKS WITH "B" DIMENSION GREATER THAN 30" SHALL HAVE THE RESTRAINED PIPE INSTALLED WITH A MINIMUM OF 4' OF COVER.
 - DESIGN CRITERIA:
LINE PRESSURE = 200 psi
SOIL BEARING CAPACITY = 2000 psf
FACTOR OF SAFETY = 1.5

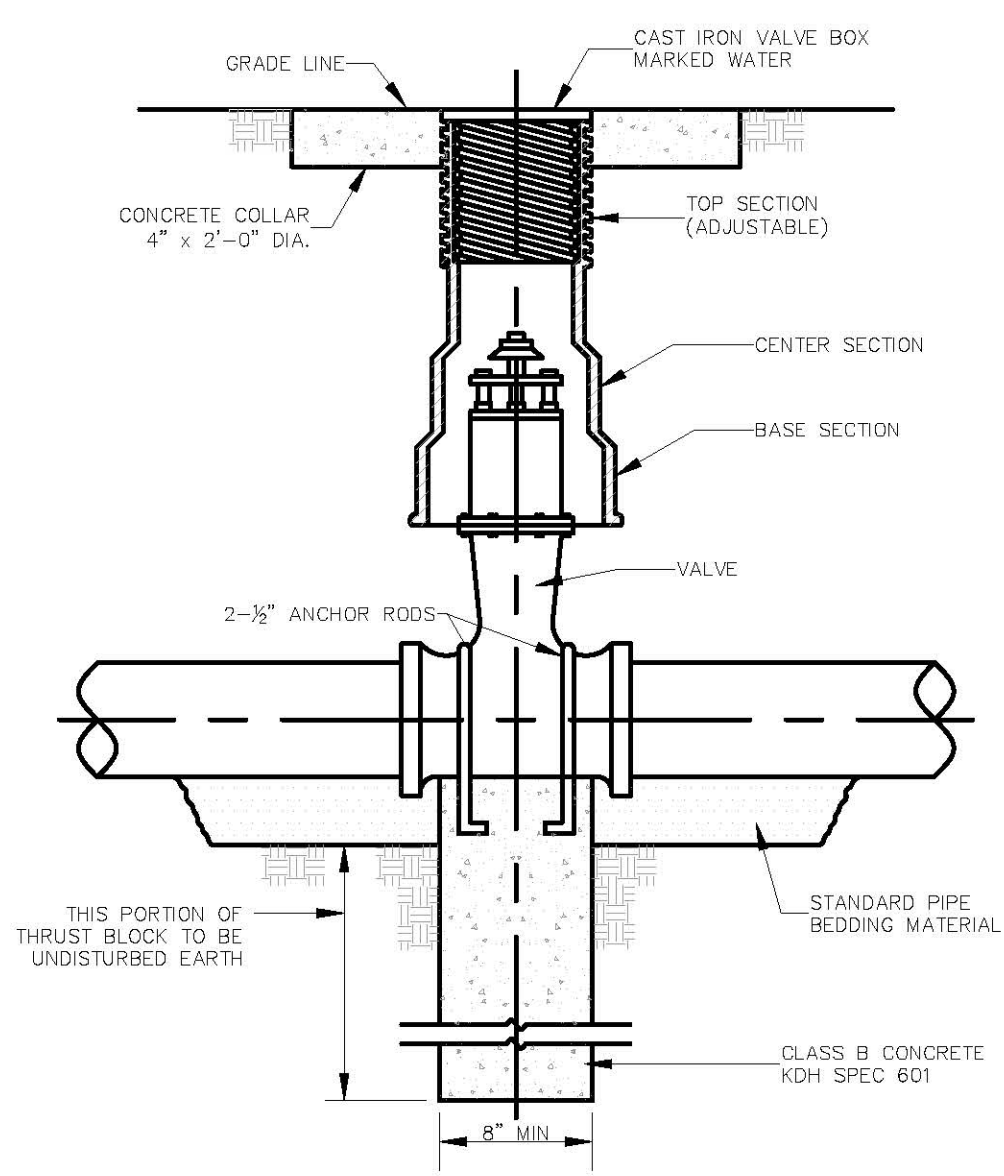
THRUST BLOCK DETAILS



DIRECT CONNECTION

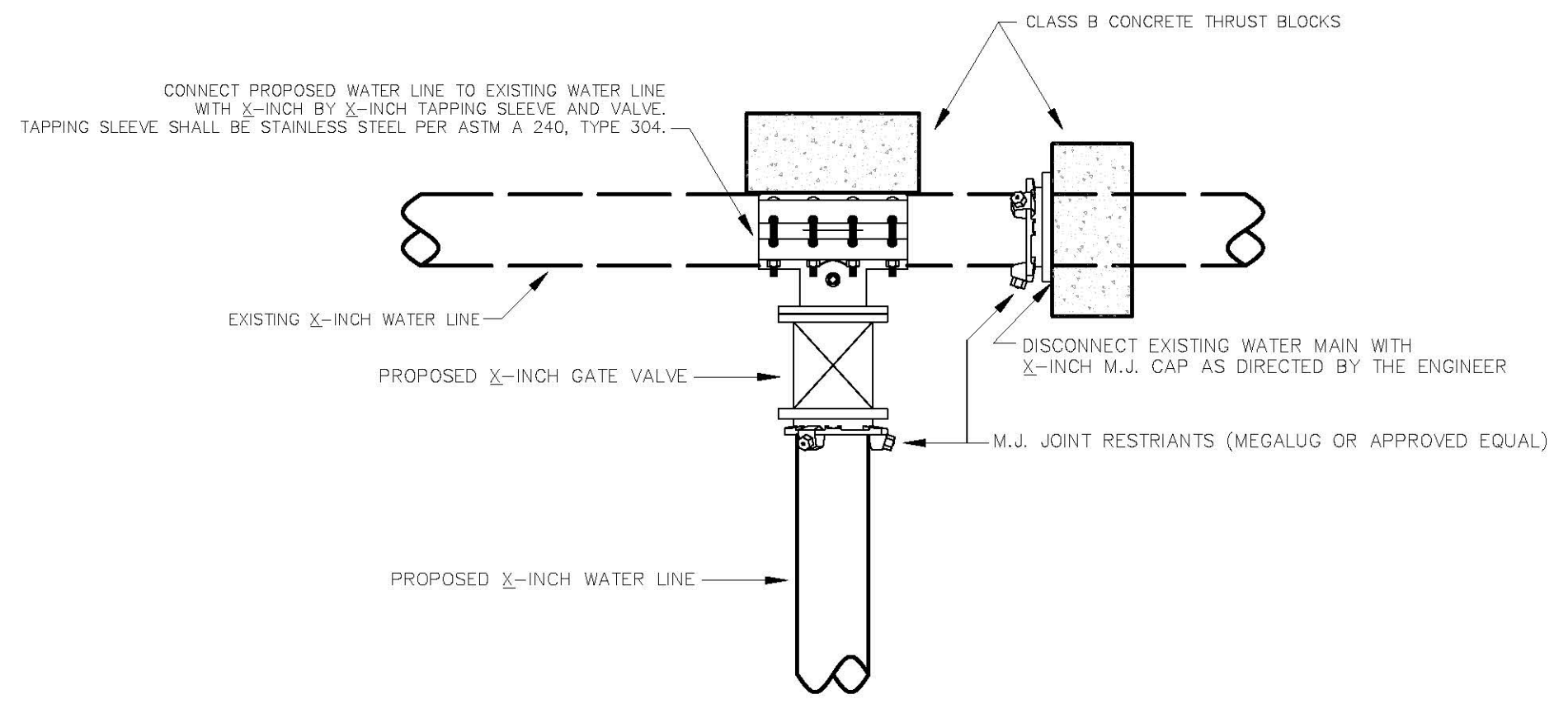


HDPE RESTRAINT WALL

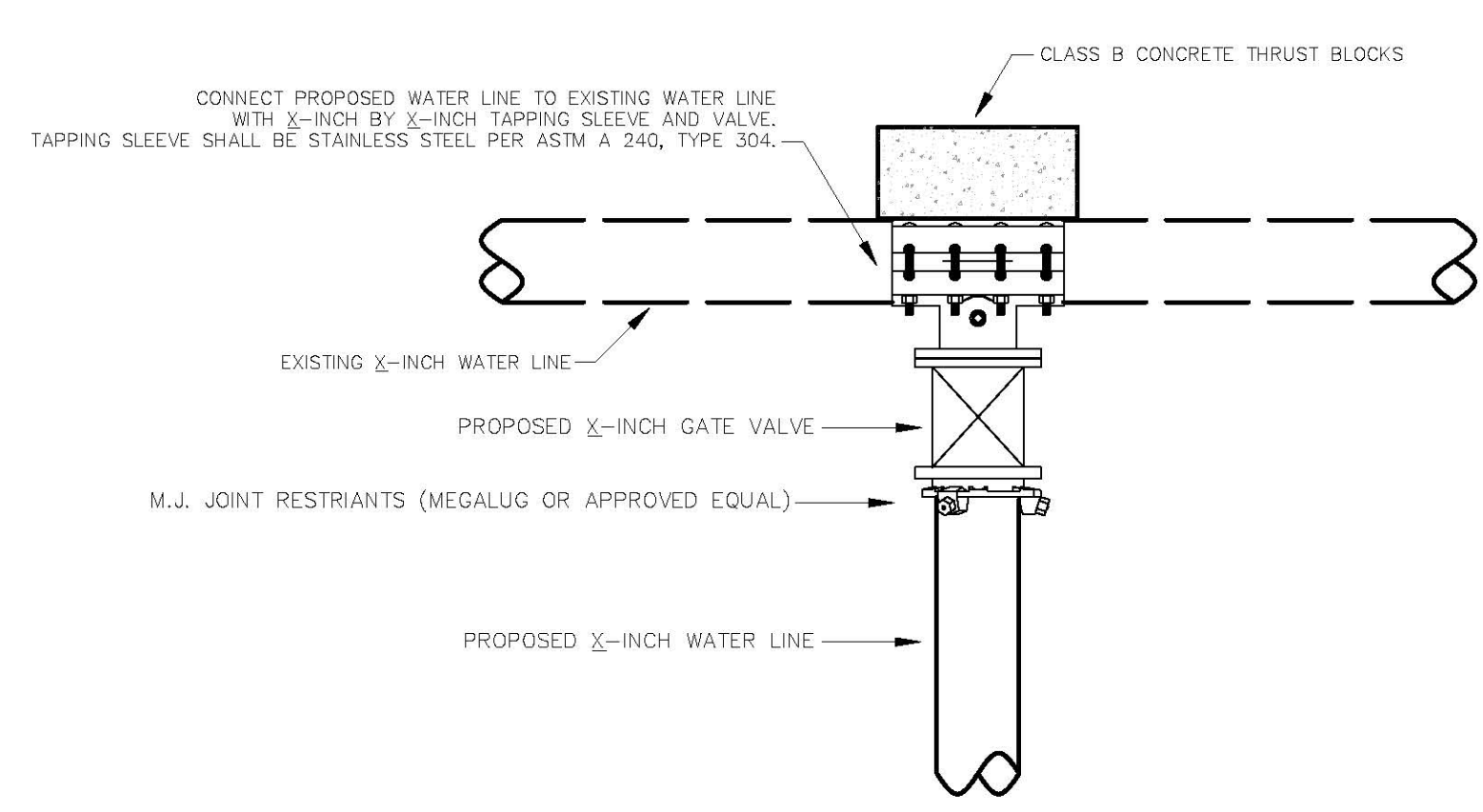


NOTE: SEE SPECIFICATION FOR PIPING MATERIALS AND PIPING JOINTS

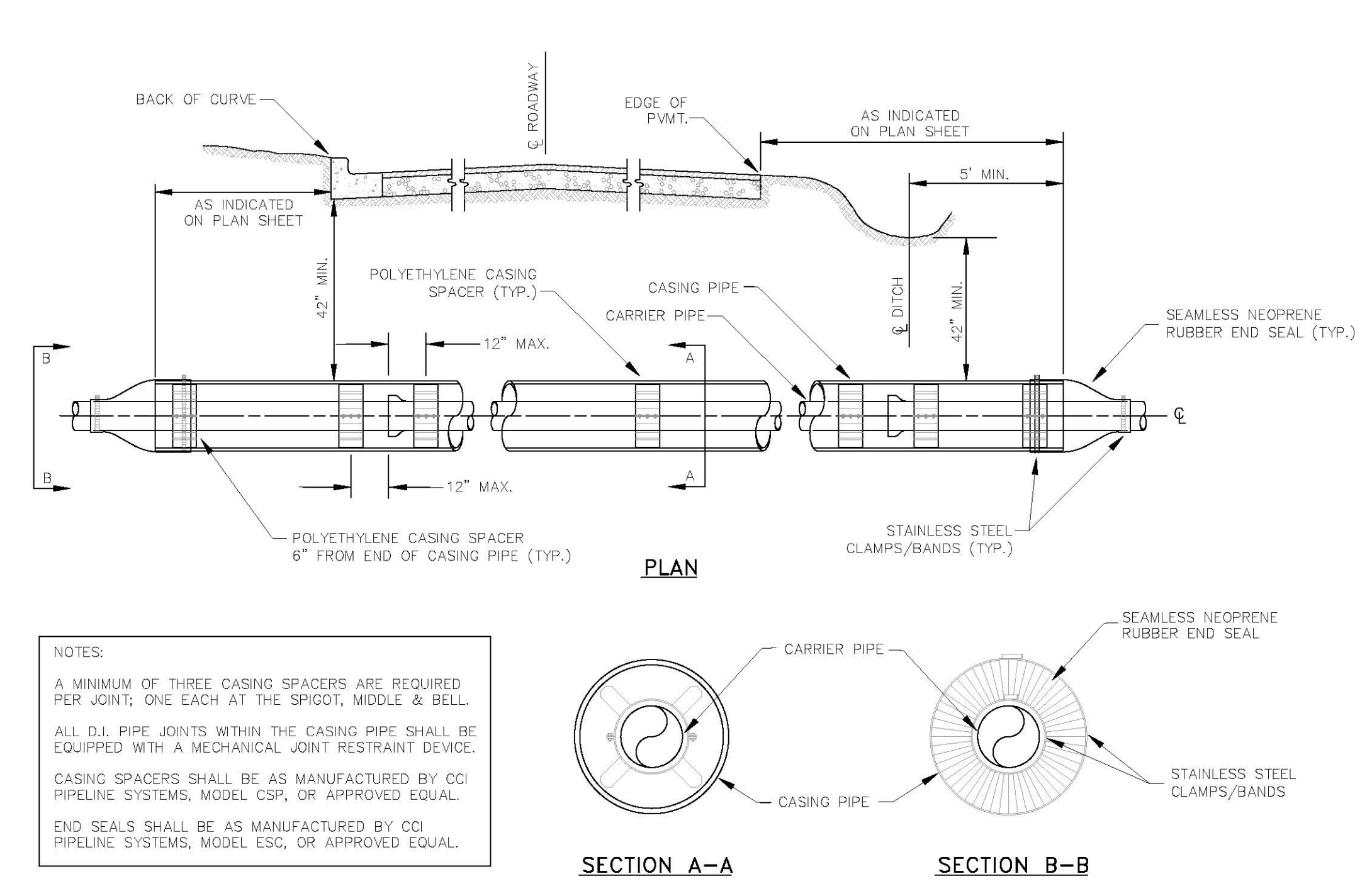
GATE VALVE



TYPE I CONNECTION

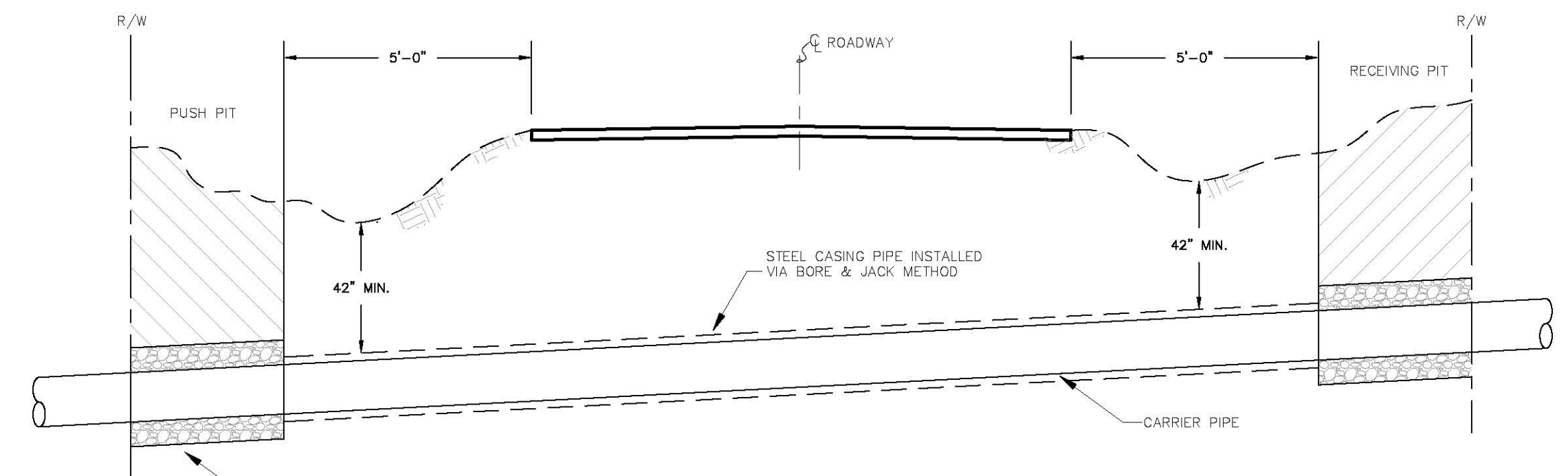


TYPE II CONNECTION



ENCASUREMENT PIPE DETAILS

- NOTES:
- A MINIMUM OF THREE CASING SPACERS ARE REQUIRED PER JOINT, ONE EACH AT THE SPIGOT, MIDDLE & BELL.
 - ALL D.I. PIPE JOINTS WITHIN THE CASING PIPE SHALL BE EQUIPPED WITH A MECHANICAL JOINT RESTRAINT DEVICE.
 - CASING SPACERS SHALL BE AS MANUFACTURED BY CCI PIPELINE SYSTEMS, MODEL CSP, OR APPROVED EQUAL.
 - END SEALS SHALL BE AS MANUFACTURED BY CCI PIPELINE SYSTEMS, MODEL ESC, OR APPROVED EQUAL.



- NOTES:
- PUSH & RECEIVING PITS TO BE BACKFILLED AND THOROUGHLY COMPACTED IMMEDIATELY FOLLOWING INSTALLATION.
 - ALL HIGHWAY DITCHLINES TO REMAIN FREE AND CLEAR FOLLOWING INSTALLATION.
 - GROUND COVER SHALL BE RESTORED IN ALL DISTURBED AREAS VIA SEED AND STRAW AS SOON AS POSSIBLE.

STATE HIGHWAY ENCASED BORE CROSSING

Monarch Engineering, Inc.
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

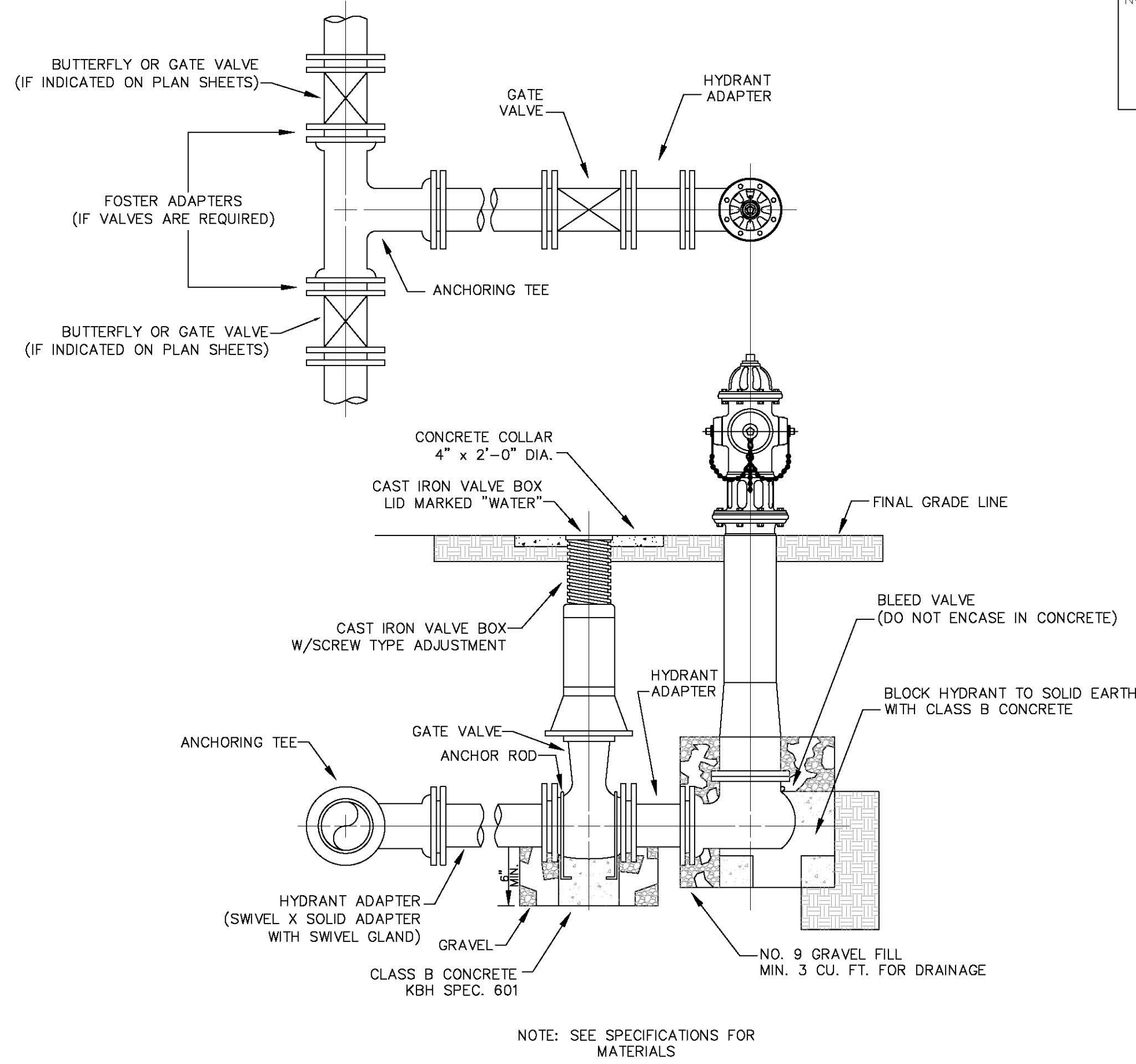
DESCRIPTION:
STANDARD DETAIL DRAWINGS

CUSTOMER:
**CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY**

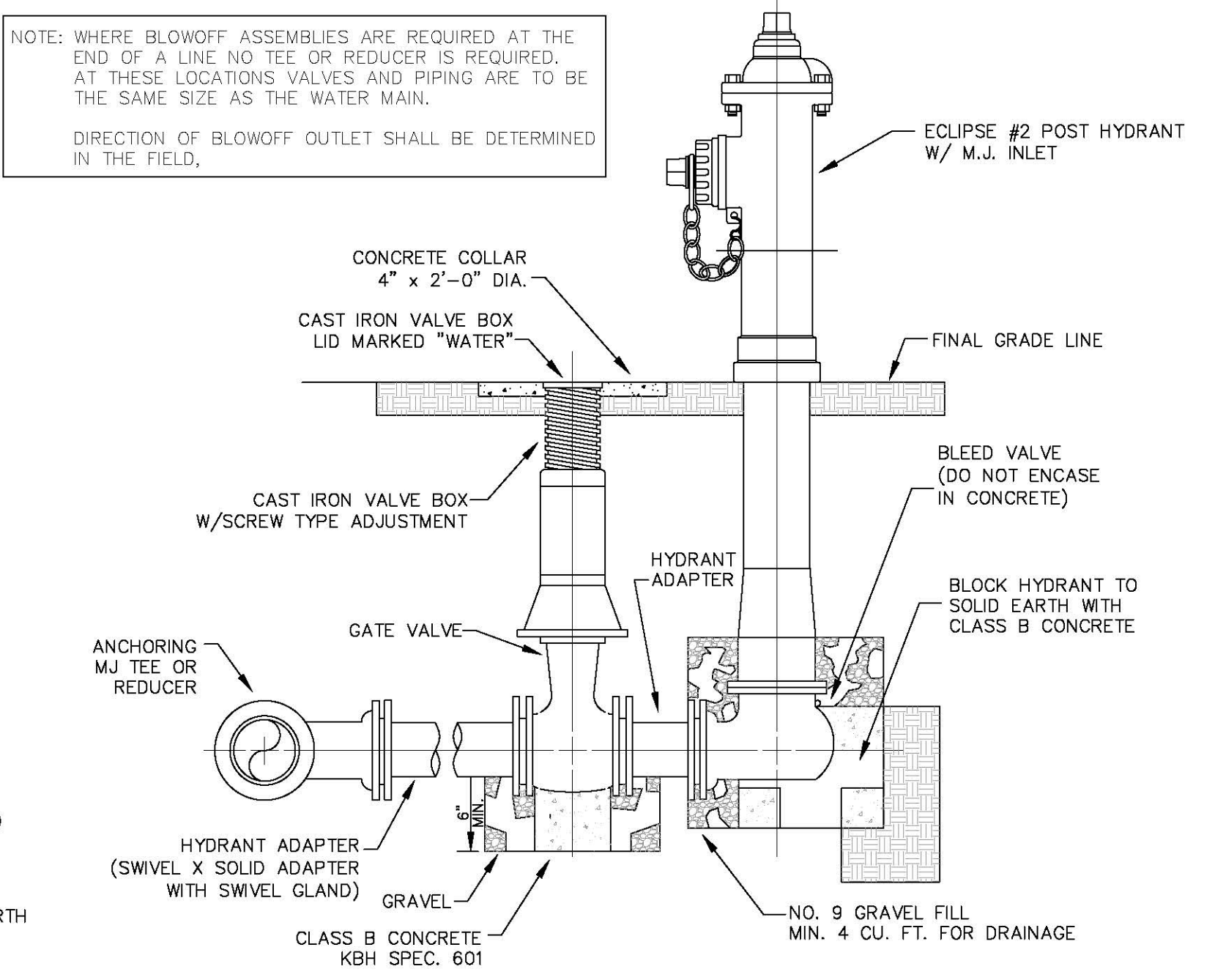
PROJECT NO. 1801
DATE: MAY 2019
DRAWN BY: JLM
CHECKED BY: DSB
CHECKED BY: DMB
SCALE: N.T.S.

SHEET:
SD-1

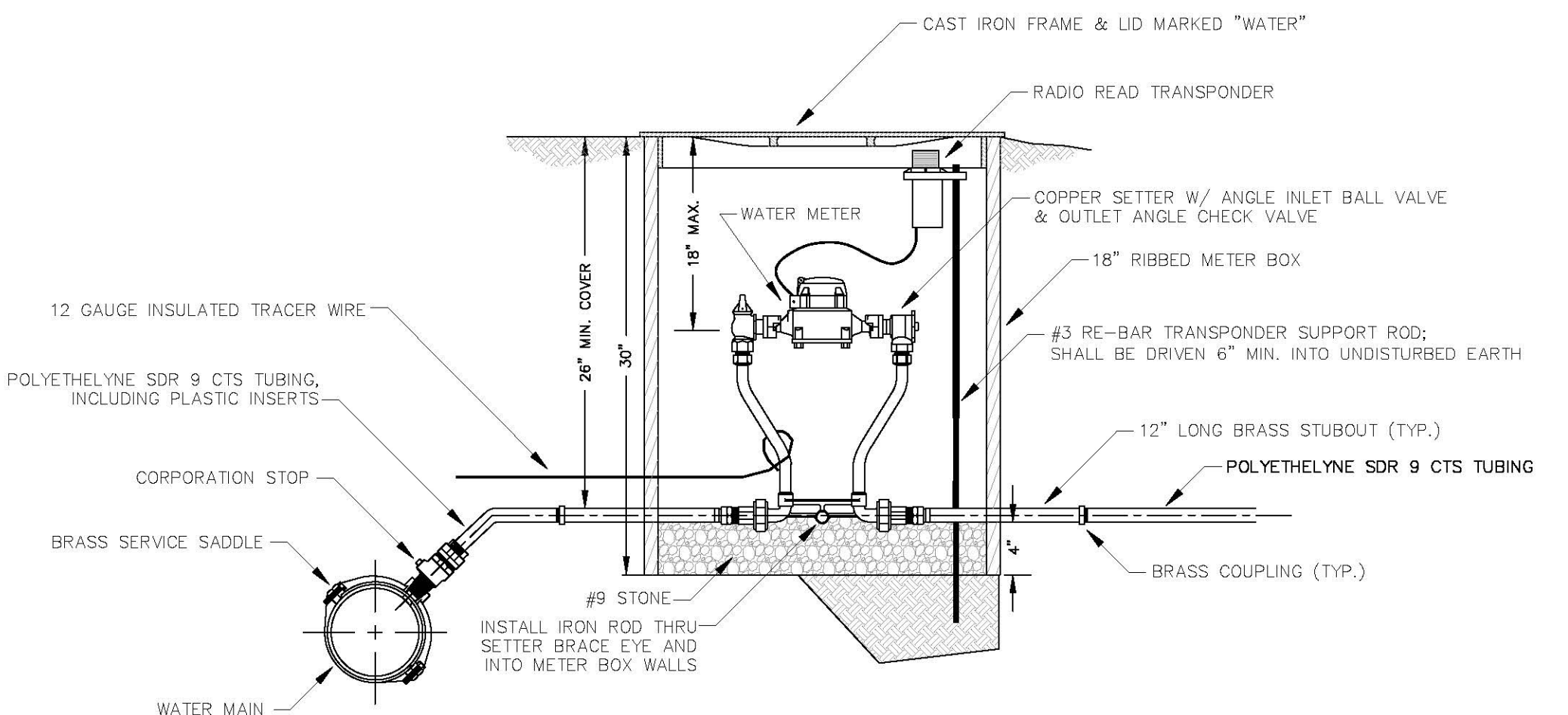




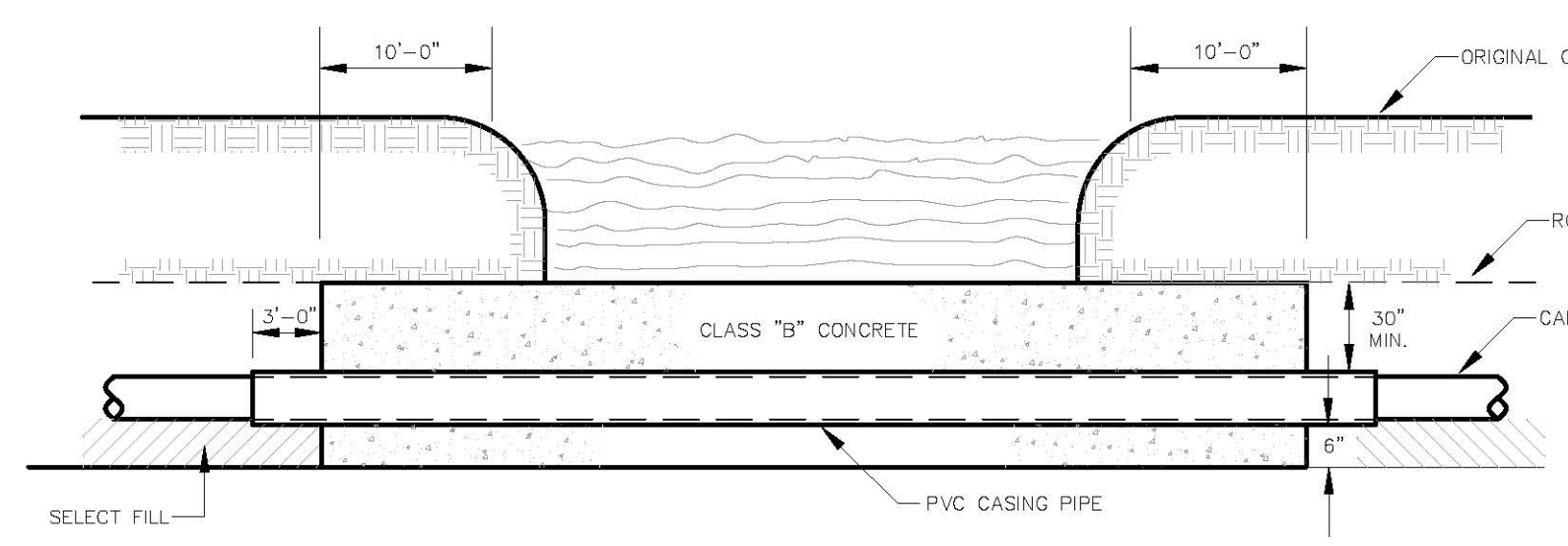
FLUSH HYDRANT ASSEMBLY



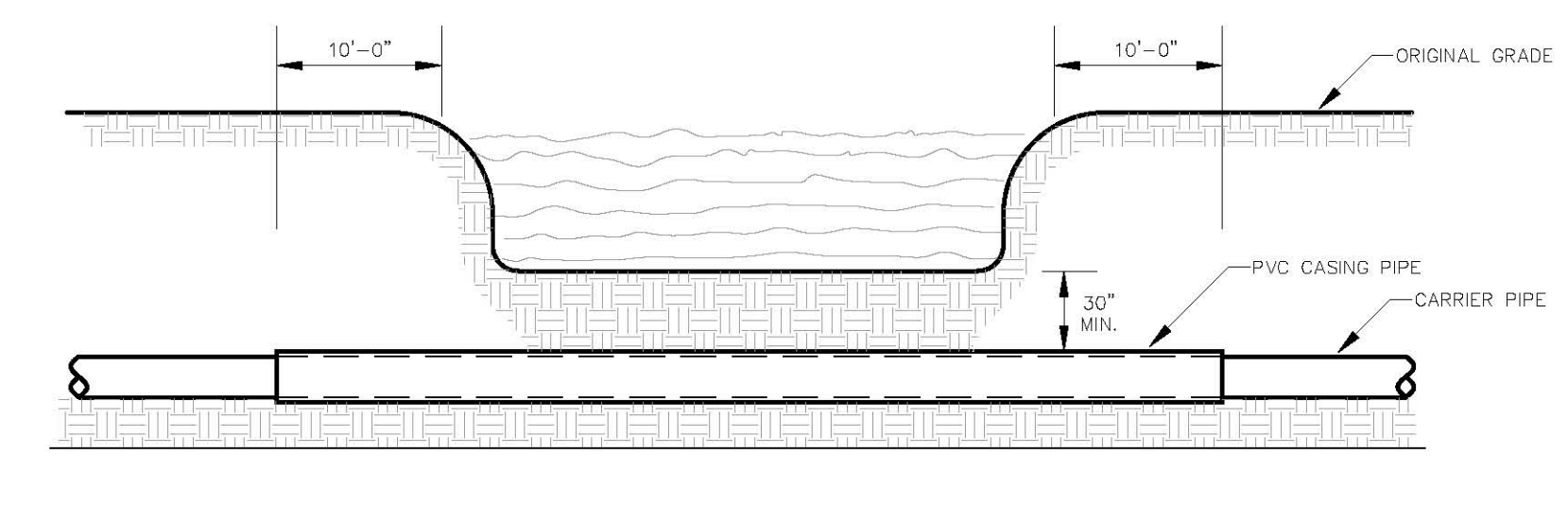
BLOWOFF ASSEMBLY



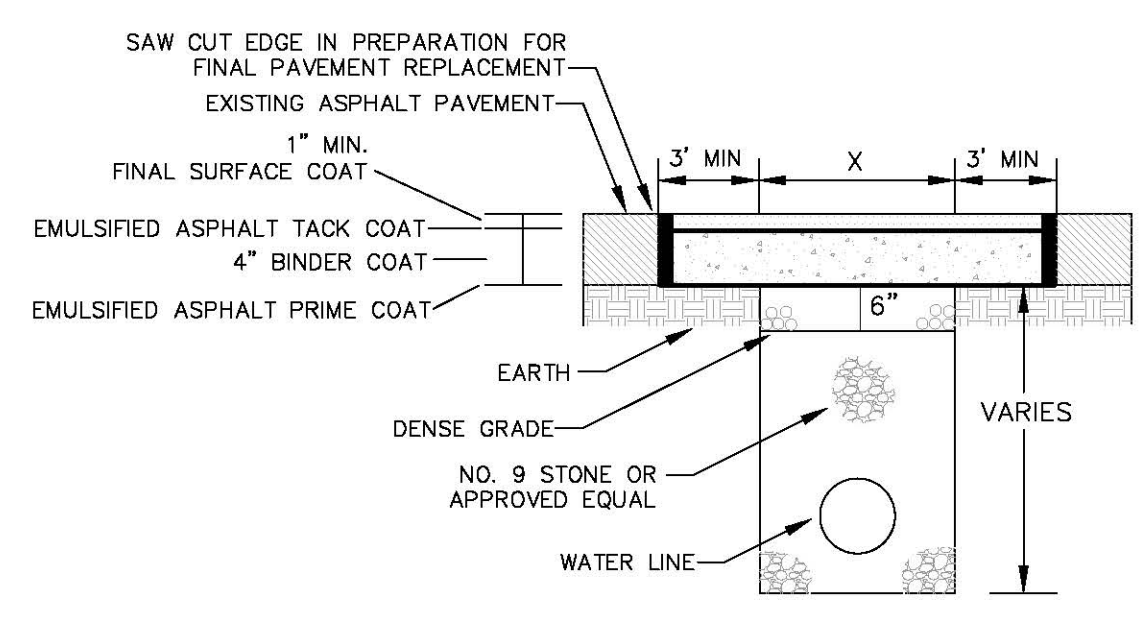
STANDARD METER SETTING



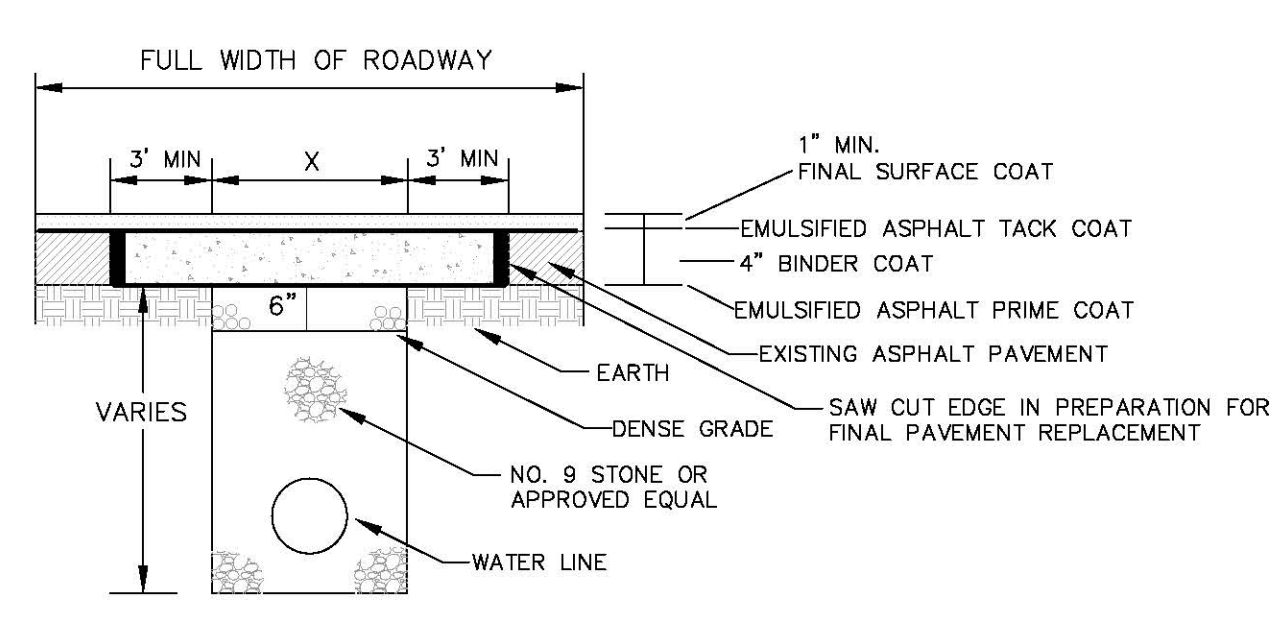
CREEK CROSSING IN ROCK



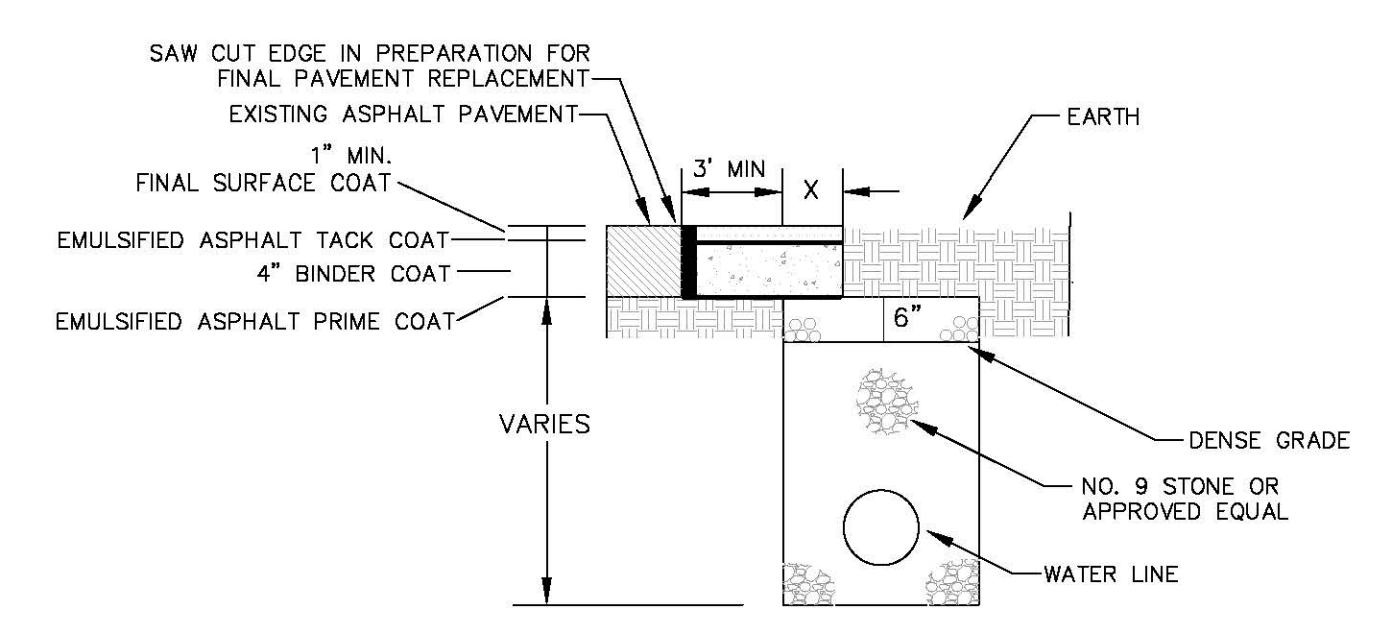
CREEK CROSSING



PAVEMENT REPLACEMENT



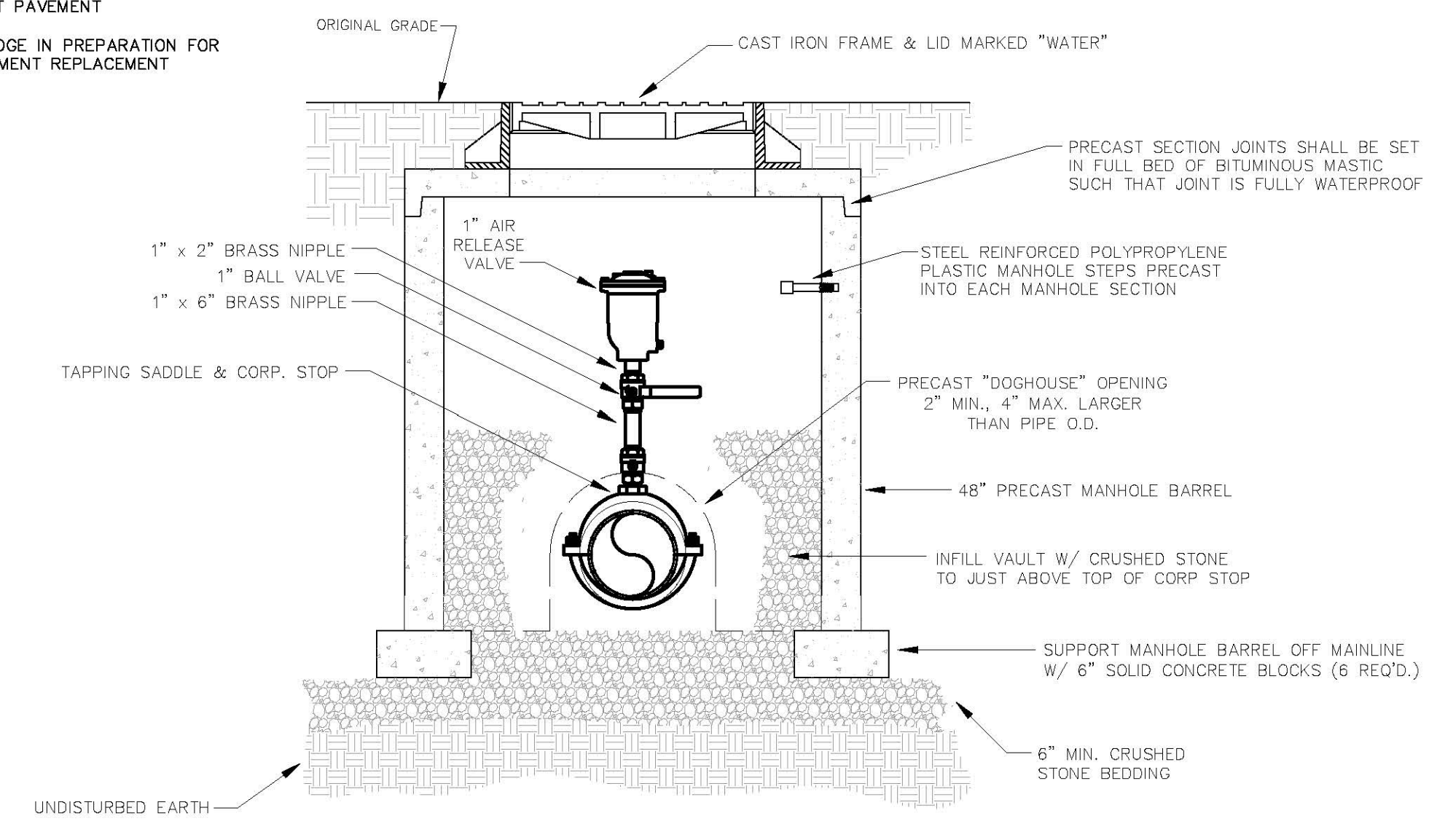
FULL WIDTH PAVEMENT REPLACEMENT



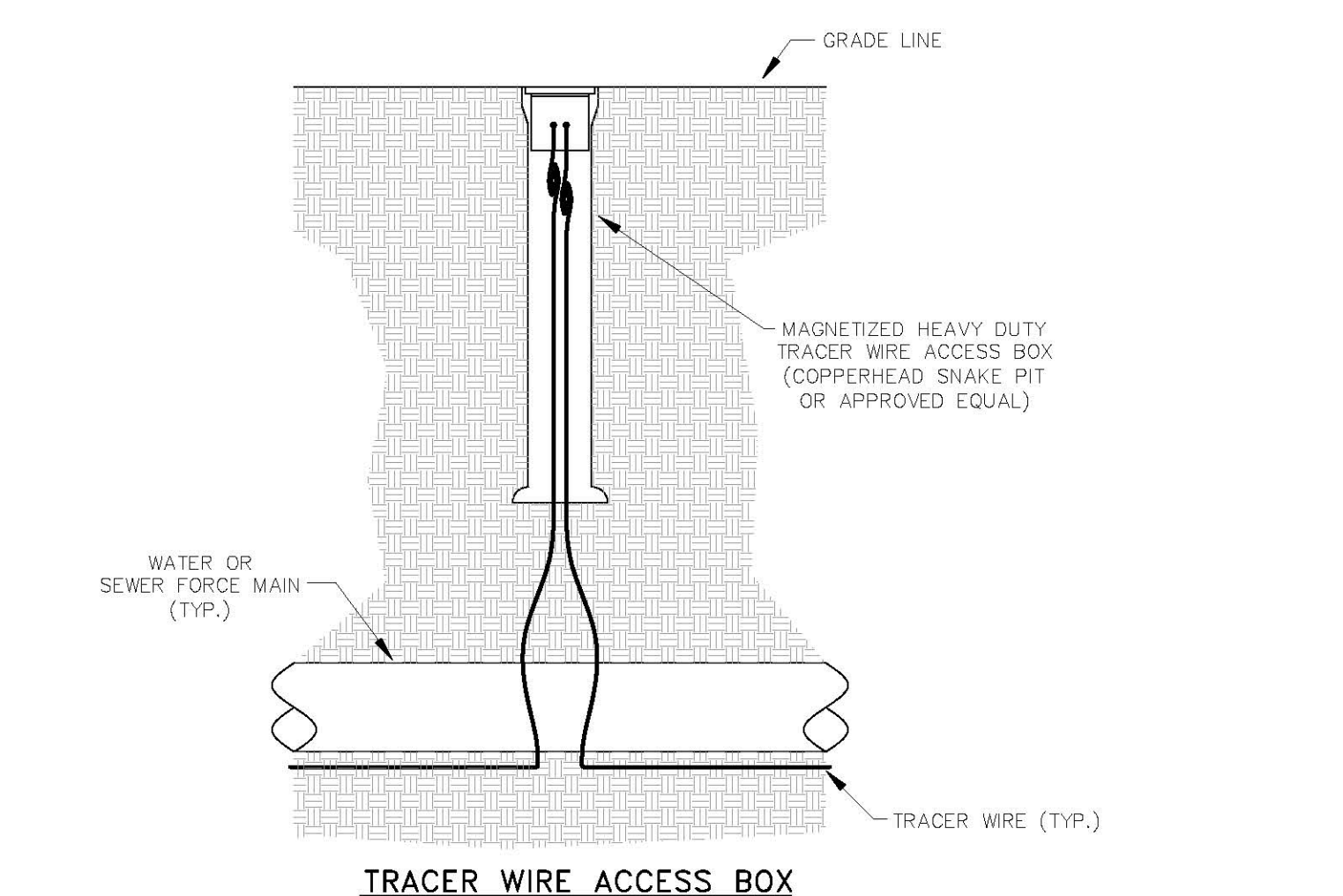
PARTIAL PAVEMENT REPLACEMENT

NOTES:
ANY TRENCH THAT DISTURBS PAVEMENT SHALL BE BACKFILLED WITH STONE
REPLACE BITUMINOUS PAVEMENT WITH SAME TYPE AND DEPTH AS EXISTING PAVEMENT
ANY PUBLICLY TRAVELED AREA (I.E. COUNTY ROADS, BUSINESS ENTRANCES, BUSINESS AND PUBLIC PARKING LOTS, ETC.) SHALL BE TEMPORARILY RESTORED AT THE END OF EACH WORK DAY USING AN APPROVED COLD PATCH ASPHALT PAVEMENT

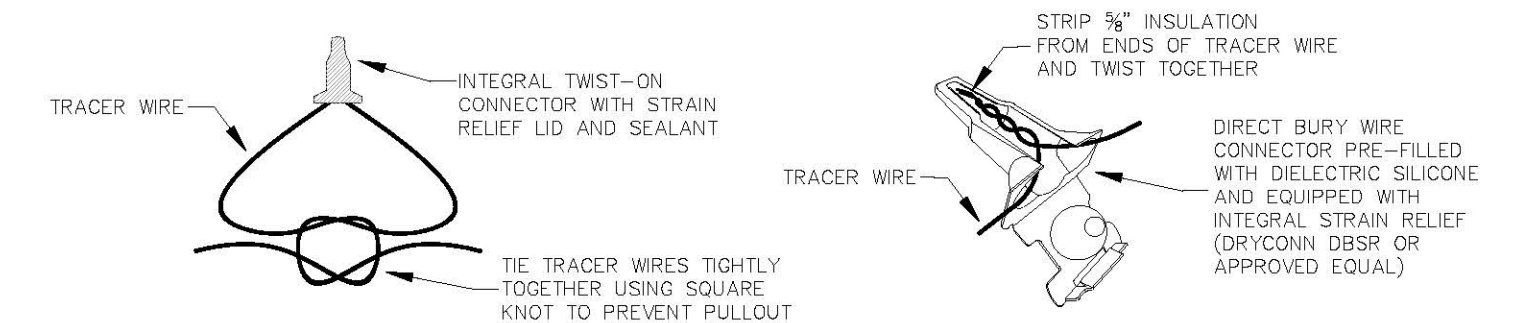
BITUMINOUS PAVEMENT REPLACEMENT



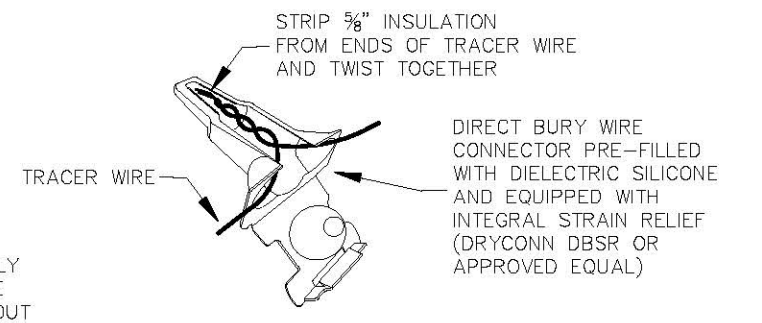
AIR RELEASE VALVE



TRACER WIRE ACCESS BOX



TRACER WIRE CONNECTION



TRACER WIRE CONNECTOR DETAIL

NOTES:
FOR OPEN CUT INSTALLATION, TRACER WIRE IS TO BE #12 AWG SOLID COPPER WITH 30 MIL BLUE HMWPE INSULATION. FOR TRENCHLESS INSTALLATION, TRACER WIRE IS TO BE #12 AWG SOLID COPPER CLAD STEEL CORE WITH 45 MIL BLUE HDPE INSULATION.
TRACER WIRE SHALL BE INSTALLED WITH THE PIPE AT THE TRENCH BOTTOM. ACCESS BOXES SHALL BE INSTALLED AT EACH VALVE, HYDRANT AND AIR RELEASE VALVE. TRACER WIRE ACCESS BOXES SHALL BE SPACED NO FURTHER THAN 1000' APART. A MINIMUM OF 3 FEET OF TRACER WIRE SHOULD BE COILED UP INSIDE OF EACH ACCESS BOX.

TRACER WIRE DETAILS

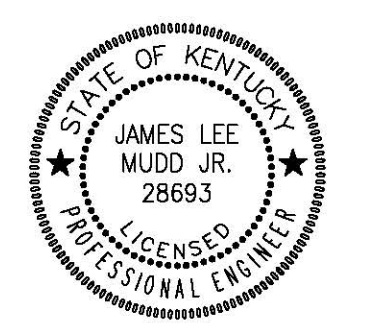
Monarch Engineering, Inc.
556 CARLTON DRIVE
LAWRENCEBURG, KY 40342

STANDARD DETAIL DRAWINGS

CUMBERLAND COUNTY WATER DISTRICT
CUMERLAND COUNTY, KENTUCKY

PROJECT NO. 1801
DATE: MAY 2019
DRAWN BY: JLM
CHECKED BY: DSB
CHECKED BY: DMB
SCALE: N.T.S.

SHEET:
SD-2



SPECIFICATIONS AND CONTRACT DOCUMENTS

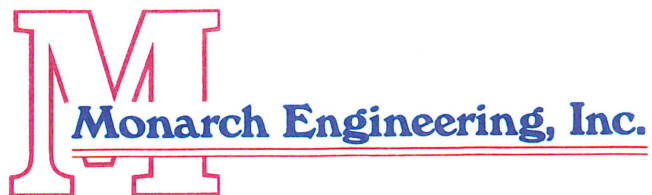
**KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

**CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY**

**This project funded by:
USDA Rural Development**

PROJECT NO. 1801

JULY 2019



SPECIFICATIONS AND CONTRACT DOCUMENTS

**KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS**

**CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY**

**This project funded by:
USDA Rural Development**

PROJECT NO. 1801

JULY 2019

TABLE OF CONTENTS

Documents are included in the following order.

	<u>Page</u>
Advertisement for Bids	A-1
Instructions to Bidders.....	Pages 1 - 12
Special Notes for Contractors	Pages 1 - 2
Bid Submittal Reference List.....	BS-1
Bid Form.....	Pages 1 - 7
Bid Bond.....	Pages 1- 2
Notice of Award	NOA-1
Agreement between Owner & Contractor	Pages 1 - 7
Standard General Conditions of the Construction Contract	Pages 1 – 63
Supplementary General Conditions.....	Pages 1 – 24
Performance Bond	Pages 1 - 3
Payment Bond.....	Pages 1 - 3
Application for Payment	PPE-1 & PPE2
Change Order	CCO-1
Notice to Proceed	NTP-1
Certificate of Substantial Completion.....	Page 1
Compliance Statement	CS-1 & 2
Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Transactions	CS-3 & 4
Certification for Contracts, Grants and Loans	CS-5
Construction Project Sign.....	CS-6
Certificate of Owner’s Attorney.....	CS-7
Engineer’s Certification of Final Plans and Specifications	CS-8
American Iron & Steel Compliance Statement.....	AIS-1
Engineer’s AIS Certification Letter	AIS-2
Contractor’s AIS Certification Letter.....	AIS-3
Manufacturer’s AIS Certification Letter.....	AIS-4
AIS Casting & Materials Examples	AIS-5 thru AIS-7
AIS Waiver Request Checklist	AIS-8
AIS Waiver Cost Table Example	AIS-9
AIS Materials Tracking List	AIS-10 thru AIS-12
Kentucky Transportation Cabinet Encroachment Permits.....	DOT-1 thru DOT-18
KPDES Notice of Intent	KPDES-1 thru KPDES-4
Technical Specifications	Section 1 thru Section 14

**CUMBERLAND COUNTY WATER DISTRICT
BURKESVILLE, KENTUCKY
HIGHWAY 704 WATER SYSTEM IMPROVEMENTS**

ADVERTISEMENT FOR BIDS

Sealed Bids for the construction of the Highway 704 Water System Improvements project will be received by Cumberland County Water District, at their central office, 133 Lower River Street, Burkesville, KY 42717 until 11:00 a.m., local time on August 23, 2019, at which time the Bids received will be publicly opened and read. The Project consists of constructing approximately 1,700 LF of 8-Inch HDPE DR-9 water line, 11,840 LF of 6-inch PVC SDR-17 water line; and other related appurtenances.

Bids will be received for a single prime Contract. Bids shall be on a lump sum and unit price basis, with additive alternate bid items as indicated in the Bid Form.

The Issuing Office for the Bidding Documents is Monarch Engineering, Inc., 556 Carlton Drive, Lawrenceburg, Kentucky 40342, (502) 839-1310, James L. Mudd, P.E., lmudd@monarchengineering.net. Prospective Bidders may examine the Bidding Documents at the Issuing Office on Mondays through Fridays between the hours of 8 a.m. – 12 p.m. and 1:00 p.m. – 5:00 p.m., and may obtain copies of the Bidding Documents from the Issuing Office as described below.

Printed copies of the Bidding Documents may be obtained from the Issuing Office, during the hours indicated above, upon payment of a deposit of \$200.00, non-refundable, for each set. Checks for Bidding Documents shall be payable to "Monarch Engineering, Inc.". Upon request and receipt of the document deposit indicated above, the Issuing Office will transmit the Bidding Documents via delivery service. The date that the Bidding Documents are transmitted by the Issuing Office will be considered the Bidder's date of receipt of the Bidding Documents. Partial sets of Bidding Documents will not be available from the Issuing Office. Neither Owner nor Engineer will be responsible for full or partial sets of Bidding Documents, including Addenda if any, obtained from sources other than the Issuing Office. Plans purchased by one party and bid by another party will not be accepted. Plans will be available for purchase until 4:00 p.m., (E.D.T.), August 21, 2019.

Section 746 of Title VII of the Consolidated Appropriations Act of 2017 (Division A-Agriculture, Rural Development, Food and Drug Administration, and Related Agencies, Appropriations Act, 2017) and subsequent statutes mandating domestic preference applies the American Iron and Steel requirement to this project. All listed iron and steel products used in this project must be produced in the United States. The term "iron and steel products" means the following products made primarily of iron and steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials. The de minimis and minor components waiver apply to this contract.

Bid security shall be furnished in accordance with the Instructions to Bidders.

Owner: **CUMBERLAND COUNTY WATER DISTRICT**

By: **TROY NORRIS**

Title: **CHAIRMAN**

Date: **AUGUST 14, 2019**

+ + END OF ADVERTISEMENT FOR BIDS + +

INSTRUCTIONS TO BIDDERS
TABLE OF CONTENTS

	Page
Article 1 – Defined Terms	2
Article 2 – Copies of Bidding Documents.....	2
Article 3 – Qualifications of Bidders.....	2
Article 4 – Site and Other Areas; Existing Site Conditions; Examination of Site; Owner’s Safety Program; Other Work at the Site	2
Article 5 – Bidder’s Representations.....	4
Article 6 – Pre-Bid Conference.....	5
Article 7 – Interpretations and Addenda	5
Article 8 – Bid Security	6
Article 9 – Contract Times.....	6
Article 10 – Liquidated Damages	6
Article 11 – Substitute and “Or-Equal” Items	6
Article 12 – Subcontractors, Suppliers, and Others.....	7
Article 13 – Preparation of Bid.....	8
Article 14 – Basis of Bid.....	8
Article 15 – Submittal of Bid	9
Article 16 – Modification and Withdrawal of Bid	10
Article 17 – Opening of Bids.....	10
Article 18 – Bids to Remain Subject to Acceptance	10
Article 19 – Evaluation of Bids and Award of Contract.....	10
Article 20 – Bonds and Insurance	11
Article 21 – Signing of Agreement	11
Article 22 – Sales and Use Taxes	12
Article 23 – Contracts to be Assigned	12
Article 24 - Wage Rate Requirements.....	12

ARTICLE 1 – DEFINED TERMS

1.01 Terms used in these Instructions to Bidders have the meanings indicated in the General Conditions and Supplementary Conditions. Additional terms used in these Instructions to Bidders have the meanings indicated below:

A. *Issuing Office* – The office from which the Bidding Documents are to be issued.

ARTICLE 2 – COPIES OF BIDDING DOCUMENTS

2.01 Complete sets of the Bidding Documents may be obtained from the Issuing Office in the number and format stated in the advertisement or invitation to bid.

2.02 Complete sets of Bidding Documents shall be used in preparing Bids; neither Owner nor Engineer assumes any responsibility for errors or misinterpretations resulting from the use of incomplete sets of Bidding Documents.

2.03 Owner and Engineer, in making copies of Bidding Documents available on the above terms, do so only for the purpose of obtaining Bids for the Work and do not authorize or confer a license for any other use.

ARTICLE 3 – QUALIFICATIONS OF BIDDERS

3.01 To demonstrate Bidder's qualifications to perform the Work, after submitting its Bid and within [5] days of Owner's request, Bidder shall submit (a) written evidence establishing its qualifications such as financial data, previous experience, and present commitments, and (b) the following additional information:

A. [Evidence of Bidder's authority to do business in the state where the Project is located.]

B. [Bidder's state or other contractor license number, if applicable.]

C. [Subcontractor and Supplier qualification information; coordinate with provisions of Article 12 of these Instructions, "Subcontractors, Suppliers, and Others."]

D. [Other required information regarding qualifications]

3.02 A Bidder's failure to submit required qualification information within the times indicated may disqualify Bidder from receiving an award of the Contract.

3.03 No requirement in this Article 3 to submit information will prejudice the right of Owner to seek additional pertinent information regarding Bidder's qualifications.

3.04 Bidder is advised to carefully review those portions of the Bid Form requiring Bidder's representations and certifications.

ARTICLE 4 – SITE AND OTHER AREAS; EXISTING SITE CONDITIONS; EXAMINATION OF SITE; OWNER'S SAFETY PROGRAM; OTHER WORK AT THE SITE

4.01 *Site and Other Areas*

A. The Site is identified in the Bidding Documents. By definition, the Site includes rights-of-way, easements, and other lands furnished by Owner for the use of the Contractor. Any additional lands required for temporary construction facilities, construction equipment, or storage of materials and equipment, and any access needed for such additional lands, are to be obtained and paid for by Contractor.

4.02 Existing Site Conditions

A. Subsurface and Physical Conditions; Hazardous Environmental Conditions

1. The Supplementary Conditions identify:
 - a. those reports known to Owner of explorations and tests of subsurface conditions at or adjacent to the Site.
 - b. those drawings known to Owner of physical conditions relating to existing surface or subsurface structures at the Site (except Underground Facilities).
 - c. reports and drawings known to Owner relating to Hazardous Environmental Conditions that have been identified at or adjacent to the Site.
 - d. Technical Data contained in such reports and drawings.
2. Owner will make copies of reports and drawings referenced above available to any Bidder on request. These reports and drawings are not part of the Contract Documents, but the Technical Data contained therein upon whose accuracy Bidder is entitled to rely, as provided in the General Conditions, has been identified and established in the Supplementary Conditions. Bidder is responsible for any interpretation or conclusion Bidder draws from any Technical Data or any other data, interpretations, opinions, or information contained in such reports or shown or indicated in such drawings.
3. If the Supplementary Conditions do not identify Technical Data, the default definition of Technical Data set forth in Article 1 of the General Conditions will apply.

- ~~4. Geotechnical Baseline Report: The Bidding Documents contain a Geotechnical Baseline Report (GBR). The GBR describes certain select subsurface conditions that are anticipated to be encountered by Contractor during construction in specified locations ("Baseline Conditions"). The GBR is a Contract Document.~~

~~The Baseline Conditions in the GBR are intended to reduce uncertainty and the degree of contingency in submitted Bids. However, Bidders cannot rely solely on the Baseline Conditions. Bids should be based on a comprehensive approach that includes an independent review and analysis of the GBR, all other Contract Documents, Technical Data, other available information, and observable surface conditions. Not all potential subsurface conditions are baselined.~~

~~Nothing in the GBR is intended to relieve Bidders of the responsibility to make their own determinations regarding construction costs, bidding strategies, and Bid prices, nor of the responsibility to select and be responsible for the means, methods, techniques, sequences, and procedures of construction, and for safety precautions and programs incident thereto.~~

- B. Underground Facilities: Information and data shown or indicated in the Bidding Documents with respect to existing Underground Facilities at or contiguous to the Site are set forth in the Contract Documents and are based upon information and data furnished to Owner and Engineer by owners of such Underground Facilities, including Owner, or others.
- C. Adequacy of Data: Provisions concerning responsibilities for the adequacy of data furnished to prospective Bidders with respect to subsurface conditions, other physical conditions, and Underground Facilities, and possible changes in the Bidding Documents due to differing or unanticipated subsurface or physical conditions appear in Paragraphs 5.03, 5.04, and 5.05 of the General Conditions. Provisions concerning responsibilities for the adequacy of data furnished to prospective Bidders with respect to a Hazardous Environmental Condition at the

Site, if any, and possible changes in the Contract Documents due to any Hazardous Environmental Condition uncovered or revealed at the Site which was not shown or indicated in the Drawings or Specifications or identified in the Contract Documents to be within the scope of the Work, appear in Paragraph 5.06 of the General Conditions.

4.03 *Site Visit and Testing by Bidders*

- A. ~~Bidder shall conduct the required Site visit during normal working hours, and shall not disturb any ongoing operations at the Site.~~
- B. Bidder is not required to conduct any subsurface testing, or exhaustive investigations of Site conditions.
- C. On request, and to the extent Owner has control over the Site, and schedule permitting, the Owner will provide Bidder access to the Site to conduct such additional examinations, investigations, explorations, tests, and studies as Bidder deems necessary for preparing and submitting a successful Bid. Owner will not have any obligation to grant such access if doing so is not practical because of existing operations, security or safety concerns, or restraints on Owner's authority regarding the Site.
- D. Bidder shall comply with all applicable Laws and Regulations regarding excavation and location of utilities, obtain all permits, and comply with all terms and conditions established by Owner or by property owners or other entities controlling the Site with respect to schedule, access, existing operations, security, liability insurance, and applicable safety programs.
- E. Bidder shall fill all holes and clean up and restore the Site to its former condition upon completion of such explorations, investigations, tests, and studies.

4.04 *Owner's Safety Program*

- A. Site visits and work at the Site may be governed by an Owner safety program. As the General Conditions indicate, if an Owner safety program exists, it will be noted in the Supplementary Conditions.

4.05 *Other Work at the Site*

- A. Reference is made to Article 8 of the Supplementary Conditions for the identification of the general nature of other work of which Owner is aware (if any) that is to be performed at the Site by Owner or others (such as utilities and other prime contractors) and relates to the Work contemplated by these Bidding Documents. If Owner is party to a written contract for such other work, then on request, Owner will provide to each Bidder access to examine such contracts (other than portions thereof related to price and other confidential matters), if any.

ARTICLE 5 – BIDDER'S REPRESENTATIONS

5.01 It is the responsibility of each Bidder before submitting a Bid to:

- A. examine and carefully study the Bidding Documents, and any data and reference items identified in the Bidding Documents;
- B. visit the Site, conduct a thorough, alert visual examination of the Site and adjacent areas, and become familiar with and satisfy itself as to the general, local, and Site conditions that may affect cost, progress, and performance of the Work;
- C. become familiar with and satisfy itself as to all Laws and Regulations that may affect cost, progress, and performance of the Work; including but not limited to the AIS requirements

as mandated and any subsequent statutes mandating domestic preference which apply to the following products made primarily of iron or steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials.

- D. carefully study all: (1) reports of explorations and tests of subsurface conditions at or adjacent to the Site and all drawings of physical conditions relating to existing surface or subsurface structures at the Site that have been identified in the Supplementary Conditions, especially with respect to Technical Data in such reports and drawings, and (2) reports and drawings relating to Hazardous Environmental Conditions, if any, at or adjacent to the Site that have been identified in the Supplementary Conditions, especially with respect to Technical Data in such reports and drawings;
- E. consider the information known to Bidder itself; information commonly known to contractors doing business in the locality of the Site; information and observations obtained from visits to the Site; the Bidding Documents; and the Site-related reports and drawings identified in the Bidding Documents, with respect to the effect of such information, observations, and documents on (1) the cost, progress, and performance of the Work; (2) the means, methods, techniques, sequences, and procedures of construction to be employed by Bidder; and (3) Bidder's safety precautions and programs;
- F. agree, based on the information and observations referred to in the preceding paragraph, that at the time of submitting its Bid no further examinations, investigations, explorations, tests, studies, or data are necessary for the determination of its Bid for performance of the Work at the price bid and within the times required, and in accordance with the other terms and conditions of the Bidding Documents;
- G. become aware of the general nature of the work to be performed by Owner and others at the Site that relates to the Work as indicated in the Bidding Documents;
- H. promptly give Engineer written notice of all conflicts, errors, ambiguities, or discrepancies that Bidder discovers in the Bidding Documents and confirm that the written resolution thereof by Engineer is acceptable to Bidder;
- I. determine that the Bidding Documents are generally sufficient to indicate and convey understanding of all terms and conditions for the performance and furnishing of the Work; and
- J. agree that the submission of a Bid will constitute an incontrovertible representation by Bidder that Bidder has complied with every requirement of this Article, that without exception the Bid and all prices in the Bid are premised upon performing and furnishing the Work required by the Bidding Documents.

ARTICLE 6 – PRE-BID CONFERENCE

~~6.01 — A pre-Bid conference will be held at the time and location stated in the invitation or advertisement to bid. Representatives of Owner and Engineer will be present to discuss the Project. Bidders are encouraged to attend and participate in the conference. Engineer will transmit to all prospective Bidders of record such Addenda as Engineer considers necessary in response to questions arising at the conference. Oral statements may not be relied upon and will not be binding or legally effective.~~

ARTICLE 7 – INTERPRETATIONS AND ADDENDA

- 7.01 All questions about the meaning or intent of the Bidding Documents are to be submitted to Engineer in writing. Interpretations or clarifications considered necessary by Engineer in response to such questions will be issued by Addenda delivered to all parties recorded as having received the Bidding Documents. Questions received less than seven days prior to the date for opening of Bids may not be answered. Only questions answered by Addenda will be binding. Oral and other interpretations or clarifications will be without legal effect.
- 7.02 Addenda may be issued to clarify, correct, supplement, or change the Bidding Documents.

ARTICLE 8 – BID SECURITY

- 8.01 A Bid must be accompanied by Bid security made payable to Owner in an amount of not less than five (5) percent of Bidder's maximum Bid price (determined by adding the base bid ~~and all alternates~~) and in the form of a certified check, bank money order, or a Bid bond (on the form included in the Bidding Documents) issued by a surety meeting the requirements of Paragraphs 6.01 and 6.02 of the General Conditions.
- 8.02 The Bid security of the apparent Successful Bidder will be retained until Owner awards the contract to such Bidder, and such Bidder has executed the Contract Documents, furnished the required contract security, and met the other conditions of the Notice of Award, whereupon the Bid security will be released. If the Successful Bidder fails to execute and deliver the Contract Documents and furnish the required contract security within 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. Such forfeiture shall be Owner's exclusive remedy if Bidder defaults.
- 8.03 The Bid security of other Bidders that Owner believes to have a reasonable chance of receiving the award may be retained by Owner until the earlier of seven days after the Effective Date of the Contract or 91 days after the Bid opening, whereupon Bid security furnished by such Bidders will be released.
- 8.04 Bid security of other Bidders that Owner believes do not have a reasonable chance of receiving the award will be released within seven days after the Bid opening.

ARTICLE 9 – CONTRACT TIMES

- 9.01 The number of days within which, or the dates by which, the Work is to be substantially completed and ready for final payment are set forth in the Agreement.

ARTICLE 10 – LIQUIDATED DAMAGES

- 10.01 Provisions for liquidated damages, if any, for failure to timely attain a Milestone, Substantial Completion, or completion of the Work in readiness for final payment, are set forth in the Agreement.

ARTICLE 11 – SUBSTITUTE AND "OR-EQUAL" ITEMS

- 11.01 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. Each such request shall include the Manufacturer's Certification Letter (Exhibit D) for compliance with AIS requirements and any subsequent statutes mandating domestic preference, if applicable. 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.

- 11.02 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.
- 11.03 If an award is made, Contractor shall be allowed to submit proposed substitutes and "or-equals" in accordance with the General Conditions.

ARTICLE 12 – SUBCONTRACTORS, SUPPLIERS, AND OTHERS

- ~~12.01 A Bidder shall be prepared to retain specific Subcontractors, Suppliers, or other individuals or entities for the performance of the Work if required by the Bidding Documents (most commonly in the Specifications) to do so. If a prospective Bidder objects to retaining any such Subcontractor, Supplier, or other individual or entity, and the concern is not relieved by an Addendum, then the prospective Bidder should refrain from submitting a Bid.~~
- ~~12.02 Subsequent to the submittal of the Bid, Owner may not require the Successful Bidder or Contractor to retain any Subcontractor, Supplier, or other individual or entity against which Contractor has reasonable objection.~~
- 12.03 "If required by the bid documents." The apparent Successful Bidder, and any other Bidder so requested, shall within five days after Bid opening, submit to Owner a list of the Subcontractors or Suppliers proposed for the following portions of the Work: that which is described within this Contract.

If requested by Owner, such list shall be accompanied by an experience statement with pertinent information regarding similar projects and other evidence of qualification for each such Subcontractor, Supplier, or other individual or entity. If Owner or Engineer, after due investigation, has reasonable objection to any proposed Subcontractor, Supplier, individual, or entity, Owner may, before the Notice of Award is given, request apparent Successful Bidder to submit an acceptable substitute, in which case apparent Successful Bidder shall submit a substitute, Bidder's Bid price will be increased (or decreased) by the difference in cost occasioned by such substitution, and Owner may consider such price adjustment in evaluating Bids and making the Contract award.

- 12.04 If apparent Successful Bidder declines to make any such substitution, Owner may award the Contract to the next lowest Bidder that proposes to use acceptable Subcontractors, Suppliers, or other individuals or entities. Declining to make requested substitutions will constitute grounds for forfeiture of the Bid security of any Bidder. Any Subcontractor, Supplier, individual, or entity so listed and against which Owner or Engineer makes no written objection prior to the giving of the

Notice of Award will be deemed acceptable to Owner and Engineer subject to subsequent revocation of such acceptance as provided in Paragraph 7.06 of the General Conditions.

- 12.05 Contractor shall not be required to employ any Subcontractor, Supplier, individual, or entity against whom Contractor has reasonable objection.
- 12.06 The Contractor shall not award work to Subcontractor(s) in excess of the limits stated in SC 7.06.

ARTICLE 13 – PREPARATION OF BID

- 13.01 The Bid Form is included with the Bidding Documents.
 - A. All blanks on the Bid Form shall be completed in ink and the Bid Form signed in ink. Erasures or alterations shall be initialed in ink by the person signing the Bid Form. A Bid price shall be indicated for each section, Bid item, alternate, adjustment unit price item, and unit price item listed therein.
 - B. If the Bid Form expressly indicates that submitting pricing on a specific alternate item is optional, and Bidder elects to not furnish pricing for such optional alternate item, then Bidder may enter the words “No Bid” or “Not Applicable.”
- 13.02 A Bid by a corporation shall be executed in the corporate name by a corporate officer (whose title must appear under the signature), accompanied by evidence of authority to sign. The corporate address and state of incorporation shall be shown.
- 13.03 A Bid by a limited liability company shall be executed in the name of the firm by a member or other authorized person and accompanied by evidence of authority to sign. The state of formation of the firm and the official address of the firm shall be shown.
- 13.04 A Bid by an individual shall show the Bidder’s name and official address.
- 13.05 A Bid by a joint venture shall be executed by an authorized representative of each joint venturer in the manner indicated on the Bid Form. The official address of the joint venture shall be shown.
- 13.06 All names shall be printed in ink below the signatures.
- 13.07 The Bid shall contain an acknowledgment of receipt of all Addenda, the numbers of which shall be filled in on the Bid Form.
- 13.08 Postal and e-mail addresses and telephone number for communications regarding the Bid shall be shown.
- 13.09 The Bid shall contain evidence of Bidder’s authority and qualification to do business in the state where the Project is located, or Bidder shall covenant in writing to obtain such authority and qualification prior to award of the Contract and attach such covenant to the Bid. Bidder’s state contractor license number, if any, shall also be shown on the Bid Form.

ARTICLE 14 – BASIS OF BID

- 14.01 Base Bid with Alternates
 - A. Bidders shall submit a Bid on a lump sum basis for the base Bid and include a separate price for each alternate described in the Bidding Documents and as provided for in the Bid Form. The price for each alternate will be the amount added to or deleted from the base Bid if Owner selects the alternate.
 - B. In the comparison of Bids, alternates will be applied in the same order of priority as listed in the Bid Form.

14.02 Unit Price

- A. Bidders shall submit a Bid on a unit price basis for each item of Work listed in the unit price section of the Bid Form.
- B. The "Bid Price" (sometimes referred to as the extended price) for each unit price Bid item will be the product of the "Estimated Quantity" (which Owner or its representative has set forth in the Bid Form) for the item and the corresponding "Bid Unit Price" offered by the Bidder. The total of all unit price Bid items will be the sum of these "Bid Prices"; such total will be used by Owner for Bid comparison purposes. The final quantities and Contract Price will be determined in accordance with Paragraph 13.03 of the General Conditions.
- C. Discrepancies between the multiplication of units of Work and unit prices will be resolved in favor of the unit prices. Discrepancies between the indicated sum of any column of figures and the correct sum thereof will be resolved in favor of the correct sum.

14.03 Allowances

- A. For cash allowances the Bid price shall include such amounts as the Bidder deems proper for Contractor's overhead, costs, profit, and other expenses on account of cash allowances, if any, named in the Contract Documents, in accordance with Paragraph 13.02.B of the General Conditions.

~~14.04 Price Plus Time Bids~~

- ~~A. The Owner will consider the time of Substantial Completion commitment made by the Bidder in the comparison of Bids.~~
- ~~B. Bidder shall designate the number of days required to achieve Substantial Completion of the Work and enter that number in the Bid Form as the total number of calendar days to substantially complete the Work.~~
- ~~C. The total number of calendar days for Substantial Completion designated by Bidder shall be less than or equal to a maximum of [____], but not less than the minimum of [____]. If Bidder purports to designate a time for Substantial Completion that is less than the allowed minimum, or greater than the allowed maximum, Owner will reject the Bid as nonresponsive.~~
- ~~D. The Agreement as executed will contain the Substantial Completion time designated in Successful Bidder's Bid, and the Contractor will be assessed liquidated damages at the rate stated in the Agreement for failure to attain Substantial Completion within that time.~~
- ~~E. [Bidder shall also designate the time in which it will achieve Milestones, and achieve readiness for final payment. Such time commitments shall be consistent with the "Time of Substantial Completion" to which Bidder commits. The Agreement as executed will contain, as binding Contract Times, Successful Bidder's time commitments regarding Milestones, as applicable, and readiness for final payment.]~~

ARTICLE 15 – SUBMITTAL OF BID

- 15.01 With each copy of the Bidding Documents, a Bidder is furnished one separate unbound copy of the Bid Form, and, if required, the Bid Bond Form. The unbound copy of the Bid Form is to be completed and submitted with the Bid security and the other documents required to be submitted under the terms of Article 7 of the Bid Form.

- 15.02 A Bid shall be received no later than the date and time prescribed and at the place indicated in the advertisement or invitation to bid and shall be enclosed in a plainly marked package with the Project title (and, if applicable, the designated portion of the Project for which the Bid is submitted), the name and address of Bidder, and shall be accompanied by the Bid security and other required documents. If a Bid is sent by mail or other delivery system, the sealed envelope containing the Bid shall be enclosed in a separate package plainly marked on the outside with the notation "BID ENCLOSED." A mailed Bid shall be addressed to the OWNER as described in the Advertisement for Bids.
- 15.03 Bids received after the date and time prescribed for the opening of bids, or not submitted at the correct location or in the designated manner, will not be accepted and will be returned to the Bidder unopened.

ARTICLE 16 – MODIFICATION AND WITHDRAWAL OF BID

- 16.01 A Bid may be withdrawn by an appropriate document duly executed in the same manner that a Bid must be executed and delivered to the place where Bids are to be submitted prior to the date and time for the opening of Bids. Upon receipt of such notice, the unopened Bid will be returned to the Bidder.
- 16.02 If a Bidder wishes to modify its Bid prior to Bid opening, Bidder must withdraw its initial Bid in the manner specified in Paragraph 16.01 and submit a new Bid prior to the date and time for the opening of Bids.
- 16.03 If within 24 hours after Bids are opened any Bidder files a duly signed written notice with Owner and promptly thereafter demonstrates to the reasonable satisfaction of Owner that there was a material and substantial mistake in the preparation of its Bid, that Bidder may withdraw its Bid, and the Bid security will be returned. Thereafter, if the Work is rebid, that Bidder will be disqualified from further bidding on the Work.

ARTICLE 17 – OPENING OF BIDS

- 17.01 Bids will be opened at the time and place indicated in the advertisement or invitation to bid and, unless obviously non-responsive, read aloud publicly. An abstract of the amounts of the base Bids and major alternates, if any, will be made available to Bidders after the opening of Bids.

ARTICLE 18 – BIDS TO REMAIN SUBJECT TO ACCEPTANCE

- 18.01 All Bids will remain subject to acceptance for the period of time stated in the Bid Form, but Owner may, in its sole discretion, release any Bid and return the Bid security prior to the end of this period.

ARTICLE 19 – EVALUATION OF BIDS AND AWARD OF CONTRACT

- 19.01 Owner reserves the right to reject any or all Bids, including without limitation, nonconforming, nonresponsive, unbalanced, or conditional Bids. Owner will reject the Bid of any Bidder that Owner finds, after reasonable inquiry and evaluation, to not be responsible. If Bidder purports to add terms or conditions to its Bid, takes exception to any provision of the Bidding Documents, or attempts to alter the contents of the Contract Documents for purposes of the Bid, then the Owner will reject the Bid as nonresponsive; provided that Owner also reserves the right to waive all minor informalities not involving price, time, or changes in the Work.

19.02 If Owner awards the contract for the Work, such award shall be to the responsible Bidder submitting the lowest responsive Bid.

19.03 Evaluation of Bids

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 Award.

B. In the comparison of Bids, alternates will be applied in the same order of priority as listed in the Bid Form. To determine the Bid prices for purposes of comparison, Owner shall announce to all bidders a "Base Bid plus alternates" budget after receiving all Bids, but prior to opening them. For comparison purposes alternates will be accepted, following the order of priority established in the Bid Form, until doing so would cause the budget to be exceeded. After determination of the Successful Bidder based on this comparative process and on the responsiveness, responsibility, and other factors set forth in these Instructions, the award may be made to said Successful Bidder on its base Bid and any combination of its additive alternate Bids for which Owner determines funds will be available at the time of award.

~~C. Bid prices will be compared after adjusting for differences in time of Substantial Completion (total number of calendar days to substantially complete the Work) designated by Bidders. The adjusting amount will be determined at the rate set forth in the Agreement for liquidated damages for failing to achieve Substantial Completion, or such other amount that Owner has designated in the Bid Form.~~

~~1. The method for calculating the lowest bid for comparison will be the summation of the Bid price shown in the Bid Form plus the product of the Bidder specified time of Substantial Completion (in calendar days) times the rate for liquidated damages [or other Owner designated daily rate] (in dollars per day).~~

~~2. This procedure is only used to determine the lowest bid for comparison and contractor selection purposes. The Contract Price for compensation and payment purposes remains the Bid price shown in the Bid Form.~~

19.04 In evaluating whether a Bidder is responsible, Owner will consider the qualifications of the Bidder and may consider the qualifications and experience of Subcontractors and Suppliers proposed for those portions of the Work for which the identity of Subcontractors and Suppliers must be submitted as provided in the Bidding Documents.

19.05 Owner may conduct such investigations as Owner deems necessary to establish the responsibility, qualifications, and financial ability of Bidders and any proposed Subcontractors or Suppliers.

ARTICLE 20 – BONDS AND INSURANCE

20.01 Article 6 of the General Conditions, as may be modified by the Supplementary Conditions, sets forth Owner's requirements as to performance and payment bonds and insurance. When the Successful Bidder delivers the Agreement (executed by Successful Bidder) to Owner, it shall be accompanied by required bonds and insurance documentation.

ARTICLE 21 – SIGNING OF AGREEMENT

21.01 When Owner issues a Notice of Award to the Successful Bidder, it shall be accompanied by the unexecuted counterparts of the Agreement along with the other Contract Documents as identified in the Agreement. Within 15 days thereafter, Successful Bidder shall execute and deliver the required number of counterparts of the Agreement (and any bonds and insurance

documentation required to be delivered by the Contract Documents) to Owner. Within ten days thereafter, Owner shall deliver one fully executed counterpart of the Agreement to Successful Bidder, together with printed and electronic copies of the Contract Documents as stated in Paragraph 2.02 of the General Conditions.

ARTICLE 22 – SALES AND USE TAXES

~~22.01 Owner is exempt from [] state sales and use taxes on materials and equipment to be incorporated in the Work. (Exemption No. []). Said taxes shall not be included in the Bid. Refer to Paragraph SC 7.09 of the Supplementary Conditions for additional information.~~

ARTICLE 23 – CONTRACTS TO BE ASSIGNED

NOT APPLICABLE

ARTICLE 24 – WAGE RATE REQUIREMENTS

24.01 If the contract price is in excess of \$100,000, provisions of the Contract Work Hours and Safety Standards Act at 29 CFR 5.5(b) apply. ~~Wage Rate Requirements are in Section WD.~~

ARTICLE 25 – OTHER APPLICABLE REQUIREMENTS

25.01 Section 746 of Title VII Consolidated Appropriations Act of 2017 (Division A- Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2017) and any subsequent statues mandating domestic preference applies an American Iron and Steel requirement to this project. All iron and steel products used in this project must be procured in the United States. "Iron and Steel Products" is defined in Section I.b.2. The de minimis and minor components waivers apply to this contract.

SPECIAL NOTES FOR CONTRACTORS

Each Bidder must accompany his bid with a list of at least three projects, similar in scope and cost to this project, with references in which his company has performed work. The company which performed the work as shown on the list of references must be the same company submitting the bid. The references shall include the name of the job, approximate date the job was completed, name of the utility company including contact person, and the name of the engineer including contact person.

The Contract Documents specify that the Contract shall be completed within 150 calendar days, but no work shall be performed on weekends and Federal holidays unless requested in writing at least seven days prior to any one weekend or holiday, and approved by the Engineer. This Contract is to be constructed during the weekdays of Monday through Friday and the period of 150 calendar days should allow the Contractor ample time to complete the project.

The Contractor shall not be allowed to maintain permanent residency for any employees on the construction site.

The Owner reserves the right to request and obtain information regarding the Contractor's financial status such as a financial statements or any other information relative to the financial capability of the Contractor to perform the work.

The Contractor shall construct and make ready for service, including all tests, the water lines complete, in each area before working in another area. There is no exception to this requirement. The failure of the Contractor to abide by this requirement shall result in termination of the Contract. The Contractor may install roadway bores independent of this requirement.

The Contractor shall coordinate all disruptions of service with the Owner and Engineer. Prior to any disruption, the Contractor shall inform both parties of his intentions, methods and projected duration of disturbance and receive their approval prior to initiating the specific work. The existing conditions as shown on the plan sheets have been formulated through old plans, discussions with the Owner personnel and data gathered by field surveys. The Contractor shall be responsible for locating and verifying all existing piping, conduits and any items that will be affected by implementation of the project.

The Contractor shall comply with all conditions and instructions included within the various regulatory permits required for construction of this project.

Included elsewhere within these documents are the Kentucky Transportation Cabinet Encroachment Permits. The Contractor is required to comply with all requirements included in these permits.

When performing work along or across any public roadway, the Contractor shall post warning signs painted orange and they shall be four feet by four feet mounted on posts in accordance with the Kentucky Transportation Cabinet's Uniform Traffic Control Devices. Furthermore, all signs, barricades, lights, and traffic control procedures shall be installed in accordance with the Kentucky Transportation Cabinet's Manual on Uniform Traffic Control Devices.

The Contractor shall maintain two flag men at all times where machinery is in operation when working where the flow of traffic will be disturbed. There is no exception to this requirement. The use of radios will be required when visual contact between the flagmen does not exist.

At the completion of each work day, the Contractor shall backfill all open trenches and install all required traffic control signs, barricades, and lights in accordance with the Kentucky Transportation Cabinet's Manual on Uniform Traffic Control Devices.

Unless specifically noted otherwise on the plans, underground utilities shown within the Kentucky Transportation Cabinet's right of way shall not be placed in fill areas and shall be installed with a minimum depth of cover of 42-inches. In all other cases a minimum cover of depth of 30-inches should be maintained. Flush hydrants or utility service boxes should be located within two (2) feet from the edge of right-of-way line, or off right-of-way.

The Contractor shall be responsible for keeping entire roadway free and clear at the end of each working day. No equipment shall be left on or parked along the road right of way. All effected KYTC ditch lines shall remain free of excess silt or erosion and constructed to the normal typical section of the roadway with a minimum depth of 18 inches from the shoulder break point.

Contact the District Permits Engineer at KTC-DOH District #8, Somerset, Kentucky at (606) 677-4017 prior to beginning work.

All necessary steps shall be taken to prevent erosion or siltation of the public right-of-way, adjoining property and waterways. The Contractor shall practice "Best Management Practices" (BMPs) that will minimize siltation and erosion in or near streams. Contractor shall provide adequate control of siltation and erosion by limiting unnecessary excavation, disturbing or uprooting trees and vegetation, dumping of soil or debris, or pumping silt-laden water into a nearby stream. In addition to these typical erosion control measures, a temporary construction boundary fence may be required in some areas of the project. If applicable, Plan Sheet EC-1 outlines the specific site requirements and depicts recommended soil erosion control devices. All erosion control measures shall be incidental to the cost of installing other project components and no additional payment will be made.

The Contractor shall be responsible for complying with all requirements relating to the Kentucky Pollutant Discharge Elimination System (KPDES) General Permit for Storm Water Discharges Associated with Construction Activities (KYR10). This includes, but is not limited to, filing the Notice of Intent (NOI) with the Kentucky Division of Water and developing a Stormwater Pollution Prevention Plan (SWPPP) for the project. A copy of the Notice of Intent has been included in these documents for the Contractor's use. However, it is recommended that the Contractor utilize the Division of Water's e-permitting web site (<http://epdpefs01/eforms/depdefault.aspx>) as it greatly reduces the time required for acceptance of the Notice of Intent.

All pavement replacement shall be incidental to the cost of installing the water mains. No separate pay item is included for pavement replacement and no additional payment will be made. All paved areas that are disturbed shall be backfilled with No. 9 stone, no exception. Again, this requirement shall be incidental to the cost of installing the water mains no additional payment will be made.

The minimum width of the pipe trench shall not be less than 24-Inches plus the diameter of the pipe being installed. Excavation of the pipe trench in rock areas shall be via the use of bucket and hoe type equipment and the use of any trencher type equipment shall not be allowed.

If applicable, the estimated length of each directional bore is indicated on the plan sheets. This stated length shall be the footage used for the Contractors payment calculation regardless of the actual length required for installation. The Contractor shall examine the drawings and visit the site to determine to his own satisfaction the extent of the work, and considering the limitations of the equipment he plans to use, determine the actual length and associated cost of the directional bore planed.

A complete bid package consist of the Bid Form, Bid Bond, Bid Submittal Reference List, and other forms as requested in Article 7 of the Bid Form. The Contract shall be awarded on the basis of the Base Bid.

The Owner reserves the right to increase, reduce, or eliminate any of the quantities of the Bid Items. The complete Bid Schedule including Unit Price and Total Cost items shall be the basis for payment.

**BID SUBMITTAL REFERENCE LIST
CUMBERLAND COUNTY WATER DISTRICT
HIGHWAY 704 WATER SYSTEM IMPROVEMENTS
BID OPENING: AUGUST 23, 2019 @ 11:00 AM, LOCAL TIME**

JOB NAME	APPROXIMATE DATE OF COMPLETION	APPROXIMATE COST	NAME OF UTILITY & CONTACT PERSON	NAME OF ENGINEER & CONTACT PERSON
JOB NO. 1				
JOB NO. 2				
JOB NO. 3				

BS-1

BID FORM

**CUMBERLAND COUNTY WATER DISTRICT
HIGHWAY 704 WATER SYSTEM IMPROVEMENTS**

TABLE OF CONTENTS

	Page
Article 1 – Bid Recipient	2
Article 2 – Bidder’s Acknowledgements	2
Article 3 – Bidder’s Representations.....	2
Article 4 – Bidder’s Certification	3
Article 5 – Basis of Bid	4
Article 6 – Time of Completion	5
Article 7 – Attachments to this Bid	5
Article 8 – Defined Terms	6
Article 9 – Bid Submittal	7

ARTICLE 1 – BID RECIPIENT

1.01 This Bid is submitted to:

Cumberland County Water District, 133 Lower River Street, Burkesville, KY 42717

1.02 The undersigned Bidder proposes and agrees, if this Bid is accepted, to enter into an Agreement with Owner in the form included in the Bidding Documents to perform all Work as specified or indicated in the Bidding Documents for the prices and within the times indicated in this Bid and in accordance with the other terms and conditions of the Bidding Documents.

ARTICLE 2 – BIDDER’S ACKNOWLEDGEMENTS

2.01 Bidder accepts all of the terms and conditions of the Instructions to Bidders, including without limitation those dealing with the disposition of Bid security. This Bid will remain subject to acceptance for 90 days after the Bid opening, or for such longer period of time that Bidder may agree to in writing upon request of Owner.

ARTICLE 3 – BIDDER’S REPRESENTATIONS

3.01 In submitting this Bid, Bidder represents that:

A. Bidder has examined and carefully studied the Bidding Documents, and any data and reference items identified in the Bidding Documents, and hereby acknowledges receipt of the following Addenda:

<u>Addendum No.</u>	<u>Addendum, Date</u>
_____	_____
_____	_____
_____	_____
_____	_____

B. Bidder has visited the Site, conducted a thorough, alert visual examination of the Site and adjacent areas, and become familiar with and satisfied itself as to the general, local, and Site conditions that may affect cost, progress, and performance of the Work.

C. Bidder is familiar with and has satisfied itself as to all Laws and Regulations that may affect cost, progress, and performance of the Work.

D. Bidder has carefully studied all: (1) reports of explorations and tests of subsurface conditions at or adjacent to the Site and all drawings of physical conditions relating to existing surface or subsurface structures at the Site that have been identified in the Supplementary Conditions, especially with respect to Technical Data in such reports and drawings, and (2) reports and drawings relating to Hazardous Environmental Conditions, if any, at or adjacent to the Site that have been identified in the Supplementary Conditions, especially with respect to Technical Data in such reports and drawings.

E. Bidder has considered the information known to Bidder itself; information commonly known to contractors doing business in the locality of the Site; information and observations obtained from visits to the Site; the Bidding Documents; and any Site-related reports and drawings identified in the Bidding Documents, with respect to the effect of such information, observations, and documents on (1) the cost, progress, and performance of the Work; (2)

the means, methods, techniques, sequences, and procedures of construction to be employed by Bidder; and (3) Bidder's safety precautions and programs.

- F. Bidder agrees, based on the information and observations referred to in the preceding paragraph, that no further examinations, investigations, explorations, tests, studies, or data are necessary for the determination of this Bid for performance of the Work at the price bid and within the times required, and in accordance with the other terms and conditions of the Bidding Documents.
- G. Bidder is aware of the general nature of work to be performed by Owner and others at the Site that relates to the Work as indicated in the Bidding Documents.
- H. Bidder has given Engineer written notice of all conflicts, errors, ambiguities, or discrepancies that Bidder has discovered in the Bidding Documents, and confirms that the written resolution thereof by Engineer is acceptable to Bidder.
- I. The Bidding Documents are generally sufficient to indicate and convey understanding of all terms and conditions for the performance and furnishing of the Work.
- J. The submission of this Bid constitutes an incontrovertible representation by Bidder that Bidder has complied with every requirement of this Article, and that without exception the Bid and all prices in the Bid are premised upon performing and furnishing the Work required by the Bidding Documents.

ARTICLE 4 – BIDDER'S CERTIFICATION

4.01 Bidder certifies that:

- A. This Bid is genuine and not made in the interest of or on behalf of any undisclosed individual or entity and is not submitted in conformity with any collusive agreement or rules of any group, association, organization, or corporation;
- B. Bidder has not directly or indirectly induced or solicited any other Bidder to submit a false or sham Bid;
- C. Bidder has not solicited or induced any individual or entity to refrain from bidding; and
- D. Bidder has not engaged in corrupt, fraudulent, collusive, or coercive practices in competing for the Contract. For the purposes of this Paragraph 4.01.D:
 - 1. "corrupt practice" means the offering, giving, receiving, or soliciting of any thing of value likely to influence the action of a public official in the bidding process;
 - 2. "fraudulent practice" means an intentional misrepresentation of facts made (a) to influence the bidding process to the detriment of Owner, (b) to establish bid prices at artificial non-competitive levels, or (c) to deprive Owner of the benefits of free and open competition;
 - 3. "collusive practice" means a scheme or arrangement between two or more Bidders, with or without the knowledge of Owner, a purpose of which is to establish bid prices at artificial, non-competitive levels; and
 - 4. "coercive practice" means harming or threatening to harm, directly or indirectly, persons or their property to influence their participation in the bidding process or affect the execution of the Contract.

ARTICLE 5 – BASIS OF BID

5.01 Bidder will complete the Work in accordance with the Contract Documents for the following price(s):

BID SCHEDULE

Notes: BIDS shall include sales tax and all other applicable taxes and fees.
The CONTRACT shall be awarded to the lowest, responsive, responsible BIDDER.

BASE BID CONTRACT

Item No.	Description	Quantity	Unit	Price	Total Cost
1	8-Inch HDPE DR-9 Water Line	1,700 LF	\$	_____	\$ _____
2	6-Inch PVC SDR 17 Water Line	11,500 LF	\$	_____	\$ _____
3	6-Inch PVC SDR 17 I.B.R.J. Water Line	340 LF	\$	_____	\$ _____
4	4-Inch PVC SDR 17 Water Line	100 LF	\$	_____	\$ _____
5	2-Inch PVC SDR 17 Water Line	50 LF	\$	_____	\$ _____
6	Bore & Case for 6-Inch Water Line	240 LF	\$	_____	\$ _____
7	Driveway Bore & Case for 6-Inch W.L.	30 LF	\$	_____	\$ _____
8	Creek Crossing for 6-Inch Water Line	320 LF	\$	_____	\$ _____
9	6-Inch Gate Valve	8 EA	\$	_____	\$ _____
10	2-Inch Gate Valve	1 EA	\$	_____	\$ _____
11	3-Way Flush Hydrant Assembly	5 EA	\$	_____	\$ _____
12	Direct Connection	6 EA	\$	_____	\$ _____
13	Meter Setting (less Meter)	1 EA	\$	_____	\$ _____
14	Standard Meter Reconnection	20 EA	\$	_____	\$ _____
15	Service Line Reconnection	1 EA	\$	_____	\$ _____
16	3/4-Inch PE Service Line	630 LF	\$	_____	\$ _____

BASE BID CONTRACT – Continued

Item No.	Description	Quantity	Unit	Price	Total Cost
17	1-Inch PE Service Line	400 LF	\$ _____	\$ _____	
18	2-Inch HDPE Encasement Pipe for Service Lines via Directional Bore	400 LF	\$ _____	\$ _____	
19	Master Meter Vault	1 LS	\$ _____	\$ _____	
20	Exploration	50 HR	\$ _____	\$ _____	
TOTAL BASE BID			\$ _____		

The CONTRACT shall be awarded based on the lowest **BASE BID**. Additive Alternates may also be awarded in conjunction with the Base Bid Contract at the discretion of the OWNER if adequate funding is available.

Bidder acknowledges that (1) each Bid Unit Price includes an amount considered by Bidder to be adequate to cover Contractor's overhead and profit for each separately identified item, and (2) estimated quantities are not guaranteed, and are solely for the purpose of comparison of Bids, and final payment for all unit price Bid items will be based on actual quantities, determined as provided in the Contract Documents.

ARTICLE 6 – TIME OF COMPLETION

- 6.01 Bidder agrees that the Work will be substantially complete and will be completed and ready for final payment in accordance with Paragraph 15.06 of the General Conditions on or before the dates or within the number of calendar days indicated in the Agreement.
- 6.02 Bidder accepts the provisions of the Agreement as to liquidated damages.

ARTICLE 7 – ATTACHMENTS TO THIS BID

- 7.01 The following documents are submitted with and made a condition of this Bid:
- A. Required Bid security;
 - ~~B. List of Proposed Subcontractors;~~
 - ~~C. List of Proposed Suppliers;~~
 - D. List of Project References;
 - ~~E. Evidence of authority to do business in the state of the Project; or a written covenant to obtain such license within the time for acceptance of Bids;~~
 - ~~F. Contractor's License No.: _____ [or] Evidence of Bidder's ability to obtain a State Contractor's License and a covenant by Bidder to obtain said license within the time for acceptance of Bids;~~
 - ~~G. Required Bidder Qualification Statement with supporting data; and~~
 - 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);
 - J. If Bid amount exceeds \$100,000, signed RD Instruction 1940-Q, Exhibit A-1, Certification for Contracts, Grants and Loans.
 - K. Manufacturer's Certification Letter (Exhibit D) on any approved "or equal" or substitute request to ensure compliance with AIS requirements and any subsequent statutes mandating domestic preference.

ARTICLE 8 – DEFINED TERMS

- 8.01 The terms used in this Bid with initial capital letters have the meanings stated in the Instructions to Bidders, the General Conditions, and the Supplementary Conditions.

ARTICLE 9 – BID SUBMITTAL

BIDDER: *[Indicate correct name of bidding entity]*

By:
[Signature] _____

[Printed name] _____
(If Bidder is a corporation, a limited liability company, a partnership, or a joint venture, attach evidence of authority to sign.)

Attest:
[Signature] _____

[Printed name] _____

Title: _____

Submittal Date: _____

Address for giving notices:

Telephone Number: _____

Fax Number: _____

Contact Name and e-mail address: _____

Bidder's License No.: _____
(where applicable)

NOTE TO USER: Use in those states or other jurisdictions where applicable or required.

BID BOND

Any singular reference to Bidder, Surety, Owner or other party shall be considered plural where applicable.

BIDDER (*Name and Address*):

SURETY (*Name, and Address of Principal Place of Business*):

OWNER (*Name and Address*):

BID

Bid Due Date:

Description (*Project Name— Include Location*):

BOND

Bond Number:

Date:

Penal sum

\$

(Words)

(Figures)

Surety and Bidder, intending to be legally bound hereby, subject to the terms set forth below, do each cause this Bid Bond to be duly executed by an authorized officer, agent, or representative.

BIDDER

SURETY

(Seal)

(Seal)

Bidder's Name and Corporate Seal

Surety's Name and Corporate Seal

By:

Signature

By:

Signature (Attach Power of Attorney)

Print Name

Print Name

Title

Title

Attest:

Signature

Attest:

Signature

Title

Title

Note: Addresses are to be used for giving any required notice.

Provide execution by any additional parties, such as joint venturers, if necessary.

1. Bidder and Surety, jointly and severally, bind themselves, their heirs, executors, administrators, successors, and assigns to pay to Owner upon default of Bidder the penal sum set forth on the face of this Bond. Payment of the penal sum is the extent of Bidder's and Surety's liability. Recovery of such penal sum under the terms of this Bond shall be Owner's sole and exclusive remedy upon default of Bidder.
2. Default of Bidder shall occur upon the failure of Bidder to deliver within the time required by the Bidding Documents (or any extension thereof agreed to in writing by Owner) the executed Agreement required by the Bidding Documents and any performance and payment bonds required by the Bidding Documents.
3. This obligation shall be null and void if:
 - 3.1 Owner accepts Bidder's Bid and Bidder delivers within the time required by the Bidding Documents (or any extension thereof agreed to in writing by Owner) the executed Agreement required by the Bidding Documents and any performance and payment bonds required by the Bidding Documents, or
 - 3.2 All Bids are rejected by Owner, or
 - 3.3 Owner fails to issue a Notice of Award to Bidder within the time specified in the Bidding Documents (or any extension thereof agreed to in writing by Bidder and, if applicable, consented to by Surety when required by Paragraph 5 hereof).
4. Payment under this Bond will be due and payable upon default of Bidder and within 30 calendar days after receipt by Bidder and Surety of written notice of default from Owner, which notice will be given with reasonable promptness, identifying this Bond and the Project and including a statement of the amount due.
5. Surety waives notice of any and all defenses based on or arising out of any time extension to issue Notice of Award agreed to in writing by Owner and Bidder, provided that the total time for issuing Notice of Award including extensions shall not in the aggregate exceed 120 days from the Bid due date without Surety's written consent.
6. No suit or action shall be commenced under this Bond prior to 30 calendar days after the notice of default required in Paragraph 4 above is received by Bidder and Surety and in no case later than one year after the Bid due date.
7. Any suit or action under this Bond shall be commenced only in a court of competent jurisdiction located in the state in which the Project is located.
8. Notices required hereunder shall be in writing and sent to Bidder and Surety at their respective addresses shown on the face of this Bond. Such notices may be sent by personal delivery, commercial courier, or by United States Registered or Certified Mail, return receipt requested, postage pre-paid, and shall be deemed to be effective upon receipt by the party concerned.
9. Surety shall cause to be attached to this Bond a current and effective Power of Attorney evidencing the authority of the officer, agent, or representative who executed this Bond on behalf of Surety to execute, seal, and deliver such Bond and bind the Surety thereby.
10. This Bond is intended to conform to all applicable statutory requirements. Any applicable requirement of any applicable statute that has been omitted from this Bond shall be deemed to be included herein as if set forth at length. If any provision of this Bond conflicts with any applicable statute, then the provision of said statute shall govern and the remainder of this Bond that is not in conflict therewith shall continue in full force and effect.
11. The term "Bid" as used herein includes a Bid, offer, or proposal as applicable.

NOTICE OF AWARD

TO: _____

PROJECT Description: Cumberland County Water District
Highway 704 Water System Improvements

The OWNER has considered the BID submitted by you for the above described WORK in response to its Advertisement for Bids dated August 14, 2019, and Information for Bidders.

You are hereby notified that your BID has been accepted for items in the amount of \$_____.

You are required by the Information for Bidders to execute the Agreement and furnish the required CONTRACTOR'S Performance BOND, Payment BOND and certificates of insurance within fifteen (15) calendar days from the date of this Notice to you.

If you fail to execute said Agreement and to furnish said BONDS within fifteen (15) days from the date of this Notice, said OWNER will be entitled to consider all your rights arising out of the OWNER's acceptance of your BID as abandoned and as a forfeiture of your BID BOND. The OWNER will be entitled to such other rights as may be granted by law.

Within ten (10) days of your compliance of the above conditions, Owner will return to you one fully executed counterpart of the Agreement, together with any additional copies of the Contract Documents as indicated in Paragraph 2.02 of the General Conditions.

You are required to return an acknowledged copy of this NOTICE OF AWARD to the OWNER.

Dated this ___ day of _____, 2019.

Cumberland County Water District

By: Troy Norris

Title: Chairman

ACCEPTANCE OF NOTICE

Receipt of the above NOTICE OF AWARD is hereby acknowledged

by _____, this ___ day of _____, 2019.
(Contractor)

By: _____

Title: _____

**AGREEMENT
BETWEEN OWNER AND CONTRACTOR
FOR CONSTRUCTION CONTRACT (STIPULATED PRICE)**

THIS AGREEMENT is by and between Cumberland County Water District (“Owner”) and _____ (“Contractor”).

Owner and Contractor hereby agree as follows:

ARTICLE 1 – WORK

1.01 Contractor shall complete all Work as specified or indicated in the Contract Documents. The Work is generally described as follows: Highway 704 Water System Improvements Project

ARTICLE 2 – THE PROJECT

2.01 The Project, of which the Work under the Contract Documents is a part, is generally described as follows: Highway 704 Water System Improvements Project

ARTICLE 3 – ENGINEER

3.01 The Project has been designed by Monarch Engineering, Inc.

3.02 The Owner has retained Monarch Engineering, Inc. (“Engineer”) to act as Owner’s representative, assume all duties and responsibilities, and have the rights and authority assigned to Engineer in the Contract Documents in connection with the completion of the Work in accordance with the Contract Documents.

ARTICLE 4 – CONTRACT TIMES

4.01 Time of the Essence

A. All time limits for Milestones, if any, Substantial Completion, and completion and readiness for final payment as stated in the Contract Documents are of the essence of the Contract.

4.02 Contract Times: Days

A. The Work will be substantially completed within 150 days after the date when the Contract Times commence to run as provided in Paragraph 4.01 of the General Conditions, and completed and ready for final payment in accordance with Paragraph 15.06 of the General Conditions within 150 days after the date when the Contract Times commence to run.

~~B. Parts of the Work shall be substantially completed on or before the following Milestone(s):~~

~~1. Milestone 1 [event & date/days]~~

~~2. Milestone 2 [event & date/days]~~

~~3. Milestone 3 [event & date/days]~~

4.03 Liquidated Damages

A. Contractor and Owner recognize that time is of the essence as stated in Paragraph 4.01 above and that Owner will suffer financial and other losses if the Work is not completed and Milestones not achieved within the times specified in Paragraph 4.02 above, plus any

extensions thereof allowed in accordance with the Contract. The parties also recognize the delays, expense, and difficulties involved in proving in a legal or arbitration proceeding the actual loss suffered by Owner if the Work is not completed on time. Accordingly, instead of requiring any such proof, Owner and Contractor agree that as liquidated damages for delay (but not as a penalty):

1. Substantial Completion: Contractor shall pay Owner \$1,000.00 for each day that expires after the time (as duly adjusted pursuant to the Contract) specified in Paragraph 4.02.A above for Substantial Completion until the Work is substantially complete.
2. Completion of Remaining Work: After Substantial Completion, if Contractor shall neglect, refuse, or fail to complete the remaining Work within the Contract Time (as duly adjusted pursuant to the Contract) for completion and readiness for final payment, Contractor shall pay Owner \$1,000.00 for each day that expires after such time until the Work is completed and ready for final payment.
3. Liquidated damages for failing to timely attain Substantial Completion and final completion are not additive and will not be imposed concurrently.
4. ~~Milestones: Contractor shall pay Owner \$_____ for each day that expires after the time (as duly adjusted pursuant to the Contract) specified above for achievement of Milestone 1, until Milestone 1 is achieved.~~

~~B. Bonus: Contractor and Owner further recognize the Owner will realize financial and other benefits if the Work is completed prior to the time specified for Substantial Completion. Accordingly, Owner and Contractor agree that as a bonus for early completion, Owner shall pay Contractor \$_____ for each day prior to the time specified in Paragraph 4.02 for Substantial Completion (as duly adjusted pursuant to the Contract) that the Work is substantially complete. The maximum value of the bonus shall be limited to \$_____~~

4.04 ~~Special Damages [Deleted]~~

- ~~A. In addition to the amount provided for liquidated damages, Contractor shall reimburse Owner (1) for any fines or penalties imposed on Owner as a direct result of the Contractor's failure to attain Substantial Completion according to the Contract Times, and (2) for the actual costs reasonably incurred by Owner for engineering, construction observation, inspection, and administrative services needed after the time specified in Paragraph 4.02 for Substantial Completion (as duly adjusted pursuant to the Contract), until the Work is substantially complete.~~
- ~~B. After Contractor achieves Substantial Completion, if Contractor shall neglect, refuse, or fail to complete the remaining Work within the Contract Times, Contractor shall reimburse Owner for the actual costs reasonably incurred by Owner for engineering, construction observation, inspection, and administrative services needed after the time specified in Paragraph 4.02 for Work to be completed and ready for final payment (as duly adjusted pursuant to the Contract), until the Work is completed and ready for final payment.~~

ARTICLE 5 – CONTRACT PRICE

5.01 *Owner shall pay Contractor for completion of the Work in accordance with the Contract Documents the amounts that follow, subject to adjustment under the Contract:*

- A. For all Work other than Unit Price Work, a lump sum of: \$0.00.

All specific cash allowances are included in the above price in accordance with Paragraph 13.02 of the General Conditions.

- B. For all Unit Price Work, an amount equal to the sum of the extended prices (established for each separately identified item of Unit Price Work by multiplying the unit price times the actual quantity of that item):

The extended prices for Unit Price Work set forth as of the Effective Date of the Contract are based on estimated quantities. As provided in Paragraph 13.03 of the General Conditions, estimated quantities are not guaranteed, and determinations of actual quantities and classifications are to be made by Engineer.

- C. Total of Lump Sum Amount and Unit Price Work (subject to final Unit Price adjustment) \$_____.
- D. For all Work, at the prices stated in Contractor's Bid, attached hereto as an exhibit.

ARTICLE 6 – PAYMENT PROCEDURES

6.01 Submittal and Processing of Payments

- A. Contractor shall submit Applications for Payment in accordance with Article 15 of the General Conditions. Applications for Payment will be processed by Engineer as provided in the General Conditions.

6.02 Progress Payments; Retainage

- A. Owner shall make progress payments on account of the Contract Price on the basis of Contractor's Applications for Payment on or about the 15th day of each month during performance of the Work as provided in Paragraph 6.02.A.1 below, provided that such Applications for Payment have been submitted in a timely manner and otherwise meet the requirements of the Contract. All such payments will be measured by the Schedule of Values established as provided in the General Conditions (and in the case of Unit Price Work based on the number of units completed) or, in the event there is no Schedule of Values, as provided elsewhere in the Contract.
 - 1. Prior to Substantial Completion, progress payments will be made in an amount equal to the percentage indicated below but, in each case, less the aggregate of payments previously made and less such amounts as Owner may withhold, including but not limited to liquidated damages, in accordance with the Contract
 - a. 95 percent of Work completed (with the balance being retainage); ~~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; and~~
 - b. 95 percent of cost of materials and equipment not incorporated in the Work (with the balance being retainage).
- B. Upon Substantial Completion, of the entire construction to be provided under the Contract Documents, Owner shall pay an amount sufficient to increase total payments to Contractor to 100 percent of the Work completed, less such amounts set off by Owner pursuant to Paragraph 15.01.E of the General Conditions, and less 200 percent of Engineer's estimate of the value of Work to be completed or corrected as shown on the punch list of items to be completed or corrected prior to final payment.

6.03 Final Payment

- A. Upon final completion and acceptance of the Work in accordance with Paragraph 15.06 of the General Conditions, Owner shall pay the remainder of the Contract Price as recommended by Engineer as provided in said Paragraph 15.06.

ARTICLE 7 – INTEREST

7.01 *All amounts not paid when due shall bear interest at the rate of 10 percent per annum.*

ARTICLE 8 – CONTRACTOR’S REPRESENTATIONS

8.01 *In order to induce Owner to enter into this Contract, Contractor makes the following representations:*

- A. Contractor has examined and carefully studied the Contract Documents, and any data and reference items identified in the Contract Documents.
- B. Contractor has visited the Site, conducted a thorough, alert visual examination of the Site and adjacent areas, and become familiar with and is satisfied as to the general, local, and Site conditions that may affect cost, progress, and performance of the Work.
- C. Contractor is familiar with and is satisfied as to all Laws and Regulations that may affect cost, progress, and performance of the Work.
- D. Contractor has carefully studied all: (1) reports of explorations and tests of subsurface conditions at or adjacent to the Site and all drawings of physical conditions relating to existing surface or subsurface structures at the Site that have been identified in the Supplementary Conditions, especially with respect to Technical Data in such reports and drawings, and (2) reports and drawings relating to Hazardous Environmental Conditions, if any, at or adjacent to the Site that have been identified in the Supplementary Conditions, especially with respect to Technical Data in such reports and drawings.
- E. Contractor has considered the information known to Contractor itself; information commonly known to contractors doing business in the locality of the Site; information and observations obtained from visits to the Site; the Contract Documents; and the Site-related reports and drawings identified in the Contract Documents, with respect to the effect of such information, observations, and documents on (1) the cost, progress, and performance of the Work; (2) the means, methods, techniques, sequences, and procedures of construction to be employed by Contractor; and (3) Contractor’s safety precautions and programs.
- F. Based on the information and observations referred to in the preceding paragraph, Contractor agrees that no further examinations, investigations, explorations, tests, studies, or data are necessary for the performance of the Work at the Contract Price, within the Contract Times, and in accordance with the other terms and conditions of the Contract.
- G. Contractor is aware of the general nature of work to be performed by Owner and others at the Site that relates to the Work as indicated in the Contract Documents.
- H. Contractor has given Engineer written notice of all conflicts, errors, ambiguities, or discrepancies that Contractor has discovered in the Contract Documents, and the written resolution thereof by Engineer is acceptable to Contractor.
- I. The Contract Documents are generally sufficient to indicate and convey understanding of all terms and conditions for performance and furnishing of the Work.

- J. Contractor's entry into this Contract constitutes an incontrovertible representation by Contractor that without exception all prices in the Agreement are premised upon performing and furnishing the Work required by the Contract Documents.

ARTICLE 9 – CONTRACT DOCUMENTS

9.01 Contents

- A. The Contract Documents consist of the following:
1. This Agreement (pages 1 to 7 inclusive).
 2. Performance bond (pages 1 to 3 inclusive).
 3. Payment bond (pages 1 to 3 inclusive).
 4. Other bonds.
 - a. (pages to , inclusive).
 5. General Conditions (pages 1 to 63 inclusive).
 6. Supplementary Conditions (pages 1 to 18 inclusive).
 7. Specifications as listed in the table of contents of the Project Manual.
 8. Drawings (not attached but incorporated by reference) consisting of 15 sheets with each sheet bearing the following general title: Highway 704 Water System Improvements [or] the Drawings listed on the attached sheet index.
 9. Addenda (numbers to , inclusive).
 10. Exhibits to this Agreement (enumerated as follows):
 - a. Contractor's Bid (pages 1 to 7, inclusive).
 11. The following which may be delivered or issued on or after the Effective Date of the Contract and are not attached hereto:
 - a. Notice to Proceed.
 - b. Work Change Directives.
 - c. Change Orders.
 - d. Field Orders.
- B. The documents listed in Paragraph 9.01.A are attached to this Agreement (except as expressly noted otherwise above).
- C. There are no Contract Documents other than those listed above in this Article 9.
- D. The Contract Documents may only be amended, modified, or supplemented as provided in the General Conditions.

ARTICLE 10 – MISCELLANEOUS

10.01 Terms

- A. Terms used in this Agreement will have the meanings stated in the General Conditions and the Supplementary Conditions.

10.02 Assignment of Contract

- A. Unless expressly agreed to elsewhere in the Contract, no assignment by a party hereto of any rights under or interests in the Contract will be binding on another party hereto without the written consent of the party sought to be bound; and, specifically but without limitation, money that may become due and money that is due may not be assigned without such consent (except to the extent that the effect of this restriction may be limited by law), and unless specifically stated to the contrary in any written consent to an assignment, no assignment will release or discharge the assignor from any duty or responsibility under the Contract Documents.

10.03 Successors and Assigns

- A. Owner and Contractor each binds itself, its successors, assigns, and legal representatives to the other party hereto, its successors, assigns, and legal representatives in respect to all covenants, agreements, and obligations contained in the Contract Documents.

10.04 Severability

- A. Any provision or part of the Contract Documents held to be void or unenforceable under any Law or Regulation shall be deemed stricken, and all remaining provisions shall continue to be valid and binding upon Owner and Contractor, who agree that the Contract Documents shall be reformed to replace such stricken provision or part thereof with a valid and enforceable provision that comes as close as possible to expressing the intention of the stricken provision.

10.05 Contractor's Certifications

- A. Contractor certifies that it has not engaged in corrupt, fraudulent, collusive, or coercive practices in competing for or in executing the Contract. For the purposes of this Paragraph 10.05:
 1. "corrupt practice" means the offering, giving, receiving, or soliciting of any thing of value likely to influence the action of a public official in the bidding process or in the Contract execution;
 2. "fraudulent practice" means an intentional misrepresentation of facts made (a) to influence the bidding process or the execution of the Contract to the detriment of Owner, (b) to establish Bid or Contract prices at artificial non-competitive levels, or (c) to deprive Owner of the benefits of free and open competition;
 3. "collusive practice" means a scheme or arrangement between two or more Bidders, with or without the knowledge of Owner, a purpose of which is to establish Bid prices at artificial, non-competitive levels; and
 4. "coercive practice" means harming or threatening to harm, directly or indirectly, persons or their property to influence their participation in the bidding process or affect the execution of the Contract.

10.06 Other Provisions

- A. Owner stipulates that if the General Conditions that are made a part of this Contract are based on EJCDC® C-700, Standard General Conditions for the Construction Contract, published by the Engineers Joint Contract Documents Committee®, and if Owner is the party that has furnished said General Conditions, then Owner has plainly shown all modifications to the standard wording of such published document to the Contractor, through a process such as highlighting or "track changes" (redline/strikeout), or in the Supplementary Conditions.

IN WITNESS WHEREOF, Owner and Contractor have signed this Agreement.

This Agreement will be effective on _____ (which is the Effective Date of the Contract).

OWNER: Cumberland County Water District

CONTRACTOR:

By: Troy Norris

By: _____

Title: Chairman

Title: _____

(If Contractor is a corporation, a partnership, or a joint venture, attach evidence of authority to sign.)

Attest: _____

Attest: _____

Title: _____

Title: _____

Address for giving notices:

Address for giving notices:

Cumberland County Water District

133 Lower River Street

Burkesville, KY 42717

License No.: _____

(where applicable)

(If Owner is a corporation, attach evidence of authority to sign. If Owner is a public body, attach evidence of authority to sign and resolution or other documents authorizing execution of this Agreement.)

NOTE TO USER: Use in those states or other jurisdictions where applicable or required.

This document has important legal consequences; consultation with an attorney is encouraged with respect to its use or modification. This document should be adapted to the particular circumstances of the contemplated Project and the controlling Laws and Regulations.

STANDARD GENERAL CONDITIONS OF THE CONSTRUCTION CONTRACT

Prepared by



Issued and Published Jointly by



These General Conditions have been prepared for use with the Agreement Between Owner and Contractor for Construction Contract (EJCDC® C-520, Stipulated Sum, or C-525, Cost-Plus, 2013 Editions). Their provisions are interrelated and a change in one may necessitate a change in the other.

To prepare supplementary conditions that are coordinated with the General Conditions, use EJCDC's Guide to the Preparation of Supplementary Conditions (EJCDC® C-800, 2013 Edition). The full EJCDC Construction series of documents is discussed in the Commentary on the 2013 EJCDC Construction Documents (EJCDC® C-001, 2013 Edition).

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**STANDARD GENERAL CONDITIONS OF THE
CONSTRUCTION CONTRACT**

TABLE OF CONTENTS

	Page
Article 1 – Definitions and Terminology	1
1.01 Defined Terms	1
1.02 Terminology	4
Article 2 – Preliminary Matters	6
2.01 Delivery of Bonds and Evidence of Insurance	6
2.02 Copies of Documents	6
2.03 Before Starting Construction	6
2.04 Preconstruction Conference; Designation of Authorized Representatives	6
2.05 Initial Acceptance of Schedules	7
2.06 Electronic Transmittals.....	7
Article 3 – Documents: Intent, Requirements, Reuse.....	7
3.01 Intent.....	7
3.02 Reference Standards	8
3.03 Reporting and Resolving Discrepancies	8
3.04 Requirements of the Contract Documents	9
3.05 Reuse of Documents	9
Article 4 – Commencement and Progress of the Work	10
4.01 Commencement of Contract Times; Notice to Proceed	10
4.02 Starting the Work.....	10
4.03 Reference Points	10
4.04 Progress Schedule	10
4.05 Delays in Contractor’s Progress	10
Article 5 – Availability of Lands; Subsurface and Physical Conditions; Hazardous Environmental Conditions	11
5.01 Availability of Lands	11
5.02 Use of Site and Other Areas	12
5.03 Subsurface and Physical Conditions.....	13
5.04 Differing Subsurface or Physical Conditions	13
5.05 Underground Facilities	15
5.06 Hazardous Environmental Conditions at Site.....	16

Article 6 – Bonds and Insurance	18
6.01 Performance, Payment, and Other Bonds	18
6.02 Insurance—General Provisions	19
6.03 Contractor’s Insurance	20
6.04 Owner’s Liability Insurance	22
6.05 Property Insurance.....	22
6.06 Waiver of Rights	24
6.07 Receipt and Application of Property Insurance Proceeds	25
Article 7 – Contractor’s Responsibilities	25
7.01 Supervision and Superintendence	25
7.02 Labor; Working Hours	25
7.03 Services, Materials, and Equipment.....	26
7.04 “Or Equals”	26
7.05 Substitutes	27
7.06 Concerning Subcontractors, Suppliers, and Others	28
7.07 Patent Fees and Royalties	30
7.08 Permits	30
7.09 Taxes	31
7.10 Laws and Regulations.....	31
7.11 Record Documents.....	31
7.12 Safety and Protection.....	31
7.13 Safety Representative	32
7.14 Hazard Communication Programs	32
7.15 Emergencies.....	33
7.16 Shop Drawings, Samples, and Other Submittals.....	33
7.17 Contractor’s General Warranty and Guarantee.....	35
7.18 Indemnification	36
7.19 Delegation of Professional Design Services	36
Article 8 – Other Work at the Site.....	37
8.01 Other Work	37
8.02 Coordination	37
8.03 Legal Relationships.....	38
Article 9 – Owner’s Responsibilities.....	39

9.01	Communications to Contractor.....	39
9.02	Replacement of Engineer	39
9.03	Furnish Data	39
9.04	Pay When Due.....	39
9.05	Lands and Easements; Reports, Tests, and Drawings	39
9.06	Insurance.....	39
9.07	Change Orders.....	39
9.08	Inspections, Tests, and Approvals.....	39
9.09	Limitations on Owner’s Responsibilities	39
9.10	Undisclosed Hazardous Environmental Condition.....	40
9.11	Evidence of Financial Arrangements.....	40
9.12	Safety Programs	40
Article 10 – Engineer’s Status During Construction		40
10.01	Owner’s Representative.....	40
10.02	Visits to Site.....	40
10.03	Project Representative.....	40
10.04	Rejecting Defective Work.....	41
10.05	Shop Drawings, Change Orders and Payments.....	41
10.06	Determinations for Unit Price Work	41
10.07	Decisions on Requirements of Contract Documents and Acceptability of Work	41
10.08	Limitations on Engineer’s Authority and Responsibilities.....	41
10.09	Compliance with Safety Program.....	42
Article 11 – Amending the Contract Documents; Changes in the Work		42
11.01	Amending and Supplementing Contract Documents	42
11.02	Owner-Authorized Changes in the Work	43
11.03	Unauthorized Changes in the Work	43
11.04	Change of Contract Price	43
11.05	Change of Contract Times	44
11.06	Change Proposals	44
11.07	Execution of Change Orders.....	45
11.08	Notification to Surety.....	45
Article 12 – Claims.....		46
12.01	Claims	46

Article 13 – Cost of the Work; Allowances; Unit Price Work	47
13.01 Cost of the Work	47
13.02 Allowances	49
13.03 Unit Price Work	50
Article 14 – Tests and Inspections; Correction, Removal or Acceptance of Defective Work	50
14.01 Access to Work.....	50
14.02 Tests, Inspections, and Approvals.....	50
14.03 Defective Work.....	51
14.04 Acceptance of Defective Work.....	52
14.05 Uncovering Work	52
14.06 Owner May Stop the Work	53
14.07 Owner May Correct Defective Work.....	53
Article 15 – Payments to Contractor; Set-Offs; Completion; Correction Period	53
15.01 Progress Payments	53
15.02 Contractor’s Warranty of Title	56
15.03 Substantial Completion	56
15.04 Partial Use or Occupancy	57
15.05 Final Inspection	58
15.06 Final Payment.....	58
15.07 Waiver of Claims	59
15.08 Correction Period	59
Article 16 – Suspension of Work and Termination	60
16.01 Owner May Suspend Work	60
16.02 Owner May Terminate for Cause.....	60
16.03 Owner May Terminate For Convenience	61
16.04 Contractor May Stop Work or Terminate	62
Article 17 – Final Resolution of Disputes	62
17.01 Methods and Procedures.....	62
Article 18 – Miscellaneous	63
18.01 Giving Notice	63
18.02 Computation of Times.....	63
18.03 Cumulative Remedies	63
18.04 Limitation of Damages	63

18.05	No Waiver	63
18.06	Survival of Obligations	63
18.07	Controlling Law	63
18.08	Headings.....	63

ARTICLE 1 – DEFINITIONS AND TERMINOLOGY

1.01 Defined Terms

- A. Wherever used in the Bidding Requirements or Contract Documents, a term printed with initial capital letters, including the term's singular and plural forms, will have the meaning indicated in the definitions below. In addition to terms specifically defined, terms with initial capital letters in the Contract Documents include references to identified articles and paragraphs, and the titles of other documents or forms.
1. *Addenda*—Written or graphic instruments issued prior to the opening of Bids which clarify, correct, or change the Bidding Requirements or the proposed Contract Documents.
 2. *Agreement*—The written instrument, executed by Owner and Contractor, that sets forth the Contract Price and Contract Times, identifies the parties and the Engineer, and designates the specific items that are Contract Documents.
 3. *Application for Payment*—The form acceptable to Engineer which is to be used by Contractor during the course of the Work in requesting progress or final payments and which is to be accompanied by such supporting documentation as is required by the Contract Documents.
 4. *Bid*—The offer of a Bidder submitted on the prescribed form setting forth the prices for the Work to be performed.
 5. *Bidder*—An individual or entity that submits a Bid to Owner.
 6. *Bidding Documents*—The Bidding Requirements, the proposed Contract Documents, and all Addenda.
 7. *Bidding Requirements*—The advertisement or invitation to bid, Instructions to Bidders, Bid Bond or other Bid security, if any, the Bid Form, and the Bid with any attachments.
 8. *Change Order*—A document which is signed by Contractor and Owner and authorizes an addition, deletion, or revision in the Work or an adjustment in the Contract Price or the Contract Times, or other revision to the Contract, issued on or after the Effective Date of the Contract.
 9. *Change Proposal*—A written request by Contractor, duly submitted in compliance with the procedural requirements set forth herein, seeking an adjustment in Contract Price or Contract Times, or both; contesting an initial decision by Engineer concerning the requirements of the Contract Documents or the acceptability of Work under the Contract Documents; challenging a set-off against payments due; or seeking other relief with respect to the terms of the Contract.
 10. *Claim*—(a) A demand or assertion by Owner directly to Contractor, duly submitted in compliance with the procedural requirements set forth herein: seeking an adjustment of Contract Price or Contract Times, or both; contesting an initial decision by Engineer concerning the requirements of the Contract Documents or the acceptability of Work under the Contract Documents; contesting Engineer's decision regarding a Change Proposal; seeking resolution of a contractual issue that Engineer has declined to address; or seeking other relief with respect to the terms of the Contract; or (b) a demand or assertion by Contractor directly to Owner, duly submitted in compliance with the procedural requirements set forth herein, contesting Engineer's decision regarding a

Change Proposal; or seeking resolution of a contractual issue that Engineer has declined to address. A demand for money or services by a third party is not a Claim.

11. *Constituent of Concern*—Asbestos, petroleum, radioactive materials, polychlorinated biphenyls (PCBs), hazardous waste, and any substance, product, waste, or other material of any nature whatsoever that is or becomes listed, regulated, or addressed pursuant to (a) the Comprehensive Environmental Response, Compensation and Liability Act, 42 U.S.C. §§9601 et seq. (“CERCLA”); (b) the Hazardous Materials Transportation Act, 49 U.S.C. §§5501 et seq.; (c) the Resource Conservation and Recovery Act, 42 U.S.C. §§6901 et seq. (“RCRA”); (d) the Toxic Substances Control Act, 15 U.S.C. §§2601 et seq.; (e) the Clean Water Act, 33 U.S.C. §§1251 et seq.; (f) the Clean Air Act, 42 U.S.C. §§7401 et seq.; or (g) any other federal, state, or local statute, law, rule, regulation, ordinance, resolution, code, order, or decree regulating, relating to, or imposing liability or standards of conduct concerning, any hazardous, toxic, or dangerous waste, substance, or material.
12. *Contract*—The entire and integrated written contract between the Owner and Contractor concerning the Work.
13. *Contract Documents*—Those items so designated in the Agreement, and which together comprise the Contract.
14. *Contract Price*—The money that Owner has agreed to pay Contractor for completion of the Work in accordance with the Contract Documents. .
15. *Contract Times*—The number of days or the dates by which Contractor shall: (a) achieve Milestones, if any; (b) achieve Substantial Completion; and (c) complete the Work.
16. *Contractor*—The individual or entity with which Owner has contracted for performance of the Work.
17. *Cost of the Work*—See Paragraph 13.01 for definition.
18. *Drawings*—The part of the Contract that graphically shows the scope, extent, and character of the Work to be performed by Contractor.
19. *Effective Date of the Contract*—The date, indicated in the Agreement, on which the Contract becomes effective.
20. *Engineer*—The individual or entity named as such in the Agreement.
21. *Field Order*—A written order issued by Engineer which requires minor changes in the Work but does not change the Contract Price or the Contract Times.
22. *Hazardous Environmental Condition*—The presence at the Site of Constituents of Concern in such quantities or circumstances that may present a danger to persons or property exposed thereto. The presence at the Site of materials that are necessary for the execution of the Work, or that are to be incorporated in the Work, and that are controlled and contained pursuant to industry practices, Laws and Regulations, and the requirements of the Contract, does not establish a Hazardous Environmental Condition.
23. *Laws and Regulations; Laws or Regulations*—Any and all applicable laws, statutes, rules, regulations, ordinances, codes, and orders of any and all governmental bodies, agencies, authorities, and courts having jurisdiction.
24. *Liens*—Charges, security interests, or encumbrances upon Contract-related funds, real property, or personal property.

25. *Milestone*—A principal event in the performance of the Work that the Contract requires Contractor to achieve by an intermediate completion date or by a time prior to Substantial Completion of all the Work.
26. *Notice of Award*—The written notice by Owner to a Bidder of Owner’s acceptance of the Bid.
27. *Notice to Proceed*—A written notice by Owner to Contractor fixing the date on which the Contract Times will commence to run and on which Contractor shall start to perform the Work.
28. *Owner*—The individual or entity with which Contractor has contracted regarding the Work, and which has agreed to pay Contractor for the performance of the Work, pursuant to the terms of the Contract.
29. *Progress Schedule*—A schedule, prepared and maintained by Contractor, describing the sequence and duration of the activities comprising the Contractor’s plan to accomplish the Work within the Contract Times.
30. *Project*—The total undertaking to be accomplished for Owner by engineers, contractors, and others, including planning, study, design, construction, testing, commissioning, and start-up, and of which the Work to be performed under the Contract Documents is a part.
31. *Project Manual*—The written documents prepared for, or made available for, procuring and constructing the Work, including but not limited to the Bidding Documents or other construction procurement documents, geotechnical and existing conditions information, the Agreement, bond forms, General Conditions, Supplementary Conditions, and Specifications. The contents of the Project Manual may be bound in one or more volumes.
32. *Resident Project Representative*—The authorized representative of Engineer assigned to assist Engineer at the Site. As used herein, the term Resident Project Representative or “RPR” includes any assistants or field staff of Resident Project Representative.
33. *Samples*—Physical examples of materials, equipment, or workmanship that are representative of some portion of the Work and that establish the standards by which such portion of the Work will be judged.
34. *Schedule of Submittals*—A schedule, prepared and maintained by Contractor, of required submittals and the time requirements for Engineer’s review of the submittals and the performance of related construction activities.
35. *Schedule of Values*—A schedule, prepared and maintained by Contractor, allocating portions of the Contract Price to various portions of the Work and used as the basis for reviewing Contractor’s Applications for Payment.
36. *Shop Drawings*—All drawings, diagrams, illustrations, schedules, and other data or information that are specifically prepared or assembled by or for Contractor and submitted by Contractor to illustrate some portion of the Work. Shop Drawings, whether approved or not, are not Drawings and are not Contract Documents.
37. *Site*—Lands or areas indicated in the Contract Documents as being furnished by Owner upon which the Work is to be performed, including rights-of-way and easements, and such other lands furnished by Owner which are designated for the use of Contractor.
38. *Specifications*—The part of the Contract that consists of written requirements for materials, equipment, systems, standards, and workmanship as applied to the Work, and certain administrative requirements and procedural matters applicable to the Work.

39. *Subcontractor*—An individual or entity having a direct contract with Contractor or with any other Subcontractor for the performance of a part of the Work.
40. *Substantial Completion*—The time at which the Work (or a specified part thereof) has progressed to the point where, in the opinion of Engineer, the Work (or a specified part thereof) is sufficiently complete, in accordance with the Contract Documents, so that the Work (or a specified part thereof) can be utilized for the purposes for which it is intended. The terms “substantially complete” and “substantially completed” as applied to all or part of the Work refer to Substantial Completion thereof.
41. *Successful Bidder*—The Bidder whose Bid the Owner accepts, and to which the Owner makes an award of contract, subject to stated conditions.
42. *Supplementary Conditions*—The part of the Contract that amends or supplements these General Conditions.
43. *Supplier*—A manufacturer, fabricator, supplier, distributor, materialman, or vendor having a direct contract with Contractor or with any Subcontractor to furnish materials or equipment to be incorporated in the Work by Contractor or a Subcontractor.
44. *Technical Data*—Those items expressly identified as Technical Data in the Supplementary Conditions, with respect to either (a) subsurface conditions at the Site, or physical conditions relating to existing surface or subsurface structures at the Site (except Underground Facilities) or (b) Hazardous Environmental Conditions at the Site. If no such express identifications of Technical Data have been made with respect to conditions at the Site, then the data contained in boring logs, recorded measurements of subsurface water levels, laboratory test results, and other factual, objective information regarding conditions at the Site that are set forth in any geotechnical or environmental report prepared for the Project and made available to Contractor are hereby defined as Technical Data with respect to conditions at the Site under Paragraphs 5.03, 5.04, and 5.06.
45. *Underground Facilities*—All underground pipelines, conduits, ducts, cables, wires, manholes, vaults, tanks, tunnels, or other such facilities or attachments, and any encasements containing such facilities, including but not limited to those that convey electricity, gases, steam, liquid petroleum products, telephone or other communications, fiber optic transmissions, cable television, water, wastewater, storm water, other liquids or chemicals, or traffic or other control systems.
46. *Unit Price Work*—Work to be paid for on the basis of unit prices.
47. *Work*—The entire construction or the various separately identifiable parts thereof required to be provided under the Contract Documents. Work includes and is the result of performing or providing all labor, services, and documentation necessary to produce such construction; furnishing, installing, and incorporating all materials and equipment into such construction; and may include related services such as testing, start-up, and commissioning, all as required by the Contract Documents.
48. *Work Change Directive*—A written directive to Contractor issued on or after the Effective Date of the Contract, signed by Owner and recommended by Engineer, ordering an addition, deletion, or revision in the Work.

1.02 Terminology

- A. The words and terms discussed in the following paragraphs are not defined but, when used in the Bidding Requirements or Contract Documents, have the indicated meaning.

B. *Intent of Certain Terms or Adjectives:*

1. The Contract Documents include the terms “as allowed,” “as approved,” “as ordered,” “as directed” or terms of like effect or import to authorize an exercise of professional judgment by Engineer. In addition, the adjectives “reasonable,” “suitable,” “acceptable,” “proper,” “satisfactory,” or adjectives of like effect or import are used to describe an action or determination of Engineer as to the Work. It is intended that such exercise of professional judgment, action, or determination will be solely to evaluate, in general, the Work for compliance with the information in the Contract Documents and with the design concept of the Project as a functioning whole as shown or indicated in the Contract Documents (unless there is a specific statement indicating otherwise). The use of any such term or adjective is not intended to and shall not be effective to assign to Engineer any duty or authority to supervise or direct the performance of the Work, or any duty or authority to undertake responsibility contrary to the provisions of Article 10 or any other provision of the Contract Documents.

C. *Day:*

1. The word “day” means a calendar day of 24 hours measured from midnight to the next midnight.

D. *Defective:*

1. The word “defective,” when modifying the word “Work,” refers to Work that is unsatisfactory, faulty, or deficient in that it:
 - a. does not conform to the Contract Documents; or
 - b. does not meet the requirements of any applicable inspection, reference standard, test, or approval referred to in the Contract Documents; or
 - c. has been damaged prior to Engineer’s recommendation of final payment (unless responsibility for the protection thereof has been assumed by Owner at Substantial Completion in accordance with Paragraph 15.03 or 15.04).

E. *Furnish, Install, Perform, Provide:*

1. The word “furnish,” when used in connection with services, materials, or equipment, shall mean to supply and deliver said services, materials, or equipment to the Site (or some other specified location) ready for use or installation and in usable or operable condition.
2. The word “install,” when used in connection with services, materials, or equipment, shall mean to put into use or place in final position said services, materials, or equipment complete and ready for intended use.
3. The words “perform” or “provide,” when used in connection with services, materials, or equipment, shall mean to furnish and install said services, materials, or equipment complete and ready for intended use.
4. If the Contract Documents establish an obligation of Contractor with respect to specific services, materials, or equipment, but do not expressly use any of the four words “furnish,” “install,” “perform,” or “provide,” then Contractor shall furnish and install said services, materials, or equipment complete and ready for intended use.

- F. Unless stated otherwise in the Contract Documents, words or phrases that have a well-known technical or construction industry or trade meaning are used in the Contract Documents in accordance with such recognized meaning.

ARTICLE 2 – PRELIMINARY MATTERS

2.01 Delivery of Bonds and Evidence of Insurance

- A. *Bonds*: When Contractor delivers the executed counterparts of the Agreement to Owner, Contractor shall also deliver to Owner such bonds as Contractor may be required to furnish.
- B. *Evidence of Contractor's Insurance*: When Contractor delivers the executed counterparts of the Agreement to Owner, Contractor shall also deliver to Owner, with copies to each named insured and additional insured (as identified in the Supplementary Conditions or elsewhere in the Contract), the certificates and other evidence of insurance required to be provided by Contractor in accordance with Article 6.
- C. *Evidence of Owner's Insurance*: After receipt of the executed counterparts of the Agreement and all required bonds and insurance documentation, Owner shall promptly deliver to Contractor, with copies to each named insured and additional insured (as identified in the Supplementary Conditions or otherwise), the certificates and other evidence of insurance required to be provided by Owner under Article 6.

2.02 Copies of Documents

- A. Owner shall furnish to Contractor four printed copies of the Contract (including one fully executed counterpart of the Agreement), and one copy in electronic portable document format (PDF). Additional printed copies will be furnished upon request at the cost of reproduction.
- B. Owner shall maintain and safeguard at least one original printed record version of the Contract, including Drawings and Specifications signed and sealed by Engineer and other design professionals. Owner shall make such original printed record version of the Contract available to Contractor for review. Owner may delegate the responsibilities under this provision to Engineer.

2.03 Before Starting Construction

- A. *Preliminary Schedules*: Within 10 days after the Effective Date of the Contract (or as otherwise specifically required by the Contract Documents), Contractor shall submit to Engineer for timely review:
 - 1. a preliminary Progress Schedule indicating the times (numbers of days or dates) for starting and completing the various stages of the Work, including any Milestones specified in the Contract;
 - 2. a preliminary Schedule of Submittals; and
 - 3. a preliminary Schedule of Values for all of the Work which includes quantities and prices of items which when added together equal the Contract Price and subdivides the Work into component parts in sufficient detail to serve as the basis for progress payments during performance of the Work. Such prices will include an appropriate amount of overhead and profit applicable to each item of Work.

2.04 Preconstruction Conference; Designation of Authorized Representatives

- A. Before any Work at the Site is started, a conference attended by Owner, Contractor, Engineer, and others as appropriate will be held to establish a working understanding among the parties as to the Work and to discuss the schedules referred to in Paragraph 2.03.A, procedures for handling Shop Drawings, Samples, and other submittals, processing Applications for Payment, electronic or digital transmittals, and maintaining required records.

- B. At this conference Owner and Contractor each shall designate, in writing, a specific individual to act as its authorized representative with respect to the services and responsibilities under the Contract. Such individuals shall have the authority to transmit and receive information, render decisions relative to the Contract, and otherwise act on behalf of each respective party.

2.05 Initial Acceptance of Schedules

- A. At least 10 days before submission of the first Application for Payment a conference, attended by Contractor, Engineer, and others as appropriate, will be held to review for acceptability to Engineer as provided below the schedules submitted in accordance with Paragraph 2.03.A. Contractor shall have an additional 10 days to make corrections and adjustments and to complete and resubmit the schedules. No progress payment shall be made to Contractor until acceptable schedules are submitted to Engineer.
 - 1. The Progress Schedule will be acceptable to Engineer if it provides an orderly progression of the Work to completion within the Contract Times. Such acceptance will not impose on Engineer responsibility for the Progress Schedule, for sequencing, scheduling, or progress of the Work, nor interfere with or relieve Contractor from Contractor's full responsibility therefor.
 - 2. Contractor's Schedule of Submittals will be acceptable to Engineer if it provides a workable arrangement for reviewing and processing the required submittals.
 - 3. Contractor's Schedule of Values will be acceptable to Engineer as to form and substance if it provides a reasonable allocation of the Contract Price to the component parts of the Work.

2.06 Electronic Transmittals

- A. Except as otherwise stated elsewhere in the Contract, the Owner, Engineer, and Contractor may transmit, and shall accept, Project-related correspondence, text, data, documents, drawings, information, and graphics, including but not limited to Shop Drawings and other submittals, in electronic media or digital format, either directly, or through access to a secure Project website.
- B. If the Contract does not establish protocols for electronic or digital transmittals, then Owner, Engineer, and Contractor shall jointly develop such protocols.
- C. When transmitting items in electronic media or digital format, the transmitting party makes no representations as to long term compatibility, usability, or readability of the items resulting from the recipient's use of software application packages, operating systems, or computer hardware differing from those used in the drafting or transmittal of the items, or from those established in applicable transmittal protocols.

ARTICLE 3 – DOCUMENTS: INTENT, REQUIREMENTS, REUSE

3.01 Intent

- A. The Contract Documents are complementary; what is required by one is as binding as if required by all.
- B. It is the intent of the Contract Documents to describe a functionally complete project (or part thereof) to be constructed in accordance with the Contract Documents.
- C. Unless otherwise stated in the Contract Documents, if there is a discrepancy between the electronic or digital versions of the Contract Documents (including any printed copies derived

from such electronic or digital versions) and the printed record version, the printed record version shall govern.

- D. The Contract supersedes prior negotiations, representations, and agreements, whether written or oral.
- E. Engineer will issue clarifications and interpretations of the Contract Documents as provided herein.

3.02 Reference Standards

A. Standards Specifications, Codes, Laws and Regulations

1. Reference in the Contract Documents to standard specifications, manuals, reference standards, or codes of any technical society, organization, or association, or to Laws or Regulations, whether such reference be specific or by implication, shall mean the standard specification, manual, reference standard, code, or Laws or Regulations in effect at the time of opening of Bids (or on the Effective Date of the Contract if there were no Bids), except as may be otherwise specifically stated in the Contract Documents.
2. No provision of any such standard specification, manual, reference standard, or code, or any instruction of a Supplier, shall be effective to change the duties or responsibilities of Owner, Contractor, or Engineer, or any of their subcontractors, consultants, agents, or employees, from those set forth in the part of the Contract Documents prepared by or for Engineer. No such provision or instruction shall be effective to assign to Owner, Engineer, or any of their officers, directors, members, partners, employees, agents, consultants, or subcontractors, any duty or authority to supervise or direct the performance of the Work or any duty or authority to undertake responsibility inconsistent with the provisions of the part of the Contract Documents prepared by or for Engineer.

3.03 Reporting and Resolving Discrepancies

A. *Reporting Discrepancies:*

1. *Contractor's Verification of Figures and Field Measurements:* Before undertaking each part of the Work, Contractor shall carefully study the Contract Documents, and check and verify pertinent figures and dimensions therein, particularly with respect to applicable field measurements. Contractor shall promptly report in writing to Engineer any conflict, error, ambiguity, or discrepancy that Contractor discovers, or has actual knowledge of, and shall not proceed with any Work affected thereby until the conflict, error, ambiguity, or discrepancy is resolved, by a clarification or interpretation by Engineer, or by an amendment or supplement to the Contract Documents issued pursuant to Paragraph 11.01.
2. *Contractor's Review of Contract Documents:* If, before or during the performance of the Work, Contractor discovers any conflict, error, ambiguity, or discrepancy within the Contract Documents, or between the Contract Documents and (a) any applicable Law or Regulation, (b) actual field conditions, (c) any standard specification, manual, reference standard, or code, or (d) any instruction of any Supplier, then Contractor shall promptly report it to Engineer in writing. Contractor shall not proceed with the Work affected thereby (except in an emergency as required by Paragraph 7.15) until the conflict, error, ambiguity, or discrepancy is resolved, by a clarification or interpretation by Engineer, or by an amendment or supplement to the Contract Documents issued pursuant to Paragraph 11.01.

3. Contractor shall not be liable to Owner or Engineer for failure to report any conflict, error, ambiguity, or discrepancy in the Contract Documents unless Contractor had actual knowledge thereof.

B. *Resolving Discrepancies:*

1. Except as may be otherwise specifically stated in the Contract Documents, the provisions of the part of the Contract Documents prepared by or for Engineer shall take precedence in resolving any conflict, error, ambiguity, or discrepancy between such provisions of the Contract Documents and:
 - a. the provisions of any standard specification, manual, reference standard, or code, or the instruction of any Supplier (whether or not specifically incorporated by reference as a Contract Document); or
 - b. the provisions of any Laws or Regulations applicable to the performance of the Work (unless such an interpretation of the provisions of the Contract Documents would result in violation of such Law or Regulation).

3.04 Requirements of the Contract Documents

- A. During the performance of the Work and until final payment, Contractor and Owner shall submit to the Engineer all matters in question concerning the requirements of the Contract Documents (sometimes referred to as requests for information or interpretation—RFIs), or relating to the acceptability of the Work under the Contract Documents, as soon as possible after such matters arise. Engineer will be the initial interpreter of the requirements of the Contract Documents, and judge of the acceptability of the Work thereunder.
- B. Engineer will, with reasonable promptness, render a written clarification, interpretation, or decision on the issue submitted, or initiate an amendment or supplement to the Contract Documents. Engineer's written clarification, interpretation, or decision will be final and binding on Contractor, unless it appeals by submitting a Change Proposal, and on Owner, unless it appeals by filing a Claim.
- C. If a submitted matter in question concerns terms and conditions of the Contract Documents that do not involve (1) the performance or acceptability of the Work under the Contract Documents, (2) the design (as set forth in the Drawings, Specifications, or otherwise), or (3) other engineering or technical matters, then Engineer will promptly give written notice to Owner and Contractor that Engineer is unable to provide a decision or interpretation. If Owner and Contractor are unable to agree on resolution of such a matter in question, either party may pursue resolution as provided in Article 12.

3.05 Reuse of Documents

- A. Contractor and its Subcontractors and Suppliers shall not:
 1. have or acquire any title to or ownership rights in any of the Drawings, Specifications, or other documents (or copies of any thereof) prepared by or bearing the seal of Engineer or its consultants, including electronic media editions, or reuse any such Drawings, Specifications, other documents, or copies thereof on extensions of the Project or any other project without written consent of Owner and Engineer and specific written verification or adaptation by Engineer; or
 2. have or acquire any title or ownership rights in any other Contract Documents, reuse any such Contract Documents for any purpose without Owner's express written consent, or violate any copyrights pertaining to such Contract Documents.

- B. The prohibitions of this Paragraph 3.05 will survive final payment, or termination of the Contract. Nothing herein shall preclude Contractor from retaining copies of the Contract Documents for record purposes.

ARTICLE 4 – COMMENCEMENT AND PROGRESS OF THE WORK

4.01 Commencement of Contract Times; Notice to Proceed

- A. The Contract Times will commence to run on the thirtieth day after the Effective Date of the Contract or, if a Notice to Proceed is given, on the day indicated in the Notice to Proceed. A Notice to Proceed may be given at any time within 30 days after the Effective Date of the Contract. 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.

4.02 Starting the Work

- A. Contractor shall start to perform the Work on the date when the Contract Times commence to run. No Work shall be done at the Site prior to such date.

4.03 Reference Points

- A. Owner shall provide engineering surveys to establish reference points for construction which in Engineer's judgment are necessary to enable Contractor to proceed with the Work. Contractor shall be responsible for laying out the Work, shall protect and preserve the established reference points and property monuments, and shall make no changes or relocations without the prior written approval of Owner. Contractor shall report to Engineer whenever any reference point or property monument is lost or destroyed or requires relocation because of necessary changes in grades or locations, and shall be responsible for the accurate replacement or relocation of such reference points or property monuments by professionally qualified personnel.

4.04 Progress Schedule

- A. Contractor shall adhere to the Progress Schedule established in accordance with Paragraph 2.05 as it may be adjusted from time to time as provided below.
 - 1. Contractor shall submit to Engineer for acceptance (to the extent indicated in Paragraph 2.05) proposed adjustments in the Progress Schedule that will not result in changing the Contract Times.
 - 2. Proposed adjustments in the Progress Schedule that will change the Contract Times shall be submitted in accordance with the requirements of Article 11.
- B. Contractor shall carry on the Work and adhere to the Progress Schedule during all disputes or disagreements with Owner. No Work shall be delayed or postponed pending resolution of any disputes or disagreements, or during any appeal process, except as permitted by Paragraph 16.04, or as Owner and Contractor may otherwise agree in writing.

4.05 Delays in Contractor's Progress

- A. If Owner, Engineer, or anyone for whom Owner is responsible, delays, disrupts, or interferes with the performance or progress of the Work, then Contractor shall be entitled to an equitable adjustment in the Contract Times and Contract Price. Contractor's entitlement to an adjustment of the Contract Times is conditioned on such adjustment being essential to Contractor's ability to complete the Work within the Contract Times.

- B. Contractor shall not be entitled to an adjustment in Contract Price or Contract Times for delay, disruption, or interference caused by or within the control of Contractor. Delay, disruption, and interference attributable to and within the control of a Subcontractor or Supplier shall be deemed to be within the control of Contractor.
- C. If Contractor's performance or progress is delayed, disrupted, or interfered with by unanticipated causes not the fault of and beyond the control of Owner, Contractor, and those for which they are responsible, then Contractor shall be entitled to an equitable adjustment in Contract Times. Contractor's entitlement to an adjustment of the Contract Times is conditioned on such adjustment being essential to Contractor's ability to complete the Work within the Contract Times. Such an adjustment shall be Contractor's sole and exclusive remedy for the delays, disruption, and interference described in this paragraph. Causes of delay, disruption, or interference that may give rise to an adjustment in Contract Times under this paragraph include but are not limited to the following:
 - 1. severe and unavoidable natural catastrophes such as fires, floods, epidemics, and earthquakes;
 - 2. abnormal weather conditions;
 - 3. acts or failures to act of utility owners (other than those performing other work at or adjacent to the Site by arrangement with the Owner, as contemplated in Article 8); and
 - 4. acts of war or terrorism.
- D. Delays, disruption, and interference to the performance or progress of the Work resulting from the existence of a differing subsurface or physical condition, an Underground Facility that was not shown or indicated by the Contract Documents, or not shown or indicated with reasonable accuracy, and those resulting from Hazardous Environmental Conditions, are governed by Article 5.
- E. Paragraph 8.03 governs delays, disruption, and interference to the performance or progress of the Work resulting from the performance of certain other work at or adjacent to the Site.
- F. Contractor shall not be entitled to an adjustment in Contract Price or Contract Times for any delay, disruption, or interference if such delay is concurrent with a delay, disruption, or interference caused by or within the control of Contractor.
- G. Contractor must submit any Change Proposal seeking an adjustment in Contract Price or Contract Times under this paragraph within 30 days of the commencement of the delaying, disrupting, or interfering event.

ARTICLE 5 – AVAILABILITY OF LANDS; SUBSURFACE AND PHYSICAL CONDITIONS; HAZARDOUS ENVIRONMENTAL CONDITIONS

5.01 Availability of Lands

- A. Owner shall furnish the Site. Owner shall notify Contractor of any encumbrances or restrictions not of general application but specifically related to use of the Site with which Contractor must comply in performing the Work.
- B. Upon reasonable written request, Owner shall furnish Contractor with a current statement of record legal title and legal description of the lands upon which permanent improvements are to be made and Owner's interest therein as necessary for giving notice of or filing a mechanic's or construction lien against such lands in accordance with applicable Laws and Regulations.

- C. Contractor shall provide for all additional lands and access thereto that may be required for temporary construction facilities or storage of materials and equipment.

5.02 Use of Site and Other Areas

A. *Limitation on Use of Site and Other Areas:*

1. Contractor shall confine construction equipment, temporary construction facilities, the storage of materials and equipment, and the operations of workers to the Site, adjacent areas that Contractor has arranged to use through construction easements or otherwise, and other adjacent areas permitted by Laws and Regulations, and shall not unreasonably encumber the Site and such other adjacent areas with construction equipment or other materials or equipment. Contractor shall assume full responsibility for (a) damage to the Site; (b) damage to any such other adjacent areas used for Contractor's operations; (c) damage to any other adjacent land or areas; and (d) for injuries and losses sustained by the owners or occupants of any such land or areas; provided that such damage or injuries result from the performance of the Work or from other actions or conduct of the Contractor or those for which Contractor is responsible.
2. If a damage or injury claim is made by the owner or occupant of any such land or area because of the performance of the Work, or because of other actions or conduct of the Contractor or those for which Contractor is responsible, Contractor shall (a) take immediate corrective or remedial action as required by Paragraph 7.12, or otherwise; (b) promptly attempt to settle the claim as to all parties through negotiations with such owner or occupant, or otherwise resolve the claim by arbitration or other dispute resolution proceeding, or at law; and (c) to the fullest extent permitted by Laws and Regulations, indemnify and hold harmless Owner and Engineer, and the officers, directors, members, partners, employees, agents, consultants and subcontractors of each and any of them from and against any such claim, and against all costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration or other dispute resolution costs) arising out of or relating to any claim or action, legal or equitable, brought by any such owner or occupant against Owner, Engineer, or any other party indemnified hereunder to the extent caused directly or indirectly, in whole or in part by, or based upon, Contractor's performance of the Work, or because of other actions or conduct of the Contractor or those for which Contractor is responsible.

- B. *Removal of Debris During Performance of the Work:* During the progress of the Work the Contractor shall keep the Site and other adjacent areas free from accumulations of waste materials, rubbish, and other debris. Removal and disposal of such waste materials, rubbish, and other debris shall conform to applicable Laws and Regulations.

- C. *Cleaning:* Prior to Substantial Completion of the Work Contractor shall clean the Site and the Work and make it ready for utilization by Owner. At the completion of the Work Contractor shall remove from the Site and adjacent areas all tools, appliances, construction equipment and machinery, and surplus materials and shall restore to original condition all property not designated for alteration by the Contract Documents.

- D. *Loading of Structures:* Contractor shall not load nor permit any part of any structure to be loaded in any manner that will endanger the structure, nor shall Contractor subject any part of the Work or adjacent structures or land to stresses or pressures that will endanger them.

5.03 Subsurface and Physical Conditions

- A. *Reports and Drawings:* The Supplementary Conditions identify:
1. those reports known to Owner of explorations and tests of subsurface conditions at or adjacent to the Site;
 2. those drawings known to Owner of physical conditions relating to existing surface or subsurface structures at the Site (except Underground Facilities); and
 3. Technical Data contained in such reports and drawings.
- B. *Reliance by Contractor on Technical Data Authorized:* Contractor may rely upon the accuracy of the Technical Data expressly identified in the Supplementary Conditions with respect to such reports and drawings, but such reports and drawings are not Contract Documents. If no such express identification has been made, then Contractor may rely upon the accuracy of the Technical Data (as defined in Article 1) contained in any geotechnical or environmental report prepared for the Project and made available to Contractor. Except for such reliance on Technical Data, Contractor may not rely upon or make any claim against Owner or Engineer, or any of their officers, directors, members, partners, employees, agents, consultants, or subcontractors, with respect to:
1. the completeness of such reports and drawings for Contractor's purposes, including, but not limited to, any aspects of the means, methods, techniques, sequences, and procedures of construction to be employed by Contractor, and safety precautions and programs incident thereto; or
 2. other data, interpretations, opinions, and information contained in such reports or shown or indicated in such drawings; or
 3. any Contractor interpretation of or conclusion drawn from any Technical Data or any such other data, interpretations, opinions, or information.

5.04 Differing Subsurface or Physical Conditions

- A. *Notice by Contractor:* If Contractor believes that any subsurface or physical condition that is uncovered or revealed at the Site either:
1. is of such a nature as to establish that any Technical Data on which Contractor is entitled to rely as provided in Paragraph 5.03 is materially inaccurate; or
 2. is of such a nature as to require a change in the Drawings or Specifications; or
 3. differs materially from that shown or indicated in the Contract Documents; or
 4. is of an unusual nature, and differs materially from conditions ordinarily encountered and generally recognized as inherent in work of the character provided for in the Contract Documents;

then Contractor shall, promptly after becoming aware thereof and before further disturbing the subsurface or physical conditions or performing any Work in connection therewith (except in an emergency as required by Paragraph 7.15), notify Owner and Engineer in writing about such condition. Contractor shall not further disturb such condition or perform any Work in connection therewith (except with respect to an emergency) until receipt of a written statement permitting Contractor to do so.

- B. *Engineer's Review:* After receipt of written notice as required by the preceding paragraph, Engineer will promptly review the subsurface or physical condition in question; determine the

necessity of Owner's obtaining additional exploration or tests with respect to the condition; conclude whether the condition falls within any one or more of the differing site condition categories in Paragraph 5.04.A above; obtain any pertinent cost or schedule information from Contractor; prepare recommendations to Owner regarding the Contractor's resumption of Work in connection with the subsurface or physical condition in question and the need for any change in the Drawings or Specifications; and advise Owner in writing of Engineer's findings, conclusions, and recommendations.

- C. *Owner's Statement to Contractor Regarding Site Condition:* After receipt of Engineer's written findings, conclusions, and recommendations, Owner shall issue a written statement to Contractor (with a copy to Engineer) regarding the subsurface or physical condition in question, addressing the resumption of Work in connection with such condition, indicating whether any change in the Drawings or Specifications will be made, and adopting or rejecting Engineer's written findings, conclusions, and recommendations, in whole or in part.
- D. *Possible Price and Times Adjustments:*
1. Contractor shall be entitled to an equitable adjustment in Contract Price or Contract Times, or both, to the extent that the existence of a differing subsurface or physical condition, or any related delay, disruption, or interference, causes an increase or decrease in Contractor's cost of, or time required for, performance of the Work; subject, however, to the following:
 - a. such condition must fall within any one or more of the categories described in Paragraph 5.04.A;
 - b. with respect to Work that is paid for on a unit price basis, any adjustment in Contract Price will be subject to the provisions of Paragraph 13.03; and,
 - c. Contractor's entitlement to an adjustment of the Contract Times is conditioned on such adjustment being essential to Contractor's ability to complete the Work within the Contract Times.
 2. Contractor shall not be entitled to any adjustment in the Contract Price or Contract Times with respect to a subsurface or physical condition if:
 - a. Contractor knew of the existence of such condition at the time Contractor made a commitment to Owner with respect to Contract Price and Contract Times by the submission of a Bid or becoming bound under a negotiated contract, or otherwise; or
 - b. the existence of such condition reasonably could have been discovered or revealed as a result of any examination, investigation, exploration, test, or study of the Site and contiguous areas expressly required by the Bidding Requirements or Contract Documents to be conducted by or for Contractor prior to Contractor's making such commitment; or
 - c. Contractor failed to give the written notice as required by Paragraph 5.04.A.
 3. If Owner and Contractor agree regarding Contractor's entitlement to and the amount or extent of any adjustment in the Contract Price or Contract Times, or both, then any such adjustment shall be set forth in a Change Order.
 4. Contractor may submit a Change Proposal regarding its entitlement to or the amount or extent of any adjustment in the Contract Price or Contract Times, or both, no later than

30 days after Owner's issuance of the Owner's written statement to Contractor regarding the subsurface or physical condition in question.

5.05 Underground Facilities

- A. *Contractor's Responsibilities:* The information and data shown or indicated in the Contract Documents with respect to existing Underground Facilities at or adjacent to the Site is based on information and data furnished to Owner or Engineer by the owners of such Underground Facilities, including Owner, or by others. Unless it is otherwise expressly provided in the Supplementary Conditions:
1. Owner and Engineer do not warrant or guarantee the accuracy or completeness of any such information or data provided by others; and
 2. the cost of all of the following will be included in the Contract Price, and Contractor shall have full responsibility for:
 - a. reviewing and checking all information and data regarding existing Underground Facilities at the Site;
 - b. locating all Underground Facilities shown or indicated in the Contract Documents as being at the Site;
 - c. coordination of the Work with the owners (including Owner) of such Underground Facilities, during construction; and
 - d. the safety and protection of all existing Underground Facilities at the Site, and repairing any damage thereto resulting from the Work.
- B. *Notice by Contractor:* If Contractor believes that an Underground Facility that is uncovered or revealed at the Site was not shown or indicated in the Contract Documents, or was not shown or indicated with reasonable accuracy, then Contractor shall, promptly after becoming aware thereof and before further disturbing conditions affected thereby or performing any Work in connection therewith (except in an emergency as required by Paragraph 7.15), identify the owner of such Underground Facility and give written notice to that owner and to Owner and Engineer.
- C. *Engineer's Review:* Engineer will promptly review the Underground Facility and conclude whether such Underground Facility was not shown or indicated in the Contract Documents, or was not shown or indicated with reasonable accuracy; obtain any pertinent cost or schedule information from Contractor; prepare recommendations to Owner regarding the Contractor's resumption of Work in connection with the Underground Facility in question; determine the extent, if any, to which a change is required in the Drawings or Specifications to reflect and document the consequences of the existence or location of the Underground Facility; and advise Owner in writing of Engineer's findings, conclusions, and recommendations. During such time, Contractor shall be responsible for the safety and protection of such Underground Facility.
- D. *Owner's Statement to Contractor Regarding Underground Facility:* After receipt of Engineer's written findings, conclusions, and recommendations, Owner shall issue a written statement to Contractor (with a copy to Engineer) regarding the Underground Facility in question, addressing the resumption of Work in connection with such Underground Facility, indicating whether any change in the Drawings or Specifications will be made, and adopting or rejecting Engineer's written findings, conclusions, and recommendations in whole or in part.

E. *Possible Price and Times Adjustments:*

1. Contractor shall be entitled to an equitable adjustment in the Contract Price or Contract Times, or both, to the extent that any existing Underground Facility at the Site that was not shown or indicated in the Contract Documents, or was not shown or indicated with reasonable accuracy, or any related delay, disruption, or interference, causes an increase or decrease in Contractor's cost of, or time required for, performance of the Work; subject, however, to the following:
 - a. Contractor did not know of and could not reasonably have been expected to be aware of or to have anticipated the existence or actual location of the Underground Facility in question;
 - b. With respect to Work that is paid for on a unit price basis, any adjustment in Contract Price will be subject to the provisions of Paragraph 13.03;
 - c. Contractor's entitlement to an adjustment of the Contract Times is conditioned on such adjustment being essential to Contractor's ability to complete the Work within the Contract Times; and
 - d. Contractor gave the notice required in Paragraph 5.05.B.
2. If Owner and Contractor agree regarding Contractor's entitlement to and the amount or extent of any adjustment in the Contract Price or Contract Times, or both, then any such adjustment shall be set forth in a Change Order.
3. Contractor may submit a Change Proposal regarding its entitlement to or the amount or extent of any adjustment in the Contract Price or Contract Times, or both, no later than 30 days after Owner's issuance of the Owner's written statement to Contractor regarding the Underground Facility in question.

5.06 Hazardous Environmental Conditions at Site

A. *Reports and Drawings:* The Supplementary Conditions identify:

1. those reports and drawings known to Owner relating to Hazardous Environmental Conditions that have been identified at or adjacent to the Site; and
2. Technical Data contained in such reports and drawings.

B. *Reliance by Contractor on Technical Data Authorized:* Contractor may rely upon the accuracy of the Technical Data expressly identified in the Supplementary Conditions with respect to such reports and drawings, but such reports and drawings are not Contract Documents. If no such express identification has been made, then Contractor may rely on the accuracy of the Technical Data (as defined in Article 1) contained in any geotechnical or environmental report prepared for the Project and made available to Contractor. Except for such reliance on Technical Data, Contractor may not rely upon or make any claim against Owner or Engineer, or any of their officers, directors, members, partners, employees, agents, consultants, or subcontractors with respect to:

1. the completeness of such reports and drawings for Contractor's purposes, including, but not limited to, any aspects of the means, methods, techniques, sequences and procedures of construction to be employed by Contractor and safety precautions and programs incident thereto; or
2. other data, interpretations, opinions and information contained in such reports or shown or indicated in such drawings; or

3. any Contractor interpretation of or conclusion drawn from any Technical Data or any such other data, interpretations, opinions or information.
- C. Contractor shall not be responsible for removing or remediating any Hazardous Environmental Condition encountered, uncovered, or revealed at the Site unless such removal or remediation is expressly identified in the Contract Documents to be within the scope of the Work.
- D. Contractor shall be responsible for controlling, containing, and duly removing all Constituents of Concern brought to the Site by Contractor, Subcontractors, Suppliers, or anyone else for whom Contractor is responsible, and for any associated costs; and for the costs of removing and remediating any Hazardous Environmental Condition created by the presence of any such Constituents of Concern.
- E. If Contractor encounters, uncovers, or reveals a Hazardous Environmental Condition whose removal or remediation is not expressly identified in the Contract Documents as being within the scope of the Work, or if Contractor or anyone for whom Contractor is responsible creates a Hazardous Environmental Condition, then Contractor shall immediately: (1) secure or otherwise isolate such condition; (2) stop all Work in connection with such condition and in any area affected thereby (except in an emergency as required by Paragraph 7.15); and (3) notify Owner and Engineer (and promptly thereafter confirm such notice in writing). Owner shall promptly consult with Engineer concerning the necessity for Owner to retain a qualified expert to evaluate such condition or take corrective action, if any. Promptly after consulting with Engineer, Owner shall take such actions as are necessary to permit Owner to timely obtain required permits and provide Contractor the written notice required by Paragraph 5.06.F. If Contractor or anyone for whom Contractor is responsible created the Hazardous Environmental Condition in question, then Owner may remove and remediate the Hazardous Environmental Condition, and impose a set-off against payments to account for the associated costs.
- F. Contractor shall not resume Work in connection with such Hazardous Environmental Condition or in any affected area until after Owner has obtained any required permits related thereto, and delivered written notice to Contractor either (1) specifying that such condition and any affected area is or has been rendered safe for the resumption of Work, or (2) specifying any special conditions under which such Work may be resumed safely.
- G. If Owner and Contractor cannot agree as to entitlement to or on the amount or extent, if any, of any adjustment in Contract Price or Contract Times, or both, as a result of such Work stoppage or such special conditions under which Work is agreed to be resumed by Contractor, then within 30 days of Owner's written notice regarding the resumption of Work, Contractor may submit a Change Proposal, or Owner may impose a set-off.
- H. If after receipt of such written notice Contractor does not agree to resume such Work based on a reasonable belief it is unsafe, or does not agree to resume such Work under such special conditions, then Owner may order the portion of the Work that is in the area affected by such condition to be deleted from the Work, following the contractual change procedures in Article 11. Owner may have such deleted portion of the Work performed by Owner's own forces or others in accordance with Article 8.
- I. To the fullest extent permitted by Laws and Regulations, Owner shall indemnify and hold harmless Contractor, Subcontractors, and Engineer, and the officers, directors, members, partners, employees, agents, consultants, and subcontractors of each and any of them from and against all claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration

or other dispute resolution costs) arising out of or relating to a Hazardous Environmental Condition, provided that such Hazardous Environmental Condition (1) was not shown or indicated in the Drawings, Specifications, or other Contract Documents, identified as Technical Data entitled to limited reliance pursuant to Paragraph 5.06.B, or identified in the Contract Documents to be included within the scope of the Work, and (2) was not created by Contractor or by anyone for whom Contractor is responsible. Nothing in this Paragraph 5.06.H shall obligate Owner to indemnify any individual or entity from and against the consequences of that individual's or entity's own negligence.

- J. To the fullest extent permitted by Laws and Regulations, Contractor shall indemnify and hold harmless Owner and Engineer, and the officers, directors, members, partners, employees, agents, consultants, and subcontractors of each and any of them from and against all claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration or other dispute resolution costs) arising out of or relating to the failure to control, contain, or remove a Constituent of Concern brought to the Site by Contractor or by anyone for whom Contractor is responsible, or to a Hazardous Environmental Condition created by Contractor or by anyone for whom Contractor is responsible. Nothing in this Paragraph 5.06.J shall obligate Contractor to indemnify any individual or entity from and against the consequences of that individual's or entity's own negligence.
- K. The provisions of Paragraphs 5.03, 5.04, and 5.05 do not apply to the presence of Constituents of Concern or to a Hazardous Environmental Condition uncovered or revealed at the Site.

ARTICLE 6 – BONDS AND INSURANCE

6.01 Performance, Payment, and Other Bonds

- A. Contractor shall furnish a performance bond and a payment bond, each in an amount at least equal to the Contract Price, as security for the faithful performance and payment of all of Contractor's obligations under the Contract. These bonds shall remain in effect until one year after the date when final payment becomes due or until completion of the correction period specified in Paragraph 15.08, whichever is later, except as provided otherwise by Laws or Regulations, the Supplementary Conditions, or other specific provisions of the Contract. Contractor shall also furnish such other bonds as are required by the Supplementary Conditions or other specific provisions of the Contract.
- B. All bonds shall be in the form prescribed by the Contract except as provided otherwise by Laws or Regulations, and shall be executed by such sureties as are named in "Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and as Acceptable Reinsuring Companies" as published in Circular 570 (as amended and supplemented) by the Financial Management Service, Surety Bond Branch, U.S. Department of the Treasury. A bond signed by an agent or attorney-in-fact must be accompanied by a certified copy of that individual's authority to bind the surety. The evidence of authority shall show that it is effective on the date the agent or attorney-in-fact signed the accompanying bond.
- C. Contractor shall obtain the required bonds from surety companies that are duly licensed or authorized in the jurisdiction in which the Project is located to issue bonds in the required amounts.
- D. If the surety on a bond furnished by Contractor is declared bankrupt or becomes insolvent, or its right to do business is terminated in any state or jurisdiction where any part of the Project is located, or the surety ceases to meet the requirements above, then Contractor shall

promptly notify Owner and Engineer and shall, within 20 days after the event giving rise to such notification, provide another bond and surety, both of which shall comply with the bond and surety requirements above.

- E. If Contractor has failed to obtain a required bond, Owner may exclude the Contractor from the Site and exercise Owner's termination rights under Article 16.
- F. Upon request, Owner shall provide a copy of the payment bond to any Subcontractor, Supplier, or other person or entity claiming to have furnished labor or materials used in the performance of the Work.

6.02 Insurance—General Provisions

- A. Owner and Contractor shall obtain and maintain insurance as required in this Article and in the Supplementary Conditions.
- B. All insurance required by the Contract to be purchased and maintained by Owner or Contractor shall be obtained from insurance companies that are duly licensed or authorized, in the state or jurisdiction in which the Project is located, to issue insurance policies for the required limits and coverages. Unless a different standard is indicated in the Supplementary Conditions, all companies that provide insurance policies required under this Contract shall have an A.M. Best rating of A-VII or better.
- C. Contractor shall deliver to Owner, with copies to each named insured and additional insured (as identified in this Article, in the Supplementary Conditions, or elsewhere in the Contract), certificates of insurance establishing that Contractor has obtained and is maintaining the policies, coverages, and endorsements required by the Contract. Upon request by Owner or any other insured, Contractor shall also furnish other evidence of such required insurance, including but not limited to copies of policies and endorsements, and documentation of applicable self-insured retentions and deductibles. Contractor may block out (redact) any confidential premium or pricing information contained in any policy or endorsement furnished under this provision.
- D. Owner shall deliver to Contractor, with copies to each named insured and additional insured (as identified in this Article, the Supplementary Conditions, or elsewhere in the Contract), certificates of insurance establishing that Owner has obtained and is maintaining the policies, coverages, and endorsements required of Owner by the Contract (if any). Upon request by Contractor or any other insured, Owner shall also provide other evidence of such required insurance (if any), including but not limited to copies of policies and endorsements, and documentation of applicable self-insured retentions and deductibles. Owner may block out (redact) any confidential premium or pricing information contained in any policy or endorsement furnished under this provision.
- E. Failure of Owner or Contractor to demand such certificates or other evidence of the other party's full compliance with these insurance requirements, or failure of Owner or Contractor to identify a deficiency in compliance from the evidence provided, shall not be construed as a waiver of the other party's obligation to obtain and maintain such insurance.
- F. If either party does not purchase or maintain all of the insurance required of such party by the Contract, such party shall notify the other party in writing of such failure to purchase prior to the start of the Work, or of such failure to maintain prior to any change in the required coverage.

- G. If Contractor has failed to obtain and maintain required insurance, Owner may exclude the Contractor from the Site, impose an appropriate set-off against payment, and exercise Owner's termination rights under Article 16.
- H. Without prejudice to any other right or remedy, if a party has failed to obtain required insurance, the other party may elect to obtain equivalent insurance to protect such other party's interests at the expense of the party who was required to provide such coverage, and the Contract Price shall be adjusted accordingly.
- I. Owner does not represent that insurance coverage and limits established in this Contract necessarily will be adequate to protect Contractor or Contractor's interests.
- J. The insurance and insurance limits required herein shall not be deemed as a limitation on Contractor's liability under the indemnities granted to Owner and other individuals and entities in the Contract.

6.03 Contractor's Insurance

- A. *Workers' Compensation*: Contractor shall purchase and maintain workers' compensation and employer's liability insurance for:
 - 1. claims under workers' compensation, disability benefits, and other similar employee benefit acts.
 - 2. United States Longshoreman and Harbor Workers' Compensation Act and Jones Act coverage (if applicable).
 - 3. claims for damages because of bodily injury, occupational sickness or disease, or death of Contractor's employees (by stop-gap endorsement in monopolist worker's compensation states).
 - 4. Foreign voluntary worker compensation (if applicable).
- B. *Commercial General Liability—Claims Covered*: Contractor shall purchase and maintain commercial general liability insurance, covering all operations by or on behalf of Contractor, on an occurrence basis, against:
 - 1. claims for damages because of bodily injury, sickness or disease, or death of any person other than Contractor's employees.
 - 2. claims for damages insured by reasonably available personal injury liability coverage.
 - 3. claims for damages, other than to the Work itself, because of injury to or destruction of tangible property wherever located, including loss of use resulting therefrom.
- C. *Commercial General Liability—Form and Content*: Contractor's commercial liability policy shall be written on a 1996 (or later) ISO commercial general liability form (occurrence form) and include the following coverages and endorsements:
 - 1. Products and completed operations coverage:
 - a. Such insurance shall be maintained for three years after final payment.
 - b. Contractor shall furnish Owner and each other additional insured (as identified in the Supplementary Conditions or elsewhere in the Contract) evidence of continuation of such insurance at final payment and three years thereafter.
 - 2. Blanket contractual liability coverage, to the extent permitted by law, including but not limited to coverage of Contractor's contractual indemnity obligations in Paragraph 7.18.

3. Broad form property damage coverage.
 4. Severability of interest.
 5. Underground, explosion, and collapse coverage.
 6. Personal injury coverage.
 7. Additional insured endorsements that include both ongoing operations and products and completed operations coverage through ISO Endorsements CG 20 10 10 01 and CG 20 37 10 01 (together); or CG 20 10 07 04 and CG 20 37 07 04 (together); or their equivalent.
 8. For design professional additional insureds, ISO Endorsement CG 20 32 07 04, "Additional Insured—Engineers, Architects or Surveyors Not Engaged by the Named Insured" or its equivalent.
- D. *Automobile liability*: Contractor shall purchase and maintain automobile liability insurance against claims for damages because of bodily injury or death of any person or property damage arising out of the ownership, maintenance, or use of any motor vehicle. The automobile liability policy shall be written on an occurrence basis.
- E. *Umbrella or excess liability*: Contractor shall purchase and maintain umbrella or excess liability insurance written over the underlying employer's liability, commercial general liability, and automobile liability insurance described in the paragraphs above. Subject to industry-standard exclusions, the coverage afforded shall follow form as to each and every one of the underlying policies.
- F. *Contractor's pollution liability insurance*: Contractor shall purchase and maintain a policy covering third-party injury and property damage claims, including clean-up costs, as a result of pollution conditions arising from Contractor's operations and completed operations. This insurance shall be maintained for no less than three years after final completion.
- G. *Additional insureds*: The Contractor's commercial general liability, automobile liability, umbrella or excess, and pollution liability policies shall include and list as additional insureds Owner and Engineer, and any individuals or entities identified in the Supplementary Conditions; include coverage for the respective officers, directors, members, partners, employees, agents, consultants, and subcontractors of each and any of all such additional insureds; and the insurance afforded to these additional insureds shall provide primary coverage for all claims covered thereby (including as applicable those arising from both ongoing and completed operations) on a non-contributory basis. Contractor shall obtain all necessary endorsements to support these requirements.
- H. *Contractor's professional liability insurance*: If Contractor will provide or furnish professional services under this Contract, through a delegation of professional design services or otherwise, then Contractor shall be responsible for purchasing and maintaining applicable professional liability insurance. This insurance shall provide protection against claims arising out of performance of professional design or related services, and caused by a negligent error, omission, or act for which the insured party is legally liable. It shall be maintained throughout the duration of the Contract and for a minimum of two years after Substantial Completion. If such professional design services are performed by a Subcontractor, and not by Contractor itself, then the requirements of this paragraph may be satisfied through the purchasing and maintenance of such insurance by such Subcontractor.
- I. *General provisions*: The policies of insurance required by this Paragraph 6.03 shall:
1. include at least the specific coverages provided in this Article.

2. be written for not less than the limits of liability provided in this Article and in the Supplementary Conditions, or required by Laws or Regulations, whichever is greater.
 3. contain a provision or endorsement that the coverage afforded will not be canceled, materially changed, or renewal refused until at least 10 days prior written notice has been given to Contractor. Within three days of receipt of any such written notice, Contractor shall provide a copy of the notice to Owner, Engineer, and each other insured under the policy.
 4. remain in effect at least until final payment (and longer if expressly required in this Article) and at all times thereafter when Contractor may be correcting, removing, or replacing defective Work as a warranty or correction obligation, or otherwise, or returning to the Site to conduct other tasks arising from the Contract Documents.
 5. be appropriate for the Work being performed and provide protection from claims that may arise out of or result from Contractor's performance of the Work and Contractor's other obligations under the Contract Documents, whether it is to be performed by Contractor, any Subcontractor or Supplier, or by anyone directly or indirectly employed by any of them to perform any of the Work, or by anyone for whose acts any of them may be liable.
- J. The coverage requirements for specific policies of insurance must be met by such policies, and not by reference to excess or umbrella insurance provided in other policies.

6.04 Owner's Liability Insurance

- A. In addition to the insurance required to be provided by Contractor under Paragraph 6.03, Owner, at Owner's option, may purchase and maintain at Owner's expense Owner's own liability insurance as will protect Owner against claims which may arise from operations under the Contract Documents.
- B. Owner's liability policies, if any, operate separately and independently from policies required to be provided by Contractor, and Contractor cannot rely upon Owner's liability policies for any of Contractor's obligations to the Owner, Engineer, or third parties.

6.05 Property Insurance

- A. *Builder's Risk*: Unless otherwise provided in the Supplementary Conditions, Contractor shall purchase and maintain builder's risk insurance upon the Work on a completed value basis, in the amount of the full insurable replacement cost thereof (subject to such deductible amounts as may be provided in the Supplementary Conditions or required by Laws and Regulations). This insurance shall:
 1. include the Owner and Contractor as named insureds, and all Subcontractors, and any individuals or entities required by the Supplementary Conditions to be insured under such builder's risk policy, as insureds or named insureds. For purposes of the remainder of this Paragraph 6.05, Paragraphs 6.06 and 6.07, and any corresponding Supplementary Conditions, the parties required to be insured shall collectively be referred to as "insureds."
 2. be written on a builder's risk "all risk" policy form that shall at least include insurance for physical loss or damage to the Work, temporary buildings, falsework, and materials and equipment in transit, and shall insure against at least the following perils or causes of loss: fire; lightning; windstorm; riot; civil commotion; terrorism; vehicle impact; aircraft; smoke; theft; vandalism and malicious mischief; mechanical breakdown, boiler explosion, and artificially generated electric current; earthquake; volcanic activity, and other earth

movement; flood; collapse; explosion; debris removal; demolition occasioned by enforcement of Laws and Regulations; water damage (other than that caused by flood); and such other perils or causes of loss as may be specifically required by the Supplementary Conditions. If insurance against mechanical breakdown, boiler explosion, and artificially generated electric current; earthquake; volcanic activity, and other earth movement; or flood, are not commercially available under builder's risk policies, by endorsement or otherwise, such insurance may be provided through other insurance policies acceptable to Owner and Contractor.

3. cover, as insured property, at least the following: (a) the Work and all materials, supplies, machinery, apparatus, equipment, fixtures, and other property of a similar nature that are to be incorporated into or used in the preparation, fabrication, construction, erection, or completion of the Work, including Owner-furnished or assigned property; (b) spare parts inventory required within the scope of the Contract; and (c) temporary works which are not intended to form part of the permanent constructed Work but which are intended to provide working access to the Site, or to the Work under construction, or which are intended to provide temporary support for the Work under construction, including scaffolding, form work, fences, shoring, falsework, and temporary structures.
 4. cover expenses incurred in the repair or replacement of any insured property (including but not limited to fees and charges of engineers and architects).
 5. extend to cover damage or loss to insured property while in temporary storage at the Site or in a storage location outside the Site (but not including property stored at the premises of a manufacturer or Supplier).
 6. extend to cover damage or loss to insured property while in transit.
 7. allow for partial occupation or use of the Work by Owner, such that those portions of the Work that are not yet occupied or used by Owner shall remain covered by the builder's risk insurance.
 8. allow for the waiver of the insurer's subrogation rights, as set forth below.
 9. provide primary coverage for all losses and damages caused by the perils or causes of loss covered.
 10. not include a co-insurance clause.
 11. include an exception for ensuing losses from physical damage or loss with respect to any defective workmanship, design, or materials exclusions.
 12. include performance/hot testing and start-up.
 13. be maintained in effect, subject to the provisions herein regarding Substantial Completion and partial occupancy or use of the Work by Owner, until the Work is complete.
- B. *Notice of Cancellation or Change:* All the policies of insurance (and the certificates or other evidence thereof) required to be purchased and maintained in accordance with this Paragraph 6.05 will contain a provision or endorsement that the coverage afforded will not be canceled or materially changed or renewal refused until at least 10 days prior written notice has been given to the purchasing policyholder. Within three days of receipt of any such written notice, the purchasing policyholder shall provide a copy of the notice to each other insured.
- C. *Deductibles:* The purchaser of any required builder's risk or property insurance shall pay for costs not covered because of the application of a policy deductible.

- D. *Partial Occupancy or Use by Owner*: If Owner will occupy or use a portion or portions of the Work prior to Substantial Completion of all the Work as provided in Paragraph 15.04, then Owner (directly, if it is the purchaser of the builder's risk policy, or through Contractor) will provide notice of such occupancy or use to the builder's risk insurer. The builder's risk insurance shall not be canceled or permitted to lapse on account of any such partial use or occupancy; rather, those portions of the Work that are occupied or used by Owner may come off the builder's risk policy, while those portions of the Work not yet occupied or used by Owner shall remain covered by the builder's risk insurance.
- E. *Additional Insurance*: If Contractor elects to obtain other special insurance to be included in or supplement the builder's risk or property insurance policies provided under this Paragraph 6.05, it may do so at Contractor's expense.
- F. *Insurance of Other Property*: If the express insurance provisions of the Contract do not require or address the insurance of a property item or interest, such as tools, construction equipment, or other personal property owned by Contractor, a Subcontractor, or an employee of Contractor or a Subcontractor, then the entity or individual owning such property item will be responsible for deciding whether to insure it, and if so in what amount.

6.06 Waiver of Rights

- A. All policies purchased in accordance with Paragraph 6.05, expressly including the builder's risk policy, shall contain provisions to the effect that in the event of payment of any loss or damage the insurers will have no rights of recovery against any insureds thereunder, or against Engineer or its consultants, or their officers, directors, members, partners, employees, agents, consultants, or subcontractors. Owner and Contractor waive all rights against each other and the respective officers, directors, members, partners, employees, agents, consultants, and subcontractors of each and any of them, for all losses and damages caused by, arising out of, or resulting from any of the perils or causes of loss covered by such policies and any other property insurance applicable to the Work; and, in addition, waive all such rights against Engineer, its consultants, all Subcontractors, all individuals or entities identified in the Supplementary Conditions as insureds, and the officers, directors, members, partners, employees, agents, consultants, and subcontractors of each and any of them, under such policies for losses and damages so caused. None of the above waivers shall extend to the rights that any party making such waiver may have to the proceeds of insurance held by Owner or Contractor as trustee or fiduciary, or otherwise payable under any policy so issued.
- B. Owner waives all rights against Contractor, Subcontractors, and Engineer, and the officers, directors, members, partners, employees, agents, consultants and subcontractors of each and any of them, for:
 - 1. loss due to business interruption, loss of use, or other consequential loss extending beyond direct physical loss or damage to Owner's property or the Work caused by, arising out of, or resulting from fire or other perils whether or not insured by Owner; and
 - 2. loss or damage to the completed Project or part thereof caused by, arising out of, or resulting from fire or other insured peril or cause of loss covered by any property insurance maintained on the completed Project or part thereof by Owner during partial occupancy or use pursuant to Paragraph 15.04, after Substantial Completion pursuant to Paragraph 15.03, or after final payment pursuant to Paragraph 15.06.
- C. Any insurance policy maintained by Owner covering any loss, damage or consequential loss referred to in Paragraph 6.06.B shall contain provisions to the effect that in the event of payment of any such loss, damage, or consequential loss, the insurers will have no rights of

recovery against Contractor, Subcontractors, or Engineer, or the officers, directors, members, partners, employees, agents, consultants, or subcontractors of each and any of them.

- D. Contractor shall be responsible for assuring that the agreement under which a Subcontractor performs a portion of the Work contains provisions whereby the Subcontractor waives all rights against Owner, Contractor, all individuals or entities identified in the Supplementary Conditions as insureds, the Engineer and its consultants, and the officers, directors, members, partners, employees, agents, consultants, and subcontractors of each and any of them, for all losses and damages caused by, arising out of, relating to, or resulting from any of the perils or causes of loss covered by builder's risk insurance and any other property insurance applicable to the Work.

6.07 Receipt and Application of Property Insurance Proceeds

- A. Any insured loss under the builder's risk and other policies of insurance required by Paragraph 6.05 will be adjusted and settled with the named insured that purchased the policy. Such named insured shall act as fiduciary for the other insureds, and give notice to such other insureds that adjustment and settlement of a claim is in progress. Any other insured may state its position regarding a claim for insured loss in writing within 15 days after notice of such claim.
- B. Proceeds for such insured losses may be made payable by the insurer either jointly to multiple insureds, or to the named insured that purchased the policy in its own right and as fiduciary for other insureds, subject to the requirements of any applicable mortgage clause. A named insured receiving insurance proceeds under the builder's risk and other policies of insurance required by Paragraph 6.05 shall distribute such proceeds in accordance with such agreement as the parties in interest may reach, or as otherwise required under the dispute resolution provisions of this Contract or applicable Laws and Regulations.
- C. If no other special agreement is reached, the damaged Work shall be repaired or replaced, the money so received applied on account thereof, and the Work and the cost thereof covered by Change Order, if needed.

ARTICLE 7 – CONTRACTOR'S RESPONSIBILITIES

7.01 Supervision and Superintendence

- A. Contractor shall supervise, inspect, and direct the Work competently and efficiently, devoting such attention thereto and applying such skills and expertise as may be necessary to perform the Work in accordance with the Contract Documents. Contractor shall be solely responsible for the means, methods, techniques, sequences, and procedures of construction.
- B. At all times during the progress of the Work, Contractor shall assign a competent resident superintendent who shall not be replaced without written notice to Owner and Engineer except under extraordinary circumstances.

7.02 Labor; Working Hours

- A. Contractor shall provide competent, suitably qualified personnel to survey and lay out the Work and perform construction as required by the Contract Documents. Contractor shall at all times maintain good discipline and order at the Site.
- B. Except as otherwise required for the safety or protection of persons or the Work or property at the Site or adjacent thereto, and except as otherwise stated in the Contract Documents, all Work at the Site shall be performed during regular working hours, Monday through Friday.

Contractor will not perform Work on a Saturday, Sunday, or any legal holiday. Contractor may perform Work outside regular working hours or on Saturdays, Sundays, or legal holidays only with Owner's written consent, which will not be unreasonably withheld.

7.03 Services, Materials, and Equipment

- A. Unless otherwise specified in the Contract Documents, Contractor shall provide and assume full responsibility for all services, materials, equipment, labor, transportation, construction equipment and machinery, tools, appliances, fuel, power, light, heat, telephone, water, sanitary facilities, temporary facilities, and all other facilities and incidentals necessary for the performance, testing, start up, and completion of the Work, whether or not such items are specifically called for in the Contract Documents.
- B. All materials and equipment incorporated into the Work shall be of good quality and new, except as otherwise provided in the Contract Documents. All special warranties and guarantees required by the Specifications shall expressly run to the benefit of Owner. If required by Engineer, Contractor shall furnish satisfactory evidence (including reports of required tests) as to the source, kind, and quality of materials and equipment.
- C. All materials and equipment shall be stored, applied, installed, connected, erected, protected, used, cleaned, and conditioned in accordance with instructions of the applicable Supplier, except as otherwise may be provided in the Contract Documents.

7.04 "Or Equals"

- A. Whenever an item of material or equipment is specified or described in the Contract Documents by using the name of a proprietary item or the name of a particular Supplier, the Contract Price has been based upon Contractor furnishing such item as specified. The specification or description of such an item is intended to establish the type, function, appearance, and quality required. Unless the specification or description contains or is followed by words reading that no like, equivalent, or "or equal" item is permitted, Contractor may request that Engineer authorize the use of other items of material or equipment, or items from other proposed suppliers under the circumstances described below.
 - 1. If Engineer in its sole discretion determines that an item of material or equipment proposed by Contractor is functionally equal to that named and sufficiently similar so that no change in related Work will be required, Engineer shall deem it an "or equal" item. For the purposes of this paragraph, a proposed item of material or equipment will be considered functionally equal to an item so named if:
 - a. in the exercise of reasonable judgment Engineer determines that:
 - 1) it is at least equal in materials of construction, quality, durability, appearance, strength, and design characteristics;
 - 2) it will reliably perform at least equally well the function and achieve the results imposed by the design concept of the completed Project as a functioning whole;
 - 3) it has a proven record of performance and availability of responsive service; and
 - 4) it is not objectionable to Owner.
 - b. Contractor certifies that, if approved and incorporated into the Work:
 - 1) there will be no increase in cost to the Owner or increase in Contract Times; and
 - 2) it will conform substantially to the detailed requirements of the item named in the Contract Documents.

- B. *Contractor's Expense*: Contractor shall provide all data in support of any proposed "or equal" item at Contractor's expense.
- C. *Engineer's Evaluation and Determination*: Engineer will be allowed a reasonable time to evaluate each "or-equal" request. Engineer may require Contractor to furnish additional data about the proposed "or-equal" item. Engineer will be the sole judge of acceptability. No "or-equal" item will be ordered, furnished, installed, or utilized until Engineer's review is complete and Engineer determines that the proposed item is an "or-equal", which will be evidenced by an approved Shop Drawing or other written communication. Engineer will advise Contractor in writing of any negative determination.
- D. *Effect of Engineer's Determination*: Neither approval nor denial of an "or-equal" request shall result in any change in Contract Price. The Engineer's denial of an "or-equal" request shall be final and binding, and may not be reversed through an appeal under any provision of the Contract Documents.
- E. *Treatment as a Substitution Request*: If Engineer determines that an item of material or equipment proposed by Contractor does not qualify as an "or-equal" item, Contractor may request that Engineer considered the proposed item as a substitute pursuant to Paragraph 7.05.

7.05 Substitutes

- A. Unless the specification or description of an item of material or equipment required to be furnished under the Contract Documents contains or is followed by words reading that no substitution is permitted, Contractor may request that Engineer authorize the use of other items of material or equipment under the circumstances described below. To the extent possible such requests shall be made before commencement of related construction at the Site.
 - 1. Contractor shall submit sufficient information as provided below to allow Engineer to determine if the item of material or equipment proposed is functionally equivalent to that named and an acceptable substitute therefor. Engineer will not accept requests for review of proposed substitute items of material or equipment from anyone other than Contractor.
 - 2. The requirements for review by Engineer will be as set forth in Paragraph 7.05.B, as supplemented by the Specifications, and as Engineer may decide is appropriate under the circumstances.
 - 3. Contractor shall make written application to Engineer for review of a proposed substitute item of material or equipment that Contractor seeks to furnish or use. The application:
 - a. shall certify that the proposed substitute item will:
 - 1) perform adequately the functions and achieve the results called for by the general design,
 - 2) be similar in substance to that specified, and
 - 3) be suited to the same use as that specified.
 - b. will state:
 - 1) the extent, if any, to which the use of the proposed substitute item will necessitate a change in Contract Times,

- 2) whether use of the proposed substitute item in the Work will require a change in any of the Contract Documents (or in the provisions of any other direct contract with Owner for other work on the Project) to adapt the design to the proposed substitute item, and
 - 3) whether incorporation or use of the proposed substitute item in connection with the Work is subject to payment of any license fee or royalty.
- c. will identify:
- 1) all variations of the proposed substitute item from that specified, and
 - 2) available engineering, sales, maintenance, repair, and replacement services.
- d. shall contain an itemized estimate of all costs or credits that will result directly or indirectly from use of such substitute item, including but not limited to changes in Contract Price, shared savings, costs of redesign, and claims of other contractors affected by any resulting change.
- B. *Engineer's Evaluation and Determination:* Engineer will be allowed a reasonable time to evaluate each substitute request, and to obtain comments and direction from Owner. Engineer may require Contractor to furnish additional data about the proposed substitute item. Engineer will be the sole judge of acceptability. No substitute will be ordered, furnished, installed, or utilized until Engineer's review is complete and Engineer determines that the proposed item is an acceptable substitute. Engineer's determination will be evidenced by a Field Order or a proposed Change Order accounting for the substitution itself and all related impacts, including changes in Contract Price or Contract Times. Engineer will advise Contractor in writing of any negative determination.
- C. *Special Guarantee:* Owner may require Contractor to furnish at Contractor's expense a special performance guarantee or other surety with respect to any substitute.
- D. *Reimbursement of Engineer's Cost:* Engineer will record Engineer's costs in evaluating a substitute proposed or submitted by Contractor. Whether or not Engineer approves a substitute so proposed or submitted by Contractor, Contractor shall reimburse Owner for the reasonable charges of Engineer for evaluating each such proposed substitute. Contractor shall also reimburse Owner for the reasonable charges of Engineer for making changes in the Contract Documents (or in the provisions of any other direct contract with Owner) resulting from the acceptance of each proposed substitute.
- E. *Contractor's Expense:* Contractor shall provide all data in support of any proposed substitute at Contractor's expense.
- F. *Effect of Engineer's Determination:* If Engineer approves the substitution request, Contractor shall execute the proposed Change Order and proceed with the substitution. The Engineer's denial of a substitution request shall be final and binding, and may not be reversed through an appeal under any provision of the Contract Documents. Contractor may challenge the scope of reimbursement costs imposed under Paragraph 7.05.D, by timely submittal of a Change Proposal.

7.06 Concerning Subcontractors, Suppliers, and Others

- A. Contractor may retain Subcontractors and Suppliers for the performance of parts of the Work. Such Subcontractors and Suppliers must be acceptable to Owner.
- B. Contractor shall retain specific Subcontractors, Suppliers, or other individuals or entities for the performance of designated parts of the Work if required by the Contract to do so.

- C. Subsequent to the submittal of Contractor's Bid or final negotiation of the terms of the Contract, Owner may not require Contractor to retain any Subcontractor, Supplier, or other individual or entity to furnish or perform any of the Work against which Contractor has reasonable objection.
- D. Prior to entry into any binding subcontract or purchase order, Contractor shall submit to Owner the identity of the proposed Subcontractor or Supplier (unless Owner has already deemed such proposed Subcontractor or Supplier acceptable, during the bidding process or otherwise). Such proposed Subcontractor or Supplier shall be deemed acceptable to Owner unless Owner raises a substantive, reasonable objection within five days.
- E. Owner may require the replacement of any Subcontractor, Supplier, or other individual or entity retained by Contractor to perform any part of the Work. Owner also may require Contractor to retain specific replacements; provided, however, that Owner may not require a replacement to which Contractor has a reasonable objection. If Contractor has submitted the identity of certain Subcontractors, Suppliers, or other individuals or entities for acceptance by Owner, and Owner has accepted it (either in writing or by failing to make written objection thereto), then Owner may subsequently revoke the acceptance of any such Subcontractor, Supplier, or other individual or entity so identified solely on the basis of substantive, reasonable objection after due investigation. Contractor shall submit an acceptable replacement for the rejected Subcontractor, Supplier, or other individual or entity.
- F. If Owner requires the replacement of any Subcontractor, Supplier, or other individual or entity retained by Contractor to perform any part of the Work, then Contractor shall be entitled to an adjustment in Contract Price or Contract Times, or both, with respect to the replacement; and Contractor shall initiate a Change Proposal for such adjustment within 30 days of Owner's requirement of replacement.
- G. No acceptance by Owner of any such Subcontractor, Supplier, or other individual or entity, whether initially or as a replacement, shall constitute a waiver of the right of Owner to the completion of the Work in accordance with the Contract Documents.
- H. On a monthly basis Contractor shall submit to Engineer a complete list of all Subcontractors and Suppliers having a direct contract with Contractor, and of all other Subcontractors and Suppliers known to Contractor at the time of submittal.
- I. Contractor shall be fully responsible to Owner and Engineer for all acts and omissions of the Subcontractors, Suppliers, and other individuals or entities performing or furnishing any of the Work just as Contractor is responsible for Contractor's own acts and omissions.
- J. Contractor shall be solely responsible for scheduling and coordinating the work of Subcontractors, Suppliers, and all other individuals or entities performing or furnishing any of the Work.
- K. Contractor shall restrict all Subcontractors, Suppliers, and such other individuals or entities performing or furnishing any of the Work from communicating with Engineer or Owner, except through Contractor or in case of an emergency, or as otherwise expressly allowed herein.
- L. The divisions and sections of the Specifications and the identifications of any Drawings shall not control Contractor in dividing the Work among Subcontractors or Suppliers or delineating the Work to be performed by any specific trade.
- M. All Work performed for Contractor by a Subcontractor or Supplier shall be pursuant to an appropriate contractual agreement that specifically binds the Subcontractor or Supplier to the

applicable terms and conditions of the Contract Documents for the benefit of Owner and Engineer.

- N. Owner may furnish to any Subcontractor or Supplier, to the extent practicable, information about amounts paid to Contractor on account of Work performed for Contractor by the particular Subcontractor or Supplier.
- O. Nothing in the Contract Documents:
 - 1. shall create for the benefit of any such Subcontractor, Supplier, or other individual or entity any contractual relationship between Owner or Engineer and any such Subcontractor, Supplier, or other individual or entity; nor
 - 2. shall create any obligation on the part of Owner or Engineer to pay or to see to the payment of any money due any such Subcontractor, Supplier, or other individual or entity except as may otherwise be required by Laws and Regulations.

7.07 Patent Fees and Royalties

- A. Contractor shall pay all license fees and royalties and assume all costs incident to the use in the performance of the Work or the incorporation in the Work of any invention, design, process, product, or device which is the subject of patent rights or copyrights held by others. If a particular invention, design, process, product, or device is specified in the Contract Documents for use in the performance of the Work and if, to the actual knowledge of Owner or Engineer, its use is subject to patent rights or copyrights calling for the payment of any license fee or royalty to others, the existence of such rights shall be disclosed by Owner in the Contract Documents.
- B. To the fullest extent permitted by Laws and Regulations, Owner shall indemnify and hold harmless Contractor, and its officers, directors, members, partners, employees, agents, consultants, and subcontractors from and against all claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals, and all court or arbitration or other dispute resolution costs) arising out of or relating to any infringement of patent rights or copyrights incident to the use in the performance of the Work or resulting from the incorporation in the Work of any invention, design, process, product, or device specified in the Contract Documents, but not identified as being subject to payment of any license fee or royalty to others required by patent rights or copyrights.
- C. To the fullest extent permitted by Laws and Regulations, Contractor shall indemnify and hold harmless Owner and Engineer, and the officers, directors, members, partners, employees, agents, consultants and subcontractors of each and any of them from and against all claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration or other dispute resolution costs) arising out of or relating to any infringement of patent rights or copyrights incident to the use in the performance of the Work or resulting from the incorporation in the Work of any invention, design, process, product, or device not specified in the Contract Documents.

7.08 Permits

- A. Unless otherwise provided in the Contract Documents, Contractor shall obtain and pay for all construction permits and licenses. Owner shall assist Contractor, when necessary, in obtaining such permits and licenses. Contractor shall pay all governmental charges and inspection fees necessary for the prosecution of the Work which are applicable at the time of the submission

of Contractor's Bid (or when Contractor became bound under a negotiated contract). Owner shall pay all charges of utility owners for connections for providing permanent service to the Work

7.09 Taxes

- A. Contractor shall pay all sales, consumer, use, and other similar taxes required to be paid by Contractor in accordance with the Laws and Regulations of the place of the Project which are applicable during the performance of the Work.

7.10 Laws and Regulations

- A. Contractor shall give all notices required by and shall comply with all Laws and Regulations applicable to the performance of the Work. Except where otherwise expressly required by applicable Laws and Regulations, neither Owner nor Engineer shall be responsible for monitoring Contractor's compliance with any Laws or Regulations.
- B. If Contractor performs any Work or takes any other action knowing or having reason to know that it is contrary to Laws or Regulations, Contractor shall bear all resulting costs and losses, and shall indemnify and hold harmless Owner and Engineer, and the officers, directors, members, partners, employees, agents, consultants, and subcontractors of each and any of them from and against all claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration or other dispute resolution costs) arising out of or relating to such Work or other action. It shall not be Contractor's responsibility to make certain that the Work described in the Contract Documents is in accordance with Laws and Regulations, but this shall not relieve Contractor of Contractor's obligations under Paragraph 3.03.
- C. Owner or Contractor may give notice to the other party of any changes after the submission of Contractor's Bid (or after the date when Contractor became bound under a negotiated contract) in Laws or Regulations having an effect on the cost or time of performance of the Work, including but not limited to changes in Laws or Regulations having an effect on procuring permits and on sales, use, value-added, consumption, and other similar taxes. If Owner and Contractor are unable to agree on entitlement to or on the amount or extent, if any, of any adjustment in Contract Price or Contract Times resulting from such changes, then within 30 days of such notice Contractor may submit a Change Proposal, or Owner may initiate a Claim.

7.11 Record Documents

- A. Contractor shall maintain in a safe place at the Site one printed record copy of all Drawings, Specifications, Addenda, Change Orders, Work Change Directives, Field Orders, written interpretations and clarifications, and approved Shop Drawings. Contractor shall keep such record documents in good order and annotate them to show changes made during construction. These record documents, together with all approved Samples, will be available to Engineer for reference. Upon completion of the Work, Contractor shall deliver these record documents to Engineer.

7.12 Safety and Protection

- A. Contractor shall be solely responsible for initiating, maintaining, and supervising all safety precautions and programs in connection with the Work. Such responsibility does not relieve Subcontractors of their responsibility for the safety of persons or property in the performance of their work, nor for compliance with applicable safety Laws and Regulations. Contractor shall take all necessary precautions for the safety of, and shall provide the necessary protection to prevent damage, injury, or loss to:

1. all persons on the Site or who may be affected by the Work;
 2. all the Work and materials and equipment to be incorporated therein, whether in storage on or off the Site; and
 3. other property at the Site or adjacent thereto, including trees, shrubs, lawns, walks, pavements, roadways, structures, other work in progress, utilities, and Underground Facilities not designated for removal, relocation, or replacement in the course of construction.
- B. Contractor shall comply with all applicable Laws and Regulations relating to the safety of persons or property, or to the protection of persons or property from damage, injury, or loss; and shall erect and maintain all necessary safeguards for such safety and protection. Contractor shall notify Owner; the owners of adjacent property, Underground Facilities, and other utilities; and other contractors and utility owners performing work at or adjacent to the Site, when prosecution of the Work may affect them, and shall cooperate with them in the protection, removal, relocation, and replacement of their property or work in progress.
 - C. Contractor shall comply with the applicable requirements of Owner's safety programs, if any. The Supplementary Conditions identify any Owner's safety programs that are applicable to the Work.
 - D. Contractor shall inform Owner and Engineer of the specific requirements of Contractor's safety program with which Owner's and Engineer's employees and representatives must comply while at the Site.
 - E. All damage, injury, or loss to any property referred to in Paragraph 7.12.A.2 or 7.12.A.3 caused, directly or indirectly, in whole or in part, by Contractor, any Subcontractor, Supplier, or any other individual or entity directly or indirectly employed by any of them to perform any of the Work, or anyone for whose acts any of them may be liable, shall be remedied by Contractor at its expense (except damage or loss attributable to the fault of Drawings or Specifications or to the acts or omissions of Owner or Engineer or anyone employed by any of them, or anyone for whose acts any of them may be liable, and not attributable, directly or indirectly, in whole or in part, to the fault or negligence of Contractor or any Subcontractor, Supplier, or other individual or entity directly or indirectly employed by any of them).
 - F. Contractor's duties and responsibilities for safety and protection shall continue until such time as all the Work is completed and Engineer has issued a notice to Owner and Contractor in accordance with Paragraph 15.06.B that the Work is acceptable (except as otherwise expressly provided in connection with Substantial Completion).
 - G. Contractor's duties and responsibilities for safety and protection shall resume whenever Contractor or any Subcontractor or Supplier returns to the Site to fulfill warranty or correction obligations, or to conduct other tasks arising from the Contract Documents.

7.13 Safety Representative

- A. Contractor shall designate a qualified and experienced safety representative at the Site whose duties and responsibilities shall be the prevention of accidents and the maintaining and supervising of safety precautions and programs.

7.14 Hazard Communication Programs

- A. Contractor shall be responsible for coordinating any exchange of material safety data sheets or other hazard communication information required to be made available to or exchanged between or among employers at the Site in accordance with Laws or Regulations.

7.15 Emergencies

- A. In emergencies affecting the safety or protection of persons or the Work or property at the Site or adjacent thereto, Contractor is obligated to act to prevent threatened damage, injury, or loss. Contractor shall give Engineer prompt written notice if Contractor believes that any significant changes in the Work or variations from the Contract Documents have been caused thereby or are required as a result thereof. If Engineer determines that a change in the Contract Documents is required because of the action taken by Contractor in response to such an emergency, a Work Change Directive or Change Order will be issued.

7.16 Shop Drawings, Samples, and Other Submittals

A. *Shop Drawing and Sample Submittal Requirements:*

1. Before submitting a Shop Drawing or Sample, Contractor shall have:
 - a. reviewed and coordinated the Shop Drawing or Sample with other Shop Drawings and Samples and with the requirements of the Work and the Contract Documents;
 - b. determined and verified all field measurements, quantities, dimensions, specified performance and design criteria, installation requirements, materials, catalog numbers, and similar information with respect thereto;
 - c. determined and verified the suitability of all materials and equipment offered with respect to the indicated application, fabrication, shipping, handling, storage, assembly, and installation pertaining to the performance of the Work; and
 - d. determined and verified all information relative to Contractor's responsibilities for means, methods, techniques, sequences, and procedures of construction, and safety precautions and programs incident thereto.
2. Each submittal shall bear a stamp or specific written certification that Contractor has satisfied Contractor's obligations under the Contract Documents with respect to Contractor's review of that submittal, and that Contractor approves the submittal.
3. With each submittal, Contractor shall give Engineer specific written notice of any variations that the Shop Drawing or Sample may have from the requirements of the Contract Documents. This notice shall be set forth in a written communication separate from the Shop Drawings or Sample submittal; and, in addition, in the case of Shop Drawings by a specific notation made on each Shop Drawing submitted to Engineer for review and approval of each such variation.

- B. *Submittal Procedures for Shop Drawings and Samples:* Contractor shall submit Shop Drawings and Samples to Engineer for review and approval in accordance with the accepted Schedule of Submittals. Each submittal will be identified as Engineer may require.

1. *Shop Drawings:*

- a. Contractor shall submit the number of copies required in the Specifications.
- b. Data shown on the Shop Drawings will be complete with respect to quantities, dimensions, specified performance and design criteria, materials, and similar data to show Engineer the services, materials, and equipment Contractor proposes to provide and to enable Engineer to review the information for the limited purposes required by Paragraph 7.16.D.

2. *Samples:*
 - a. Contractor shall submit the number of Samples required in the Specifications.
 - b. Contractor shall clearly identify each Sample as to material, Supplier, pertinent data such as catalog numbers, the use for which intended and other data as Engineer may require to enable Engineer to review the submittal for the limited purposes required by Paragraph 7.16.D.
3. Where a Shop Drawing or Sample is required by the Contract Documents or the Schedule of Submittals, any related Work performed prior to Engineer's review and approval of the pertinent submittal will be at the sole expense and responsibility of Contractor.
- C. *Other Submittals:* Contractor shall submit other submittals to Engineer in accordance with the accepted Schedule of Submittals, and pursuant to the applicable terms of the Specifications.
- D. *Engineer's Review:*
 1. Engineer will provide timely review of Shop Drawings and Samples in accordance with the Schedule of Submittals acceptable to Engineer. Engineer's review and approval will be only to determine if the items covered by the submittals will, after installation or incorporation in the Work, conform to the information given in the Contract Documents and be compatible with the design concept of the completed Project as a functioning whole as indicated by the Contract Documents.
 2. Engineer's review and approval will not extend to means, methods, techniques, sequences, or procedures of construction or to safety precautions or programs incident thereto.
 3. Engineer's review and approval of a separate item as such will not indicate approval of the assembly in which the item functions.
 4. Engineer's review and approval of a Shop Drawing or Sample shall not relieve Contractor from responsibility for any variation from the requirements of the Contract Documents unless Contractor has complied with the requirements of Paragraph 7.16.A.3 and Engineer has given written approval of each such variation by specific written notation thereof incorporated in or accompanying the Shop Drawing or Sample. Engineer will document any such approved variation from the requirements of the Contract Documents in a Field Order.
 5. Engineer's review and approval of a Shop Drawing or Sample shall not relieve Contractor from responsibility for complying with the requirements of Paragraph 7.16.A and B.
 6. Engineer's review and approval of a Shop Drawing or Sample, or of a variation from the requirements of the Contract Documents, shall not, under any circumstances, change the Contract Times or Contract Price, unless such changes are included in a Change Order.
 7. Neither Engineer's receipt, review, acceptance or approval of a Shop Drawing, Sample, or other submittal shall result in such item becoming a Contract Document.
 8. Contractor shall perform the Work in compliance with the requirements and commitments set forth in approved Shop Drawings and Samples, subject to the provisions of Paragraph 7.16.D.4.
- E. *Resubmittal Procedures:*
 1. Contractor shall make corrections required by Engineer and shall return the required number of corrected copies of Shop Drawings and submit, as required, new Samples for

review and approval. Contractor shall direct specific attention in writing to revisions other than the corrections called for by Engineer on previous submittals.

2. Contractor shall furnish required submittals with sufficient information and accuracy to obtain required approval of an item with no more than three submittals. Engineer will record Engineer's time for reviewing a fourth or subsequent submittal of a Shop Drawings, sample, or other item requiring approval, and Contractor shall be responsible for Engineer's charges to Owner for such time. Owner may impose a set-off against payments due to Contractor to secure reimbursement for such charges.
3. If Contractor requests a change of a previously approved submittal item, Contractor shall be responsible for Engineer's charges to Owner for its review time, and Owner may impose a set-off against payments due to Contractor to secure reimbursement for such charges, unless the need for such change is beyond the control of Contractor.

7.17 Contractor's General Warranty and Guarantee

- A. Contractor warrants and guarantees to Owner that all Work will be in accordance with the Contract Documents and will not be defective. Engineer and its officers, directors, members, partners, employees, agents, consultants, and subcontractors shall be entitled to rely on Contractor's warranty and guarantee.
- B. Contractor's warranty and guarantee hereunder excludes defects or damage caused by:
 1. abuse, modification, or improper maintenance or operation by persons other than Contractor, Subcontractors, Suppliers, or any other individual or entity for whom Contractor is responsible; or
 2. normal wear and tear under normal usage.
- C. Contractor's obligation to perform and complete the Work in accordance with the Contract Documents shall be absolute. None of the following will constitute an acceptance of Work that is not in accordance with the Contract Documents or a release of Contractor's obligation to perform the Work in accordance with the Contract Documents:
 1. observations by Engineer;
 2. recommendation by Engineer or payment by Owner of any progress or final payment;
 3. the issuance of a certificate of Substantial Completion by Engineer or any payment related thereto by Owner;
 4. use or occupancy of the Work or any part thereof by Owner;
 5. any review and approval of a Shop Drawing or Sample submittal;
 6. the issuance of a notice of acceptability by Engineer;
 7. any inspection, test, or approval by others; or
 8. any correction of defective Work by Owner.
- D. If the Contract requires the Contractor to accept the assignment of a contract entered into by Owner, then the specific warranties, guarantees, and correction obligations contained in the assigned contract shall govern with respect to Contractor's performance obligations to Owner for the Work described in the assigned contract.

7.18 Indemnification

- A. To the fullest extent permitted by Laws and Regulations, and in addition to any other obligations of Contractor under the Contract or otherwise, Contractor shall indemnify and hold harmless Owner and Engineer, and the officers, directors, members, partners, employees, agents, consultants and subcontractors of each and any of them from and against all claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration or other dispute resolution costs) arising out of or relating to the performance of the Work, provided that any such claim, cost, loss, or damage is attributable to bodily injury, sickness, disease, or death, or to injury to or destruction of tangible property (other than the Work itself), including the loss of use resulting therefrom but only to the extent caused by any negligent act or omission of Contractor, any Subcontractor, any Supplier, or any individual or entity directly or indirectly employed by any of them to perform any of the Work or anyone for whose acts any of them may be liable.
- B. In any and all claims against Owner or Engineer or any of their officers, directors, members, partners, employees, agents, consultants, or subcontractors by any employee (or the survivor or personal representative of such employee) of Contractor, any Subcontractor, any Supplier, or any individual or entity directly or indirectly employed by any of them to perform any of the Work, or anyone for whose acts any of them may be liable, the indemnification obligation under Paragraph 7.18.A shall not be limited in any way by any limitation on the amount or type of damages, compensation, or benefits payable by or for Contractor or any such Subcontractor, Supplier, or other individual or entity under workers' compensation acts, disability benefit acts, or other employee benefit acts.
- C. The indemnification obligations of Contractor under Paragraph 7.18.A shall not extend to the liability of Engineer and Engineer's officers, directors, members, partners, employees, agents, consultants and subcontractors arising out of:
 - 1. the preparation or approval of, or the failure to prepare or approve maps, Drawings, opinions, reports, surveys, Change Orders, designs, or Specifications; or
 - 2. giving directions or instructions, or failing to give them, if that is the primary cause of the injury or damage.

7.19 Delegation of Professional Design Services

- A. Contractor will not be required to provide professional design services unless such services are specifically required by the Contract Documents for a portion of the Work or unless such services are required to carry out Contractor's responsibilities for construction means, methods, techniques, sequences and procedures. Contractor shall not be required to provide professional services in violation of applicable Laws and Regulations.
- B. If professional design services or certifications by a design professional related to systems, materials, or equipment are specifically required of Contractor by the Contract Documents, Owner and Engineer will specify all performance and design criteria that such services must satisfy. Contractor shall cause such services or certifications to be provided by a properly licensed professional, whose signature and seal shall appear on all drawings, calculations, specifications, certifications, and other submittals prepared by such professional. Shop Drawings and other submittals related to the Work designed or certified by such professional, if prepared by others, shall bear such professional's written approval when submitted to Engineer.

- C. Owner and Engineer shall be entitled to rely upon the adequacy, accuracy, and completeness of the services, certifications, or approvals performed by such design professionals, provided Owner and Engineer have specified to Contractor all performance and design criteria that such services must satisfy.
- D. Pursuant to this paragraph, Engineer's review and approval of design calculations and design drawings will be only for the limited purpose of checking for conformance with performance and design criteria given and the design concept expressed in the Contract Documents. Engineer's review and approval of Shop Drawings and other submittals (except design calculations and design drawings) will be only for the purpose stated in Paragraph 7.16.D.1.
- E. Contractor shall not be responsible for the adequacy of the performance or design criteria specified by Owner or Engineer.

ARTICLE 8 – OTHER WORK AT THE SITE

8.01 Other Work

- A. In addition to and apart from the Work under the Contract Documents, the Owner may perform other work at or adjacent to the Site. Such other work may be performed by Owner's employees, or through contracts between the Owner and third parties. Owner may also arrange to have third-party utility owners perform work on their utilities and facilities at or adjacent to the Site.
- B. If Owner performs other work at or adjacent to the Site with Owner's employees, or through contracts for such other work, then Owner shall give Contractor written notice thereof prior to starting any such other work. If Owner has advance information regarding the start of any utility work at or adjacent to the Site, Owner shall provide such information to Contractor.
- C. Contractor shall afford each other contractor that performs such other work, each utility owner performing other work, and Owner, if Owner is performing other work with Owner's employees, proper and safe access to the Site, and provide a reasonable opportunity for the introduction and storage of materials and equipment and the execution of such other work. Contractor shall do all cutting, fitting, and patching of the Work that may be required to properly connect or otherwise make its several parts come together and properly integrate with such other work. Contractor shall not endanger any work of others by cutting, excavating, or otherwise altering such work; provided, however, that Contractor may cut or alter others' work with the written consent of Engineer and the others whose work will be affected.
- D. If the proper execution or results of any part of Contractor's Work depends upon work performed by others under this Article 8, Contractor shall inspect such other work and promptly report to Engineer in writing any delays, defects, or deficiencies in such other work that render it unavailable or unsuitable for the proper execution and results of Contractor's Work. Contractor's failure to so report will constitute an acceptance of such other work as fit and proper for integration with Contractor's Work except for latent defects and deficiencies in such other work.

8.02 Coordination

- A. If Owner intends to contract with others for the performance of other work at or adjacent to the Site, to perform other work at or adjacent to the Site with Owner's employees, or to arrange to have utility owners perform work at or adjacent to the Site, the following will be set forth in the Supplementary Conditions or provided to Contractor prior to the start of any such other work:

1. the identity of the individual or entity that will have authority and responsibility for coordination of the activities among the various contractors;
 2. an itemization of the specific matters to be covered by such authority and responsibility; and
 3. the extent of such authority and responsibilities.
- B. Unless otherwise provided in the Supplementary Conditions, Owner shall have sole authority and responsibility for such coordination.

8.03 Legal Relationships

- A. If, in the course of performing other work at or adjacent to the Site for Owner, the Owner's employees, any other contractor working for Owner, or any utility owner causes damage to the Work or to the property of Contractor or its Subcontractors, or delays, disrupts, interferes with, or increases the scope or cost of the performance of the Work, through actions or inaction, then Contractor shall be entitled to an equitable adjustment in the Contract Price or the Contract Times, or both. Contractor must submit any Change Proposal seeking an equitable adjustment in the Contract Price or the Contract Times under this paragraph within 30 days of the damaging, delaying, disrupting, or interfering event. The entitlement to, and extent of, any such equitable adjustment shall take into account information (if any) regarding such other work that was provided to Contractor in the Contract Documents prior to the submittal of the Bid or the final negotiation of the terms of the Contract. When applicable, any such equitable adjustment in Contract Price shall be conditioned on Contractor assigning to Owner all Contractor's rights against such other contractor or utility owner with respect to the damage, delay, disruption, or interference that is the subject of the adjustment. Contractor's entitlement to an adjustment of the Contract Times is conditioned on such adjustment being essential to Contractor's ability to complete the Work within the Contract Times.
- B. Contractor shall take reasonable and customary measures to avoid damaging, delaying, disrupting, or interfering with the work of Owner, any other contractor, or any utility owner performing other work at or adjacent to the Site. If Contractor fails to take such measures and as a result damages, delays, disrupts, or interferes with the work of any such other contractor or utility owner, then Owner may impose a set-off against payments due to Contractor, and assign to such other contractor or utility owner the Owner's contractual rights against Contractor with respect to the breach of the obligations set forth in this paragraph.
- C. When Owner is performing other work at or adjacent to the Site with Owner's employees, Contractor shall be liable to Owner for damage to such other work, and for the reasonable direct delay, disruption, and interference costs incurred by Owner as a result of Contractor's failure to take reasonable and customary measures with respect to Owner's other work. In response to such damage, delay, disruption, or interference, Owner may impose a set-off against payments due to Contractor.
- D. If Contractor damages, delays, disrupts, or interferes with the work of any other contractor, or any utility owner performing other work at or adjacent to the Site, through Contractor's failure to take reasonable and customary measures to avoid such impacts, or if any claim arising out of Contractor's actions, inactions, or negligence in performance of the Work at or adjacent to the Site is made by any such other contractor or utility owner against Contractor, Owner, or Engineer, then Contractor shall (1) promptly attempt to settle the claim as to all parties through negotiations with such other contractor or utility owner, or otherwise resolve the claim by arbitration or other dispute resolution proceeding or at law, and (2) indemnify and hold harmless Owner and Engineer, and the officers, directors, members, partners, employees,

agents, consultants and subcontractors of each and any of them from and against any such claims, and against all costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration or other dispute resolution costs) arising out of or relating to such damage, delay, disruption, or interference.

ARTICLE 9 – OWNER’S RESPONSIBILITIES

9.01 Communications to Contractor

- A. Except as otherwise provided in these General Conditions, Owner shall issue all communications to Contractor through Engineer.

9.02 Replacement of Engineer

- A. Owner may at its discretion appoint an engineer to replace Engineer, provided Contractor makes no reasonable objection to the replacement engineer. The replacement engineer’s status under the Contract Documents shall be that of the former Engineer.

9.03 Furnish Data

- A. Owner shall promptly furnish the data required of Owner under the Contract Documents.

9.04 Pay When Due

- A. Owner shall make payments to Contractor when they are due as provided in the Agreement.

9.05 Lands and Easements; Reports, Tests, and Drawings

- A. Owner’s duties with respect to providing lands and easements are set forth in Paragraph 5.01.
- B. Owner’s duties with respect to providing engineering surveys to establish reference points are set forth in Paragraph 4.03.
- C. Article 5 refers to Owner’s identifying and making available to Contractor copies of reports of explorations and tests of conditions at the Site, and drawings of physical conditions relating to existing surface or subsurface structures at the Site.

9.06 Insurance

- A. Owner’s responsibilities, if any, with respect to purchasing and maintaining liability and property insurance are set forth in Article 6.

9.07 Change Orders

- A. Owner’s responsibilities with respect to Change Orders are set forth in Article 11.

9.08 Inspections, Tests, and Approvals

- A. Owner’s responsibility with respect to certain inspections, tests, and approvals is set forth in Paragraph 14.02.B.

9.09 Limitations on Owner’s Responsibilities

- A. The Owner shall not supervise, direct, or have control or authority over, nor be responsible for, Contractor’s means, methods, techniques, sequences, or procedures of construction, or the safety precautions and programs incident thereto, or for any failure of Contractor to comply with Laws and Regulations applicable to the performance of the Work. Owner will not be responsible for Contractor’s failure to perform the Work in accordance with the Contract Documents.

- 9.10 Undisclosed Hazardous Environmental Condition
- A. Owner's responsibility in respect to an undisclosed Hazardous Environmental Condition is set forth in Paragraph 5.06.
- 9.11 Evidence of Financial Arrangements
- A. Upon request of Contractor, Owner shall furnish Contractor reasonable evidence that financial arrangements have been made to satisfy Owner's obligations under the Contract Documents (including obligations under proposed changes in the Work).
- 9.12 Safety Programs
- A. While at the Site, Owner's employees and representatives shall comply with the specific applicable requirements of Contractor's safety programs of which Owner has been informed.
- B. Owner shall furnish copies of any applicable Owner safety programs to Contractor.

ARTICLE 10 – ENGINEER'S STATUS DURING CONSTRUCTION

- 10.01 Owner's Representative
- A. Engineer will be Owner's representative during the construction period. The duties and responsibilities and the limitations of authority of Engineer as Owner's representative during construction are set forth in the Contract.
- 10.02 Visits to Site
- A. Engineer will make visits to the Site at intervals appropriate to the various stages of construction as Engineer deems necessary in order to observe as an experienced and qualified design professional the progress that has been made and the quality of the various aspects of Contractor's executed Work. Based on information obtained during such visits and observations, Engineer, for the benefit of Owner, will determine, in general, if the Work is proceeding in accordance with the Contract Documents. Engineer will not be required to make exhaustive or continuous inspections on the Site to check the quality or quantity of the Work. Engineer's efforts will be directed toward providing for Owner a greater degree of confidence that the completed Work will conform generally to the Contract Documents. On the basis of such visits and observations, Engineer will keep Owner informed of the progress of the Work and will endeavor to guard Owner against defective Work.
- B. Engineer's visits and observations are subject to all the limitations on Engineer's authority and responsibility set forth in Paragraph 10.08. Particularly, but without limitation, during or as a result of Engineer's visits or observations of Contractor's Work, Engineer will not supervise, direct, control, or have authority over or be responsible for Contractor's means, methods, techniques, sequences, or procedures of construction, or the safety precautions and programs incident thereto, or for any failure of Contractor to comply with Laws and Regulations applicable to the performance of the Work.
- 10.03 Project Representative
- A. If Owner and Engineer have agreed that Engineer will furnish a Resident Project Representative to represent Engineer at the Site and assist Engineer in observing the progress and quality of the Work, then the authority and responsibilities of any such Resident Project Representative will be as provided in the Supplementary Conditions, and limitations on the responsibilities thereof will be as provided in Paragraph 10.08. If Owner designates another representative or agent to represent Owner at the Site who is not Engineer's consultant, agent,

or employee, the responsibilities and authority and limitations thereon of such other individual or entity will be as provided in the Supplementary Conditions.

10.04 Rejecting Defective Work

- A. Engineer has the authority to reject Work in accordance with Article 14.

10.05 Shop Drawings, Change Orders and Payments

- A. Engineer's authority, and limitations thereof, as to Shop Drawings and Samples, are set forth in Paragraph 7.16.
- B. Engineer's authority, and limitations thereof, as to design calculations and design drawings submitted in response to a delegation of professional design services, if any, are set forth in Paragraph 7.19.
- C. Engineer's authority as to Change Orders is set forth in Article 11.
- D. Engineer's authority as to Applications for Payment is set forth in Article 15.

10.06 Determinations for Unit Price Work

- A. Engineer will determine the actual quantities and classifications of Unit Price Work performed by Contractor as set forth in Paragraph 13.03.

10.07 Decisions on Requirements of Contract Documents and Acceptability of Work

- A. Engineer will render decisions regarding the requirements of the Contract Documents, and judge the acceptability of the Work, pursuant to the specific procedures set forth herein for initial interpretations, Change Proposals, and acceptance of the Work. In rendering such decisions and judgments, Engineer will not show partiality to Owner or Contractor, and will not be liable to Owner, Contractor, or others in connection with any proceedings, interpretations, decisions, or judgments conducted or rendered in good faith.

10.08 Limitations on Engineer's Authority and Responsibilities

- A. Neither Engineer's authority or responsibility under this Article 10 or under any other provision of the Contract, nor any decision made by Engineer in good faith either to exercise or not exercise such authority or responsibility or the undertaking, exercise, or performance of any authority or responsibility by Engineer, shall create, impose, or give rise to any duty in contract, tort, or otherwise owed by Engineer to Contractor, any Subcontractor, any Supplier, any other individual or entity, or to any surety for or employee or agent of any of them.
- B. Engineer will not supervise, direct, control, or have authority over or be responsible for Contractor's means, methods, techniques, sequences, or procedures of construction, or the safety precautions and programs incident thereto, or for any failure of Contractor to comply with Laws and Regulations applicable to the performance of the Work. Engineer will not be responsible for Contractor's failure to perform the Work in accordance with the Contract Documents.
- C. Engineer will not be responsible for the acts or omissions of Contractor or of any Subcontractor, any Supplier, or of any other individual or entity performing any of the Work.
- D. Engineer's review of the final Application for Payment and accompanying documentation and all maintenance and operating instructions, schedules, guarantees, bonds, certificates of inspection, tests and approvals, and other documentation required to be delivered by Paragraph 15.06.A will only be to determine generally that their content complies with the

requirements of, and in the case of certificates of inspections, tests, and approvals, that the results certified indicate compliance with the Contract Documents.

- E. The limitations upon authority and responsibility set forth in this Paragraph 10.08 shall also apply to the Resident Project Representative, if any.

10.09 Compliance with Safety Program

- A. While at the Site, Engineer's employees and representatives will comply with the specific applicable requirements of Owner's and Contractor's safety programs (if any) of which Engineer has been informed.

ARTICLE 11 – AMENDING THE CONTRACT DOCUMENTS; CHANGES IN THE WORK

11.01 Amending and Supplementing Contract Documents

- A. The Contract Documents may be amended or supplemented by a Change Order, a Work Change Directive, or a Field Order.

- 1. *Change Orders:*

- a. If an amendment or supplement to the Contract Documents includes a change in the Contract Price or the Contract Times, such amendment or supplement must be set forth in a Change Order. A Change Order also may be used to establish amendments and supplements of the Contract Documents that do not affect the Contract Price or Contract Times.
- b. Owner and Contractor may amend those terms and conditions of the Contract Documents that do not involve (1) the performance or acceptability of the Work, (2) the design (as set forth in the Drawings, Specifications, or otherwise), or (3) other engineering or technical matters, without the recommendation of the Engineer. Such an amendment shall be set forth in a Change Order.

- 2. *Work Change Directives:* A Work Change Directive will not change the Contract Price or the Contract Times but is evidence that the parties expect that the modification ordered or documented by a Work Change Directive will be incorporated in a subsequently issued Change Order, following negotiations by the parties as to the Work Change Directive's effect, if any, on the Contract Price and Contract Times; or, if negotiations are unsuccessful, by a determination under the terms of the Contract Documents governing adjustments, expressly including Paragraph 11.04 regarding change of Contract Price. Contractor must submit any Change Proposal seeking an adjustment of the Contract Price or the Contract Times, or both, no later than 30 days after the completion of the Work set out in the Work Change Directive. Owner must submit any Claim seeking an adjustment of the Contract Price or the Contract Times, or both, no later than 60 days after issuance of the Work Change Directive.

- 3. *Field Orders:* Engineer may authorize minor changes in the Work if the changes do not involve an adjustment in the Contract Price or the Contract Times and are compatible with the design concept of the completed Project as a functioning whole as indicated by the Contract Documents. Such changes will be accomplished by a Field Order and will be binding on Owner and also on Contractor, which shall perform the Work involved promptly. If Contractor believes that a Field Order justifies an adjustment in the Contract Price or Contract Times, or both, then before proceeding with the Work at issue, Contractor shall submit a Change Proposal as provided herein.

11.02 Owner-Authorized Changes in the Work

- A. Without invalidating the Contract and without notice to any surety, Owner may, at any time or from time to time, order additions, deletions, or revisions in the Work. Such changes shall be supported by Engineer's recommendation, to the extent the change involves the design (as set forth in the Drawings, Specifications, or otherwise), or other engineering or technical matters. Such changes may be accomplished by a Change Order, if Owner and Contractor have agreed as to the effect, if any, of the changes on Contract Times or Contract Price; or by a Work Change Directive. Upon receipt of any such document, Contractor shall promptly proceed with the Work involved; or, in the case of a deletion in the Work, promptly cease construction activities with respect to such deleted Work. Added or revised Work shall be performed under the applicable conditions of the Contract Documents. Nothing in this paragraph shall obligate Contractor to undertake work that Contractor reasonably concludes cannot be performed in a manner consistent with Contractor's safety obligations under the Contract Documents or Laws and Regulations.

11.03 Unauthorized Changes in the Work

- A. Contractor shall not be entitled to an increase in the Contract Price or an extension of the Contract Times with respect to any work performed that is not required by the Contract Documents, as amended, modified, or supplemented, except in the case of an emergency as provided in Paragraph 7.15 or in the case of uncovering Work as provided in Paragraph 14.05.

11.04 Change of Contract Price

- A. The Contract Price may only be changed by a Change Order. Any Change Proposal for an adjustment in the Contract Price shall comply with the provisions of Paragraph 11.06. Any Claim for an adjustment of Contract Price shall comply with the provisions of Article 12.
- B. An adjustment in the Contract Price will be determined as follows:
 - 1. where the Work involved is covered by unit prices contained in the Contract Documents, then by application of such unit prices to the quantities of the items involved (subject to the provisions of Paragraph 13.03); or
 - 2. where the Work involved is not covered by unit prices contained in the Contract Documents, then by a mutually agreed lump sum (which may include an allowance for overhead and profit not necessarily in accordance with Paragraph 11.04.C.2); or
 - 3. where the Work involved is not covered by unit prices contained in the Contract Documents and the parties do not reach mutual agreement to a lump sum, then on the basis of the Cost of the Work (determined as provided in Paragraph 13.01) plus a Contractor's fee for overhead and profit (determined as provided in Paragraph 11.04.C).
- C. *Contractor's Fee*: When applicable, the Contractor's fee for overhead and profit shall be determined as follows:
 - 1. a mutually acceptable fixed fee; or
 - 2. if a fixed fee is not agreed upon, then a fee based on the following percentages of the various portions of the Cost of the Work:
 - a. for costs incurred under Paragraphs 13.01.B.1 and 13.01.B.2, the Contractor's fee shall be 15 percent;
 - b. for costs incurred under Paragraph 13.01.B.3, the Contractor's fee shall be five percent;

- c. where one or more tiers of subcontracts are on the basis of Cost of the Work plus a fee and no fixed fee is agreed upon, the intent of Paragraphs 11.01.C.2.a and 11.01.C.2.b is that the Contractor's fee shall be based on: (1) a fee of 15 percent of the costs incurred under Paragraphs 13.01.A.1 and 13.01.A.2 by the Subcontractor that actually performs the Work, at whatever tier, and (2) with respect to Contractor itself and to any Subcontractors of a tier higher than that of the Subcontractor that actually performs the Work, a fee of five percent of the amount (fee plus underlying costs incurred) attributable to the next lower tier Subcontractor; provided, however, that for any such subcontracted work the maximum total fee to be paid by Owner shall be no greater than 27 percent of the costs incurred by the Subcontractor that actually performs the work;
- d. no fee shall be payable on the basis of costs itemized under Paragraphs 13.01.B.4, 13.01.B.5, and 13.01.C;
- e. the amount of credit to be allowed by Contractor to Owner for any change which results in a net decrease in cost will be the amount of the actual net decrease in cost plus a deduction in Contractor's fee by an amount equal to five percent of such net decrease; and
- f. when both additions and credits are involved in any one change, the adjustment in Contractor's fee shall be computed on the basis of the net change in accordance with Paragraphs 11.04.C.2.a through 11.04.C.2.e, inclusive.

11.05 Change of Contract Times

- A. The Contract Times may only be changed by a Change Order. Any Change Proposal for an adjustment in the Contract Times shall comply with the provisions of Paragraph 11.06. Any Claim for an adjustment in the Contract Times shall comply with the provisions of Article 12.
- B. An adjustment of the Contract Times shall be subject to the limitations set forth in Paragraph 4.05, concerning delays in Contractor's progress.

11.06 Change Proposals

- A. Contractor shall submit a Change Proposal to Engineer to request an adjustment in the Contract Times or Contract Price; appeal an initial decision by Engineer concerning the requirements of the Contract Documents or relating to the acceptability of the Work under the Contract Documents; contest a set-off against payment due; or seek other relief under the Contract. The Change Proposal shall specify any proposed change in Contract Times or Contract Price, or both, or other proposed relief, and explain the reason for the proposed change, with citations to any governing or applicable provisions of the Contract Documents.
 - 1. *Procedures:* Contractor shall submit each Change Proposal to Engineer promptly (but in no event later than 30 days) after the start of the event giving rise thereto, or after such initial decision. The Contractor shall submit supporting data, including the proposed change in Contract Price or Contract Time (if any), to the Engineer and Owner within 15 days after the submittal of the Change Proposal. The supporting data shall be accompanied by a written statement that the supporting data are accurate and complete, and that any requested time or price adjustment is the entire adjustment to which Contractor believes it is entitled as a result of said event. Engineer will advise Owner regarding the Change Proposal, and consider any comments or response from Owner regarding the Change Proposal.

2. *Engineer's Action*: Engineer will review each Change Proposal and, within 30 days after receipt of the Contractor's supporting data, either deny the Change Proposal in whole, approve it in whole, or deny it in part and approve it in part. Such actions shall be in writing, with a copy provided to Owner and Contractor. If Engineer does not take action on the Change Proposal within 30 days, then either Owner or Contractor may at any time thereafter submit a letter to the other party indicating that as a result of Engineer's inaction the Change Proposal is deemed denied, thereby commencing the time for appeal of the denial under Article 12.
 3. *Binding Decision*: Engineer's decision will be final and binding upon Owner and Contractor, unless Owner or Contractor appeals the decision by filing a Claim under Article 12.
- B. *Resolution of Certain Change Proposals*: If the Change Proposal does not involve the design (as set forth in the Drawings, Specifications, or otherwise), the acceptability of the Work, or other engineering or technical matters, then Engineer will notify the parties that the Engineer is unable to resolve the Change Proposal. For purposes of further resolution of such a Change Proposal, such notice shall be deemed a denial, and Contractor may choose to seek resolution under the terms of Article 12.

11.07 Execution of Change Orders

- A. Owner and Contractor shall execute appropriate Change Orders covering:
1. changes in the Contract Price or Contract Times which are agreed to by the parties, including any undisputed sum or amount of time for Work actually performed in accordance with a Work Change Directive;
 2. changes in Contract Price resulting from an Owner set-off, unless Contractor has duly contested such set-off;
 3. changes in the Work which are: (a) ordered by Owner pursuant to Paragraph 11.02, (b) required because of Owner's acceptance of defective Work under Paragraph 14.04 or Owner's correction of defective Work under Paragraph 14.07, or (c) agreed to by the parties, subject to the need for Engineer's recommendation if the change in the Work involves the design (as set forth in the Drawings, Specifications, or otherwise), or other engineering or technical matters; and
 4. changes in the Contract Price or Contract Times, or other changes, which embody the substance of any final and binding results under Paragraph 11.06, or Article 12.
- B. If Owner or Contractor refuses to execute a Change Order that is required to be executed under the terms of this Paragraph 11.07, it shall be deemed to be of full force and effect, as if fully executed.

11.08 Notification to Surety

- A. If the provisions of any bond require notice to be given to a surety of any change affecting the general scope of the Work or the provisions of the Contract Documents (including, but not limited to, Contract Price or Contract Times), the giving of any such notice will be Contractor's responsibility. The amount of each applicable bond will be adjusted to reflect the effect of any such change.

ARTICLE 12 – CLAIMS

12.01 Claims

- A. *Claims Process:* The following disputes between Owner and Contractor shall be submitted to the Claims process set forth in this Article:
1. Appeals by Owner or Contractor of Engineer's decisions regarding Change Proposals;
 2. Owner demands for adjustments in the Contract Price or Contract Times, or other relief under the Contract Documents; and
 3. Disputes that Engineer has been unable to address because they do not involve the design (as set forth in the Drawings, Specifications, or otherwise), the acceptability of the Work, or other engineering or technical matters.
- B. *Submittal of Claim:* The party submitting a Claim shall deliver it directly to the other party to the Contract promptly (but in no event later than 30 days) after the start of the event giving rise thereto; in the case of appeals regarding Change Proposals within 30 days of the decision under appeal. The party submitting the Claim shall also furnish a copy to the Engineer, for its information only. The responsibility to substantiate a Claim shall rest with the party making the Claim. In the case of a Claim by Contractor seeking an increase in the Contract Times or Contract Price, or both, Contractor shall certify that the Claim is made in good faith, that the supporting data are accurate and complete, and that to the best of Contractor's knowledge and belief the amount of time or money requested accurately reflects the full amount to which Contractor is entitled.
- C. *Review and Resolution:* The party receiving a Claim shall review it thoroughly, giving full consideration to its merits. The two parties shall seek to resolve the Claim through the exchange of information and direct negotiations. The parties may extend the time for resolving the Claim by mutual agreement. All actions taken on a Claim shall be stated in writing and submitted to the other party, with a copy to Engineer.
- D. *Mediation:*
1. At any time after initiation of a Claim, Owner and Contractor may mutually agree to mediation of the underlying dispute. The agreement to mediate shall stay the Claim submittal and response process.
 2. If Owner and Contractor agree to mediation, then after 60 days from such agreement, either Owner or Contractor may unilaterally terminate the mediation process, and the Claim submittal and decision process shall resume as of the date of the termination. If the mediation proceeds but is unsuccessful in resolving the dispute, the Claim submittal and decision process shall resume as of the date of the conclusion of the mediation, as determined by the mediator.
 3. Owner and Contractor shall each pay one-half of the mediator's fees and costs.
- E. *Partial Approval:* If the party receiving a Claim approves the Claim in part and denies it in part, such action shall be final and binding unless within 30 days of such action the other party invokes the procedure set forth in Article 17 for final resolution of disputes.
- F. *Denial of Claim:* If efforts to resolve a Claim are not successful, the party receiving the Claim may deny it by giving written notice of denial to the other party. If the receiving party does not take action on the Claim within 90 days, then either Owner or Contractor may at any time thereafter submit a letter to the other party indicating that as a result of the inaction, the Claim

is deemed denied, thereby commencing the time for appeal of the denial. A denial of the Claim shall be final and binding unless within 30 days of the denial the other party invokes the procedure set forth in Article 17 for the final resolution of disputes.

- G. *Final and Binding Results*: If the parties reach a mutual agreement regarding a Claim, whether through approval of the Claim, direct negotiations, mediation, or otherwise; or if a Claim is approved in part and denied in part, or denied in full, and such actions become final and binding; then the results of the agreement or action on the Claim shall be incorporated in a Change Order to the extent they affect the Contract, including the Work, the Contract Times, or the Contract Price.

ARTICLE 13 – COST OF THE WORK; ALLOWANCES; UNIT PRICE WORK

13.01 Cost of the Work

- A. *Purposes for Determination of Cost of the Work*: The term Cost of the Work means the sum of all costs necessary for the proper performance of the Work at issue, as further defined below. The provisions of this Paragraph 13.01 are used for two distinct purposes:
1. To determine Cost of the Work when Cost of the Work is a component of the Contract Price, under cost-plus-fee, time-and-materials, or other cost-based terms; or
 2. To determine the value of a Change Order, Change Proposal, Claim, set-off, or other adjustment in Contract Price. When the value of any such adjustment is determined on the basis of Cost of the Work, Contractor is entitled only to those additional or incremental costs required because of the change in the Work or because of the event giving rise to the adjustment.
- B. *Costs Included*: Except as otherwise may be agreed to in writing by Owner, costs included in the Cost of the Work shall be in amounts no higher than those prevailing in the locality of the Project, shall not include any of the costs itemized in Paragraph 13.01.C, and shall include only the following items:
1. Payroll costs for employees in the direct employ of Contractor in the performance of the Work under schedules of job classifications agreed upon by Owner and Contractor. Such employees shall include, without limitation, superintendents, foremen, and other personnel employed full time on the Work. Payroll costs for employees not employed full time on the Work shall be apportioned on the basis of their time spent on the Work. Payroll costs shall include, but not be limited to, salaries and wages plus the cost of fringe benefits, which shall include social security contributions, unemployment, excise, and payroll taxes, workers' compensation, health and retirement benefits, bonuses, sick leave, and vacation and holiday pay applicable thereto. The expenses of performing Work outside of regular working hours, on Saturday, Sunday, or legal holidays, shall be included in the above to the extent authorized by Owner.
 2. Cost of all materials and equipment furnished and incorporated in the Work, including costs of transportation and storage thereof, and Suppliers' field services required in connection therewith. All cash discounts shall accrue to Contractor unless Owner deposits funds with Contractor with which to make payments, in which case the cash discounts shall accrue to Owner. All trade discounts, rebates, and refunds and returns from sale of surplus materials and equipment shall accrue to Owner, and Contractor shall make provisions so that they may be obtained.

3. Payments made by Contractor to Subcontractors for Work performed by Subcontractors. If required by Owner, Contractor shall obtain competitive bids from subcontractors acceptable to Owner and Contractor and shall deliver such bids to Owner, who will then determine, with the advice of Engineer, which bids, if any, will be acceptable. If any subcontract provides that the Subcontractor is to be paid on the basis of Cost of the Work plus a fee, the Subcontractor's Cost of the Work and fee shall be determined in the same manner as Contractor's Cost of the Work and fee as provided in this Paragraph 13.01.
4. Costs of special consultants (including but not limited to engineers, architects, testing laboratories, surveyors, attorneys, and accountants) employed for services specifically related to the Work.
5. Supplemental costs including the following:
 - a. The proportion of necessary transportation, travel, and subsistence expenses of Contractor's employees incurred in discharge of duties connected with the Work.
 - b. Cost, including transportation and maintenance, of all materials, supplies, equipment, machinery, appliances, office, and temporary facilities at the Site, and hand tools not owned by the workers, which are consumed in the performance of the Work, and cost, less market value, of such items used but not consumed which remain the property of Contractor.
 - c. Rentals of all construction equipment and machinery, and the parts thereof, whether rented from Contractor or others in accordance with rental agreements approved by Owner with the advice of Engineer, and the costs of transportation, loading, unloading, assembly, dismantling, and removal thereof. All such costs shall be in accordance with the terms of said rental agreements. The rental of any such equipment, machinery, or parts shall cease when the use thereof is no longer necessary for the Work.
 - d. Sales, consumer, use, and other similar taxes related to the Work, and for which Contractor is liable, as imposed by Laws and Regulations.
 - e. Deposits lost for causes other than negligence of Contractor, any Subcontractor, or anyone directly or indirectly employed by any of them or for whose acts any of them may be liable, and royalty payments and fees for permits and licenses.
 - f. Losses and damages (and related expenses) caused by damage to the Work, not compensated by insurance or otherwise, sustained by Contractor in connection with the performance of the Work (except losses and damages within the deductible amounts of property insurance established in accordance with Paragraph 6.05), provided such losses and damages have resulted from causes other than the negligence of Contractor, any Subcontractor, or anyone directly or indirectly employed by any of them or for whose acts any of them may be liable. Such losses shall include settlements made with the written consent and approval of Owner. No such losses, damages, and expenses shall be included in the Cost of the Work for the purpose of determining Contractor's fee.
 - g. The cost of utilities, fuel, and sanitary facilities at the Site.
 - h. Minor expenses such as communication service at the Site, express and courier services, and similar petty cash items in connection with the Work.
 - i. The costs of premiums for all bonds and insurance that Contractor is required by the Contract Documents to purchase and maintain.

- C. *Costs Excluded*: The term Cost of the Work shall not include any of the following items:
1. Payroll costs and other compensation of Contractor's officers, executives, principals (of partnerships and sole proprietorships), general managers, safety managers, engineers, architects, estimators, attorneys, auditors, accountants, purchasing and contracting agents, expeditors, timekeepers, clerks, and other personnel employed by Contractor, whether at the Site or in Contractor's principal or branch office for general administration of the Work and not specifically included in the agreed upon schedule of job classifications referred to in Paragraph 13.01.B.1 or specifically covered by Paragraph 13.01.B.4. The payroll costs and other compensation excluded here are to be considered administrative costs covered by the Contractor's fee.
 2. Expenses of Contractor's principal and branch offices other than Contractor's office at the Site.
 3. Any part of Contractor's capital expenses, including interest on Contractor's capital employed for the Work and charges against Contractor for delinquent payments.
 4. Costs due to the negligence of Contractor, any Subcontractor, or anyone directly or indirectly employed by any of them or for whose acts any of them may be liable, including but not limited to, the correction of defective Work, disposal of materials or equipment wrongly supplied, and making good any damage to property.
 5. Other overhead or general expense costs of any kind and the costs of any item not specifically and expressly included in Paragraph 13.01.B.
- D. *Contractor's Fee*: When the Work as a whole is performed on the basis of cost-plus, Contractor's fee shall be determined as set forth in the Agreement. When the value of any Work covered by a Change Order, Change Proposal, Claim, set-off, or other adjustment in Contract Price is determined on the basis of Cost of the Work, Contractor's fee shall be determined as set forth in Paragraph 11.04.C.
- E. *Documentation*: Whenever the Cost of the Work for any purpose is to be determined pursuant to this Article 13, Contractor will establish and maintain records thereof in accordance with generally accepted accounting practices and submit in a form acceptable to Engineer an itemized cost breakdown together with supporting data.

13.02 Allowances

- A. It is understood that Contractor has included in the Contract Price all allowances so named in the Contract Documents and shall cause the Work so covered to be performed for such sums and by such persons or entities as may be acceptable to Owner and Engineer.
- B. *Cash Allowances*: Contractor agrees that:
1. the cash allowances include the cost to Contractor (less any applicable trade discounts) of materials and equipment required by the allowances to be delivered at the Site, and all applicable taxes; and
 2. Contractor's costs for unloading and handling on the Site, labor, installation, overhead, profit, and other expenses contemplated for the cash allowances have been included in the Contract Price and not in the allowances, and no demand for additional payment on account of any of the foregoing will be valid.
- C. *Contingency Allowance*: Contractor agrees that a contingency allowance, if any, is for the sole use of Owner to cover unanticipated costs.

- D. Prior to final payment, an appropriate Change Order will be issued as recommended by Engineer to reflect actual amounts due Contractor on account of Work covered by allowances, and the Contract Price shall be correspondingly adjusted.

13.03 Unit Price Work

- A. Where the Contract Documents provide that all or part of the Work is to be Unit Price Work, initially the Contract Price will be deemed to include for all Unit Price Work an amount equal to the sum of the unit price for each separately identified item of Unit Price Work times the estimated quantity of each item as indicated in the Agreement.
- B. The estimated quantities of items of Unit Price Work are not guaranteed and are solely for the purpose of comparison of Bids and determining an initial Contract Price. Payments to Contractor for Unit Price Work will be based on actual quantities.
- C. Each unit price will be deemed to include an amount considered by Contractor to be adequate to cover Contractor's overhead and profit for each separately identified item.
- D. Engineer will determine the actual quantities and classifications of Unit Price Work performed by Contractor. Engineer will review with Contractor the Engineer's preliminary determinations on such matters before rendering a written decision thereon (by recommendation of an Application for Payment or otherwise). Engineer's written decision thereon will be final and binding (except as modified by Engineer to reflect changed factual conditions or more accurate data) upon Owner and Contractor, subject to the provisions of the following paragraph.
- E. Within 30 days of Engineer's written decision under the preceding paragraph, Contractor may submit a Change Proposal, or Owner may file a Claim, seeking an adjustment in the Contract Price if:
 - 1. the quantity of any item of Unit Price Work performed by Contractor differs materially and significantly from the estimated quantity of such item indicated in the Agreement;
 - 2. there is no corresponding adjustment with respect to any other item of Work; and
 - 3. Contractor believes that it is entitled to an increase in Contract Price as a result of having incurred additional expense or Owner believes that Owner is entitled to a decrease in Contract Price, and the parties are unable to agree as to the amount of any such increase or decrease.

ARTICLE 14 – TESTS AND INSPECTIONS; CORRECTION, REMOVAL OR ACCEPTANCE OF DEFECTIVE WORK

14.01 Access to Work

- A. Owner, Engineer, their consultants and other representatives and personnel of Owner, independent testing laboratories, and authorities having jurisdiction will have access to the Site and the Work at reasonable times for their observation, inspection, and testing. Contractor shall provide them proper and safe conditions for such access and advise them of Contractor's safety procedures and programs so that they may comply therewith as applicable.

14.02 Tests, Inspections, and Approvals

- A. Contractor shall give Engineer timely notice of readiness of the Work (or specific parts thereof) for all required inspections and tests, and shall cooperate with inspection and testing personnel to facilitate required inspections and tests.
- B. Owner shall retain and pay for the services of an independent inspector, testing laboratory, or other qualified individual or entity to perform all inspections and tests expressly required by

the Contract Documents to be furnished and paid for by Owner, except that costs incurred in connection with tests or inspections of covered Work shall be governed by the provisions of Paragraph 14.05.

- C. If Laws or Regulations of any public body having jurisdiction require any Work (or part thereof) specifically to be inspected, tested, or approved by an employee or other representative of such public body, Contractor shall assume full responsibility for arranging and obtaining such inspections, tests, or approvals, pay all costs in connection therewith, and furnish Engineer the required certificates of inspection or approval.
- D. Contractor shall be responsible for arranging, obtaining, and paying for all inspections and tests required:
 - 1. by the Contract Documents, unless the Contract Documents expressly allocate responsibility for a specific inspection or test to Owner;
 - 2. to attain Owner's and Engineer's acceptance of materials or equipment to be incorporated in the Work;
 - 3. by manufacturers of equipment furnished under the Contract Documents;
 - 4. for testing, adjusting, and balancing of mechanical, electrical, and other equipment to be incorporated into the Work; and
 - 5. for acceptance of materials, mix designs, or equipment submitted for approval prior to Contractor's purchase thereof for incorporation in the Work.

Such inspections and tests shall be performed by independent inspectors, testing laboratories, or other qualified individuals or entities acceptable to Owner and Engineer.

- E. If the Contract Documents require the Work (or part thereof) to be approved by Owner, Engineer, or another designated individual or entity, then Contractor shall assume full responsibility for arranging and obtaining such approvals.
- F. If any Work (or the work of others) that is to be inspected, tested, or approved is covered by Contractor without written concurrence of Engineer, Contractor shall, if requested by Engineer, uncover such Work for observation. Such uncovering shall be at Contractor's expense unless Contractor had given Engineer timely notice of Contractor's intention to cover the same and Engineer had not acted with reasonable promptness in response to such notice.

14.03 Defective Work

- A. *Contractor's Obligation:* It is Contractor's obligation to assure that the Work is not defective.
- B. *Engineer's Authority:* Engineer has the authority to determine whether Work is defective, and to reject defective Work.
- C. *Notice of Defects:* Prompt notice of all defective Work of which Owner or Engineer has actual knowledge will be given to Contractor.
- D. *Correction, or Removal and Replacement:* Promptly after receipt of written notice of defective Work, Contractor shall correct all such defective Work, whether or not fabricated, installed, or completed, or, if Engineer has rejected the defective Work, remove it from the Project and replace it with Work that is not defective.
- E. *Preservation of Warranties:* When correcting defective Work, Contractor shall take no action that would void or otherwise impair Owner's special warranty and guarantee, if any, on said Work.

- F. *Costs and Damages*: In addition to its correction, removal, and replacement obligations with respect to defective Work, Contractor shall pay all claims, costs, losses, and damages arising out of or relating to defective Work, including but not limited to the cost of the inspection, testing, correction, removal, replacement, or reconstruction of such defective Work, fines levied against Owner by governmental authorities because the Work is defective, and the costs of repair or replacement of work of others resulting from defective Work. Prior to final payment, if Owner and Contractor are unable to agree as to the measure of such claims, costs, losses, and damages resulting from defective Work, then Owner may impose a reasonable set-off against payments due under Article 15.

14.04 Acceptance of Defective Work

- A. If, instead of requiring correction or removal and replacement of defective Work, Owner prefers to accept it, Owner may do so (subject, if such acceptance occurs prior to final payment, to Engineer's confirmation that such acceptance is in general accord with the design intent and applicable engineering principles, and will not endanger public safety). Contractor shall pay all claims, costs, losses, and damages attributable to Owner's evaluation of and determination to accept such defective Work (such costs to be approved by Engineer as to reasonableness), and for the diminished value of the Work to the extent not otherwise paid by Contractor. If any such acceptance occurs prior to final payment, the necessary revisions in the Contract Documents with respect to the Work shall be incorporated in a Change Order. If the parties are unable to agree as to the decrease in the Contract Price, reflecting the diminished value of Work so accepted, then Owner may impose a reasonable set-off against payments due under Article 15. If the acceptance of defective Work occurs after final payment, Contractor shall pay an appropriate amount to Owner.

14.05 Uncovering Work

- A. Engineer has the authority to require special inspection or testing of the Work, whether or not the Work is fabricated, installed, or completed.
- B. If any Work is covered contrary to the written request of Engineer, then Contractor shall, if requested by Engineer, uncover such Work for Engineer's observation, and then replace the covering, all at Contractor's expense.
- C. If Engineer considers it necessary or advisable that covered Work be observed by Engineer or inspected or tested by others, then Contractor, at Engineer's request, shall uncover, expose, or otherwise make available for observation, inspection, or testing as Engineer may require, that portion of the Work in question, and provide all necessary labor, material, and equipment.
 - 1. If it is found that the uncovered Work is defective, Contractor shall be responsible for all claims, costs, losses, and damages arising out of or relating to such uncovering, exposure, observation, inspection, and testing, and of satisfactory replacement or reconstruction (including but not limited to all costs of repair or replacement of work of others); and pending Contractor's full discharge of this responsibility the Owner shall be entitled to impose a reasonable set-off against payments due under Article 15.
 - 2. If the uncovered Work is not found to be defective, Contractor shall be allowed an increase in the Contract Price or an extension of the Contract Times, or both, directly attributable to such uncovering, exposure, observation, inspection, testing, replacement, and reconstruction. If the parties are unable to agree as to the amount or extent thereof, then Contractor may submit a Change Proposal within 30 days of the determination that the Work is not defective.

14.06 Owner May Stop the Work

- A. If the Work is defective, or Contractor fails to supply sufficient skilled workers or suitable materials or equipment, or fails to perform the Work in such a way that the completed Work will conform to the Contract Documents, then Owner may order Contractor to stop the Work, or any portion thereof, until the cause for such order has been eliminated; however, this right of Owner to stop the Work shall not give rise to any duty on the part of Owner to exercise this right for the benefit of Contractor, any Subcontractor, any Supplier, any other individual or entity, or any surety for, or employee or agent of any of them.

14.07 Owner May Correct Defective Work

- A. If Contractor fails within a reasonable time after written notice from Engineer to correct defective Work, or to remove and replace rejected Work as required by Engineer, or if Contractor fails to perform the Work in accordance with the Contract Documents, or if Contractor fails to comply with any other provision of the Contract Documents, then Owner may, after seven days written notice to Contractor, correct or remedy any such deficiency.
- B. In exercising the rights and remedies under this Paragraph 14.07, Owner shall proceed expeditiously. In connection with such corrective or remedial action, Owner may exclude Contractor from all or part of the Site, take possession of all or part of the Work and suspend Contractor's services related thereto, and incorporate in the Work all materials and equipment stored at the Site or for which Owner has paid Contractor but which are stored elsewhere. Contractor shall allow Owner, Owner's representatives, agents and employees, Owner's other contractors, and Engineer and Engineer's consultants access to the Site to enable Owner to exercise the rights and remedies under this paragraph.
- C. All claims, costs, losses, and damages incurred or sustained by Owner in exercising the rights and remedies under this Paragraph 14.07 will be charged against Contractor as set-offs against payments due under Article 15. Such claims, costs, losses and damages will include but not be limited to all costs of repair, or replacement of work of others destroyed or damaged by correction, removal, or replacement of Contractor's defective Work.
- D. Contractor shall not be allowed an extension of the Contract Times because of any delay in the performance of the Work attributable to the exercise by Owner of Owner's rights and remedies under this Paragraph 14.07.

ARTICLE 15 – PAYMENTS TO CONTRACTOR; SET-OFFS; COMPLETION; CORRECTION PERIOD

15.01 Progress Payments

- A. *Basis for Progress Payments:* The Schedule of Values established as provided in Article 2 will serve as the basis for progress payments and will be incorporated into a form of Application for Payment acceptable to Engineer. Progress payments on account of Unit Price Work will be based on the number of units completed during the pay period, as determined under the provisions of Paragraph 13.03. Progress payments for cost-based Work will be based on Cost of the Work completed by Contractor during the pay period.
- B. *Applications for Payments:*
 - 1. At least 20 days before the date established in the Agreement for each progress payment (but not more often than once a month), Contractor shall submit to Engineer for review an Application for Payment filled out and signed by Contractor covering the Work completed as of the date of the Application and accompanied by such supporting documentation as is required by the Contract Documents. If payment is requested on the

basis of materials and equipment not incorporated in the Work but delivered and suitably stored at the Site or at another location agreed to in writing, the Application for Payment shall also be accompanied by a bill of sale, invoice, or other documentation warranting that Owner has received the materials and equipment free and clear of all Liens, and evidence that the materials and equipment are covered by appropriate property insurance, a warehouse bond, or other arrangements to protect Owner's interest therein, all of which must be satisfactory to Owner.

2. Beginning with the second Application for Payment, each Application shall include an affidavit of Contractor stating that all previous progress payments received on account of the Work have been applied on account to discharge Contractor's legitimate obligations associated with prior Applications for Payment.
3. The amount of retainage with respect to progress payments will be as stipulated in the Agreement.

C. *Review of Applications:*

1. Engineer will, within 10 days after receipt of each Application for Payment, including each resubmittal, either indicate in writing a recommendation of payment and present the Application to Owner, or return the Application to Contractor indicating in writing Engineer's reasons for refusing to recommend payment. In the latter case, Contractor may make the necessary corrections and resubmit the Application.
2. Engineer's recommendation of any payment requested in an Application for Payment will constitute a representation by Engineer to Owner, based on Engineer's observations of the executed Work as an experienced and qualified design professional, and on Engineer's review of the Application for Payment and the accompanying data and schedules, that to the best of Engineer's knowledge, information and belief:
 - a. the Work has progressed to the point indicated;
 - b. the quality of the Work is generally in accordance with the Contract Documents (subject to an evaluation of the Work as a functioning whole prior to or upon Substantial Completion, the results of any subsequent tests called for in the Contract Documents, a final determination of quantities and classifications for Unit Price Work under Paragraph 13.03, and any other qualifications stated in the recommendation); and
 - c. the conditions precedent to Contractor's being entitled to such payment appear to have been fulfilled in so far as it is Engineer's responsibility to observe the Work.
3. By recommending any such payment Engineer will not thereby be deemed to have represented that:
 - a. inspections made to check the quality or the quantity of the Work as it has been performed have been exhaustive, extended to every aspect of the Work in progress, or involved detailed inspections of the Work beyond the responsibilities specifically assigned to Engineer in the Contract; or
 - b. there may not be other matters or issues between the parties that might entitle Contractor to be paid additionally by Owner or entitle Owner to withhold payment to Contractor.

4. Neither Engineer's review of Contractor's Work for the purposes of recommending payments nor Engineer's recommendation of any payment, including final payment, will impose responsibility on Engineer:
 - a. to supervise, direct, or control the Work, or
 - b. for the means, methods, techniques, sequences, or procedures of construction, or the safety precautions and programs incident thereto, or
 - c. for Contractor's failure to comply with Laws and Regulations applicable to Contractor's performance of the Work, or
 - d. to make any examination to ascertain how or for what purposes Contractor has used the money paid on account of the Contract Price, or
 - e. to determine that title to any of the Work, materials, or equipment has passed to Owner free and clear of any Liens.
 5. Engineer may refuse to recommend the whole or any part of any payment if, in Engineer's opinion, it would be incorrect to make the representations to Owner stated in Paragraph 15.01.C.2.
 6. Engineer will recommend reductions in payment (set-offs) necessary in Engineer's opinion to protect Owner from loss because:
 - a. the Work is defective, requiring correction or replacement;
 - b. the Contract Price has been reduced by Change Orders;
 - c. Owner has been required to correct defective Work in accordance with Paragraph 14.07, or has accepted defective Work pursuant to Paragraph 14.04;
 - d. Owner has been required to remove or remediate a Hazardous Environmental Condition for which Contractor is responsible; or
 - e. Engineer has actual knowledge of the occurrence of any of the events that would constitute a default by Contractor and therefore justify termination for cause under the Contract Documents.
- D. *Payment Becomes Due:*
1. Ten days after presentation of the Application for Payment to Owner with Engineer's recommendation, the amount recommended (subject to any Owner set-offs) will become due, and when due will be paid by Owner to Contractor.
- E. *Reductions in Payment by Owner:*
1. In addition to any reductions in payment (set-offs) recommended by Engineer, Owner is entitled to impose a set-off against payment based on any of the following:
 - a. claims have been made against Owner on account of Contractor's conduct in the performance or furnishing of the Work, or Owner has incurred costs, losses, or damages on account of Contractor's conduct in the performance or furnishing of the Work, including but not limited to claims, costs, losses, or damages from workplace injuries, adjacent property damage, non-compliance with Laws and Regulations, and patent infringement;
 - b. Contractor has failed to take reasonable and customary measures to avoid damage, delay, disruption, and interference with other work at or adjacent to the Site;

- c. Contractor has failed to provide and maintain required bonds or insurance;
 - d. Owner has been required to remove or remediate a Hazardous Environmental Condition for which Contractor is responsible;
 - e. Owner has incurred extra charges or engineering costs related to submittal reviews, evaluations of proposed substitutes, tests and inspections, or return visits to manufacturing or assembly facilities;
 - f. the Work is defective, requiring correction or replacement;
 - g. Owner has been required to correct defective Work in accordance with Paragraph 14.07, or has accepted defective Work pursuant to Paragraph 14.04;
 - h. the Contract Price has been reduced by Change Orders;
 - i. an event that would constitute a default by Contractor and therefore justify a termination for cause has occurred;
 - j. liquidated damages have accrued as a result of Contractor's failure to achieve Milestones, Substantial Completion, or final completion of the Work;
 - k. Liens have been filed in connection with the Work, except where Contractor has delivered a specific bond satisfactory to Owner to secure the satisfaction and discharge of such Liens;
 - l. there are other items entitling Owner to a set off against the amount recommended.
2. If Owner imposes any set-off against payment, whether based on its own knowledge or on the written recommendations of Engineer, Owner will give Contractor immediate written notice (with a copy to Engineer) stating the reasons for such action and the specific amount of the reduction, and promptly pay Contractor any amount remaining after deduction of the amount so withheld. Owner shall promptly pay Contractor the amount so withheld, or any adjustment thereto agreed to by Owner and Contractor, if Contractor remedies the reasons for such action. The reduction imposed shall be binding on Contractor unless it duly submits a Change Proposal contesting the reduction.
 3. Upon a subsequent determination that Owner's refusal of payment was not justified, the amount wrongfully withheld shall be treated as an amount due as determined by Paragraph 15.01.C.1 and subject to interest as provided in the Agreement.

15.02 Contractor's Warranty of Title

- A. Contractor warrants and guarantees that title to all Work, materials, and equipment furnished under the Contract will pass to Owner free and clear of (1) all Liens and other title defects, and (2) all patent, licensing, copyright, or royalty obligations, no later than seven days after the time of payment by Owner.

15.03 Substantial Completion

- A. When Contractor considers the entire Work ready for its intended use Contractor shall notify Owner and Engineer in writing that the entire Work is substantially complete and request that Engineer issue a certificate of Substantial Completion. Contractor shall at the same time submit to Owner and Engineer an initial draft of punch list items to be completed or corrected before final payment.
- B. Promptly after Contractor's notification, Owner, Contractor, and Engineer shall make an inspection of the Work to determine the status of completion. If Engineer does not consider

the Work substantially complete, Engineer will notify Contractor in writing giving the reasons therefor.

- C. If Engineer considers the Work substantially complete, Engineer will deliver to Owner a preliminary certificate of Substantial Completion which shall fix the date of Substantial Completion. Engineer shall attach to the certificate a punch list of items to be completed or corrected before final payment. Owner shall have seven days after receipt of the preliminary certificate during which to make written objection to Engineer as to any provisions of the certificate or attached punch list. If, after considering the objections to the provisions of the preliminary certificate, Engineer concludes that the Work is not substantially complete, Engineer will, within 14 days after submission of the preliminary certificate to Owner, notify Contractor in writing that the Work is not substantially complete, stating the reasons therefor. If Owner does not object to the provisions of the certificate, or if despite consideration of Owner's objections Engineer concludes that the Work is substantially complete, then Engineer will, within said 14 days, execute and deliver to Owner and Contractor a final certificate of Substantial Completion (with a revised punch list of items to be completed or corrected) reflecting such changes from the preliminary certificate as Engineer believes justified after consideration of any objections from Owner.
- D. At the time of receipt of the preliminary certificate of Substantial Completion, Owner and Contractor will confer regarding Owner's use or occupancy of the Work following Substantial Completion, review the builder's risk insurance policy with respect to the end of the builder's risk coverage, and confirm the transition to coverage of the Work under a permanent property insurance policy held by Owner. Unless Owner and Contractor agree otherwise in writing, Owner shall bear responsibility for security, operation, protection of the Work, property insurance, maintenance, heat, and utilities upon Owner's use or occupancy of the Work.
- E. After Substantial Completion the Contractor shall promptly begin work on the punch list of items to be completed or corrected prior to final payment. In appropriate cases Contractor may submit monthly Applications for Payment for completed punch list items, following the progress payment procedures set forth above.
- F. Owner shall have the right to exclude Contractor from the Site after the date of Substantial Completion subject to allowing Contractor reasonable access to remove its property and complete or correct items on the punch list.

15.04 Partial Use or Occupancy

- A. Prior to Substantial Completion of all the Work, Owner may use or occupy any substantially completed part of the Work which has specifically been identified in the Contract Documents, or which Owner, Engineer, and Contractor agree constitutes a separately functioning and usable part of the Work that can be used by Owner for its intended purpose without significant interference with Contractor's performance of the remainder of the Work, subject to the following conditions:
 - 1. At any time Owner may request in writing that Contractor permit Owner to use or occupy any such part of the Work that Owner believes to be substantially complete. If and when Contractor agrees that such part of the Work is substantially complete, Contractor, Owner, and Engineer will follow the procedures of Paragraph 15.03.A through E for that part of the Work.
 - 2. At any time Contractor may notify Owner and Engineer in writing that Contractor considers any such part of the Work substantially complete and request Engineer to issue a certificate of Substantial Completion for that part of the Work.

3. Within a reasonable time after either such request, Owner, Contractor, and Engineer shall make an inspection of that part of the Work to determine its status of completion. If Engineer does not consider that part of the Work to be substantially complete, Engineer will notify Owner and Contractor in writing giving the reasons therefor. If Engineer considers that part of the Work to be substantially complete, the provisions of Paragraph 15.03 will apply with respect to certification of Substantial Completion of that part of the Work and the division of responsibility in respect thereof and access thereto.
4. No use or occupancy or separate operation of part of the Work may occur prior to compliance with the requirements of Paragraph 6.05 regarding builder's risk or other property insurance.

15.05 Final Inspection

- A. Upon written notice from Contractor that the entire Work or an agreed portion thereof is complete, Engineer will promptly make a final inspection with Owner and Contractor and will notify Contractor in writing of all particulars in which this inspection reveals that the Work, or agreed portion thereof, is incomplete or defective. Contractor shall immediately take such measures as are necessary to complete such Work or remedy such deficiencies.

15.06 Final Payment

A. *Application for Payment:*

1. After Contractor has, in the opinion of Engineer, satisfactorily completed all corrections identified during the final inspection and has delivered, in accordance with the Contract Documents, all maintenance and operating instructions, schedules, guarantees, bonds, certificates or other evidence of insurance, certificates of inspection, annotated record documents (as provided in Paragraph 7.11), and other documents, Contractor may make application for final payment.
2. The final Application for Payment shall be accompanied (except as previously delivered) by:
 - a. all documentation called for in the Contract Documents;
 - b. consent of the surety, if any, to final payment;
 - c. satisfactory evidence that all title issues have been resolved such that title to all Work, materials, and equipment has passed to Owner free and clear of any Liens or other title defects, or will so pass upon final payment.
 - d. a list of all disputes that Contractor believes are unsettled; and
 - e. complete and legally effective releases or waivers (satisfactory to Owner) of all Lien rights arising out of the Work, and of Liens filed in connection with the Work.
3. In lieu of the releases or waivers of Liens specified in Paragraph 15.06.A.2 and as approved by Owner, Contractor may furnish receipts or releases in full and an affidavit of Contractor that: (a) the releases and receipts include all labor, services, material, and equipment for which a Lien could be filed; and (b) all payrolls, material and equipment bills, and other indebtedness connected with the Work for which Owner might in any way be responsible, or which might in any way result in liens or other burdens on Owner's property, have been paid or otherwise satisfied. If any Subcontractor or Supplier fails to furnish such a release or receipt in full, Contractor may furnish a bond or other collateral satisfactory to Owner to indemnify Owner against any Lien, or Owner at its option may issue joint checks payable to Contractor and specified Subcontractors and Suppliers.

B. *Engineer's Review of Application and Acceptance:*

1. If, on the basis of Engineer's observation of the Work during construction and final inspection, and Engineer's review of the final Application for Payment and accompanying documentation as required by the Contract Documents, Engineer is satisfied that the Work has been completed and Contractor's other obligations under the Contract have been fulfilled, Engineer will, within ten days after receipt of the final Application for Payment, indicate in writing Engineer's recommendation of final payment and present the Application for Payment to Owner for payment. Such recommendation shall account for any set-offs against payment that are necessary in Engineer's opinion to protect Owner from loss for the reasons stated above with respect to progress payments. At the same time Engineer will also give written notice to Owner and Contractor that the Work is acceptable, subject to the provisions of Paragraph 15.07. Otherwise, Engineer will return the Application for Payment to Contractor, indicating in writing the reasons for refusing to recommend final payment, in which case Contractor shall make the necessary corrections and resubmit the Application for Payment.

C. *Completion of Work:* The Work is complete (subject to surviving obligations) when it is ready for final payment as established by the Engineer's written recommendation of final payment.

D. *Payment Becomes Due:* Thirty days after the presentation to Owner of the final Application for Payment and accompanying documentation, the amount recommended by Engineer (less any further sum Owner is entitled to set off against Engineer's recommendation, including but not limited to set-offs for liquidated damages and set-offs allowed under the provisions above with respect to progress payments) will become due and shall be paid by Owner to Contractor.

15.07 Waiver of Claims

A. The making of final payment will not constitute a waiver by Owner of claims or rights against Contractor. Owner expressly reserves claims and rights arising from unsettled Liens, from defective Work appearing after final inspection pursuant to Paragraph 15.05, from Contractor's failure to comply with the Contract Documents or the terms of any special guarantees specified therein, from outstanding Claims by Owner, or from Contractor's continuing obligations under the Contract Documents.

B. The acceptance of final payment by Contractor will constitute a waiver by Contractor of all claims and rights against Owner other than those pending matters that have been duly submitted or appealed under the provisions of Article 17.

15.08 Correction Period

A. If within one year after the date of Substantial Completion (or such longer period of time as may be prescribed by the terms of any applicable special guarantee required by the Contract Documents, or by any specific provision of the Contract Documents), any Work is found to be defective, or if the repair of any damages to the Site, adjacent areas that Contractor has arranged to use through construction easements or otherwise, and other adjacent areas used by Contractor as permitted by Laws and Regulations, is found to be defective, then Contractor shall promptly, without cost to Owner and in accordance with Owner's written instructions:

1. correct the defective repairs to the Site or such other adjacent areas;
2. correct such defective Work;
3. if the defective Work has been rejected by Owner, remove it from the Project and replace it with Work that is not defective, and

4. satisfactorily correct or repair or remove and replace any damage to other Work, to the work of others, or to other land or areas resulting therefrom.
- B. If Contractor does not promptly comply with the terms of Owner's written instructions, or in an emergency where delay would cause serious risk of loss or damage, Owner may have the defective Work corrected or repaired or may have the rejected Work removed and replaced. Contractor shall pay all claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals and all court or arbitration or other dispute resolution costs) arising out of or relating to such correction or repair or such removal and replacement (including but not limited to all costs of repair or replacement of work of others).
- C. In special circumstances where a particular item of equipment is placed in continuous service before Substantial Completion of all the Work, the correction period for that item may start to run from an earlier date if so provided in the Specifications.
- D. Where defective Work (and damage to other Work resulting therefrom) has been corrected or removed and replaced under this paragraph, the correction period hereunder with respect to such Work will be extended for an additional period of one year after such correction or removal and replacement has been satisfactorily completed.
- E. Contractor's obligations under this paragraph are in addition to all other obligations and warranties. The provisions of this paragraph shall not be construed as a substitute for, or a waiver of, the provisions of any applicable statute of limitation or repose.

ARTICLE 16 – SUSPENSION OF WORK AND TERMINATION

16.01 Owner May Suspend Work

- A. At any time and without cause, Owner may suspend the Work or any portion thereof for a period of not more than 90 consecutive days by written notice to Contractor and Engineer. Such notice will fix the date on which Work will be resumed. Contractor shall resume the Work on the date so fixed. Contractor shall be entitled to an adjustment in the Contract Price or an extension of the Contract Times, or both, directly attributable to any such suspension. Any Change Proposal seeking such adjustments shall be submitted no later than 30 days after the date fixed for resumption of Work.

16.02 Owner May Terminate for Cause

- A. The occurrence of any one or more of the following events will constitute a default by Contractor and justify termination for cause:
 1. Contractor's persistent failure to perform the Work in accordance with the Contract Documents (including, but not limited to, failure to supply sufficient skilled workers or suitable materials or equipment or failure to adhere to the Progress Schedule);
 2. Failure of Contractor to perform or otherwise to comply with a material term of the Contract Documents;
 3. Contractor's disregard of Laws or Regulations of any public body having jurisdiction; or
 4. Contractor's repeated disregard of the authority of Owner or Engineer.

- B. If one or more of the events identified in Paragraph 16.02.A occurs, then after giving Contractor (and any surety) ten days written notice that Owner is considering a declaration that Contractor is in default and termination of the contract, Owner may proceed to:
 - 1. declare Contractor to be in default, and give Contractor (and any surety) notice that the Contract is terminated; and
 - 2. enforce the rights available to Owner under any applicable performance bond.
- C. Subject to the terms and operation of any applicable performance bond, if Owner has terminated the Contract for cause, Owner may exclude Contractor from the Site, take possession of the Work, incorporate in the Work all materials and equipment stored at the Site or for which Owner has paid Contractor but which are stored elsewhere, and complete the Work as Owner may deem expedient.
- D. Owner may not proceed with termination of the Contract under Paragraph 16.02.B if Contractor within seven days of receipt of notice of intent to terminate begins to correct its failure to perform and proceeds diligently to cure such failure.
- E. If Owner proceeds as provided in Paragraph 16.02.B, Contractor shall not be entitled to receive any further payment until the Work is completed. If the unpaid balance of the Contract Price exceeds the cost to complete the Work, including all related claims, costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals) sustained by Owner, such excess will be paid to Contractor. If the cost to complete the Work including such related claims, costs, losses, and damages exceeds such unpaid balance, Contractor shall pay the difference to Owner. Such claims, costs, losses, and damages incurred by Owner will be reviewed by Engineer as to their reasonableness and, when so approved by Engineer, incorporated in a Change Order. When exercising any rights or remedies under this paragraph, Owner shall not be required to obtain the lowest price for the Work performed.
- F. Where Contractor's services have been so terminated by Owner, the termination will not affect any rights or remedies of Owner against Contractor then existing or which may thereafter accrue, or any rights or remedies of Owner against Contractor or any surety under any payment bond or performance bond. Any retention or payment of money due Contractor by Owner will not release Contractor from liability.
- G. If and to the extent that Contractor has provided a performance bond under the provisions of Paragraph 6.01.A, the provisions of that bond shall govern over any inconsistent provisions of Paragraphs 16.02.B and 16.02.D.

16.03 Owner May Terminate For Convenience

- A. Upon seven days written notice to Contractor and Engineer, Owner may, without cause and without prejudice to any other right or remedy of Owner, terminate the Contract. In such case, Contractor shall be paid for (without duplication of any items):
 - 1. completed and acceptable Work executed in accordance with the Contract Documents prior to the effective date of termination, including fair and reasonable sums for overhead and profit on such Work;
 - 2. expenses sustained prior to the effective date of termination in performing services and furnishing labor, materials, or equipment as required by the Contract Documents in connection with uncompleted Work, plus fair and reasonable sums for overhead and profit on such expenses; and

3. other reasonable expenses directly attributable to termination, including costs incurred to prepare a termination for convenience cost proposal.
- B. Contractor shall not be paid on account of loss of anticipated overhead, profits, or revenue, or other economic loss arising out of or resulting from such termination.

16.04 Contractor May Stop Work or Terminate

- A. If, through no act or fault of Contractor, (1) the Work is suspended for more than 90 consecutive days by Owner or under an order of court or other public authority, or (2) Engineer fails to act on any Application for Payment within 30 days after it is submitted, or (3) Owner fails for 30 days to pay Contractor any sum finally determined to be due, then Contractor may, upon seven days written notice to Owner and Engineer, and provided Owner or Engineer do not remedy such suspension or failure within that time, terminate the contract and recover from Owner payment on the same terms as provided in Paragraph 16.03.
- B. In lieu of terminating the Contract and without prejudice to any other right or remedy, if Engineer has failed to act on an Application for Payment within 30 days after it is submitted, or Owner has failed for 30 days to pay Contractor any sum finally determined to be due, Contractor may, seven days after written notice to Owner and Engineer, stop the Work until payment is made of all such amounts due Contractor, including interest thereon. The provisions of this paragraph are not intended to preclude Contractor from submitting a Change Proposal for an adjustment in Contract Price or Contract Times or otherwise for expenses or damage directly attributable to Contractor's stopping the Work as permitted by this paragraph.

ARTICLE 17 – FINAL RESOLUTION OF DISPUTES

17.01 Methods and Procedures

- A. *Disputes Subject to Final Resolution:* The following disputed matters are subject to final resolution under the provisions of this Article:
1. A timely appeal of an approval in part and denial in part of a Claim, or of a denial in full; and
 2. Disputes between Owner and Contractor concerning the Work or obligations under the Contract Documents, and arising after final payment has been made.
- B. *Final Resolution of Disputes:* For any dispute subject to resolution under this Article, Owner or Contractor may:
1. elect in writing to invoke the dispute resolution process provided for in the Supplementary Conditions; or
 2. agree with the other party to submit the dispute to another dispute resolution process; or
 3. if no dispute resolution process is provided for in the Supplementary Conditions or mutually agreed to, give written notice to the other party of the intent to submit the dispute to a court of competent jurisdiction.

ARTICLE 18 – MISCELLANEOUS

18.01 Giving Notice

- A. Whenever any provision of the Contract Documents requires the giving of written notice, it will be deemed to have been validly given if:
 - 1. delivered in person, by a commercial courier service or otherwise, to the individual or to a member of the firm or to an officer of the corporation for which it is intended; or
 - 2. delivered at or sent by registered or certified mail, postage prepaid, to the last business address known to the sender of the notice.

18.02 Computation of Times

- A. When any period of time is referred to in the Contract by days, it will be computed to exclude the first and include the last day of such period. If the last day of any such period falls on a Saturday or Sunday or on a day made a legal holiday by the law of the applicable jurisdiction, such day will be omitted from the computation.

18.03 Cumulative Remedies

- A. The duties and obligations imposed by these General Conditions and the rights and remedies available hereunder to the parties hereto are in addition to, and are not to be construed in any way as a limitation of, any rights and remedies available to any or all of them which are otherwise imposed or available by Laws or Regulations, by special warranty or guarantee, or by other provisions of the Contract. The provisions of this paragraph will be as effective as if repeated specifically in the Contract Documents in connection with each particular duty, obligation, right, and remedy to which they apply.

18.04 Limitation of Damages

- A. With respect to any and all Change Proposals, Claims, disputes subject to final resolution, and other matters at issue, neither Owner nor Engineer, nor any of their officers, directors, members, partners, employees, agents, consultants, or subcontractors, shall be liable to Contractor for any claims, costs, losses, or damages sustained by Contractor on or in connection with any other project or anticipated project.

18.05 No Waiver

- A. A party's non-enforcement of any provision shall not constitute a waiver of that provision, nor shall it affect the enforceability of that provision or of the remainder of this Contract.

18.06 Survival of Obligations

- A. All representations, indemnifications, warranties, and guarantees made in, required by, or given in accordance with the Contract, as well as all continuing obligations indicated in the Contract, will survive final payment, completion, and acceptance of the Work or termination or completion of the Contract or termination of the services of Contractor.

18.07 Controlling Law

- A. This Contract is to be governed by the law of the state in which the Project is located.

18.08 Headings

- A. Article and paragraph headings are inserted for convenience only and do not constitute parts of these General Conditions.

Supplementary Conditions

These Supplementary Conditions amend or supplement the Standard General Conditions of the Construction Contract, EJCDC® C-700 (2013 Edition). All provisions that are not so amended or supplemented remain in full force and effect.

The terms used in these Supplementary Conditions have the meanings stated in the General Conditions. Additional terms used in these Supplementary Conditions have the meanings stated below, which are applicable to both the singular and plural thereof.

The address system used in these Supplementary Conditions is the same as the address system used in the General Conditions, with the prefix "SC" added thereto.

ARTICLE 1 – 1 – DEFINITIONS AND TERMINOLOGY

1.01 1.01 Defined Terms

- A. If the Contract will include a Geotechnical Baseline Report (see Article 5 below), include the following definitions:

SC 1.01. Add to the list of definitions in Paragraph 1.01.A by inserting the following as numbered items in their proper alphabetical positions:

Geotechnical Baseline Report (GBR) — The interpretive report prepared by or for Owner regarding subsurface conditions at the Site, and containing specific baseline geotechnical conditions that may be anticipated or relied upon for bidding and contract administration purposes, subject to the controlling provisions of the Contract, including the GBR's own terms. The GBR is a Contract Document.

Geotechnical Data Report (GDR) — The factual report that collects and presents data regarding actual subsurface conditions at or adjacent to the Site, including Technical Data and other geotechnical data, prepared by or for Owner in support of the Geotechnical Baseline Report. The GDR's content may include logs of borings, trenches, and other site investigations, recorded measurements of subsurface water levels, the results of field and laboratory testing, and descriptions of the investigative and testing programs. The GDR does not include an interpretation of the data. If opinions, or interpretive or speculative non-factual comments or statements appear in a document that is labeled a GDR, such opinions, comments, or statements are not operative parts of the GDR and do not have contractual standing. Subject to that exception, the GDR is a Contract Document.

SC 1.01.A.3 Add the following at the end of the last sentence of Paragraph 1.01.A.3:

The Application for Payment form to be used on this project is EJCDC C-620 (2013), or RD Form 1927-7.

SC 1.01.A.8 Add the following language at the end of the last sentence of Paragraph 1.01.A.8:

The Change Order form to be used on this Project is EJCDC C-941 or RD Form 1927-7. Agency approval is required before Change Orders are effective or eligible for payment.

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.

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.

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 the 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.

SC 1.01.A.51:

Manufacturer's Certification Letter (Exhibit D) is documentation provided by the manufacturer, supplier, distributor, vendor, fabricator, etc. to various entities stating that the AIS products to be used in the project are produced in the U.S. in accordance with the AIS requirements.

SC 1.01.A.52:

AIS refers to requirements mandated by Section 746 Title VII of the Consolidated Appropriations Act of 2017 and any subsequent statutes mandating domestic preference. "Iron and Steel Products" is defined in Section 1.b.2.

ARTICLE 2 – 2 – PRELIMINARY MATTERS

2.01 2.01 Delivery of Bonds and Evidence of Insurance

- A. Paragraph 2.01.B of the General Conditions requires that Contractor furnish certificates of insurance. Paragraph 6.02.C states that upon request by Owner or other named or additional insureds, Contractor must provide evidence of insurance such as copies of required policies and endorsements, and documentation of applicable self-insured retentions and deductibles. Parallel provisions apply to Owner and the insurance that Owner is required to provide. Rather than relying on this two-step process (delivery of certificates of insurance at the outset; subsequent requests for additional evidence of insurance), some contract drafters may elect to require from the outset that copies of the insurance policies, rather than certificates of insurance, be delivered to the other party. If exchange of copies of insurance policies is required, the following should be used:

SC 2.01 Delete Paragraphs 2.01 B. and C. in their entirety and insert the following in their place:

- B. Evidence of Contractor's Insurance: When Contractor delivers the executed counterparts of the Agreement to Owner, Contractor shall also deliver to Owner copies of the policies of insurance (including all endorsements, and identification of applicable self-insured retentions and deductibles) required to be provided by Contractor in Article 6. Contractor may block out (redact) any confidential premium or pricing information contained in any policy or endorsement furnished under this provision.**

- C. **Evidence of Owner’s Insurance:** After receipt from Contractor of the executed counterparts of the Agreement and all required bonds and insurance documentation, Owner shall promptly deliver to Contractor copies of the policies of insurance to be provided by Owner under Article 6 (if any). Owner may block out (redact) any confidential premium or pricing information contained in any policy or endorsement furnished under this provision.

2.02 *2.02 Copies of Documents*

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

Owner shall furnish to Contractor five (5) copies of the Contract Documents (including one fully executed counterpart of the Agreement), and one copy in electronic portable document format (PDF).

SC-2.06 Electronic Transmittals

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

ARTICLE 4 – COMMENCEMENT AND PROGRESS OF THE WORK

SC-4.01 Commencement of Contract Times; Notice to Proceed

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 ninetieth day after the day of Bid opening or the thirtieth day of the Effective Date of the Contract, whichever date is earlier.

SC-4.05 Delays in Contractor’s Progress

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;

ARTICLE 3 – 5 – AVAILABILITY OF LANDS; SUBSURFACE AND PHYSICAL CONDITIONS; HAZARDOUS ENVIRONMENTAL CONDITIONS

3.01 *5.03 Subsurface and Physical Conditions*

SC/GBR-5.03 and 5.04. Delete Paragraphs 5.03 and 5.04 of the General Conditions in their entireties and replace with the following provisions:

SC/GBR-5.03 Subsurface and Physical Conditions

A. Reports and Drawings: The Supplementary Conditions hereby identify:

1. those reports known to Owner of explorations and tests of subsurface conditions at or adjacent to the Site (other than any Geotechnical Data Report or Geotechnical Baseline Report), and Technical Data contained in such reports. Such reports are as follows:

- a. Report dated *[NOT APPLICABLE]* The Technical Data contained in such report upon whose accuracy Contractor may rely are [those indicated in the definition of Technical Data in the General Conditions.]
 2. those drawings known to Owner of physical conditions relating to existing surface or subsurface structures at the Site (except Underground Facilities), and Technical Data contained in such drawings. Such drawings are as follows: (Not Applicable)
 3. Contractor may examine copies of reports and drawings identified immediately above that were not included with the Bidding Documents at Monarch Engineering, Inc. 556 Carlton Drive, Lawrenceburg, KY 40342 during regular business hours, or may request copies from Engineer, at the cost of reproduction.
- B. Reliance by Contractor on Technical Data Authorized:**
- Contractor may rely upon the accuracy of the Technical Data contained in such reports and drawings, but such reports and drawings are not Contract Documents. Except for such reliance on Technical Data, Contractor may not rely upon or make any claim against Owner or Engineer, or any of their officers, directors, members, partners, employees, agents, consultants, or subcontractors, with respect to:
1. the completeness of such reports and drawings for Contractor's purposes, including, but not limited to, any aspects of the means, methods, techniques, sequences, and procedures of construction to be employed by Contractor, and safety precautions and programs incident thereto; or
 2. other data, interpretations, opinions, and information contained in such reports or shown or indicated in such drawings; or
 3. any Contractor interpretation of or conclusion drawn from any Technical Data or any such other data, interpretations, opinions, or information.
- C. Geotechnical Baseline Report:**
1. This Contract contains a Geotechnical Baseline Report ("GBR"), identified as follows: *[NOT APPLICABLE]*. This Contract also contains a Geotechnical Data Report (GDR), identified as follows: (Not Applicable)
 2. The GBR and GDR are incorporated as Contract Documents. The GBR and GDR are to be used in conjunction with other Contract Documents, including the Drawings and Specifications. If there is a conflict between the terms of the GBR and the GDR, the GBR's terms shall prevail.
 3. The GBR describes certain select subsurface conditions that are anticipated to be encountered by Contractor during construction in specified locations (referred to here in the Supplementary Conditions as "Baseline Conditions"). These may include ground, geological, groundwater, and other subsurface geotechnical conditions, and baselines of anticipated Underground Facilities or subsurface structures.
 4. The Baseline Conditions shall be used to assist in the administration of the Contract's differing site conditions clause at locations where subsurface conditions have been baselined. If a condition is baselined in the GBR, then only the pertinent Baseline Conditions shall be used to determine whether

there is a differing site condition; and no other indication of that condition in the Contract Documents or Technical Data, or of a condition that describes, quantifies, or measures a similar characteristic of the subsurface, shall be used for the differing site condition determination.

5. The Baseline Conditions shall not be used to make differing site conditions determinations at locations that have not been baselined in the GBR, or at any location with respect to subsurface conditions that the Baseline Conditions do not address. If Underground Facilities or Hazardous Environmental Conditions are expressly addressed in the Baseline Conditions, then comparison to such Baseline Conditions shall be the primary means of determining (a) whether an Underground Facility was shown or indicated with reasonable accuracy, as provided in Paragraph 5.05 of the General Conditions, or (b) whether a Hazardous Environmental Condition was shown or indicated in the Contract Documents as indicated in Paragraph 5.06.H of the General Conditions. As indicated in Paragraph SC-5.04 below, the GDR shall be the primary resource for differing site conditions determinations in cases in which the GBR is inapplicable.
6. The descriptions of subsurface conditions provided in the GBR are based on geotechnical investigations, laboratory tests, interpretation, interpolation, extrapolation, and analyses. Neither Owner, Engineer, nor any geotechnical or other consultant warrants or guarantees that actual subsurface conditions will be as described in the GBR, nor is the GBR intended to warrant or guarantee the use of specific means or methods of construction.
7. The behavior of the ground during construction depends substantially upon the Contractor's selected means, methods, techniques, sequences, and procedures of construction. If ground behavior conditions are baselined in the GBR, they are based on stated assumptions regarding construction means and methods.
8. The GBR shall not reduce or relieve Contractor of its responsibility for the planning, selection, and implementation of safety precautions and programs incident to Contractor's means, methods, techniques, sequences, and procedures of construction, or to the Work.

SC/GBR-5.04 Differing Subsurface or Physical Conditions

- A. **Notice:** If Contractor believes that any subsurface condition that is uncovered or revealed at the Site:
 1. differs materially from conditions shown or indicated in the GBR; or
 2. differs materially from conditions shown or indicated in the GDR, to the extent the GBR is inapplicable; or
 3. differs materially from conditions shown or indicated in Contract Documents other than the GBR or GDR, to the extent the GBR and GDR are inapplicable; or
 4. to the extent the GBR and GDR are inapplicable, is of such a nature as to establish that any Technical Data on which Contractor is entitled to rely as provided in Paragraph 5.03 is materially inaccurate; or
 5. to the extent the GBR and GDR are inapplicable, is of such a nature as to require a change in the Drawings or Specifications; or

6. to the extent the GBR and GDR are inapplicable, is of an unusual nature, and differs materially from conditions ordinarily encountered and generally recognized as inherent in work of the character provided for in the Contract Documents;

then Contractor shall, promptly after becoming aware thereof and before further disturbing the subsurface conditions or performing any Work in connection therewith (except in an emergency as required by Paragraph 7.15), notify Owner and Engineer in writing about such condition. Contractor shall not further disturb such condition or perform any Work in connection therewith (except with respect to an emergency) until receipt of a written statement permitting Contractor to do so.

- B. **Engineer's Review:** After receipt of written notice as required by the preceding paragraph, Engineer will promptly review the subsurface or physical condition in question; determine the necessity of Owner's obtaining additional exploration or tests with respect to the condition; conclude whether the condition falls within any one or more of the differing site condition categories in Paragraph SC/GBR 5.04.A above; obtain any pertinent cost or schedule information from Contractor; prepare recommendations to Owner regarding the Contractor's resumption or continuation of Work in connection with the subsurface or physical condition in question and the need for any change in the Drawings or Specifications; and advise Owner in writing of Engineer's findings, conclusions, and recommendations.

- C. **Owner's Statement to Contractor Regarding Site Condition:**

After receipt of Engineer's written findings, conclusions, and recommendations, Owner shall issue a written statement to Contractor (with a copy to Engineer) regarding the subsurface or physical condition in question, addressing the resumption or continuation of Work in connection with such condition, indicating whether any change in the Drawings or Specifications will be made, and adopting or rejecting Engineer's written findings, conclusions, and recommendations, in whole or in part.

- D. **Possible Price and Times Adjustments:**

1. Contractor shall be entitled to an equitable adjustment in Contract Price or Contract Times, or both, to the extent that the existence of a differing subsurface or physical condition, or any related delay, disruption, or interference, causes an increase or decrease in Contractor's cost of, or time required for, performance of the Work; subject, however, to the following:
 - a. such condition must fall within any one or more of the categories described in Paragraph SC/GBR 5.04.A;
 - b. with respect to Work that is paid for on a unit price basis, any adjustment in Contract Price will be subject to the provisions of Paragraph 13.03 of the General Conditions; and,
 - c. Contractor's entitlement to an adjustment of the Contract Times is conditioned on such adjustment being essential to Contractor's ability to complete the Work within the Contract Times.

2. Contractor shall not be entitled to any adjustment in the Contract Price or Contract Times with respect to a subsurface or physical condition if:
 - a. Contractor knew of the existence of such condition at the time Contractor made a commitment to Owner with respect to Contract Price and Contract Times by the submission of a Bid or becoming bound under a negotiated contract, or otherwise; or
 - b. the existence of such condition reasonably could have been discovered or revealed as a result of any examination, investigation, exploration, test, or study of the Site and contiguous areas expressly required by the Bidding Requirements or Contract Documents to be conducted by or for Contractor prior to Contractor's making such commitment; or
 - c. Contractor failed to give the written notice as required by Paragraph SC/GBR 5.04.A.
3. If Owner and Contractor agree regarding Contractor's entitlement to and the amount or extent of any adjustment in the Contract Price or Contract Times, or both, then any such adjustment shall be set forth in a Change Order.
4. Contractor may submit a Change Proposal regarding its entitlement to or the amount or extent of any adjustment in the Contract Price or Contract Times, or both, no later than 30 days after Owner's issuance of the Owner's written statement to Contractor regarding the subsurface or physical condition in question.

3.02 *5.06 Hazardous Environmental Conditions at Site*

SC 5.06 Delete Paragraphs 5.06.A and 5.06.B in their entirety and insert the following:

- A. No reports or drawings related to Hazardous Environmental Conditions at the Site are known to Owner.
- B. Not Used.

ARTICLE 4 – 6 – BONDS AND INSURANCE

4.01 *6.02 Insurance—General Provisions*

SC-6.02 Add the following paragraph immediately after Paragraph 6.02.B:

1. Contractor may obtain worker's compensation insurance from an insurance company that has not been rated by A.M. Best, provided that such company (a) is domiciled in the state in which the project is located, (b) is certified or authorized as a worker's compensation insurance provider by the appropriate state agency, and (c) has been accepted to provide worker's compensation insurance for similar projects by the state within the last 12 months.

4.02 *6.03 Contractor's Liability Insurance*

SC 6.03 Add the following new paragraph immediately after Paragraph 6.03.J:

- K. The limits of liability for the insurance required by Paragraph 6.03 of the General Conditions shall provide coverage for not less than the following amounts or greater where required by Laws and Regulations:

1. Workers' Compensation, and related coverages under Paragraphs 6.03.A.1 and A.2 of the General Conditions:

State:	<u>Statutory</u>
Federal, if applicable (e.g., Longshoreman's):	<u>Statutory</u>
Jones Act coverage, if applicable:	
Bodily injury by accident, each accident	\$ _____
Bodily injury by disease, aggregate	\$ _____
 Employer's Liability:	
Bodily injury, each accident	\$ <u>1,000,000</u>
Bodily injury by disease, each employee	\$ <u>1,000,000</u>
Bodily injury/disease aggregate	\$ <u>1,000,000</u>
 For work performed in monopolistic states, stop-gap liability coverage shall be endorsed to either the worker's compensation or commercial general liability policy with a minimum limit of:	\$ <u>1,000,000</u>
 Foreign voluntary worker compensation	<u>Statutory</u>

2. Contractor's Commercial General Liability under Paragraphs 6.03.B and 6.03.C of the General Conditions:

General Aggregate	\$ <u>2,000,000</u>
Products - Completed Operations Aggregate	\$ <u>2,000,000</u>
Personal and Advertising Injury	\$ <u>1,000,000</u>
Each Occurrence (Bodily Injury and Property Damage)	\$ <u>1,000,000</u>

3. Automobile Liability under Paragraph 6.03.D. of the General Conditions:

Bodily Injury:	
Each person	\$ <u>Statutory</u>
Each accident	\$ <u>Statutory</u>

Property Damage:	
Each accident	\$ _____
<i>[or]</i>	
Combined Single Limit of	\$ <u>1,000,000</u>
4. Excess or Umbrella Liability:	
Per Occurrence	\$ <u>5,000,000</u>
General Aggregate	\$ <u>5,000,000</u>
5. Contractor's Pollution Liability:	
Each Occurrence	\$ <u>Not Applicable</u>
General Aggregate	\$ <u>Not Applicable</u>
<input checked="" type="checkbox"/>	If box is checked, Contractor is not required to provide Contractor's Pollution Liability insurance under this Contract
6. Additional Insureds: In addition to Owner and Engineer, include as additional insureds the following: (Not Applicable)	
7. Contractor's Professional Liability:	
Each Claim	\$ <u>1,000,000</u>
Annual Aggregate	\$ <u>1,000,000</u>

ARTICLE 5 – 7 – CONTRACTOR'S RESPONSIBILITIES

5.01 7.02 *Labor; Working Hours*

SC-7.02.B. Add the following new subparagraphs immediately after Paragraph 7.02.B:

- 1. Regular working hours will be *determined at the preconstruction conference.***
- 2. Owner's legal holidays are *determined at the preconstruction conference.***

SC 7.03: Add sentence "all iron and steel must meet AIS requirements."

5.02 7.04 *"Or Equals"*

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.

SC 7.04.A.1 Amend the last sentence of Paragraph 7.04.A.1.a.3 by striking out "and"; and adding a period at the end of the Paragraph 7.04.A.1.a.3.

SC 7.04.A.1 Delete Paragraph 7.04.A.1.a.4 in its entirety and insert the following in its place:

[Deleted]

SC 7.04.B.1 Contractor shall include the Manufacturer's Certification Letter (Exhibit D) for compliance with AIS requirements to support data, if applicable. In addition, Contractor shall maintain an updated AIS Materials List (Exhibit J), to ensure that for de minimis waiver, cost is less than 5% of total materials cost for project and for minor components waiver, the cost of the non-domestically produced component is less than 5% of the total materials cost of the product." An excel version that will compute all totals can be obtained from the RD State Office that can be used as a working copy.

SC 7.05.A.3.a4 4) comply with AIS by providing the Manufacturer's Certification Letter (Exhibit D), if applicable.

SC-7.06 Concerning Subcontractors, Suppliers and Others

SC 7.06.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).

SC 7.06.B Delete Paragraph 7.06.B in its entirety and insert the following in its place:

[Deleted]

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".

SC 7.11.A Modify by inserting the following after "written interpretations and clarifications,"; "Manufacturer's Certification Letter (Exhibit D) is documentation provided by the manufacturer, supplier, distributor, vendor, fabricator, etc. to various entities stating that the iron and steel products to be used in the project are produced in the U.S. in accordance with AIS requirements.

SC 7.16.A.1.e e. obtain the Manufacturer's Certification Letter (Exhibit D) for any item in the submittal subject to AIS requirements and include the certificate in the submittal.

SC 7.16.D.9 Engineer's review and approval of shop drawings or sample shall include review of compliance with AIS requirements, as applicable."

SC 7.17.E: Contractor shall certify upon substantial completion that all work and materials has complied with AIS requirements as mandated and any subsequent statutes mandating domestic preference. Contractor shall provide Contractor's Certification Letter (Exhibit C) to Owner.

ARTICLE 6 – 10 – ENGINEER’S STATUS DURING CONSTRUCTION

6.01 10.03 *Project Representative*

SC-10.03 Add the following new paragraphs immediately after Paragraph 10.03.A:

B. The Resident Project Representative (RPR) will be Engineer's representative at the Site, will act as directed by and under the supervision of Engineer, and will confer with Engineer regarding RPR's actions.

1. General: RPR's dealings in matters pertaining to the Work in general shall be with Engineer and Contractor. RPR's dealings with Subcontractors shall only be through or with the full knowledge and approval of Contractor. RPR shall

- generally communicate with Owner only with the knowledge of and under the direction of Engineer.
2. **Schedules:** Review the progress schedule, schedule of Shop Drawing and Sample submittals, and Schedule of Values prepared by Contractor and consult with Engineer concerning acceptability.
 3. **Conferences and Meetings:** Attend meetings with Contractor, such as preconstruction conferences, progress meetings, job conferences, and other Project-related meetings, and prepare and circulate copies of minutes thereof.
 4. **Liaison:**
 - a. Serve as Engineer's liaison with Contractor. Working principally through Contractor's authorized representative or designee, assist in providing information regarding the provisions and intent of the Contract Documents.
 - b. Assist Engineer in serving as Owner's liaison with Contractor when Contractor's operations affect Owner's on-Site operations.
 - c. Assist in obtaining from Owner additional details or information, when required for proper execution of the Work.
 5. **Interpretation of Contract Documents:** Report to Engineer when clarifications and interpretations of the Contract Documents are needed and transmit to Contractor clarifications and interpretations as issued by Engineer.
 6. **Shop Drawings and Samples:**
 - a. Record date of receipt of Samples and Contractor-approved Shop Drawings.
 - b. Receive Samples which are furnished at the Site by Contractor, and notify Engineer of availability of Samples for examination.
 - c. Advise Engineer and Contractor of the commencement of any portion of the Work requiring a Shop Drawing or Sample submittal for which RPR believes that the submittal has not been approved by Engineer.
 7. **Modifications:** Consider and evaluate Contractor's suggestions for modifications in Drawings or Specifications and report such suggestions, together with RPR's recommendations, if any, to Engineer. Transmit to Contractor in writing decisions as issued by Engineer.
 8. **Review of Work and Rejection of Defective Work:**
 - a. Conduct on-Site observations of Contractor's work in progress to assist Engineer in determining if the Work is in general proceeding in accordance with the Contract Documents.
 - b. Report to Engineer whenever RPR believes that any part of Contractor's work in progress is defective, will not produce a completed Project that conforms generally to the Contract Documents, or will imperil the integrity of the design concept of the completed Project as a functioning whole as indicated in the Contract Documents, or has been damaged, or does not meet the requirements of any inspection, test or approval required to be made; and advise Engineer of that part of work in progress

that RPR believes should be corrected or rejected or should be uncovered for observation, or requires special testing, inspection or approval.

9. Inspections, Tests, and System Start-ups:

- a. Verify that tests, equipment, and systems start-ups and operating and maintenance training are conducted in the presence of appropriate Owner's personnel, and that Contractor maintains adequate records thereof.
- b. Observe, record, and report to Engineer appropriate details relative to the test procedures and systems start-ups.

10. Records:

- a. Prepare a daily report or keep a diary or log book, recording Contractor's hours on the Site, Subcontractors present at the Site, weather conditions, data relative to questions of Change Orders, Field Orders, Work Change Directives, or changed conditions, Site visitors, deliveries of equipment or materials, daily activities, decisions, observations in general, and specific observations in more detail as in the case of observing test procedures; and send copies to Engineer.
- b. Record names, addresses, fax numbers, e-mail addresses, web site locations, and telephone numbers of all Contractors, Subcontractors, and major Suppliers of materials and equipment.
- c. Maintain records for use in preparing Project documentation.

11. Reports:

- a. Furnish to Engineer periodic reports as required of progress of the Work and of Contractor's compliance with the Progress Schedule and schedule of Shop Drawing and Sample submittals.
- b. Draft and recommend to Engineer proposed Change Orders, Work Change Directives, and Field Orders. Obtain backup material from Contractor.
- c. Immediately notify Engineer of the occurrence of any Site accidents, emergencies, acts of God endangering the Work, force majeure or delay events, damage to property by fire or other causes, or the discovery of any Constituent of Concern or Hazardous Environmental Condition.

12. Payment Requests: Review applications for payment with Contractor for compliance with the established procedure for their submission and forward with recommendations to Engineer, noting particularly the relationship of the payment requested to the Schedule of Values, Work completed, and materials and equipment delivered at the Site but not incorporated in the Work.

13. Certificates, Operation and Maintenance Manuals: During the course of the Work, verify that materials and equipment certificates, operation and maintenance manuals and other data required by the Contract Documents to be assembled and furnished by Contractor are applicable to the items actually installed and in accordance with the Contract Documents, and have these documents delivered to Engineer for review and forwarding to Owner prior to payment for that part of the Work.

14. Completion:

- a. Participate in Engineer's visits to the Site to determine Substantial Completion, assist in the determination of Substantial Completion and the preparation of a punch list of items to be completed or corrected.
- b. Participate in Engineer's final visit to the Site to determine completion of the Work, in the company of Owner and Contractor, and prepare a final punch list of items to be completed and deficiencies to be remedied.
- c. Observe whether all items on the final list have been completed or corrected and make recommendations to Engineer concerning acceptance and issuance of the notice of acceptability of the work.

C. The RPR shall not:

1. Authorize any deviation from the Contract Documents or substitution of materials or equipment (including "or-equal" items).
2. Exceed limitations of Engineer's authority as set forth in the Contract Documents.
3. Undertake any of the responsibilities of Contractor, Subcontractors, or Suppliers.
4. Advise on, issue directions relative to, or assume control over any aspect of the means, methods, techniques, sequences or procedures of Contractor's work.
5. Advise on, issue directions regarding, or assume control over security or safety practices, precautions, and programs in connection with the activities or operations of Owner or Contractor.
6. Participate in specialized field or laboratory tests or inspections conducted off-site by others except as specifically authorized by Engineer.
7. Accept Shop Drawing or Sample submittals from anyone other than Contractor.
8. Authorize Owner to occupy the Project in whole or in part.

SC 10.10.A A: Services required to determine and certify that, to the best of the Engineer's knowledge and belief, all iron and steel products referenced in the engineering analysis, the plans, specifications, bidding documents, and associated bid addenda requiring design revisions are either produced in the U.S. or are the subject of an approved waiver. Services required to determine, to the best of the Engineer's knowledge and belief, that approved substitutes, equals, and all iron and steel products proposed in the shop drawings, change orders, and partial pay estimates are either produced in the U.S. or are the subject of an approved waiver under the Consolidate Appropriations Act of 2017.

ARTICLE 11 – AMENDING THE CONTRACT DOCUMENTS; CHANGES IN THE WORK

SC 11.06.A.1 Modify by inserting the following sentence after "within 15 days after the submittal of the change proposal..." "Include supporting data (project name, name of manufacturer, city and state where the product was manufactured, description of product, signature of authorized manufacturer's representative) in the Manufacturer's Certification Letter (Exhibit D), as applicable."

SC 11.07 *Execution of Change Orders*

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

All Contract Change Orders must be concurred by Agency before they are effective or can be eligible for reimbursement.

ARTICLE 13 – 13 – COST OF THE WORK; ALLOWANCES; UNIT PRICE WORK

SC-13.02 *Allowances*

SC 13.02.C Delete Paragraph 13.02.C in its entirety and insert the following in its place:

[Deleted]

6.02 13.03 *Unit Price Work*

SC 13.03.E Delete Paragraph 13.03.E in its entirety and insert the following in its place:

- E. The unit price of an item of Unit Price Work shall be subject to reevaluation and adjustment under the following conditions:
1. if the extended price of a particular item of Unit Price Work amounts to 25 percent or more of the Contract Price (based on estimated quantities at the time of Contract formation) and the variation in the quantity of that particular item of Unit Price Work actually furnished or performed by Contractor differs by more than 25 percent from the estimated quantity of such item indicated in the Agreement; and
 2. if there is no corresponding adjustment with respect to any other item of Work; and
 3. if Contractor believes that Contractor has incurred additional expense as a result thereof, Contractor may submit a Change Proposal, or if Owner believes that the quantity variation entitles Owner to an adjustment in the unit price, Owner may make a Claim, seeking an adjustment in the Contract Price.

SC 14.03.G Installation of materials that are non-compliant with AIS requirements shall be considered defective work.

ARTICLE 15 – 15 – PAYMENTS TO CONTRACTOR; SET-OFFS; COMPLETION; CORRECTION PERIOD

6.03 15.01 *Progress Payments*

SC 15.01.B Amend the second sentence of Paragraph 15.01.B.1 by striking out the following text: “a bill of sale, invoice or other”.

SC 15.01.B.3 Add the following language at the end of the Paragraph 15.01.B.3:

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.

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 unless another form is agreed upon by the Engineer, Owner and Agency. The Agency must approve all Applications for Payment before payment is made.

SC 15.01.B.4 By submitting materials for payment, Contractor is certifying that the submitted materials are compliant with AIS requirements. Manufacturers' Certification letter for Materials satisfy this certification. Refer to Manufacturer's Certification Letter provided in these Contract Documents.

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 and payable twenty (20) days after the Application for Payment is presented to the Owner, and the Owner will make payment to the Contractor.

SC-15.02 Contractor's Warranty of Title

SC 15.01.D.2 An updated AIS Materials List (See Exhibit J) included in these contract documents must be dated and signed and submitted with each pay request prior to payment being authorized. An excel version that will compute all totals can be obtained from the RD State Office that can be used as a working copy.

SC 15.01.C.2d The materials presented for payment comply with AIS requirements.

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."

SC 15.03.A Modify by adding the following "Services required to determine and certify that, to the best of the Contractor's knowledge and belief, all substitutes, equals, and iron and steel products proposed in the shop drawings, change orders, and partial payment estimates are produced in the U.S. or are the subject of an approved waiver. Services required to certify that, to the best of the Contractor's knowledge, all those products installed for the project are either produced in the U.S. or are the subject of an approved waiver

ARTICLE 17 – 17 – FINAL RESOLUTION OF DISPUTES

SC-17.02 Add the following new paragraph immediately after Paragraph 17.01.

SC-17.02 Arbitration

- A.** All matters subject to final resolution under this Article will be decided by arbitration in accordance with the rules of the selected arbitration agency, subject to the conditions and limitations of this paragraph. This agreement to arbitrate and any other agreement or consent to arbitrate entered into will be specifically enforceable under the prevailing law of any court having jurisdiction.
- B.** The demand for arbitration will be filed in writing with the other party to the Contract and with the selected arbitrator or arbitration provider, and a copy will be sent to Engineer for information. The demand for arbitration will be made within the specific time required in this Article, or if no specified time is applicable within a reasonable time after the matter in question has arisen, and in no event shall any such demand be made after the date when institution of legal or equitable proceedings based on such matter in question would be barred by the applicable statute of limitations. The demand for arbitration should include specific reference to Paragraph SC-17.02.D below.

- C. No arbitration arising out of or relating to the Contract shall include by consolidation, joinder, or in any other manner any other individual or entity (including Engineer, and Engineer’s consultants and the officers, directors, partners, agents, employees or consultants of any of them) who is not a party to this Contract unless:
 - 1. the inclusion of such other individual or entity is necessary if complete relief is to be afforded among those who are already parties to the arbitration; and
 - 2. such other individual or entity is substantially involved in a question of law or fact which is common to those who are already parties to the arbitration and which will arise in such proceedings.
- D. The award rendered by the arbitrator(s) shall be consistent with the agreement of the parties, in writing, and include a concise breakdown of the award, and a written explanation of the award specifically citing the Contract provisions deemed applicable and relied on in making the award.
- E. The award will be final. Judgment may be entered upon it in any court having jurisdiction thereof, and it will not be subject to modification or appeal, subject to provisions of the Laws and Regulations relating to vacating or modifying an arbitral award.
- F. The fees and expenses of the arbitrators and any arbitration service shall be shared equally by Owner and Contractor.

ARTICLE 18 – MISCELLANEOUS

SC-18.09 Tribal Sovereignty

SC 18.09 Add the following new paragraph after Paragraph 18.08:

Tribal Sovereignty. No provisions of this Agreement will be controlled 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.

ARTICLE 19 – FEDERAL REQUIREMENTS

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.

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. Guidance Note: Amend Paragraph 10.03 using one of the two alternatives presented in C-800’s section 10.03 (Either the Engineer will provide RPR services on the Project, with specific authority and responsibilities, or Engineer will not provide RPR services).

SC 19.03 Add the following language after Article 19.02.B with the title “Conflict of Interest”:

- 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.

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 the 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 that 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.

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.

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.

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.

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 7401 *et seq.*) section 508 of the Clean Water Act (33 U.S.C. 1368) and Federal Water Pollution Control Act (33 USC 1251 *et 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.

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.

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.

SC 19.11 Add the following after Article 19.10.C 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 31 USC 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.

SC 19.12 Add the following after Article 19.11.A with the title “Environmental Requirements”:

- A. When constructing a project involving trenching and/or other related earth excavations, Contractor shall comply with the following environmental conditions:
- 1) Wetlands – When disposing of excess, spoil, or other construction materials on public or private property, Contractor shall not fill in or otherwise convert wetlands.
 - 2) 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 delineated on the latest Federal Emergency Management Agency Floodplain Maps, or other appropriate maps, e.g., alluvial soils on NRCS Soil Survey Maps.
 - 3) Historic Preservation – Any excavation by Contractor that uncovers an historical or archaeological artifact 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).
 - 4) 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.

- 5) Mitigation Measures – The following environmental mitigation measures are required on this Project: The list of environmental mitigation measures will be delivered to the Contractor at the preconstruction conference.

SC 19.14 Section 746 of Title VII of the Consolidated Appropriations Act of 2017 (Division A-Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2017) and any subsequent statutes mandating domestic preference applies in AIS requirement to this project. All iron and steel products used in this project must be produced in the U.S. The term "iron and steel products" is defined in Section 1.b.2. The de minimis and minor components waivers {add project specific waivers as applicable} apply to this contract."

SC 19.15: add Definitions:

"Assistance recipient" is the entity that received funding assistance from programs required to comply with AIS requirements in the Consolidated Appropriations Act of 2017 and any subsequent statutes mandating domestic preference. This term includes owner and/or applicant.

"Certifications" means the following:

- Manufacturers' certification is the documentation provided by the manufacturer or fabricator to various entities stating that the iron and steel products to be used in the project are produced in the U.S. in accordance with AIS requirements. If items are purchased via a supplier, distributor, vendor, etc. vs. direct from the manufacturer or fabricator directly, then the supplier, distributor, vendor, etc. will be responsible for obtaining and providing these certification letters to the parties purchasing the product.
- *Engineer's* certification is documentation that plans, specifications, and bidding documents comply with AIS.
- *Contractors'* certification is documentation submitted upon substantial completion of the project that all iron and steel products installed were produced in the U.S.

"Coating" means a covering that is applied to the surface of an object. If a coating is applied to the external surface of a domestic iron or steel component, and the application takes place outside of the U.S., said product will be considered a compliant product under the AIS requirements. Any coating processes that are applied to the external surface of iron and steel components that would otherwise be AIS compliant would not disqualify the product from meeting the AIS requirements regardless of where the coating processes occur, provided that final assembly of the product occurs in the U.S. This exemption only applies to coatings on the *external surface* of iron and steel products, such as the lining of lined pipes. All manufacturing processes for lined pipes, including the application of pipe lining, must occur in U.S. for the product to be compliant with AIS requirements.

"Contractor" is the individual or entity with which the applicant has contracted (or is expected to) to perform construction services (or for water and waste projects funded by the programs which are subject to AIS requirements). This includes bidders and/or contractors that have received an award from the applicant and any party having a direct contractual relationship with the owner/applicant. A general contractor is often referred to as the prime contractor.

"Construction materials" are those articles, materials, or supplies made primarily of iron and steel, that are permanently incorporated into the project, not included mechanical and/or electrical components, equipment and systems. Some of these products may overlap with what is also considered "structural steel".

Note: Mechanical and electrical components, equipment, and systems are not considered construction materials. See definition of mechanical and electrical equipment.

"De minimis incidental components" are various miscellaneous low-cost components that are essential for, but incidental to, the construction and are incorporated into the physical structure of the project. Examples of incidental components could include small washers, screws, fasteners (such as "off the shelf" nuts and bolts, miscellaneous wire, corner bead, ancillary tube, signage, trash bins, door hardware etc.

Costs for de minimis incidental components cumulatively may comprise no more than a total of five percent of the total cost of the materials used in and incorporated into a project. The cost of an individual item may not exceed one percent of the total cost of the materials used in and incorporated into a project.

"Engineer" is an individual or entity with which the owner has contracted to perform engineering/architectural services for water and waste projects funded by the programs subject to AIS requirements.

"Iron and Steel Products" are defined as the following products made primarily of iron and steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials. Only items on the above list made of primarily iron or steel, permanently incorporated into the project must be produced in the U.S. For example; trench boxes, scaffolding or equipment, which are removed from the project site upon completion of the project, are not required to be made of U.S. Iron or Steel.

"Manufacturers" meaning supplier, fabricator, distributor, materialman, or vendor is an entity with which the applicant, general contractor or with any subcontractor has contracted to furnish materials or equipment to be incorporated in the project by the applicant, contractor or subcontractor.

"Manufacturing processes" are processes such as melting, refining, forming, rolling, drawing, finishing, and fabricating. Further, if a domestic iron and steel product is taken out of the U.S. for any part of the manufacturing process, it becomes foreign source material. However, raw materials such as iron ore, limestone, and iron and steel scrap are not covered by the AIS requirements, and the material(s), if any, being applied as coating are similarly not covered. Non-iron or steel components of an iron and steel product may come from non-U.S. sources. For example, for products such as valves and hydrants, the individual non-iron and steel components do not have to be of domestic origin. Raw materials, such as iron ore, limestone, scrap iron, and scrap steel, can come from non-U.S. sources.

"Mechanical equipment" is typically that which has motorized parts and/or is powered by a motor. "Electrical equipment" is typically any machine powered by electricity and included components that are part of the electrical distribution system. AIS does not apply to mechanical equipment.

"Minor components" are components within an iron or steel product otherwise compliant with the AIS requirements. This is different from the de minimis definition where de minimis pertains to the entire project and the minor component definition pertains to a single product. This waiver would allow non-domestically produced miscellaneous minor components comprising up to five percent of the total material cost of an otherwise domestically produced iron and steel product to be used. However, unless a separate waiver for a product has been approved, all other iron and steel components in said product must still meet the AIS requirements. This waiver does not exempt the whole product from the AIS requirements. Only minor components within said product and the iron or steel components of the product must be produced domestically. Valves and hydrants are also subject to the cost ceiling requirements described here. Examples of minor components could include items such as pins and springs in valves/hydrants, bands/straps in couplings, and other low cost items such as small fasteners etc.

"Municipal castings" are cast iron and steel infrastructure products that are melted and cast. They typically provide access, protection, or housing for components incorporated into utility owned drinking water, storm water, wastewater, and solid waste infrastructure.

"National Office" refers to the office responsible for the oversight and administration of the program nationally. The National Office sets policy, develops program regulations, and provides training and technical assistance to help the state offices administer the program. The National Office is located in Washington, D.C.

"Owner" is the individual or entity with which the general contractor has contracted regarding the work, and which has agreed to pay the general contractor for the performance of the work pursuant to the terms of the contract for water and waste projects funded by the programs subject to AIS requirement. For the purpose of this Bulletin, the term is synonymous with the term "applicant" as defined in 7 CFR 1780.7 (a) (1), (2), and (3), and is an entity receiving financial assistance from the programs subject to AIS requirements.

"Primarily iron or steel" is defined as a product made of greater than 50 percent iron or steel, measured by cost. The cost should be based on the material costs. An exception to this definition is reinforced precast concrete (see Definition). All technical specifications and applicable industry standards (e.g. NIST, NSF, AWWA) must be met. If a product is determined to be less than 50 percent iron and steel, the AIS requirements do not apply.

For example, the cost of a fire hydrant includes:

1. The cost of materials used for the iron portion of the fire hydrant (e.g. bonnet, body, and shoe); and
2. The cost to pour and cast and create those components (e.g. labor and energy).

Not included in the cost are:

1. The additional material costs for the non-iron and steel internal working of the hydrant (e.g. stem, coupling, valve, seals, etc.); and
2. The cost to assemble the internal workings into the hydrant body.

"Produced in the United States" means that the production in the United States of the iron or steel products used in the project requires that all manufacturing processes must take place in the United States, with the exception of metallurgical processes involving refinement of steel additives.

"Project" is the total undertaking to be accomplished for the applicant by consulting engineers, general contractors, and others, including the planning, study, design, construction, testing, commissioning, and start-up of which the work to be performed under the contract is a part. A project includes all activity that an applicant is undertaking to be financed in whole or part by programs subject to AIS requirements.

The intentional splitting of projects to separate into smaller contracts or obligations to avoid AIS requirements is prohibited.

"Reinforced Precast Concrete" may not consist of at least 50 percent iron or steel, but the reinforcing bar and wire must be produced in the United States and meet the same standards for any other iron or steel product. Additionally, the casting of the concrete product must take place in the United States. The cement and other raw materials used in concrete production are not required to be of domestic origin. If the reinforced concrete is cast at the construction site, the reinforcing bar and wire are considered to be a construction material and must be produced in the United States.

"Steel" means an alloy that includes at least 50 percent iron between 0.02 and 2 percent carbon, and may include other elements. Metallic elements such as chromium, nickel, molybdenum, manganese, and silicon may be added during the melting of steel for the purpose of enhancing properties such as corrosion resistance, hardness, or strength. The definition of steel covers carbon steel, alloy steel, stainless steel, tool steel, and other specialty steels.

"Structural steel" is rolled flanged shapes, having at least one dimension of their cross-section three inches or greater, which are used in the construction of bridges, buildings, ships, railroad rolling stock, and for numerous other constructional purposes. Such shapes are designated as wide-flange shapes, standard I beams, channels, angles, tees, and zees. Other shapes include but are not limited to, H-piles, sheet piling, tie plates, cross ties, and those for other special purposes.

"United States" means each of the several states, the District of Columbia, and each Federally Recognized Indian Tribe.

PERFORMANCE BOND

CONTRACTOR *(name and address):*

SURETY *(name and address of principal place of business):*

OWNER *(name and address):*

CONSTRUCTION CONTRACT

Effective Date of the Agreement:

Amount:

Description *(name and location):*

BOND

Bond Number:

Date *(not earlier than the Effective Date of the Agreement of the Construction Contract):*

Amount:

Modifications to this Bond Form: None See Paragraph 16

Surety and Contractor, intending to be legally bound hereby, subject to the terms set forth below, do each cause this Performance Bond to be duly executed by an authorized officer, agent, or representative.

CONTRACTOR AS PRINCIPAL

SURETY

Contractor's Name and Corporate Seal

Surety's Name and Corporate Seal

By: _____
Signature

By: _____
Signature *(attach power of attorney)*

Print Name

Print Name

Title

Title

Attest: _____
Signature

Attest: _____
Signature

Title

Title

Notes: (1) Provide supplemental execution by any additional parties, such as joint venturers. (2) Any singular reference to Contractor, Surety, Owner, or other party shall be considered plural where applicable.

1. The Contractor and Surety, jointly and severally, bind themselves, their heirs, executors, administrators, successors, and assigns to the Owner for the performance of the Construction Contract, which is incorporated herein by reference.
2. If the Contractor performs the Construction Contract, the Surety and the Contractor shall have no obligation under this Bond, except when applicable to participate in a conference as provided in Paragraph 3.
3. If there is no Owner Default under the Construction Contract, the Surety's obligation under this Bond shall arise after:
 - 3.1 The Owner first provides notice to the Contractor and the Surety that the Owner is considering declaring a Contractor Default. Such notice shall indicate whether the Owner is requesting a conference among the Owner, Contractor, and Surety to discuss the Contractor's performance. If the Owner does not request a conference, the Surety may, within five (5) business days after receipt of the Owner's notice, request such a conference. If the Surety timely requests a conference, the Owner shall attend. Unless the Owner agrees otherwise, any conference requested under this Paragraph 3.1 shall be held within ten (10) business days of the Surety's receipt of the Owner's notice. If the Owner, the Contractor, and the Surety agree, the Contractor shall be allowed a reasonable time to perform the Construction Contract, but such an agreement shall not waive the Owner's right, if any, subsequently to declare a Contractor Default;
 - 3.2 The Owner declares a Contractor Default, terminates the Construction Contract and notifies the Surety; and
 - 3.3 The Owner has agreed to pay the Balance of the Contract Price in accordance with the terms of the Construction Contract to the Surety or to a contractor selected to perform the Construction Contract.
4. Failure on the part of the Owner to comply with the notice requirement in Paragraph 3.1 shall not constitute a failure to comply with a condition precedent to the Surety's obligations, or release the Surety from its obligations, except to the extent the Surety demonstrates actual prejudice.
5. When the Owner has satisfied the conditions of Paragraph 3, the Surety shall promptly and at the Surety's expense take one of the following actions:
 - 5.1 Arrange for the Contractor, with the consent of the Owner, to perform and complete the Construction Contract;
 - 5.2 Undertake to perform and complete the Construction Contract itself, through its agents or independent contractors;
 - 5.3 Obtain bids or negotiated proposals from qualified contractors acceptable to the Owner for a contract for performance and completion of the Construction Contract, arrange for a contract to be prepared for execution by the Owner and a contractor selected with the Owners concurrence, to be secured with performance and payment bonds executed by a qualified surety equivalent to the bonds issued on the Construction Contract, and pay to the Owner the amount of damages as described in Paragraph 7 in excess of the Balance of the Contract Price incurred by the Owner as a result of the Contractor Default; or
- 5.4 Waive its right to perform and complete, arrange for completion, or obtain a new contractor, and with reasonable promptness under the circumstances:
 - 5.4.1 After investigation, determine the amount for which it may be liable to the Owner and, as soon as practicable after the amount is determined, make payment to the Owner; or
 - 5.4.2 Deny liability in whole or in part and notify the Owner, citing the reasons for denial.
6. If the Surety does not proceed as provided in Paragraph 5 with reasonable promptness, the Surety shall be deemed to be in default on this Bond seven days after receipt of an additional written notice from the Owner to the Surety demanding that the Surety perform its obligations under this Bond, and the Owner shall be entitled to enforce any remedy available to the Owner. If the Surety proceeds as provided in Paragraph 5.4, and the Owner refuses the payment or the Surety has denied liability, in whole or in part, without further notice the Owner shall be entitled to enforce any remedy available to the Owner.
7. If the Surety elects to act under Paragraph 5.1, 5.2, or 5.3, then the responsibilities of the Surety to the Owner shall not be greater than those of the Contractor under the Construction Contract, and the responsibilities of the Owner to the Surety shall not be greater than those of the Owner under the Construction Contract. Subject to the commitment by the Owner to pay the Balance of the Contract Price, the Surety is obligated, without duplication for:
 - 7.1 the responsibilities of the Contractor for correction of defective work and completion of the Construction Contract;
 - 7.2 additional legal, design professional, and delay costs resulting from the Contractor's Default, and resulting from the actions or failure to act of the Surety under Paragraph 5; and
 - 7.3 liquidated damages, or if no liquidated damages are specified in the Construction Contract, actual damages caused by delayed performance or non-performance of the Contractor.
8. If the Surety elects to act under Paragraph 5.1, 5.3, or 5.4, the Surety's liability is limited to the amount of this Bond.
9. The Surety shall not be liable to the Owner or others for obligations of the Contractor that are unrelated to the Construction Contract, and the Balance of the Contract Price shall not be reduced or set off on account of any such unrelated obligations. No right of action shall accrue on this Bond to any person or entity other than the Owner or its heirs, executors, administrators, successors, and assigns.

10. The Surety hereby waives notice of any change, including changes of time, to the Construction Contract or to related subcontracts, purchase orders, and other obligations.

11. Any proceeding, legal or equitable, under this Bond may be instituted in any court of competent jurisdiction in the location in which the work or part of the work is located and shall be instituted within two years after a declaration of Contractor Default or within two years after the Contractor ceased working or within two years after the Surety refuses or fails to perform its obligations under this Bond, whichever occurs first. If the provisions of this paragraph are void or prohibited by law, the minimum periods of limitations available to sureties as a defense in the jurisdiction of the suit shall be applicable.

12. Notice to the Surety, the Owner, or the Contractor shall be mailed or delivered to the address shown on the page on which their signature appears.

13. When this Bond has been furnished to comply with a statutory or other legal requirement in the location where the construction was to be performed, any provision in this Bond conflicting with said statutory or legal requirement shall be deemed deleted herefrom and provisions conforming to such statutory or other legal requirement shall be deemed incorporated herein. When so furnished, the intent is that this Bond shall be construed as a statutory bond and not as a common law bond.

14. Definitions

14.1 Balance of the Contract Price: The total amount payable by the Owner to the Contractor under the Construction Contract after all proper adjustments have been made including allowance for the Contractor for any amounts received or to be received by the Owner in settlement of insurance or other claims for damages

to which the Contractor is entitled, reduced by all valid and proper payments made to or on behalf of the Contractor under the Construction Contract.

14.2 Construction Contract: The agreement between the Owner and Contractor identified on the cover page, including all Contract Documents and changes made to the agreement and the Contract Documents.

14.3 Contractor Default: Failure of the Contractor, which has not been remedied or waived, to perform or otherwise to comply with a material term of the Construction Contract.

14.4 Owner Default: Failure of the Owner, which has not been remedied or waived, to pay the Contractor as required under the Construction Contract or to perform and complete or comply with the other material terms of the Construction Contract.

14.5 Contract Documents: All the documents that comprise the agreement between the Owner and Contractor.

15. If this Bond is issued for an agreement between a contractor and subcontractor, the term Contractor in this Bond shall be deemed to be Subcontractor and the term Owner shall be deemed to be Contractor.

16. Modifications to this Bond are as follows:

PAYMENT BOND

CONTRACTOR *(name and address)*:

SURETY *(name and address of principal place of business)*:

OWNER *(name and address)*:

CONSTRUCTION CONTRACT

Effective Date of the Agreement:

Amount:

Description *(name and location)*:

BOND

Bond Number:

Date *(not earlier than the Effective Date of the Agreement of the Construction Contract)*:

Amount:

Modifications to this Bond Form: None See Paragraph 18

Surety and Contractor, intending to be legally bound hereby, subject to the terms set forth below, do each cause this Payment Bond to be duly executed by an authorized officer, agent, or representative.

CONTRACTOR AS PRINCIPAL

SURETY

Contractor's Name and Corporate Seal *(seal)*

Surety's Name and Corporate Seal *(seal)*

By: _____
Signature

By: _____
Signature *(attach power of attorney)*

Print Name

Print Name

Title

Title

Attest: _____
Signature

Attest: _____
Signature

Title

Title

Notes: (1) Provide supplemental execution by any additional parties, such as joint venturers. (2) Any singular reference to Contractor, Surety, Owner, or other party shall be considered plural where applicable.

1. The Contractor and Surety, jointly and severally, bind themselves, their heirs, executors, administrators, successors, and assigns to the Owner to pay for labor, materials, and equipment furnished for use in the performance of the Construction Contract, which is incorporated herein by reference, subject to the following terms.
2. If the Contractor promptly makes payment of all sums due to Claimants, and defends, indemnifies, and holds harmless the Owner from claims, demands, liens, or suits by any person or entity seeking payment for labor, materials, or equipment furnished for use in the performance of the Construction Contract, then the Surety and the Contractor shall have no obligation under this Bond.
3. If there is no Owner Default under the Construction Contract, the Surety's obligation to the Owner under this Bond shall arise after the Owner has promptly notified the Contractor and the Surety (at the address described in Paragraph 13) of claims, demands, liens, or suits against the Owner or the Owner's property by any person or entity seeking payment for labor, materials, or equipment furnished for use in the performance of the Construction Contract, and tendered defense of such claims, demands, liens, or suits to the Contractor and the Surety.
4. When the Owner has satisfied the conditions in Paragraph 3, the Surety shall promptly and at the Surety's expense defend, indemnify, and hold harmless the Owner against a duly tendered claim, demand, lien, or suit.
5. The Surety's obligations to a Claimant under this Bond shall arise after the following:
 - 5.1 Claimants who do not have a direct contract with the Contractor,
 - 5.1.1 have furnished a written notice of non-payment to the Contractor, stating with substantial accuracy the amount claimed and the name of the party to whom the materials were, or equipment was, furnished or supplied or for whom the labor was done or performed, within ninety (90) days after having last performed labor or last furnished materials or equipment included in the Claim; and
 - 5.1.2 have sent a Claim to the Surety (at the address described in Paragraph 13).
 - 5.2 Claimants who are employed by or have a direct contract with the Contractor have sent a Claim to the Surety (at the address described in Paragraph 13).
6. If a notice of non-payment required by Paragraph 5.1.1 is given by the Owner to the Contractor, that is sufficient to satisfy a Claimant's obligation to furnish a written notice of non-payment under Paragraph 5.1.1.
7. When a Claimant has satisfied the conditions of Paragraph 5.1 or 5.2, whichever is applicable, the Surety shall promptly and at the Surety's expense take the following actions:
 - 7.1 Send an answer to the Claimant, with a copy to the Owner, within sixty (60) days after receipt of the Claim, stating the amounts that are undisputed and the basis for challenging any amounts that are disputed; and
 - 7.2 Pay or arrange for payment of any undisputed amounts.
 - 7.3 The Surety's failure to discharge its obligations under Paragraph 7.1 or 7.2 shall not be deemed to constitute a waiver of defenses the Surety or Contractor may have or acquire as to a Claim, except as to undisputed amounts for which the Surety and Claimant have reached agreement. If, however, the Surety fails to discharge its obligations under Paragraph 7.1 or 7.2, the Surety shall indemnify the Claimant for the reasonable attorney's fees the Claimant incurs thereafter to recover any sums found to be due and owing to the Claimant.
8. The Surety's total obligation shall not exceed the amount of this Bond, plus the amount of reasonable attorney's fees provided under Paragraph 7.3, and the amount of this Bond shall be credited for any payments made in good faith by the Surety.
9. Amounts owed by the Owner to the Contractor under the Construction Contract shall be used for the performance of the Construction Contract and to satisfy claims, if any, under any construction performance bond. By the Contractor furnishing and the Owner accepting this Bond, they agree that all funds earned by the Contractor in the performance of the Construction Contract are dedicated to satisfy obligations of the Contractor and Surety under this Bond, subject to the Owner's priority to use the funds for the completion of the work.
10. The Surety shall not be liable to the Owner, Claimants, or others for obligations of the Contractor that are unrelated to the Construction Contract. The Owner shall not be liable for the payment of any costs or expenses of any Claimant under this Bond, and shall have under this Bond no obligation to make payments to or give notice on behalf of Claimants, or otherwise have any obligations to Claimants under this Bond.
11. The Surety hereby waives notice of any change, including changes of time, to the Construction Contract or to related subcontracts, purchase orders, and other obligations.
12. No suit or action shall be commenced by a Claimant under this Bond other than in a court of competent jurisdiction in

the state in which the project that is the subject of the Construction Contract is located or after the expiration of one year from the date (1) on which the Claimant sent a Claim to the Surety pursuant to Paragraph 5.1.2 or 5.2, or (2) on which the last labor or service was performed by anyone or the last materials or equipment were furnished by anyone under the Construction Contract, whichever of (1) or (2) first occurs. If the provisions of this paragraph are void or prohibited by law, the minimum period of limitation available to sureties as a defense in the jurisdiction of the suit shall be applicable.

13. Notice and Claims to the Surety, the Owner, or the Contractor shall be mailed or delivered to the address shown on the page on which their signature appears. Actual receipt of notice or Claims, however accomplished, shall be sufficient compliance as of the date received.
14. When this Bond has been furnished to comply with a statutory or other legal requirement in the location where the construction was to be performed, any provision in this Bond conflicting with said statutory or legal requirement shall be deemed deleted herefrom and provisions conforming to such statutory or other legal requirement shall be deemed incorporated herein. When so furnished, the intent is that this Bond shall be construed as a statutory bond and not as a common law bond.
15. Upon requests by any person or entity appearing to be a potential beneficiary of this Bond, the Contractor and Owner shall promptly furnish a copy of this Bond or shall permit a copy to be made.

16. Definitions

16.1 **Claim:** A written statement by the Claimant including at a minimum:

1. The name of the Claimant;
2. The name of the person for whom the labor was done, or materials or equipment furnished;
3. A copy of the agreement or purchase order pursuant to which labor, materials, or equipment was furnished for use in the performance of the Construction Contract;
4. A brief description of the labor, materials, or equipment furnished;
5. The date on which the Claimant last performed labor or last furnished materials or equipment for use in the performance of the Construction Contract;
6. The total amount earned by the Claimant for labor, materials, or equipment furnished as of the date of the Claim;
7. The total amount of previous payments received by the Claimant; and
8. The total amount due and unpaid to the Claimant for labor, materials, or equipment furnished as of the date of the Claim.

16.2 **Claimant:** An individual or entity having a direct contract with the Contractor or with a subcontractor of the Contractor to furnish labor, materials, or equipment for use in the performance of the Construction Contract. The term Claimant also includes any individual or entity that has rightfully asserted a claim under an applicable mechanic's lien or similar statute against the real property upon which the Project is located. The intent of this Bond shall be to include without limitation in the terms of "labor, materials, or equipment" that part of the water, gas, power, light, heat, oil, gasoline, telephone service, or rental equipment used in the Construction Contract, architectural and engineering services required for performance of the work of the Contractor and the Contractor's subcontractors, and all other items for which a mechanic's lien may be asserted in the jurisdiction where the labor, materials, or equipment were furnished.

16.3 **Construction Contract:** The agreement between the Owner and Contractor identified on the cover page, including all Contract Documents and all changes made to the agreement and the Contract Documents.

16.4 **Owner Default:** Failure of the Owner, which has not been remedied or waived, to pay the Contractor as required under the Construction Contract or to perform and complete or comply with the other material terms of the Construction Contract.

16.5 **Contract Documents:** All the documents that comprise the agreement between the Owner and Contractor.

17. If this Bond is issued for an agreement between a contractor and subcontractor, the term Contractor in this Bond shall be deemed to be Subcontractor and the term Owner shall be deemed to be Contractor.

18. Modifications to this Bond are as follows:

Form RD 1924-18 (Rev. 6-97)		UNITED STATES DEPARTMENT OF AGRICULTURE RURAL DEVELOPMENT FARM SERVICE AGENCY PARTIAL PAYMENT ESTIMATE		CONTRACT NO. _____ PARTIAL PAYMENT ESTIMATE NO. _____ PAGE _____	
OWNER: _____		CONTRACTOR: _____		PERIOD OF ESTIMATE FROM _____ TO _____	
CONTRACT CHANGE ORDER SUMMARY				ESTIMATE	
No.	Agency Approval Date	Amount			
		Additions	Deductions		
				1. Original Contract _____ 2. Change Orders \$0.00 3. Revised Contract (1 + 2) \$0.00 4. Work Completed* _____ 5. Stored Materials* _____ 6. Subtotal (4 + 5) \$0.00 7. Retainage* _____ 8. Previous Payments _____ 9. Amount Due (6-7-8) \$0.00	
TOTALS		\$0.00	\$0.00		
NET CHANGE		\$0.00	\$0.00	* Detailed breakdown attached	
CONTRACT TIME					
Original (days) _____ Revised _____ Remaining _____		On Schedule <input type="checkbox"/> Yes <input type="checkbox"/> No		Starting Date _____ Projected Completion _____	
CONTRACTOR'S CERTIFICATION: The undersigned Contractor certifies that to the best of their knowledge, information and belief the work covered by this payment estimate has been completed in accordance with the contract documents, that all amounts have been paid by the contractor for work for which previous payment estimates was issued and payments received from the owner, and that current payment shown herein is now due.			ARCHITECT OR ENGINEER'S CERTIFICATION: The undersigned certifies that the work has been carefully inspected and to the best of their knowledge and belief, the quantities shown in this estimate are correct and the work has been performed in accordance with the contract documents.		
Contractor _____ By _____ Date _____			Architect or Engineer _____ By _____ Date _____		
APPROVED BY OWNER: Owner _____ By _____ Date _____			ACCEPTED BY AGENCY: The review and acceptance of this estimate does not attest to the correctness of the quantities shown or that the work has been performed in accordance with the contract documents. By _____ Title _____ Date _____		

According to the Paperwork Reduction Act of 1995, 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 0575-0042. The time required to complete this information collection is estimated to average 30 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.

Form RD 1924-7
 (Rev. 2/97)

FORM APPROVED
 OMB NO.0575-0042

UNITED STATES DEPARTMENT OF AGRICULTURE
 RURAL DEVELOPMENT AND
 FARM SERVICE AGENCY

CONTRACT CHANGE ORDER

ORDER NO.	1
DATE	
STATE	KY
COUNTY	CUMBERLAND

CONTRACT FOR: HIGHWAY 704 WATER SYSTEM IMPROVEMENTS

OWNER: CUMBERLAND COUNTY WATER DISTRICT

TO: _____

 (Contractor)

You are hereby requested to comply with the following changes in the contract plans and specifications:

Description of Changes (Supplemental Plans and Specifications Attached)	DECREASE in Contract Price	INCREASE in Contract Price
TOTALS		
NET CHANGE IN CONTRACT PRICE		

JUSTIFICATION:

The amount of the Contract will be (Decreased) (Increased) By the Sum of: _____
 _____ Dollars _____

The Contract Total Including this and previous Change Orders will be: _____
 _____ Dollars _____

The Contract Period Provided for Completion will be (Increased) (Decreased) (Unchanged): _____ Days

This document will become a supplement to the contract and all provisions will apply hereto.

Requested	_____	_____
	(Cumberland County Water District)	(Date)
Recommended	_____	_____
	(Monarch Engineering, Inc.)	(Date)
Accepted	_____	_____
	(Contractor)	(Date)
Approved	_____	_____
	(USDA Rural Development)	(Date)

This information will be used as a record of any changes to the original construction contract.

NOTICE TO PROCEED

TO: _____

DATE: _____
Project: Cumberland County Water District
Highway 704 Water System Improvements

You are hereby notified to commence WORK in accordance with the Agreement dated _____, 2019, on or before _____, 2019. In accordance with the Agreement, the date of substantial completion is _____, and the date of readiness for final payment is _____, 2019, or, and the number of days needed to achieve readiness for final payment is 150 days.

Before starting work at the site, Contractor must comply with the following:
(Note any access limitations, security procedures, or other restrictions)

Owner

By: Troy Norris

Title: Chairman

ACCEPTANCE OF NOTICE

Receipt of the above NOTICE OF AWARD is hereby acknowledged

by _____, this ___ day of _____, 2019.
(Contractor)

By: _____

Title: _____

CERTIFICATE OF SUBSTANTIAL COMPLETION

Owner: Cumberland County Water District	Owner's Contract No.:
Contractor:	Contractor's Project No.:
Engineer: Monarch Engineering, Inc.	Engineer's Project No.: 1801
Project: Highway 704 Water System Improvements	Contract Name:

This [preliminary] [final] Certificate of Substantial Completion applies to:

- All Work The following specified portions of the Work:

Date of Substantial Completion

The Work to which this Certificate applies has been inspected by authorized representatives of Owner, Contractor, and Engineer, and found to be substantially complete. The Date of Substantial Completion of the Work or portion thereof designated above is hereby established, subject to the provisions of the Contract pertaining to Substantial Completion. The date of Substantial Completion in the final Certificate of Substantial Completion marks the commencement of the contractual correction period and applicable warranties required by the Contract.

A punch list of items to be completed or corrected is attached to this Certificate. This list may not be all-inclusive, and the failure to include any items on such list does not alter the responsibility of the Contractor to complete all Work in accordance with the Contract.

The responsibilities between Owner and Contractor for security, operation, safety, maintenance, heat, utilities, insurance, and warranties upon Owner's use or occupancy of the Work shall be as provided in the Contract, except as amended as follows: *[Note: Amendments of contractual responsibilities recorded in this Certificate should be the product of mutual agreement of Owner and Contractor; see Paragraph 15.03.D of the General Conditions.]*

Amendments to Owner's responsibilities: None
 As follows

Amendments to Contractor's responsibilities: None
 As follows:

The following documents are attached to and made a part of this Certificate: *[punch list; others]*

This Certificate does not constitute an acceptance of Work not in accordance with the Contract Documents, nor is it a release of Contractor's obligation to complete the Work in accordance with the Contract.

EXECUTED BY ENGINEER:	RECEIVED:	RECEIVED:
By: _____ (Authorized signature)	By: _____ Owner (Authorized Signature)	By: _____ Contractor (Authorized Signature)
Title: _____	Title: _____	Title: _____
Date: _____	Date: _____	Date: _____

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)

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

Form AD-1048 (1/92)

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 Transaction," without modification, in all lower tier covered transaction 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 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.

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)

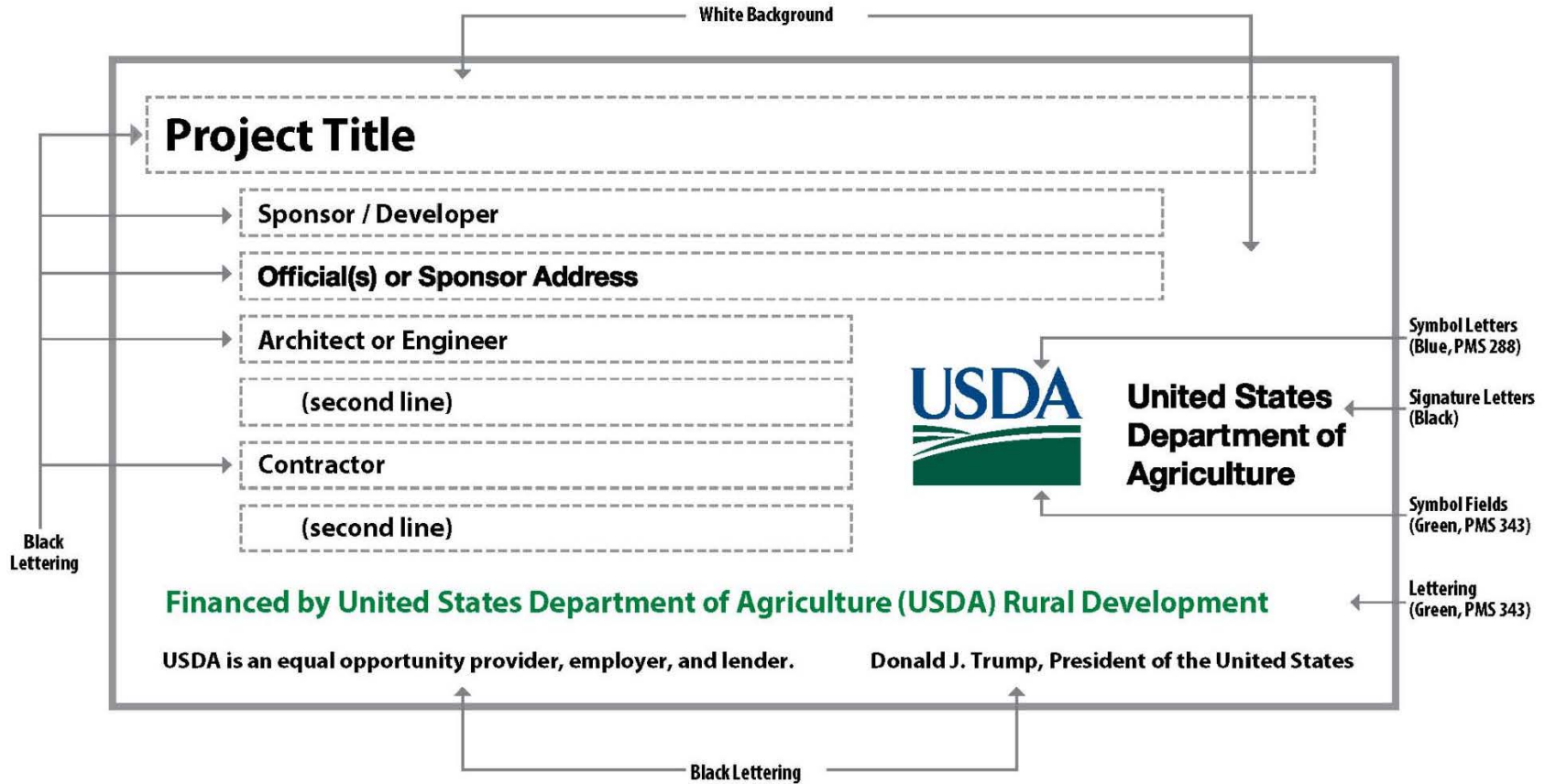
(title)

oOo

TEMPORARY CONSTRUCTION SIGN FOR RURAL DEVELOPMENT PROJECTS

Recommended Fonts: Helvetica, Arial, or Myriad Pro

CS-6



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)

CERTIFICATE OF OWNER'S ATTORNEY AND AGENCY CONCURRENCE

CERTIFICATE OF OWNER'S ATTORNEY

PROJECT NAME:

CONTRACTOR NAME:

I, the undersigned, _____, the duly authorized and acting legal representative of _____, 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

AMERICAN IRON AND STEEL COMPLIANCE STATEMENT

"Section 746 of Title VII of the Consolidated Appropriations Act of 2017 (Division A- Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2017) and subsequent statues mandating domestic preference applies an American Iron and Steel requirement to this project.

All parties are required to comply with these requirements and to ensure that all iron and steel products used on this project are produced in the United States. The term "iron and steel products" means the following products made of primarily iron or steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials."

RD Specialist Signature

Date

Printed Name

Borrower Signature or Approved Representative

Date

Troy Norris, Chairman, CCWD

Printed Name

Engineer's Signature

Date

Lee Mudd, P.E., Monarch Engineering, Inc.

Printed Name

Contractor's Signature

Date

Printed Name

ENGINEER'S CERTIFICATION LETTER

DATE: MAY 22, 2019

RE: APPLICANT: CUMBERLAND COUNTY WATER DISTRICT
PROJECT NAME: HIGHWAY 704 WATER SYSTEM IMPROVEMENTS
CONTRACT NUMBER: 1801

I hereby certify that to the best of my knowledge and belief, iron and steel products referenced in the Plans, Specifications, and Bidding Documents for this project comply with Section 746 of Title VII of the Consolidated Appropriations Act of 2017 and any subsequent statutes mandating domestic preference or are the subject of a waiver approved by the Secretary of Agriculture or designee. This certification is not intended to be a warranty in any way, but rather the designer's professional opinion that to the best of their knowledge, the products comply.

I hereby commit that to the best of my ability, all iron and steel products that will be referenced in the Bid Addenda, Executed contracts, and Change Orders will comply with Section 746 of the Title VII of the Consolidated Appropriations Act, 2017 and any subsequent statutes mandating domestic preference or are/will be the subject of a waiver approved by the Secretary of Agriculture or designee.

MONARCH ENGINEERING, INC.

Name of Engineering Firm (Print)

By Authorized Representative (Signature)

PRINCIPAL / PROJECT ENGINEER

Title

This document is to be submitted prior to Agency authorization for Advertisement for Bids.

CONTRACTOR'S CERTIFICATION LETTER

DATE:

**RE: APPLICANT
PROJECT NAME
CONTRACT NUMBER**

I hereby certify that, to the best of my knowledge and belief, all iron and steel products installed for this project by my company and by any and all subcontractors and manufacturers my company has contracted with for this project, comply with Section 746 of Title VII of the Consolidated Appropriations Act of 2017 and any subsequent statutes mandating domestic preference or are the subject of a waiver approved by the Secretary of Agriculture or designee.

Name of Construction Company (Print)

By Authorized Representative (Signature)

Title

This certification is to be submitted upon completion of the project to the project engineer.

MANUFACTURER'S CERTIFICATION LETTER

Date:

Company Name:

Company Address:

Subject: AIS Step Certification for Project (X), Owner's Name, and Contract Number

I, (company representative), certify that the (melting, bending, galvanizing, cutting, etc.) processes for (manufacturing or fabricating) the following products and/or material shipped or provided for the subject project is in full compliance with the mandated AIS requirements.

Item, Products and/or Materials, and location of delivery (City, State)

- 1.
- 2.
- 3.

Such process for AIS took place in the following location:

City, State

This certification is to be submitted upon request to interested parties (e.g. municipalities, consulting engineers, general contractors, etc.)

If any of the above compliance statements change while providing materials to this project, please immediately notify the person(s) who is requesting to use your product(s).

Authorized Company Representative

(Note: Authorized signature shall be manufacturer's representative and not the materials distributor or supplier)

EXAMPLES OF MUNICIPAL CASTINGS *(includes but not limited to):*

Access Hatches
Ballast Screen
Benches (Iron or Steel)
Bollards
Cast Bases
Cast Iron Hinged Hatches, Square and Rectangular
Cast Iron Riser Rings
Catch Basin Inlet
Cleanout/Monument Boxes
Construction Covers and Frames
Curb Corner Guards
Curb Openings
Detectable Warning Plates
Downspout Shoes (Boot, Inlet)
Drainage Grates, Frames and Curb Inlets
Inlets
Junction Boxes
Lampposts
Manhole Covers, Rings and Frames, Risers
Meter Boxes
Service Boxes
Steel Hinged Hatches, Square and Rectangular
Steel Riser Rings
Trash Receptacles
Tree Grates
Tree Guards
Trench Grates
Valve Boxes, Covers and Risers

EXAMPLES OF CONSTRUCTION MATERIALS (included but not limited to)

Wire rod, bar, angles
Concrete reinforcing bar, wire, wire cloth
Wire rope and cables
Tubing
Framing
Joists
Trusses
Fasteners (i.e., nuts and bolts)
Welding rods
Decking
Grating
Railings
Stairs
Access ramps
Fire escapes
Ladders
Wall panels
Dome structures
Roofing
Ductwork
Surface drains
Cable hanging systems
Manhole steps
Fencing and fence tubing
Guardrails
Doors
Stationary screens

EXAMPLES OF NON-CONSTRUCTION MATERIALS- (includes but not limited to):

(Note: includes appurtenances necessary for their intended use and operation and are not subject to AIS requirements)

Pumps
Motors
Gear Reducers
Drives (including variable frequency drives (VFD's)
Electric/pneumatic/manual accessories used to operate valves (such as electric valve actuators).
Mixers
Gates (e.g. sluice and slide gates)
Motorized screens (such as traveling screens)
Blowers/aeration equipment
Compressors
Meters (flow and water meters)
Sensors
Controls and switches
Supervisory control data acquisition (SCADA)
Membrane filtration systems (includes RO package plants)
Filters
Clarifier arms and clarifier mechanisms
Rakes
Grinders
Disinfection systems
Presses (including belt presses)
Conveyors
Cranes
HVAC (excluding network)
Water heaters
Heat exchangers
Generators
Cabinetry and housing (such as electrical boxes/enclosures)
Lighting fixtures
Electrical conduit
Emergency life systems
Metal office furniture
Shelving
Laboratory equipment
Analytical instrumentation
Dewatering equipment

INFORMATIONAL CHECKLIST FOR PROJECT SPECIFIC WAIVER REQUEST

Please reference the specifications of the product.

Information	<input type="checkbox"/>	Note
<p>General</p> <ul style="list-style-type: none"> • Waiver request includes the following information: <ul style="list-style-type: none"> — Description of the foreign and domestic construction materials — Unit of measure — Quantity — Price — Date that product is needed (e.g. time of delivery or availability) — Location of the construction project — Name and address of the proposed supplier — A detailed justification for the use of foreign construction materials • Waiver request was submitted according to the instructions in the memorandum • Assistance recipient made a good faith effort to solicit bids for domestic iron and steel products, as demonstrated by language in requests for proposals, contracts, and communications with the prime 		
<p>Cost Waiver Requests</p> <ul style="list-style-type: none"> • Waiver request includes the following information: <ul style="list-style-type: none"> — Comparison of overall cost of project with domestic iron and steel products to overall cost of project with foreign iron and steel products (Exhibit J) — Relevant excerpts from the bid documents used by the contractors to complete the comparison — Supporting documentation indicating that the contractor made a reasonable survey of the market, such as a description of the process for identifying suppliers and a list of contacted suppliers 		
<p>Availability Waiver Requests</p> <ul style="list-style-type: none"> • Waiver request includes the following supporting documentation necessary to demonstrate the availability, quantity, and/or quality of the materials for which the waiver is requested: <ul style="list-style-type: none"> — Supplier information or pricing information from a reasonable number of domestic suppliers indicating availability/delivery date for construction materials — Documentation of the assistance recipient's efforts to find available domestic sources, such as a description of the process for identifying suppliers and a list of contacted suppliers. — Date that product is needed (e.g. time of delivery or availability) to provide justification — Relevant excerpts from project plans, specifications, and permits indicating the required quantity and quality of construction materials • Waiver request includes a statement from the prime contractor and/or supplier confirming the non-availability of the domestic construction materials for which the waiver is sought • Has the State received other waiver requests for the materials described in this waiver request, for comparable projects? 		

EXAMPLE COST TABLE FOR A PROJECT COST WAIVER

AIS/Non-AIS Cost Comparison Table							
Specification	Item or Description	Quantity	Unit	Unit Price	Cost if applying AIS		Cost if a waiver to AIS is applied
					\$.	\$
					\$.	\$
					\$.	\$
					\$.	\$
					\$.	\$
					\$.	\$
					\$.	\$
					\$.	\$
					\$.	\$

TOTAL COST:

\$0.00

\$0.00

AIS Materials Tracking

Project Name: Highway 704 Water System Improvements

Contract Number: _____

Engineer: Monarch Engineering, Inc.

Name and Title: Lee Mudd, P.E.

Signature and Date: _____

Contractor: TBD

Name and Title: TBD

Signature and Date: _____

Total Cost of Materials as Specified in the Bid Tabs:	0
Allowable Total De Minimus Amount (5% of all mate	0
Total Cost of De Minimus Items	0
Remaining Amount Allowed for Future De Minimus Items	0

Note 1: No single De Minimus item can be greater than 1% of total materials cost.

Note 2: All listed qualifying AIS must have a manufacturer's certification unless a waiver is obtained.

No.	Bid Item No.	Detailed Description of Qualifying or De Minimus Material	Quantity Delivered	Date Delivered	Manufacturer's Name City, State of Production	Certification Date	De Minimus Only		Minor Components Only	
							Cost per Item	Total Item Cost	Cost per Item	Cost of minor components
1	1	Ductile Iron M.J. Fittings								
2	1	M.J. Restraints								
3	1	Tracer Wire Access Boxes								

4	2,3	Steel Encasement Pipe							
5	5	Gate Valves							
6	5	Valve Boxes and Covers							
7	6	Tapping Sleeves							
8	7	Flush Hydrants							
9	8	Flanged Ductile Iron Pipe							
10	8	Pipe Supports							
11	8	Strainer							
12	8	Reinforcing Steel							
13	8	Manhole Steps							
14	AA1,2	Ductile Iron M.J. Fittings							
15	AA1,2	M.J. Restraints							
16	AA1,2	Tracer Wire Access Boxes							
17	AA3	Gate Valves							
18	AA4	Flush Hydrants							
19	AA5	Flanged Ductile Iron Pipe							

20	AA5	Flanged Fittings							
21	AA5	Pipe Supports							
22	AA5	Pressure Reducing Valves							
23	AA5	Gate Valves							
24	AA5	Reinforcing Steel							
25									
26									
27									
28									
29									
30									
31									
32									
33									
34									



**COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET**

Department of Highways, District 8 Office
1660 S. Highway 27
Somerset, KY 42502
(606) 677-4017

Matthew G. Bevin
Governor

Greg Thomas
Secretary

Cumberland County Water District
133 Lower River Street
Burkesville, KY 42717

Subject: Cumberland County
KY 704
MP 029-0704-0.00
Permit: 08-2019-00197

Dear Sir:

The attached is your copy of the approved encroachment permit application. One copy is to be submitted to your contractor. This permit is to remain on the project until the permitted work is complete.

You are to shape and seed any disturbed areas on the State's right of way. All work and materials are to comply with the Department's Standard Specification for Road and Bridge Construction- 2012 Edition. Signs, barricades, lights, etc. if required, are to be installed in accordance with the Manual on Uniform Traffic Control Devices.

Please notify this office when permitted work begins. When work has been completed, the Notice of Completion of Encroachment Permit Work must be completed and returned so an inspection can be made by personnel from this office. If all work has been completed satisfactorily, your indemnity will then be released.

Yours truly,

Conley Moren, P.E.
Engineering Support TEBM
District 8- Somerset

7/30/2019

Date

TW/cm



An Equal Opportunity Employer M/F/D



Kentucky Transportation Cabinet
 Department of Highways
 Division of Maintenance
 Permits Branch

TC 99-1 (B)
 07/2018
 Page 1 of 1

ENCROACHMENT PERMIT

KYTC KEPT #: 08-2019-00197
Permittee: Cumberland Water District
Permit Type / Subtype: Utilities / Water
Work Completion Date: 7/30/2020

INDEMNITIES		
Type	Amount Required	Tracking Number
Performance Bond	\$0.00	
Cash / Check	\$0.00	
Self-Insured	\$0.00	
Payment Bond	\$0.00	
Liability Insurance	\$0.00	

This permit has been: **APPROVED** **DENIED**

Conley Moren
 Conley Moren DB Engineering Support - TEBM 7/30/2019
SIGNATURE TITLE DATE

The TC 99-1(B), including the application TC-99 1(A) and all related and accompanying documents and drawings make up the permit. It is not a permit unless both the TC 99-1(A) and TC 99-1(B) are both present.

LOCATION(S)			
Description	County - Route	Latitude	Longitude
	Cumberland - KY 912	36.855434	-85.339781
	Cumberland - KY 704	36.838381	-85.369818
	Cumberland - KY 61	36.838242	-85.369600



To Submit a Locate Request
 24 Hours a Day, Seven Days a Week:
 Call 811 or 800-752-6007

NOTICE OF COMPLETION OF ENCROACHMENT PERMIT WORK

PERMITTEE

Name: Cumberland Water District
Contact Person:
Address: 133 Lower River Road
City: Burkesville
State: Kentucky
Zip: 42717
Telephone: (270) 864-3133

PROJECT IDENTIFICATION

Permit Number: 08-2019-00197

I wish to notify the Department of Highways that the above mentioned permit work and any necessary right-of-way restoration have been completed and are ready for final inspection.

Permittee

Please return this form to the address below when work is completed and ready for final inspection.

Please Return to: Permit Engineer
Department of Highways, District 8 Office
1660 South US 27
Somerset, Kentucky 42502
(606) 677-4017
www.transportation.ky.gov/

LOCATION(S)			
Description	County - Route	Latitude	Longitude
	Cumberland - KY 912	36.855434	-85.339781
	Cumberland - KY 704	36.838381	-85.369818
	Cumberland - KY 61	36.838242	-85.369600



APPLICATION FOR ENCROACHMENT PERMIT

Permittee Information		KYTC No. <u>08-2019-00197</u>	
Name	Cumberland County Water District	Permit Information	
Address	133 Lower River Street	Address	Columbia Road
		City	Burkesville
City	Burkesville	State	KY
State	KY	Zip	42717
Zip	42717	County	Cumberland
Phone#	(270) 864-3133	Route No.	KY61
		Mile-Point	17.07 to 17.30
Contact	Matthew Dyer, Manager	Longitude (X)	85°22'11.68"W
Phone	(270) 864-3133 Cell (270) 459-2247	Latitude (Y)	36°50'17.51"N
Email	ccwateroffice@yahoo.com	<i>Information below to be filled out by KYTC</i>	
Contact	Lee Mudd, Project Engineer	<input type="checkbox"/> Air Right	<input type="checkbox"/> Entrance
Phone	(502) 839-1310 Cell (502) 604-0847	<input checked="" type="checkbox"/> Utilities	<input type="checkbox"/> Other: _____
Email	lmudd@monarchengineering.net	<input checked="" type="checkbox"/> Left	<input checked="" type="checkbox"/> Right
		<input checked="" type="checkbox"/> X-ing	
		Access:	<input type="checkbox"/> Full <input type="checkbox"/> Partial <input checked="" type="checkbox"/> by Permit

General Description of Work:

MP 17.07 to MP 17.30 (RIGHT) - Install approximately 1,260 LF of 6-Inch PVC-SDR 17 water line on KY Highway 61 Right-of-Way.
 MP 17.11 (RIGHT) - Install Master Meter Vault on KY Highway 61 Right-of-Way.
 SEE ATTACHED APPLICANTS PLANS FOR ADDITIONAL INFORMATION.
Ky 704 left mp. 0.0 to mp 0.56 install 6 inch PVC SDR 17 waterline R.S.

THE UNDERSIGNED PERMITTEE(S) (being duly authorized representative(s) or owner(s)) DO AGREE TO ALL TERMS AND CONDITIONS ON THE TC 99-1 (A).

Matthew Dyer _____ 6-24-19
 Signature Date

This is not a permit unless and until the permittee(s) receives an approved TC 99-1(B) from KYTC. This application shall become void if not approved by the cancellation date. The cancellation date shall be one year from the date the permittee submits their application.



APPLICATION FOR ENCROACHMENT PERMIT

TERMS AND CONDITIONS

1. The permit, including this application and all related and accompanying documents and drawings making up the permit, remains in effect and is binding upon the Applicant/Permittee, its successors and assigns, as long as the encroachment(s) exists and also until the permittee is finally relieved by the Department of Highways from all its obligations.
2. Applicant shall meet all requirements of the Clean Water Act if the project will disturb one acre or more, the applicant shall obtain a KPDES KYR10 Permit from the Kentucky Division of Water. All disturbed areas shall meet the requirements of the Department of Highway's Standard Specifications, Sections 212 and 213, as amended.
3. **INDEMNITY:**
 - A. **PERFORMANCE BOND:** The permittee shall provide to the Department a performance bond according to the Permits Manual, Section PE-203 as a guarantee of conformance with the Department's Encroachment Permit requirements.
 - B. **PAYMENT BOND:** At the discretion of the department, a payment bond shall be required of the permittee to ensure payment of liquidated damages assessed to the permittee.
 - C. **LIABILITY INSURANCE:** Liability insurance shall be required of the permittee (in an amount approved by the department) to cover all liabilities associated with the encroachment.
 - D. It shall be the responsibility of the permittee, its successors and assigns, to maintain all indemnities in full force and effect until the permittee is authorized to release the indemnity by the Department.
4. A copy of this application and all related documents making up the approved permit shall be given to the applicant and shall be made readily available for review at the work site at all times.
5. Perpetual maintenance of the encroachment is the responsibility of the permittee, its successors and assigns, with the approval of the Department as required, unless otherwise stated.
6. Permittee, its successors and assigns, shall comply with and agree to be bound by the requirements and terms of (a) this application and all related documents making up the approved permit, (b) by the Department's Permits Manual, and (c) by the Manual on Uniform Traffic Control Devices, both manuals as revised to and in effect on the date of issuance of the permit, all of which documents are made a part thereof by this reference. Compliance by the permittee, its successors and assigns, with subsequent revisions to applicable provisions of either manual or other policy of the Department may be made a condition of allowing the encroachment to persist under the permit.
7. Permittee agrees that this and any encroachment may be ordered removed by the Department at any time, and for any reason, upon thirty days written notice to the last known address of the applicant or to the address at the location of the encroachment. The permittee agrees that the cost of removing and of restoring the associated right-of-way is the responsibility of the permittee, its successors and assigns.
8. Permittee, its successors and assigns, agree that if the Department determines that motor vehicular safety deficiencies develop as a result of the installation or use of the encroachment, the permittee, its successors and assigns, shall provide and bear the expenses to adjust, relocate, or reconstruct the facilities, add signs, auxiliary lanes, or other corrective measures reasonably deemed necessary by the Department within a reasonable time after receipt of a written notice of such deficiency. The period within which such adjustments, relocations, additions, modifications, or other corrective measures must be completed will be specified in the notice.
9. Where traffic signals are required as a condition of granting the requested permit or are thereafter required to correct motor vehicular safety deficiencies, as determined by the Department, the costs for signal equipment and



APPLICATION FOR ENCROACHMENT PERMIT

installation(s) shall be borne by the permittee, its successors and assigns and the Department in its reasonable discretion and only in accordance with the Department's current policy set forth in the Traffic Operations Manual and Permits Manual. Any modifications to the permittee's entrance necessary to accommodate signalization (including necessary easement(s) on private property) shall be the responsibility of the permittee, its successors and assigns, at no expense to the Department.

10. The requested encroachment shall not infringe on the frontage rights of an abutting owner without their written consent as hereinafter described. Each abutting owner shall express their consent, which shall be binding on their successors and assigns, by the submission of a notarized statement as follows, "I _____ (we),

_____ hereby consent to the granting of the permit requested by the applicant along Route _____, which permit does affect frontage rights along my (our) adjacent real property." By signature(s) _____ subscribed and sworn by _____, on this date _____.

11. The permit, if approved, is subject to the agreement that it shall not interfere with any similar rights or permit(s) previously granted to any other party, except as otherwise provided by law.

12. Permittee shall include documentation which describes the facilities to be constructed. Permittee, its successors and assigns, agree as a condition of the granting of the permit to construct and maintain any and all permitted facilities or other encroachments in strict accordance with the submitted and approved permit documentation and the policies and procedures of the Department. Permittee, its successors and assigns, shall not use facilities authorized herein in any manner contrary to that prescribed by the approved permit. Only normal usage as contemplated by the parties and by this application and routine maintenance are authorized by the permit.

13. Permittee, its successors and assigns, at all times from the date permitted work is commenced until such time as all permitted facilities or other encroachments are removed from the right-of-way and the right-of-way restored, shall defend, protect, indemnify and save harmless the Department from any and all liability claims and demands arising out of the work, encroachment, maintenance, or other undertaking by the permittee, its successors and assigns, related or undertaken pursuant to the granted permit, due to any claimed act or omission by the permittee, its servants, agents, employees, or contractors. This provision shall not inure to the benefit of any third party nor operate to enlarge any liability of the Department beyond that existing at common law or otherwise if this right to indemnity did not exist.

14. Upon a violation of any provision of the permit, or otherwise in its reasonable discretion, the Department may require additional action by the permittee, its successors and assigns, up to and including the removal of the encroachment and restoration of the right-of-way. In the event additional actions required by the Department under the permit are not undertaken as ordered and within a reasonable time, the Department may in its discretion cause those or other additional corrective actions to be undertaken and the Department shall recover the reasonable costs of those corrective actions from the permittee, its successors and assigns.

15. Permittee, its successors and assigns, shall use the encroachment premises in compliance with all requirements of federal law and regulation, including those imposed pursuant to Title VI of the Civil Right Act of 1964 (42 U.S.C. § 2000d et seq.) and the related regulations of the U.S. Department of Transportation in Title 49 C.F.R. Part 21, all as amended.

16. Permittee, its successors and assigns, agree that if the Department determines it is necessary for the facilities or other encroachment authorized by the permit to be removed, relocated or reconstructed in connection with the reconstruction, relocation or improvement of a highway, the Department may revoke permission for the



APPLICATION FOR ENCROACHMENT PERMIT

encroachment to remain under the permit and may order its removal, relocation or reconstruction by the permittee, its successors and assigns, at the expense of the permittee, except where the Department is required by law to pay any or all of those costs.

17. Permittee agrees that the authorized permit is personal to the permittee and shall remain in effect until such time as (a) the permittee's rights to the adjoining real property to have benefitted from the requested encroachment have been relinquished, (b) until all permit obligations have been assumed by appropriate successors and assigns, and (c) unless and until a written release from permit obligations has been granted by the Department. The permit and its requirements shall also bind the real property to have benefitted from the requested encroachment to the extent permitted by law. The permit and the related encroachment become the responsibility of the successors and assigns of the permittee and the successors and assigns of each property owner benefitting from the encroachment, or the encroachment may not otherwise permissibly continue to be maintained on the right-of-way. (Does not apply to utility encroachments serving the general public.)

18. If work authorized by the permit is within a highway construction project in the construction phase, it shall be the responsibility of the permittee to make personal contact with the Department's Engineer on the project in order to coordinate all permitted work with the Department's prime contractor on the project.

19. This permit is not intended to, nor shall it, affect, alter or alleviate any requirement imposed upon the permittee, its successors and assigns, by any other agency.

20. Permittee, its successors and assigns, agree to contain and maintain all dirt, mud, and other debris emanating from the encroachment away from the surrounding right-of-way and the travel way of the highway hereafter and at all times that its obligations under the permit remain in effect.

Kentucky Transportation Cabinet – District 8
Permit No. 08-2019-00197

Applicant to parallel KY 61 in Cumberland County right of mile point 17.07 to mile point 17.30. At mile point 17.11 a master meter vault will be placed as per attached plans and encroachment terms. The Kentucky Transportation Cabinet shall not be held liable for any damage to the vault due to any construction or maintenance operations by the Cabinet.

Applicant to bore and case KY 704 in Cumberland County with 80 feet of 12 inch steel casing for 6 inch PVC water line at mile point 0.0 and at mile point 0.56 bore and case with a 12 inch steel casing for a 6 inch PVC water line on KY 704 as per attached plans, typical, and encroachment terms.

Applicant to directional bore and case 50 feet of HDPE 2 inch casing to reconnect a 3\4 service line at mile point 0.59 and mile point 0.15 on KY 704 and bore and case at mile point 0.0 on KY 912 with a 12 inch steel casing for a 6 inch PVC water line in Cumberland County as shown on attached Typical Highway Boring Crossing Detail, plans, and encroachment terms. No meters or valves to be placed on right of way.

Applicant to locate new water line around cross drain headwall at STA 23+00 to 25+00 as per attached plans and encroachment terms as to not disturb the headwall assembly or place over the cross drain pipe.

Underground utility crossing shall be constructed with 42 inches of cover from the top of the pipe to the low spot of the ditch or toe of slope as shown on the attached Typical Highway Boring Crossing Detail.

No change shall be made contrary to this permit and the applicant's plans without first notifying and being approved by the Permit Engineer.

Construction of the utility shall not interfere with any construction or maintenance operations of the Kentucky Transportation Cabinet on KY 704.

All work and materials shall meet or exceed the Kentucky Department of Highways Standard Specifications.

All disturbed portions of the right-of-way are to be restored to grass as per Kentucky Department of Highways Standard Specifications for Road and Bridge Construction, 2012 edition. A satisfactory turf, as determined by the Department, is to be established by the permittee prior to release of indemnity.

The minimum rate of application for seeding and protection method II per 1000 square feet shall be applied as follows:

2 lbs. of seed mixture

23 lbs. of 10-20-20 fertilize
150 lbs. of agricultural limestone

Work area within the Kentucky Department of Highways right of way shall be signed and flagged in accordance to the Manual on Uniform Traffic Control Devices before any work is to begin on the Kentucky Department of Highways right of way.

Contractor's equipment or other vehicles shall not be permitted to park on the roadway shoulders during the construction of this project without compliant traffic control.

This permit will be terminated and work will stop immediately at anytime the Department of Highways discovers or is notified of any unsafe or hazardous condition until corrections have been made.



ENCROACHMENT PERMIT GENERAL NOTES & SPECIFICATIONS

Permit No. 08-2019-00197

I. SAFETY

A. General Provisions

- All signs and control of traffic shall be in accordance with the Manual on Uniform Traffic Control Devices for Streets and Highways, latest edition, Part VI, and safety requirements shall comply with the Permits Manual.
- All work necessary in shoulder or ditch line areas of a state highway shall be scheduled to be promptly completed so that hazards adjacent to the traveled way are kept to an absolute minimum.
- No more than one (1) traveled-lane shall be blocked or obstructed during normal working hours. All signs and flaggers during lane closure shall conform to the Manual on Uniform Traffic Control Devices.
- When necessary to block one (1) traveled-lane of a state highway, the normal working hours shall be as directed by the Department. No lanes shall be blocked or obstructed during adverse weather conditions (rain, snow, fog, etc.) without specific permission from the Department. Working hours shall be between 8:30 AM and 4:00 PM.
- The traveled-way and shoulders shall be kept clear of mud and other construction debris at all times during construction of the permitted facility.
- No nonconstruction equipment or vehicles or office trailers shall be allowed on the right of way during working hours.
- The right of way shall be left free and clear of equipment, material, and vehicles during non-working hours.

B. Explosives

- No explosive devices or explosive material shall be used within state right of way without proper license and approval of the Kentucky Department of Mines and Minerals, Explosive Division.

C. Other Safety Requirements

- All workers must wear OSHA conforming personal protection items at all times when work is performed on the KYTC right of way. All traffic control must conform to the latest edition of the Manual on Uniform Traffic Control Devices

II. UTILITIES * Applies to Fully Controlled Access Highways ONLY

- *All work necessary within the right of way shall be performed behind a temporary fence erected prior to a boring operation.
- *The temporary woven wire fence shall be removed immediately upon completion of work on the right of way, and the control of access immediately restored to original condition, in accordance with applicable Kentucky Department of Highways Standard Drawings.
- *All vents, valves, manholes, etc., shall be located outside of the right-of-way.
- *Encasement pipe shall extend from right-of-way line to right-of-way line and shall be one continuous run of pipe. The encasement pipe shall be welded at all joints.
- The boring pit and tail ditch shall extend past the existing toe of slope or bottom of ditch line and shall be a minimum of 42 inches deep.

II. UTILITIES (Continued)

- Encasement pipe shall conform to current standards for highway crossings in accordance with the Permits Manual.
- Parallel lines shall be constructed between back slope of ditch line and right-of-way line and shall have a minimum of 42-inch cover above top of pipe or conduit.
- All pavement cuts shall be restored per Kentucky Transportation Cabinet form TC 99-13.
- Aerial crossing of this utility line shall have a minimum clearance of _____ feet from the high point of the roadway to the low point of the line (calculated at the coefficient for expansion of 120 degrees Fahrenheit).
- The 30-foot clear zone requirement shall be met to the extent possible in accordance with the Permits Manual.
- Special requirements:

III. GENERAL

A. OSHA

- Kentucky Occupational Safety and Health Standards for the construction industry, which has the effect of law, states in part: (Page 52, 1926.651, Specific Excavation Requirements) "Prior to opening an excavation, effort shall be made to determine whether underground installations, (sewer, telephone, water, fuel, electric lines, etc.) will be encountered, and if so, where such underground installations are located. When the excavation approaches the estimated location of such an installation, the exact location shall be determined, and when it is uncovered, proper supports shall be provided for the existing installation. Utility companies shall be contacted and advised of proposed work prior to the start of actual excavation."

B. Archaeological

- Whenever materials of an archaeological nature are discovered during the course of construction work or maintenance operations, contact shall be made immediately with the Division of Environmental Analysis, which maintains an archaeologist on staff, or with the Office of the State Archaeologist located at the University of Kentucky. Following this consultation, further action shall be decided on a case-by-case basis by the State Highway Engineer or the Transportation Planning Engineer or their designated representative.

C. Utilities in the Work Areas

- The permittee shall be responsible for any damage to existing utilities, and any utility modifications or relocations within state right of way necessary, as determined by the Department or by the owner of the utility, shall be at the expense of the permittee and subject to the approval of the Department.
- All existing manholes and valve boxes shall be adjusted to be flush with finished grade.

D. Environmental

- If the activity to which this permit relates disturbs one acre or more of land, you must obtain a KPDES KYR10 permit.

Websites

<http://www.water.ky.gov/permitting/wastewaterpermitting/KPDES/storm/>

Inspectors for KPDES KYR10 at www.KEPSC.org

IV. RIGHT OF WAY RESTORATION

- All disturbed portions of the right of way shall be restored to grass as per Kentucky Department of Highways Standard Specifications for Road and Bridge Construction (latest edition). A satisfactory turf, as determined by the Department, shall be established by the permittee prior to release of indemnity. Sodding or seeding shall be as follows:

Lawn or High Maintenance Situation	70% Lawn Fescue (e.g., variety - Falcon) 30% Bluegrass or
------------------------------------	--

70% Lawn Rye (e.g., variety - Derby) 30% Bluegrass

Right of Way Lawn Maintenance Situation	70% KY 31 Fescue 30% Perennial Rye Grass or
---	--

100% KY Fescue

- Two tons of clean straw mulch per acre of seeding.
- Prior to seeding, the ground shall be prepared in accordance with Kentucky Department of Highways Standard Specifications for Road and Bridge Construction (latest edition).
- Substitutes for sod such as artificial turf, rocked mulch, or paved areas may be acceptable if they are aesthetically pleasing.
- All ditch-flow lines and all ditch-side slopes shall be sodded.
- Existing concrete right of way markers shall not be disturbed, but if damaged in any way, they shall be entirely replaced by the permittee, with new concrete markers to match the original markers, in accordance with Kentucky Department of Highways Standard Drawings. Markers that are entirely removed shall be re-established in the proper locations by the permittee and to the satisfaction of the Department.
- Other right of way restoration requirements are as follows:

V. DRAINAGE

- All pipe shall be laid in a straight alignment, to proper grades, and with all materials and methods of installation including bedding and joint seating in accordance with Department Standard Specifications for Road and Bridge Construction (latest edition). Pipe shall not be covered until inspected by the Department and express permission obtained to make backfill.
- All gutter lines at the base of new curbs shall be on continuous grades, and pockets of water along with curbs or in entrance areas or other paved areas within the right of way shall not be acceptable.
- All drainage structures and appurtenances (manholes, catch basins, curbing, inlet basins, etc.) shall conform to Department specifications and shall be constructed in accordance with the Department Standard Drawings. Type required:

VI. Paving

- No bituminous pavement shall be installed within the right of way between November 15 and April 1, nor when the temperature is below 40 degrees Farenheit, without the express consent of the Department. No bituminous pavement shall be installed when the underlying course is wet.
- Paving within the right of way shall be as follows:
 - Base (Type) _____ (Thickness) _____
 - Surface Base (Type) _____ (Thickness) _____
 - Finished Surface (Type) _____ (Thickness) _____
- Existing pavement and shoulder material shall be removed to accomodate the above paving specifications.
- The finished surface of all new pavement within the right of way shall be true to the required slope and grade, uniform in density and texture, free of irregularities, and equivalent in riding qualities to the adjacent highway pavement or as determined by the Department of Highways.
- All materials and methods of construction, including base and subgrade preparation, shall be in accordance with Kentucky Department of Highways Standard Specifications for Road and Bridge Construction (latest edition).
- 48 hours notice to the Department is required prior to beginning paving operations.
 Phone: _____ Name: _____
- To ensure proper surface drainage, the new pavement shall be flush with the edge of existing highway pavement and shall slope away from the existing edge of the pavement as specified in drawings.
- Existing edge of pavement shall be saw-cut to provide a straight and uniform joint for new pavement. An approved joint sealer, in accordance with Kentucky Department of Highways Standard Specifications (latest edition), shall be applied between new and existing pavements.

VII. SIDEWALKS SPECIFICATIONS *This dimension should be equal to the width of the sidewalk.

A. New Sidewalks

- Sidewalks shall be constructed of Class A concrete (3,500 p.s.i. test), shall be *_____ feet in width, 8 inches in thickness across the entrances, and 4 inches in thickness across the remaining sections.
- Sidewalks shall have tooled joints not less than 1 inch in depth at four foot intervals*, and 1/2 premolded expansion joints extending entirely through the sidewalk at intervals not to exceed 50 feet.
- All materials and methods of construction, including curing, shall be in accordance with the Kentucky Department of Highways Standard Specifications for Road and Bridge Construction (latest edition).

B. Existing Sidewalks

- (Applicable if existing sidewalks are being relocated) Use of the sidewalk shall not be blocked or obstructed, and a usable walkway shall be maintained across the construction area at all times.
- All damaged sections of the sidewalks shall be entirely replaced to match existing sections.

VIII. DENSE GRADED SHOULDERS

- Any existing dense-graded aggregate shoulders in the entire frontage within the construction area, which have been disturbed or damaged or on which dirt has been placed or mud has been deposited or tracked, shall be restored to original condition by removal of all contaminated material and replaced to proper grade with new dense-graded aggregate.
- All new aggregate shoulders as specified in the plan shall consist of 5 inches of compacted dense-graded aggregate, 2^{1/2} pounds per square yard of calcium chloride.
- All dense-graded aggregate shoulders shall slope away from the new edge of pavement at the rate of 3/4 inch per foot.

IX. CURBING**A. Bituminous Curbs**

- Bituminous concrete curbs shall be given a paint coat of asphalt emulsion.
- The surface under the bituminous concrete curb shall be tacked with asphalt emulsion.
- All bituminous concrete curbs shall be constructed of a Class I bituminous concrete mixture as specified by official Department of Highways specifications.
- All bituminous curbs shall be rolled curb, with a minimum base width of 8 inches and a minimum height of _____ inches. The top of the curb shall be constructed in such a manner as to guarantee a uniform rolled effect throughout the entire run.

B. Concrete Curbs

- All curbs or curb and gutter shall be constructed of Class A concrete (3,500 p.s.i. test) and shall be uniform in height, width, and alignment, true to grade, and satisfactory in finish and appearance as determined by the Department. All materials and methods of construction, including curing, shall be in accordance with Department of Highways Standard Specifications for Road and Bridge Construction (latest edition).
- All concrete curbs shall be 6 inches in width, extend _____ inches above finished grade and 12 inches below finished grade, with all visible edge rounded to 1/2 inch radii.
- All concrete curbs shall have expansion joints constructed at intervals of not more than 30 feet, and 1/2 inch premolded expansion joint material (cut to conform to the curb or to the curb and gutter section) shall be used in each expansion joint.
- The last _____ feet of all concrete curbs are to be tapered down to finished grade.

X. RIGHT-OF-WAY FENCE REPLACEMENT

- The replacement fence shall be a height of at least 48 inches and shall be of sufficient density to contain all animals (if applicable).

- The replacement fence shall be a minimum of 1 foot outside the right-of-way line. The fence materials and
- design shall meet accepted industry standards and be treated as paintable.
- The permittee shall be required to maintain the fence in a high state of repair.
- The existing fence shall be removed by permittee and stored at the Department's maintenance storage yard for future reuse by the Department.
- The control of access shall not be diminished as a result of replacement of the fence.
- Miscellaneous:

NOTICE TO PERMITTEE

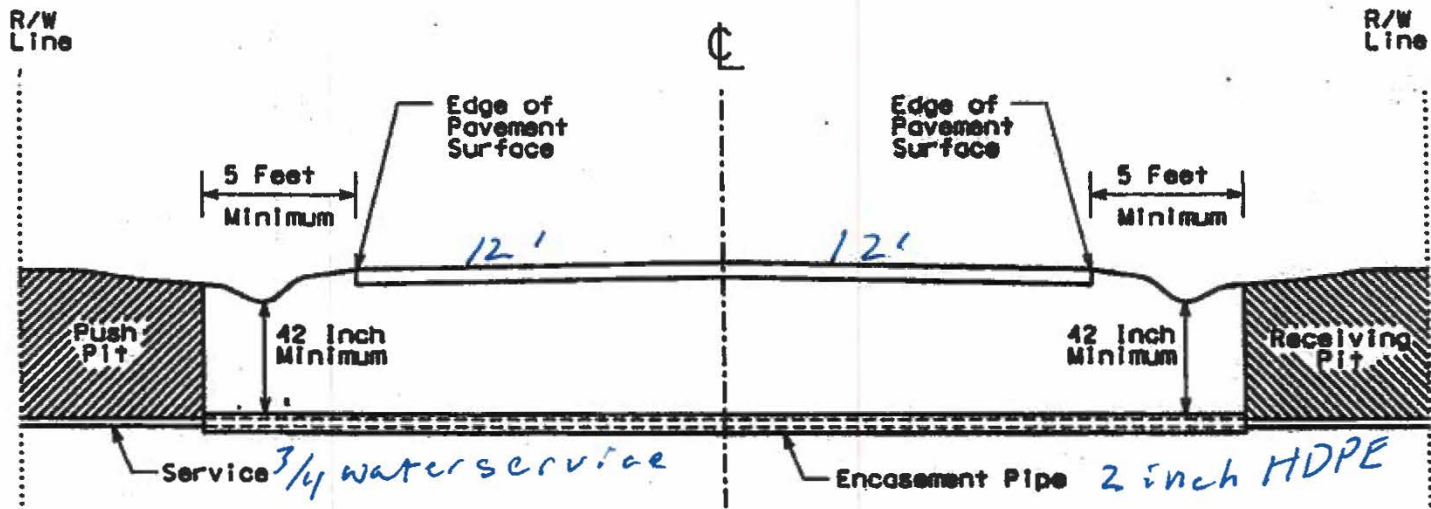
THE PERMITTEE AGREES THAT ALL WORK WITHIN THE EXISTING RIGHT OF WAY SHALL BE DONE IN ACCORDANCE WITH THE PLANS AS APPROVED AND PERMITTED BY AN ENCROACHMENT PERMIT. ANY CHANGES OR VARIANCES MADE AT THE TIME OF CONSTRUCTION WITHOUT WRITTEN APPROVAL FROM THE DEPARTMENT OF HIGHWAYS SHALL BE REMOVED BY THE PERMITTEE AT NO EXPENSE TO THE DEPARTMENT OF HIGHWAYS AND SHALL BE REDONE BY THE PERMITTEE TO CONFORM WITH THE APPROVED PLANS.

Kentucky Transportation Cabinet
 Department of Highways
 Permits Branch

TYPICAL HIGHWAY BORING CROSSING DETAIL

Permit No. _____
 Route No. Ky 704
 Pavement Width 24 ft

2 - 3/4 water services at mp 0.15 & 0.59



1. Push Pit and Receiving Pit shall be backfilled and thoroughly compacted.
2. All ditch lines are to remain open at all times.
3. Seed and straw all disturbed areas immediately after completing the work.
4. Provide traffic control as required to insure the safety of the traveling public in accordance with the current edition of the "Manual on Uniform Traffic Control Devices".

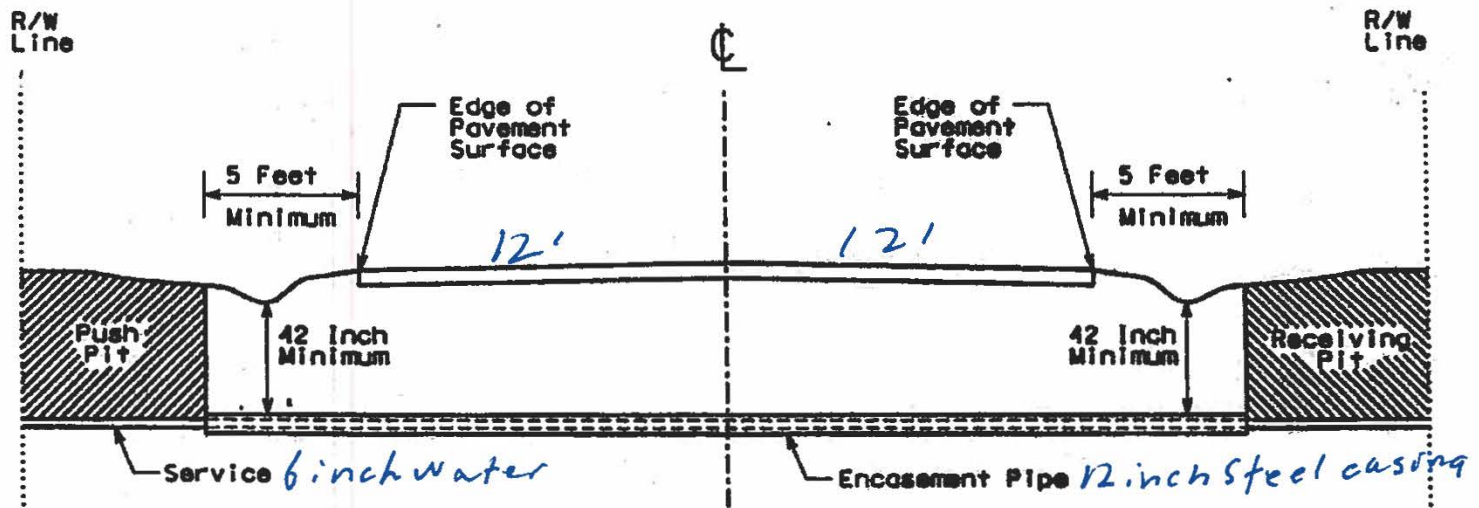
ALL SERVICES OVER 2" IN DIAMETER SHALL REQUIRE ENCASEMENT.

Kentucky Transportation Cabinet
 Department of Highways
 Permits Branch

TYPICAL HIGHWAY BORING CROSSING DETAIL

Permit No. _____
 Route No. Ky 912
 Pavement Width 24 ft

SOFT 12 inch steel casing Ky 912 MP 0.0



1. Push Pit and Receiving Pit shall be backfilled and thoroughly compacted.
2. All ditch lines are to remain open at all times.
3. Seed and straw all disturbed areas immediately after completing the work.
4. Provide traffic control as required to insure the safety of the traveling public in accordance with the current edition of the "Manual on Uniform Traffic Control Devices".

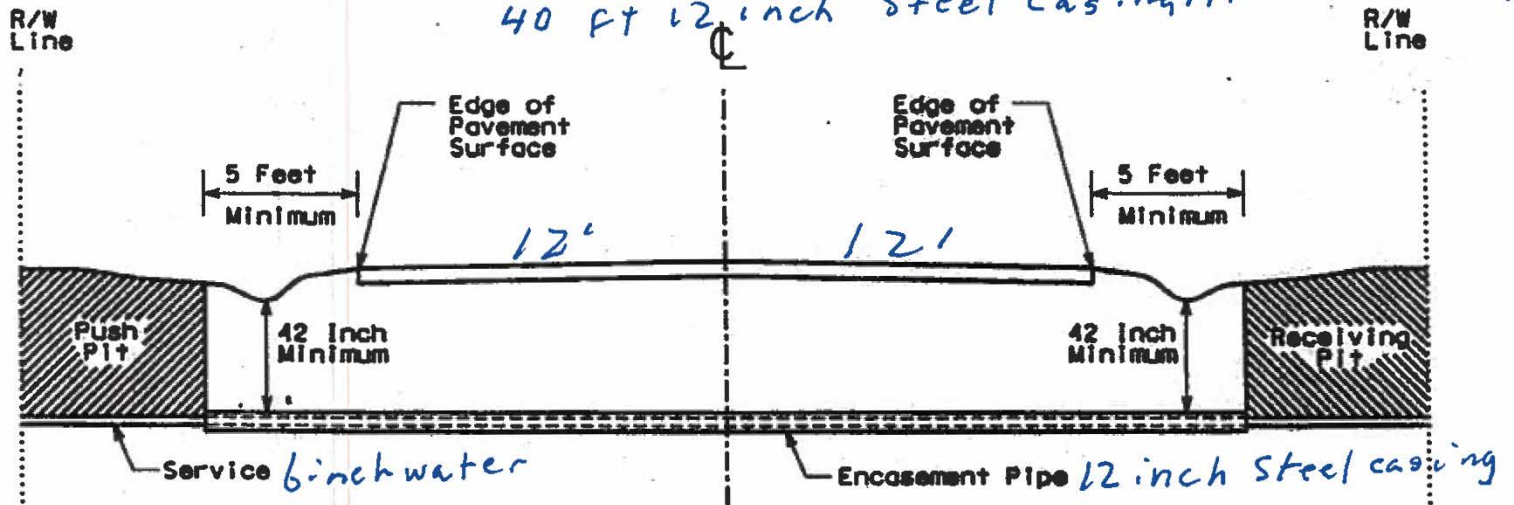
ALL SERVICES OVER 2" IN DIAMETER SHALL REQUIRE ENCASEMENT.

Kentucky Transportation Cabinet
 Department of Highways
 Permits Branch

TYPICAL HIGHWAY BORING CROSSING DETAIL

Permit No. _____
 Route No. KY 704
 Pavement Width 24 FT

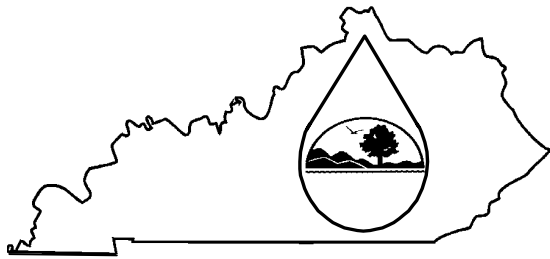
80 ft 12 inch steel casing MP 0.01 KY 704
 40 ft 12 inch steel casing MP 0.56 KY 704



1. Push Pit and Receiving Pit shall be backfilled and thoroughly compacted.
2. All ditch lines are to remain open at all times.
3. Seed and straw all disturbed areas immediately after completing the work.
4. Provide traffic control as required to insure the safety of the traveling public in accordance with the current edition of the "Manual on Uniform Traffic Control Devices".

ALL SERVICES OVER 2" IN DIAMETER SHALL REQUIRE ENCASEMENT.

FORM NOI-SWCA



KENTUCKY POLLUTION DISCHARGE ELIMINATION SYSTEM (KPDES)

Notice of Intent (NOI) for coverage of Storm Water Discharges Associated with Construction Activities Under the KPDES Storm Water General Permit KYR100000

This is an application for:

- New construction activity.
 Modification of coverage for additional area in same watershed.
 Modification of coverage for additional area in different watershed.

If Modification is checked, state reason for Modification:

For Agency Use	Permit No. (Leave Blank)	K	Y	R	1	0							
For Agency Use	AI ID (Leave Blank)												

SECTION I – FACILITY OPERATOR INFORMATION

Operator Name(s)*:		Phone*:	
Mailing Address*:		Status of Owner/Operator: <input type="checkbox"/> Private <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Public (other than state or federal)	
City*:	State*:	Zip Code*:	

SECTION II – FACILITY/SITE LOCATION INFORMATION

Name of Project*:	Physical Address*:	City*:
State*:	Zip Code*:	County*:
Latitude (decimal degrees)*:	Longitude (decimal degrees)*:	SIC Code*:

SECTION III – SITE ACTIVITY INFORMATION

For single projects provide the following information

Total Number of acres in project*:	Total Number of acres to be disturbed*:	Start date:	Completion date:
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For common plans of development projects provide the following information

Total Number of acres in project*:	Number of individual lots in development:	Number of lots to be developed:
Total acreage intended to be disturbed*:	Number of acres intended to be disturbed at any one time:	
Start date:	Completion date:	List Contractors:

SECTION IV – DISCHARGE TO A WATER BODY

Name of Receiving Water*:	Anticipated number of discharge points:
Location of anticipated discharge points: Latitude (decimal degrees)*	Longitude (decimal degrees)*
Receiving Water Body Stream Use Designation	<input type="checkbox"/> Cold Water Aquatic Habitat <input type="checkbox"/> Domestic Water Supply <input type="checkbox"/> Outstanding State Resource Water <input type="checkbox"/> Secondary Contact Recreation <input type="checkbox"/> Primary Contact Recreation <input type="checkbox"/> Warm Water Aquatic Habitat
Antidegradation Categorization	<input type="checkbox"/> Outstanding National Resource Water <input type="checkbox"/> Exceptional Water <input type="checkbox"/> High Quality Water <input type="checkbox"/> Impaired Water
Name of Receiving Water*:	Anticipated number of discharge points:
Location of anticipated discharge points: Latitude (decimal degrees)*	Longitude (decimal degrees)*
Receiving Water Body Stream Use Designation	<input type="checkbox"/> Cold Water Aquatic Habitat <input type="checkbox"/> Domestic Water Supply <input type="checkbox"/> Outstanding State Resource Water <input type="checkbox"/> Secondary Contact Recreation <input type="checkbox"/> Primary Contact Recreation <input type="checkbox"/> Warm Water Aquatic Habitat
Antidegradation Categorization	<input type="checkbox"/> Outstanding National Resource Water <input type="checkbox"/> Exceptional Water <input type="checkbox"/> High Quality Water <input type="checkbox"/> Impaired Water

FORM NOI-SWCA

SECTION V – DISCHARGE TO AN MS4			
Name of MS4:		Date of application /notification to the MS4 for construction site coverage:	
Number of discharge points:	Location of each discharge point: Latitude (decimal degrees):*		Longitude (decimal degrees):*
SECTION VI – CONSTRUCTION ACTIVITIES IN OR ALONG A WATER BODY			
Will the project require construction activities in a water body or the riparian zone: <input type="checkbox"/> Yes <input type="checkbox"/> No			
If yes, describe scope of activity:			
Is a Clean Water Act 404 permit required: <input type="checkbox"/> Yes <input type="checkbox"/> No		Is a Clean Water Act 401 Water Quality Certification required: <input type="checkbox"/> Yes <input type="checkbox"/> No	
SECTION VII – NOI PREPARER INFORMATION			
First Name:*	Last Name:*	Phone :*	eMail Address:*
Mailing Address:*	City:*	State:*	Zip Code:*
SECTION VIII – ATTACHMENTS			
Attach a full size color USGS 7½-minute quadrangle map with the facility site clearly marked. USGS maps may be obtained from the University of Kentucky, Mines and Minerals Bldg. Room 106, Lexington, Kentucky 40506. Phone number (859) 257-3896.			
SECTION IX – CERTIFICATION			
I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations.			
Signature:*		First Name:*	Last Name:*
Phone:*	eMail Address:		Date:*

This completed application form and attachments should be sent to: SWP Branch, Division of Water, 200 Fair Oaks, Frankfort, Kentucky 40601. Questions should be directed to: SWP Branch, Operational Permits Section at (502) 564-3410.

KENTUCKY POLLUTANT DISCHARGE ELIMINATION SYSTEM FORM NOI-SWCA – INSTRUCTIONS

WHO MUST FILE A NOTICE OF INTENT (NOI) FORM

Federal law at 40 CFR Part 122 prohibits point source discharges of stormwater associated with industrial activity to a water body of the Commonwealth of Kentucky without a Kentucky Pollutant Discharge Elimination System (KPDES) permit. The operator of an industrial activity that has such a storm water discharge must submit a NOI to obtain coverage under the KPDES Storm Water General Permit. If you have questions about whether you need a permit under the KPDES Storm Water program, or if you need information as to whether a particular program is administered by the state agency, call the **Storm Water Contact, Operational Permits Section, Kentucky Division of Water at (502) 564-3410.**

WHERE TO FILE NOI FORM

NOIs must be sent to the following address or submitted in on-line at <https://dep.gateway.ky.gov/eForms/Default.aspx?FormID=3>:

Operational Permits Section
SWP Branch, Division of Water
200 Fair Oaks Lane
Frankfort, KY 40601

Electronic NOI-SWCAs are to be submitted a minimum of seven (7) working days prior to commencement of construction related activities. Paper NOI-SWCAs are to be submitted a minimum of thirty (30) working days prior to commencement of construction related activities.

COMPLETING THE FORM

Enter information in the appropriate areas only. (*) denotes a required field. Enter N/A (Not Applicable) for fields that are required but do not apply to your submission. If you have any questions regarding the completion of this form call the **Storm Water Contact, Operational Permits Section, at (502) 564-3410.**

SECTION I – FACILITY OPERATOR INFORMATION

Operator Name(s): Enter the name or names of all operators applying for coverage under KYR10 using this NOI.

Mailing Address, City, State, and Zip Code: Provide the mailing address of the primary operator

Phone No.: Provide the telephone numbers of the person who is responsible for the operation.

Status of Owner/Operator: Select the appropriate legal status of the operator of the facility from the dropdown list.

Federal
Public (other than federal or state)
State
Private

SECTION II – FACILITY/SITE LOCATION INFORMATION

Name of Project: Provide the name of the project.

Physical Address, City, State, Zip Code and County: Provide the physical address of the project.

Latitude/Longitude: Provide the general site latitude and longitude of the operation.

SIC Code: Enter the Standard Industrial Code for the project

SECTION III – SITE ACTIVITY INFORMATION

For single projects provide the following information:

Total number of acres in project: Indicate the total acreage of the project including both disturbed and undisturbed areas.

Total number of acres to be disturbed: Indicate the total number of acres of the project to be disturbed.

Anticipated start date: Indicate the approximate date of when construction activities will begin.

Anticipated completion date: Indicated the approximate date of when final stabilization will be achieved.

For common plans of development provide the following information:

Total number of acres in project: Indicate the total acreage of the project including both disturbed and undisturbed areas.

Number of individual lots in development, if applicable: Indicate the number of individual lots or unit in the common plan of development

Number of lots to be developed: Indicate the number of lots that you intend to develop.

Total acreage of lots intended to develop: Indicate the total acreage of the lots you intend to develop

Total acreage intended to disturb: Indicate the total acreage of the lots you intend to disturb

Number of acres intended to disturb at any one time: Indicate the maximum number of acres to be disturbed at any one time.

Anticipated start date: Indicate the approximate date of when construction activities will begin.

Anticipated completion date: Indicated the approximate date of when final stabilization will be achieved.

List of contractors: Provide the names of all known contractors that will be working on site.

KENTUCKY POLLUTANT DISCHARGE ELIMINATION SYSTEM FORM NOI-SWCA – INSTRUCTIONS

SECTION IV – IF THE PERMITTED SITE DISCHARGES TO A WATER BODY THE FOLLOWING INFORMATION IS REQUIRED

Name of Receiving Water: Provide the names of the each water body receiving discharges from the site. Provide only official USGS names do not provide local names

Anticipated number of discharge points: Indicate the number of discharge points to each receiving water body.

Location of anticipated discharge points: Provide the latitude and longitude of each discharge point. Add points as necessary.

Receiving Water Body Stream Use Designation: Check all appropriate boxes

Antidegradation Categorization: Select from the drop down box one of the following:

Outstanding National Resource Water

Exceptional Water

High Quality Water

Impaired Water

SECTION V – IF THE PERMITTED SITE DISCHARGES TO A MS4 THE FOLLOWING INFORMATION IS REQUIRED

Name of MS4: Provide the name of the MS4 to which the activity will discharge

Number of discharge points to the MS4: Indicate the number of discharge points

Location of each discharge point: Provide the latitude and longitude of each discharge point. Add points as necessary

Date of application/notification to the MS4 for construction site permit coverage: Indicate the date the MS4 has or will be notified.

SECTION VI – CONSTRUCTION ACTIVITIES IN OR ALONG A WATER BODY

Will the project require construction activities in a water body or the riparian zone: Select Yes or No from the drop down box.

If Yes, describe scope of activity: Provide a brief description of the activity (ies) that will take place in the water body or the riparian zone.

Is a Clean Water Act 404 permit required: Select Yes or No from the drop down box.

Is a Clean Water Act 401 Water Quality Certification required: Select Yes or No from the drop down box.

SECTION VII – NOI PREPARER INFORMATION

Provide the name, mailing address, telephone number and eMail address of the person preparing the NOI.

SECTION VIII –Attachments

Attach a USGS topographic map indicating the location of the activity and the proposed discharge points.

SECTION IX – CERTIFICATION

Provide the name, mailing address, telephone number and eMail address of the person who is responsible for the activity

Signature: Provide full name of the responsibility party. This will constitute a signature.

The NOI must be signed as follows:

Corporation: by a principal executive officer of at least the level of vice president

Partnership or sole proprietorship: by a general partner or the proprietor respectively

TECHNICAL SPECIFICATIONS
CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY

KENTUCKY HIGHWAY 704
WATER SYSTEM IMPROVEMENTS

PROJECT No. 1801

MAY 2019

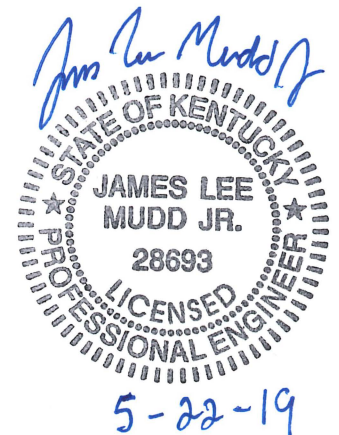
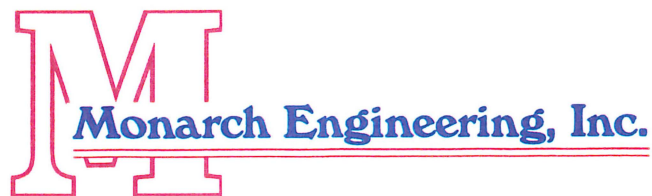


TABLE OF CONTENTS

SECTION 1 - WATER MAINS	Section 1-1
SECTION 2 - CASING PIPE	Section 2-1
SECTION 3 - CREEK CROSSING	Section 3-1
SECTION 4 - VALVE AND VALVE BOX	Section 4-1
SECTION 5 - FLUSH HYDRANT	Section 5-1
SECTION 6 - BLOWOFF ASSEMBLY	Section 6-1
SECTION 7 - CONNECTION	Section 7-1
SECTION 8 - AIR RELEASE VALVE	Section 8-1
SECTION 9 - DIRECTIONAL DRILLING / BORING	Section 9-1
SECTION 10 - METTER SETTING & RECONNECTION.....	Section 10-1
SECTION 11 - STONE AGGREGATE	Section 11-1
SECTION 12 - PAVEMENT REPLACEMENT.....	Section 12-1
SECTION 13 - MASTER METER VAULT	Section 13-1
SECTION 14 - EXPLORATION	Section 14-1
TOPOGRAPHIC MAP	TM-1

SECTION 1 - WATER MAINS

1.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to furnish and install the water mains as shown on the drawings and as directed

1.1 Water Pipe Materials. All pipe materials shall conform to the manufacturer's standard lengths and diameters. Testing when required by the Owner shall be done in accordance with the appropriate ASTM specifications for the material selected. The water main type shall be PVC water pipe or ductile iron.

1.1.1 Polyvinyl Chloride Pipe PVC SDR 17 or SDR 21. PVC pipe shall comply with ASTM D-1784 for material and shall be Class 250 (SDR 17) or Class 200 (SDR 21) as shown on the drawings or indicated on the bid form. All PVC pipe shall conform to the latest revisions of the following specifications:

ASTM D2241 (PVC Plastic Pipe SDR-PR and Class T)
National Sanitation Foundations Testing Laboratories (NSF)

The name of the manufacturer of the plastic pipe to be used must be found on the current listing of Plastic Materials for Potable Water Application, published by the NSF (National Sanitation Foundation), and must meet the requirements of the Standard Specification for Polyvinyl Chloride (PVC) Plastic Pipe, D1784, 12454-B (PVC 1120) published by ASTM. Rubber gaskets shall conform to ASTM D3139.

Wall thickness shall be in accordance with ASTM D-2241. Pipe ends shall be beveled to accept the coupling with gasket. The bell section shall be designed to be as strong as the pipe wall.

Samples of pipe physical and chemical data sheets shall be submitted to the Engineer for approval prior to the pipe being purchased.

The pipe shall be homogeneous throughout and free from cracks, holes, foreign inclusions, or other defects. The pipe shall be as uniform as commercially practical in color and shall have a ring painted around the spigot ends in such a manner as to allow field checking of setting depth of the pipe in the socket. Pipe must be delivered to the job site by means that will adequately support it and not subject it to undue stresses. In particular, the load shall be so supported such that the bottom rows of pipe are not damaged by crushing. The pipe shall be unloaded carefully and stored as close to the final point of placement as is practical.

Pipe markings shall include the following marked continuously down the length:

Manufacturer's Name
Nominal Size
Class Pressure Rating
PVC 1120
NSF Logo
Identification Code

The lubricant shall be that as recommended and supplied by the pipe manufacturer.

1.1.2 Polyvinyl Chloride Pipe (PVC) Cast Iron Pipe Size. This pipe shall meet the requirements of AWWA C900-75, latest revision, "Standard for Polyvinyl Chloride (PVC) Pressure Pipe, 4 inch through 12 inch for Water" and shall be furnished in cast iron pipe equivalent outside diameters with separate couplings including gaskets.

The pipe shall be made from Class 12454-A or Class 12454-B virgin compounds as defined in ASTM D-1784. The standard code designation shall be PVC 1120. The PVC compounds shall be tested and certified as suitable for potable water products by the NSF approval marking.

Solvent cement couplings or joints shall not be used. PVC joints using elastomeric gaskets shall be tested as assembled joints and shall meet the laboratory performance requirements specified in ASTM D-3139.

Pipe shall be pressure Class 200, DR 14 or Class 150, DR 18 as shown on the drawings or the bid form.

Pipe and Couplings shall be marked as follows:

Nominal Size and OD Base
Material Code Designation (PVC 1120)
Dimension Ratio Number
AWWA Pressure Class
AWWA Designation Number (AWWA C900)
Manufacturers Name or Trade Mark and Production Record Code
Seal of the NSF Laboratory

Each standard and random length of pipe shall be proof tested at four times its rated class pressure for a minimum of 5 seconds. Bells or couplings shall be tested with the pipe.

The pipe shall not split, crack, or break when tested by the parallel plato method, and it shall not flake or disintegrate when tested by the acetone immersion method as specified by ASTM D-2241.

1.1.3 Ductile Iron Pipe. Ductile Iron Pipe shall be designed in accordance with AWWA (ASA A21.50) and for the conditions as stated in these specifications and the pressure rating for the pipe shall be 350 PSI. Ductile iron pipe shall conform to AWWA C-151 (ASA A21.51). Pipe shall be cement lined in accordance with AWWA C104 (ASA A21.4) and all exposed pipe and fittings shall have a shop prime coat applied that is compatible with subsequent field enamel paint coats.

The specified thickness will be determined for the given internal and external loading requirements in accordance with ASA A21.50 and will be shown on the drawings or the bid form. The net weight, class or nominal thickness and sampling period shall be marked on each pipe.

Pipe joints shall be mechanical joint, rubber ring slip joint, flanged, or locked mechanical joint equal to AWWA C-111.

1.1.4 Fittings. Ductile Iron mechanical joint fittings with appropriate adapters shall be used with PVC pipe and ductile iron pipe. Fittings shall comply with AWWA C-110 or C-111 and shall be manufactured for the size and pressure class of the line on which they are used. Compact fittings are acceptable and they shall conform to the latest AWWA specifications.

Mechanical joint fittings shall be used with ductile iron pipe for below ground burial and flange fittings shall be used for all interior piping where ductile iron pipe is used.

1.1.5 Mechanical Joint Restraints. Restraint devices for mechanical joint fittings shall be utilized with all fittings on both Ductile Iron and PVC pipe. Restraints shall conform to either ANSI/AWWA C111/A21.11 or ANSI/AWWA C153/A2153 and shall be manufactured for size and pressure class of the line on which they are used. Restraint devices for nominal pipe sizes 3-inch through 36-inch shall consist of multiple gripping wedges incorporated into a follower gland meeting the applicable requirements of ANSI/AWWA C110/A21.10. All Mechanical joint restraints shall be the MEGALUG® Restraint Series 2000 as manufactured by EBAA Iron, Inc., or approved equal.

1.2 Pipe Handling. Pipe delivered to the site shall be stored, handled, distributed, placed, joined together, etc. in accordance with the manufacturer's recommendation unless directed otherwise by the Engineer.

1.3 Water Main Location. The water main shall be installed in the locations as shown on the drawings and as directed by the Engineer. The Contractor and Engineer shall agree as to the exact location of the water line and there shall be no disputes unless it is clear that the proposed location significantly deviates from the drawings. At those locations where the drawings indicate that a fitting must be installed either by declaration on the drawings or by a defined bend as shown on the drawings, the Contractor shall do so and shall avoid over deflection of the pipe.

1.4 Excavation. The Contractor shall make trench excavations to only such width to provide ample room for proper construction. Sheeting and shoring shall be provided as required for proper safety and compliance with OSHA regulations. Rock excavation shall be taken to a depth of 6 inches below the bottom of the pipe. If poor foundation conditions exist due to unstable subsurface conditions, the trench shall be under excavated to the depth required and filled with stone to obtain proper bearing capacity.

Watchmen or barricades, lanterns, and other such signs and signals as is necessary to warn the public of the dangers in connection with open trenches, excavations and other obstructions shall be provided by and properly maintained at the expense of the Contractor.

Only one half of street crossings and road crossings shall be excavated before placing temporary bridges over the excavation.

1.5 Blasting and Rock Excavation. The Contractor shall make his own investigation as he deems necessary to ascertain the sub surface conditions to be encountered in the work.

All blasting operations shall be conducted in accordance with municipal ordinances, state and federal laws and the applicable blasting codes. Soil particle velocity shall not exceed the limit set by Kentucky law. All explosives shall be stored in conformity with the applicable ordinances, laws and safety regulations. No blasting shall be done within five feet of any water mains, sewer lines, natural or manufactured gas lines, liquid petroleum lines, or other utilities.

The Contractor shall use delay caps or other approved methods to reduce earth vibrations and noise. Mud capping shall not be permitted as a method to breaking boulders. No blasting shall be permitted on Sundays or after dark.

Prior to commencing with the work, the Contractor shall, during a preconstruction conference with the Owner and Engineer, state clearly his approach to performing the excavations on the project. He shall be familiar with the laws and ordinances covering blasting and shall also give consideration to the use of hydraulically operated rock breaking devices in lieu of blasting where considered necessary. If blasting is not handled in an expert manner at all times the Engineer reserves the right to suspend blasting and require the work to proceed without it. Prior to blasting, the Contractor shall make his own detailed preblast survey of adjacent walks, curbs, retaining walls, house foundations, etc. to determine conditions prior to the work. Such a file of information, including photographs, may be certified in such a manner as the Contractor believes necessary. This information if required or performed shall be supplied to the Engineer prior to performing the work.

1.6 Storage of Excavated Material. All excavated material shall be stored in a manner that will not endanger the work and that will avoid obstructing roadways, sidewalks, and driveways. Hydrants under pressure, valve pit covers, valve boxes, curb stop boxes, fire and police call boxes, or other utility controls shall be left unobstructed and accessible. Gutters shall be kept clear or other satisfactory provisions made for street drainage, and natural watercourses shall not be obstructed.

1.7 Shoring Sheet piling and Bracing. The Contractor shall furnish place and maintain such sheet piling and bracing as may be required to support the sides of the excavation or to protect other structures from possible damage. All sheet piling and bracing shall be removed upon completion of the work unless permitted to be left in place by the Engineer. Any sheet piling or bracing left in place shall be cut off at least two feet below the finished ground surface elevation. The cost of furnishing, placing, maintaining, and removing sheet piling and bracing shall be included in the unit price bid for water lines and all work shall conform the OSHA requirements.

1.8 Bedding and Backfill. All water mains in unpaved areas shall be bedded and covered with select earth backfill or #9 or approved equal stone. The select earth or stone bedding and cover shall be a minimum of six inches under the pipe and twelve inches on both sides and above the pipe. In those areas where crushed stone is used as bedding and cover, the contractor shall install five foot thick earthen ditch dams across the full section of the ditch line at 100 foot intervals. Where the water line is installed along the paved areas the water line shall be entirely bedded and backfilled with #9 or approved equal stone. Trenches shall be backfilled immediately after the water main has been installed. No rock larger than two inches will be permitted within six inches below and twelve inches above the pipe. In unpaved or unsurfaced areas the remainder of the fill may be mounded over the top of the trench. Where trenches are in paved or traveled areas, or yard areas, compaction shall be performed during backfill. The Contractor at no time shall open up more than 500 feet of trench.

Any damage to underground structures, pipes wires, drains, etc., shall not be backfilled until they have been satisfactorily repaired or replaced to the original serviceability at the Contractor's expense and as approved by the Engineer. Settlement of backfill may be done with water furnished by the Contractor under the direction of the Engineer where such will not endanger traffic or damage property. When excavated rock is used for backfilling, it shall have sufficient dirt or fine material to fill all voids and shall not be used within twelve inches of the pipe.

To be accepted as final cleanup all excess rock one inch and larger shall be removed from the disturbed site.

1.9 Thrust Blocks and Anchorage. Thrust blocks shall be installed at all tees, bends, crosses, dead ends, valves, hydrants, blowoff assemblies, and as directed by the Engineer. The size of the thrust block shall depend on the soil and type of fitting, and shall conform to the pipe manufacturer's recommendations. At any location where a vertical bend is required the Contractor shall install the anchorage as directed by the Engineer in conjunction with the pipe manufacturer.

Thrust blocks shall be constructed of Class B concrete conforming to KBH Specification 601 and placed between the fitting and the trench wall. At no time will sack-crete or pre bagged concrete mixtures be allowed. All thrust block and anchorage concrete shall be delivered to the job site by means of a ready mix concrete truck and placed immediately upon arrival.

The thrust blocks shall be sized as shown on the detail drawings or as directed by the Engineer.

1.10 Temporary Surfacing. All trenches in paved areas shall, following compacted backfill, receive a top layer of compacted dense grade stone as shown on the detailed drawings. Such temporary surfacing shall be maintained and shall be paved as soon as conditions permit.

1.11 Hydrostatic Testing. The water line and appurtenances, as rapidly as valves are installed, shall be hydrostatically tested in accordance with these specifications. Defective joints of pipe shall be replaced as directed by the Engineer. Cracked or defective pipe, fittings, valves, or hydrants shall be replaced by the Contractor and the test shall be repeated until the test results are satisfied. All meter settings and service tubing as shown on the drawings shall be included in the hydrostatic test.

The test pressure shall not be less than 1.25 times the working pressure at the highest point along the test section and the hydrostatic test shall be of at least a two hour duration. The test pressure shall not vary by more than five psi. for the duration of the test.

1.11.1 Pressurization. After the pipe has been installed all or any valved section shall be subjected to the hydrostatic test. Each valved section of the pipe shall be slowly filled with water and the specified test pressure, corrected to the elevation of the test gauge, shall be applied by means of a pump connected to the pipe in a manner satisfactory to the Engineer. As part of the testing equipment a meter shall be installed to measure all water added to the tested section.

1.11.2 Air Removal. Before applying the specified test pressure, air shall be expelled completely from the pipe, valves, and hydrants. If permanent air vents are not located at all high points, the Contractor shall install corporation cocks at such points so that the air can be expelled as the line is filled with water. After all the air has been expelled, the corporation cocks shall be closed and the test pressure applied. At the conclusion of the pressure test, the corporation cocks shall be removed and plugged or left in place at the discretion of the Owner.

1.11.3 Leakage Defined. Leakage shall be defined as the quantity of water that must be supplied into the newly laid pipe or any valved section thereof to maintain pressure within five psi. of the specified test pressure after the pipe has been filled with water and the air has been expelled. Leakage shall not be measured by a drop in pressure in a test section over a period of time.

1.11.4 Allowable Leakage. No pipe installation will be accepted if the leakage is greater than that determined by the following formula:

$$L = \frac{SD\sqrt{P}}{133,200}$$

Where:

L = allowable leakage in gallons per hour

S = length of pipe tested in feet

D = nominal diameter of the pipe in inches

P = average test pressure during the leakage test in pounds per square inch

This formula is based on an allowable leakage of 11.65 gpd./mi./in. of nominal diameter at a pressure of 150 psi.

All leaks shall be repaired whenever or wherever there is evidence of a leak. Water lost by the Contractor shall be paid for by the Contractor at the rate of \$2.00 per 1,000 gallons.

1.12 Sterilization. Upon completion and acceptance of the hydrostatic test of a section of the water main that section shall be thoroughly disinfected before being placed in service by the use of chlorine or chlorine compounds in such amounts as to produce a concentration of not less than 50 ppm and a residual of not less than 25 ppm at the end of 24 hours and followed by thorough flushing. Putting small amounts of chlorine in each joint will not be acceptable.

Where shown on the plans or otherwise required, temporary blowoff assemblies shall be constructed by the contractor to facilitate the sterilization & flushing of new water mains. The temporary blowoff assemblies shall consist of valves, PVC piping, and ductile iron fittings and other materials as depicted in the standard drawings. The installation and subsequent removal of these temporary devices shall be considered incidental to the installation of the water lines and no additional payment or bid item will be included for them.

1.13 Other Utilities. Other utilities encountered in the work shall be preserved and protected. Where relocation or repair is required to accommodate the work it shall be made in a manner acceptable to the utility having jurisdiction over the service connection. Accommodation of service connections shall not constitute any basis for extra payment.

Prior to construction, the Contractor shall arrange to meet with representatives of all utilities, and provide them with his anticipated work schedule. The Contractor shall have the utility companies make their best determination of utility locations in the areas in which he is working. Throughout the progress of the work such field markings of utilities shall be kept current.

1.14 Payment for Water. All water used from the Owner shall be metered by meters supplied by the Contractor. The Contractor shall pay for such water at the rate of \$2.00 per 1,000 gallons. This shall include any unmetered water lost which shall be computed on the basis of a discharge velocity of seven feet per second, the diameter of the line, and the estimated duration of free uncontrolled discharge or the approved method.

1.15 Cleanup. The Contractor shall provide effective cleanup of the work as it progresses. At the time of final inspection no trenches shall show any undue evidence of the construction. All areas shall be left free of ruts due to construction and shall have a clean and neat appearance without rubble or debris. The areas shall not be mounded and shall be completely restored, and all yards and fields shall be reseeded. Straw and fertilizing shall accompany the seeding and the seed mixture shall match the existing ground cover. If necessary to hasten proper restoration of terraces, principally along ditch lines, the Contractor shall sod such areas at the Engineer's direction.

1.16 Protection of Adjacent Landscape. Reasonable care shall be taken during construction of the process lines to avoid damage to vegetation. Ornamental shrubbery and tree branches shall be temporarily tied back, where appropriate, to minimize damage. Trees which receive damage to branches shall be trimmed of those branches. Tree trunks receiving damage from equipment shall be treated with a tree dressing.

1.17 Underground Detection Wire. At all locations where water lines are installed, a detection wire shall be installed. For open cut installation, tracer wire is to be #12 AWG solid copper with 30 mil blue HDPE insulation. For trenchless installation, tracer wire is to be #12 AWG solid copper clad steel core with 45 mil blue HDPE insulation. Direct bury wire connectors which are prefilled with dielectric silicone sealant and equipped with an integral strain relief cap shall be used at all splice joints. The wire connectors shall be DryConn DBSR Aqua as manufactured by King Innovation or approved equal.

Tracer wire shall be installed with the pipe at the trench bottom and access boxes shall be installed at each valve, hydrant and air release valve. Tracer wire access boxes shall be spaced no further than 1000' apart. A minimum of 3 feet of tracer wire should be coiled up inside of each access box. Tracer wire access boxes shall be magnetized heavy duty type as manufactured by Copperhead Industries, LLC, Snake Pit or approved equal.

Prior to the time of the final inspection, the Contractor shall perform a continuity test of the underground detection wire system to ensure continuity and proper operation. This test shall be witnessed by the Engineer or the Owner.

1.18 Exposing Existing Water Line. Where the new water line is to be installed parallel to an existing water line the Contractor shall be responsible for exposing the existing water lines at 100 foot intervals prior to installation of new water line. This work shall be considered incidental to the installation of the water lines and no additional payment or bid item will be provided.

1.19 Payment. Payment shall be included in the payment for the work to which it is subsidiary in the Bid Schedule.

SECTION 2 - CASING PIPE

2.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to furnish and install casing pipes as shown on the drawings.

2.1 Materials. Bored and jacked casing pipe shall be plain end steel pipe conforming to AWWA Specification C200 with a minimum yield strength of 35,000 psi. The inside diameter of the casing pipe shall be a minimum of four inches greater than the largest outside diameter of the water pipe, joint or coupling.

The minimum wall thickness shall be in accordance with the following table:

<u>Diameter of Casing-Inches</u>	<u>Minimum Wall Thickness-Inches</u>	
	<u>Under Railroads</u>	<u>All Other Uses</u>
12-3/4 and under	0.250	0.188
14	0.250	0.250
16	0.281	0.250
18	0.312	0.250
20 and 22	0.344	0.250

Casing pipe shall have continuously welded joints. Any field welding shall be performed by a certified welder and shall be in accordance with AWWA Specifications C206

2.2 Prior Approvals. Prior to boring and jacking under roadways the Contractor shall submit drawings and other necessary information regarding the proposed construction to the Engineer for approval by the proper authorities if requested.

2.3 Bore and Jack Construction. The Contractor shall investigate the subsurface conditions which will be encountered and shall base his bid on his findings. No distinction shall be made between boring through earth and boring through rock.

The Contractor shall provide a jacking pit, bore through the earth and or rock, and jack the casing pipe into place at the proper line and grade as the bore is being made. "Free boring" will not be allowed unless specifically directed by the Engineer.

The approach trench shall be large enough to accommodate one section of casing pipe and the jacks and blocking. Two rails or sills shall be laid in the bottom of the trench to keep the casing at the established line and grade.

The installation procedure must be such that the casing pipe is placed concurrently with the removal of the soil. The outside diameter of the lead auger section must not be less than one half inch smaller in diameter than the casing inside diameter.

The carrier pipe shall be pushed through the casing pipe with care being taken to insure that the pipe joints are tight and properly made. Casing spacers shall be attached to the carrier pipe to prevent floating shall be used and shall be appropriate for the type of carrier pipe being used. Casing spacers shall be used regardless of the type of casing piping being used.

The ends of the casing pipe shall be plugged and made watertight prior to backfilling. A neoprene gasket that will slip over the cover pipe and allow the carrier pipe to pass through will be considered water tight.

2.4 Open Cut Construction. Where casing pipe is to be installed by open cutting rather than by boring or jacking, the same materials and methods as described above will be utilized.

2.5 Traffic Control Devices and Maintenance of Traffic. The proper placement and maintenance of traffic control devices and the maintenance of traffic flows shall comply with the standards set forth under the General Specifications.

The Contractor shall notify the proper City, County, or State officials prior to the commencement of boring and jacking or open cut operations.

2.6 Measurement and Payment. The unit price bid per linear foot for boring and jacking, as measured from end to end of the casing pipe, shall constitute full compensation for the work as specified. Open cut casing pipe as measured from end to end of the casing pipe shall constitute full compensation for the work as specified. Carrier pipes shall be furnished under the item as described in other portions of these technical specifications.

SECTION 3 - CREEK CROSSING

3.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install creek crossings as shown on the drawings and as directed.

3.1 Materials. The creek crossing shall be installed as per the detailed drawings or as described herein and the casing pipe shall be PVC SDR-35 pipe. In the event where a casing pipe is not required the creek crossing shall be installed with ductile iron. All carrier pipe and casing pipe shall be that as described in other sections of these technical specifications or as shown on the plan sheets

3.2 Installation. The creek crossings shall be installed with plastic carrier pipe placed within a plastic casing pipe, or ductile iron carrier pipe without a casing pipe unless specified otherwise. Where a plastic casing pipe is used it shall be of the minimum size to accommodate the carrier pipe.

Where a casing pipe is used, casing spacers shall be attached to the carrier pipe to prevent floating shall be used and shall be appropriate for the type of carrier pipe being used. Casing spacers shall be used regardless of the type of casing piping being used. The ends of the casing pipe shall be plugged and made watertight prior to backfilling. A neoprene gasket that will slip over the cover pipe and allow the carrier pipe to pass through will be considered water tight.

The casing pipe or water line pipe without casing pipe shall be placed a minimum of 30 inches below the bed of the stream, creek, or river and a twelve inch minimum layer of crushed stone shall be placed above the pipe where a casing pipe is not required. Class B concrete shall be placed between the crushed stone and the base of the stream, creek, or river, or between the casing pipe and the base of the waterway. Where concrete is placed, all water from the stream shall be diverted away from the area of concrete placement by means of diversion pipes or temporary embankments.

3.3 Payment. The unit bid shall constitute full compensation for furnishing and installing the creek crossings.

SECTION 4 – VALVE AND VALVE BOX

4.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install gate valve and valve boxes at the locations as shown on the drawings and as directed.

4.1 Materials. All gate valves shall be resilient wedge seat gate valves which fully comply with the latest revision of AWWA C509, and shall also be UL listed and FM approved. The valves shall be tested and certified to ANSI/NSF 61. The valves shall have a 250 psig working pressure. The valve type shall be NRS (non-rising stem) and the valve shall have an arrow cast on the 2” square operating nut which shows the opening direction. The direction of opening shall be shall to the left. The bolt that attaches the operating nut to the stem shall be recessed into the operating nut so as not to interfere with valve wrench operation.

The valves shall have bolts and nuts for the stuffing box and bonnet with one of the following compositions:

- a. Steel, ASTM A-307, Grade B zinc plated.
- b. Type 304 stainless steel.
- c. Type 316 stainless steel.

Valve stems shall be made of bronze ASTM B-132 alloy C67600 bar stock material. The stem shall have at least one “anti-friction” thrust washer above and below the stem collar to reduce operating torque. The design of the valve stem shall be such that if excessive input torque is applied, stem failure shall occur above the stuffing box at such a point as to enable the operation of the valve with a pipe wrench or other readily available tool. The stem material shall provide a minimum 70,000 psi tensile strength with 15% elongation and yield strength of 30,000 psi. Valves with cast stems or two piece stem collars are not acceptable.

The valves shall have a stuffing box that is o-ring sealed. Two o-rings shall be placed above and one o-ring below the stem thrust collar. The thrust collar shall be factory lubricated. The thrust collar and its lubrication shall be isolated by the o-rings from the waterway and from outside contamination providing permanent lubrication for long term ease of operation. Valves without a stuffing box are unacceptable. Valves without at least three stem o-rings are also unacceptable. The valve body, bonnet, stuffing box, and disc shall be composed of ASTM A-126 Class B grey iron or ASTM A395 or A536 ductile iron. The body and bonnet shall also adhere to the minimum wall thickness as set forth in Table 2, section 4.3.1 of AWWA C509.

The valve disc and guide lugs must be fully (100%) encapsulated in SBR ASTM D2000 rubber material. The peel strength shall not be less than 75 pounds per inch. Guide caps of an acetal bearing material shall be placed over solid guide lugs to prevent abrasion and to reduce the operating torque.

The valves shall have all internal and external ferrous surfaces coated with a fusion bonded thermosetting powder epoxy coating of 10 mils nominal thickness. The coating shall conform to AWWA C550.

Tapping valves shall have an inlet flange conforming to ANSI B16.1 Class 125 for attachment to a tapping sleeve or cross. In addition, the valve inlet flange shall have a machined projection or raised face complying with MSS SP-60 for accurate alignment to the mating recess in the tapping sleeve flange. The seat opening of the tapping valves shall be at least .30" larger than the nominal pipe size to permit full diameter cuts.

The valves shall be warranted by the manufacturer against defects in materials or workmanship for a period of ten (10) years from the date of manufacture. The manufacturing facility for the valves must have current ISO certification. Each valve shall have the manufacturer's initials, pressure rating, and the year in which manufactured, cast onto the body.

The manufacturer shall be Mueller Co. or approved equal

Valve boxes shall be of cast iron extension type with screw adjustments and flared base. The minimum thickness of metal shall be 3/16". The cover shall have the word "WATER" cast in the metal. Valve boxes shall be installed over each outside gate valve unless otherwise shown on the drawings. The boxes shall be of such length as to provide a depth of cover of not less than 30 inches over the pipe.

4.2 Installation. Valve boxes shall be set plumb and straight and with the operating nut directly in the center in thoroughly compacted earth with the top of the box level and projecting one fourth inch above paved streets and one inch above other areas. The valve boxes in unpaved areas shall have a four inch thick concrete slab three feet in diameter around and sloping away from the valve box.

A valve operator extension shaft (stem extension) equal to that manufactured by Trumbull Industries, Inc., shall be installed for any valves with their operating nut 36 inches or more below the top of the valve box.

Where gate valves are shown directly adjacent to a tee or other fitting, the valve shall be connected directly to the fitting using Foster adapters.

Where applicable, the contractor is also responsible under this bid item for the abandonment of existing valves located on water lines to be de-commissioned as part of this project. This includes removing all remnants of the valve box and all other related appurtenances to a point two feet below existing ground level. Any void created by removal of items shall be backfilled with the adjacent area being restored to match the surrounding ground conditions including any incidental pavement replacement which may be required.

4.3 Payment. The unit price bid shall constitute full compensation for furnishing and installing gate valves, isolation valves, valve boxes, and other related appurtenances.

SECTION 5 – FLUSH HYDRANT

5.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install the hydrants as shown on the drawings and as directed by the Engineer.

5.1 Materials. Hydrants shall meet or exceed all applicable requirements and tests of ANSI and the latest revisions of AWWA Standard C502. They shall also meet all test requirements and be listed by Underwriters Laboratories Inc. They shall also meet all test requirements and have full approval of Factory Mutual. Hydrants shall be of the compression type, opening against the pressure and closing with the pressure and shall be rated for a minimum working pressure of 250 psi. They shall have a minimum 4-1/2" main valve opening and a minimum inside lower/upper barrel diameter (I.D.) of 6" to assure maximum flow performance. Nozzles shall thread counterclockwise into hydrant barrel utilizing "o" ring seals. A suitable nozzle lock shall be in place to prevent inadvertent nozzle removal.

The hydrant bonnet shall be attached to the upper barrel by not less than eight bolts and nuts and sealed by an "o" ring. The bonnet assembly shall provide an oil reservoir and lubrication system that automatically circulates lubricant to all stem threads and bearing surfaces each time the hydrant is operated. This lubrication system shall be sealed from the waterway and any external contaminants by use of "o" ring seals. An anti-friction washer shall be in place above the thrust collar to further minimize operating torque. The oil reservoir shall be factory filled with a low viscosity, FDA approved non-toxic oil lubricant which will remain fluid through a temperature range of -60⁰ F. to +150⁰ F.

The operating nut shall be a one piece design, pentagon/square in shape manufactured of ASTM B-584 bronze. The operating nut shall be affixed to the bonnet by means of an ASTM B-584 bronze hold down nut. The hold down nut shall be threaded into the bonnet in such a manner as to prevent accidental disengagement during the opening cycle of the hydrant. The use of Allen head set screws as a means of retention is unacceptable. A resilient weather seal shall be incorporated into the hold down nut, for the purpose of protecting the operating mechanism from the elements. The direction of the opening shall be as specified by the counterclockwise. An arrow shall be cast on the bonnet flange to indicate the opening direction.

Hydrants shall be a "traffic-model" having upper and lower barrels joined at the ground line by a separate and breakable "swivel" flange providing 360° rotation of upper barrel for proper nozzle facing. This flange shall employ not less than eight bolts. The safety flange segments shall be located under the upper barrel flange to prevent the segments from falling into the lower barrel when the hydrant is struck. The pressure seal between the barrels shall be an "o" ring. The proper ground line shall be cast clearly on the lower barrel and shall provide not less than 18" of clearance from the centerline of the lowest nozzle to the ground.

The operating stem shall consist of two pieces, not less than 1 1/4" diameter (excluding threaded or machined areas) and shall be connected by a stainless steel safety coupling. The safety coupling shall have an integral internal stop to prevent the coupling from sliding down into the lower barrel when the hydrant is struck. Screws, pins, bolts, or fasteners used in conjunction with the stem couplings shall also be stainless steel. The top of the lower stem shall be recessed 2" below the face of the safety flange to prevent water hammer in the event of a "drive over" where a vehicle tire might accidentally depress the main valve. The lower barrel shall be an integrally cast unit. The use of threaded on or mechanically attached flanges is deemed unacceptable. The hydrant bury depth shall be clearly marked on the hydrant lower barrel.

Composition of the main valve shall be a molded rubber having a durometer hardness of 95 +/- 5 and shall be reversible in design to provide a spare in place. Plastic (polyurethane) main valves are unacceptable. The main valve shall have a cross section not less than 1".

Hydrants shall be equipped with (2) two drain valves which drain the barrel when the hydrant is closed and seal shut when the hydrant is opened. These drain valves shall be an integral part of the one piece bronze upper valve plate. They shall operate without the use of springs, toggles, tubes, levers or other intricate synchronizing mechanisms. The upper valve plate, seat ring and drain ring (shoe bushing) must be ASTM B-584 bronze and work in conjunction to form an all bronze drain way. A minimum of two (2) internal and two (2) external drain openings are required. Drains ported through an iron shoe must be bronze lined. The bronze seat ring shall thread into a bronze drain ring (or shoe bushing) providing a bronze to bronze connection. Seat rings shall be "o" ring pressure sealed

The interior of the shoe including the lower valve plate and stem cap nut shall have a protective coating that meets the requirements of AWWA C-550. If a stem cap nut is utilized, it must be locked in place by a stainless steel lock washer or similar non-corrosive device that will prevent the cap nut from backing-off during normal use.

The hydrant shall be coated with a prime coat and two finish coats of paint as suggested by the manufacturer and approved by the Engineer. The shop drawings shall indicate the coating and color proposal.

Hydrants shall be warranted by the manufacturer against defects in materials or workmanship for a period of ten years (10) from the date of manufacture. Hydrants shall be Mueller Super Centurion 250 or approved equal.

Hydrant adapters shall be the swivel by solid adapter with swivel gland type as manufactured by Tyler Pipe/Union Foundry Company, or approved equal.

Foster adapters shall be constructed of ductile iron and comply with applicable AWWA Standards and shall be lined and coated in accordance with AWWA C104 and C110.

They shall be as manufactured by Infact Corporation, or approved equal and shall be designed for a working pressure of 250 psi.

The hydrant assembly shall be shown as on the details/drawings and as outlined in the Bid Schedule.

5.2 Installation. The hydrants shall be set in accordance with the detailed drawings complete with gate valve and connecting pipe. The hydrant shall be installed perpendicular to the surrounding ground surface and the hydrant riser shall be completely buried. The depth of bury shall be the same as the adjoining water line. The shoe of the hydrant shall be encased in Class B concrete and the concrete shall extend to undisturbed earth. Gravel shall be placed around the hydrant on top of the concrete thrust restraint and at the weep hole a minimum depth of twelve inches in depth. Select earth backfill shall be compacted to fill the remaining excavated void and the surface shall match the surrounding surface. The hydrant shall be secured to the companion gate valve by means of a hydrant adapter and pipe restrainer or by other approved means. The hydrant adapter shall be the swivel by solid adapter with swivel gland type. The direct connection of mechanical joint (MJ) fittings between the valves and tee shall be made using Foster adapters as indicated on the Drawings.

Where applicable, the contractor is also responsible under this bid item for the abandonment of existing hydrants located on water lines to be de-commissioned as part of this project. This includes removing all remnants of the hydrant and all other related appurtenances to a point two feet below existing ground level. Any void created by removal of items shall be backfilled with the adjacent area being restored to match the surrounding ground conditions including any incidental pavement replacement which may be required.

5.3 Payment. The unit price bid shall constitute full compensation for furnishing and installing the hydrant, gate valve, up to ten feet of water line, and any associated pipe fittings required to install the hydrant to the main water line.

SECTION 6 – BLOWOFF ASSEMBLY

6.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install the Blowoff Assemblies as shown on the drawings and as directed.

6.1 Materials. Blowoff Assemblies shall consist of the valve, pipe, and fittings in accordance with these specifications and the corresponding drawings. The gate valve and piping shall be the same size and pressure class as the line it is connected to unless otherwise noted. A post style hydrant shall be provided as the blowoff, and shall be self-draining and non-freezing. The blowoff hydrants shall be #2 Eclipse Post Hydrant as manufactured by John C. Kupferle Company, St. Louis, MO or approved equal.

6.2 Installation. The Blowoff Assembly shall be installed at the locations as shown on the drawings and as outlined on the detail drawings.

6.3 Payment. The unit price bid shall constitute full compensation for the furnishing and installation of each Blowoff Assembly to include one gate valve, piping, blocking, valve box, fittings, post hydrant and gravel.

SECTION 7 - CONNECTION

7.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to connect and disconnect water mains as shown on the drawings and as directed.

7.1 Materials. The connections and disconnects shall be performed by the use of ductile iron mechanical joint fittings, approved tapping valves and sleeves, and water main pipe as shown on the drawings described elsewhere in these technical specifications. Concrete for thrust restraint shall be Class B concrete and sack-crete shall not be allowed.

7.2 Installation. Unless otherwise noted on the plans, connections shall be made with a tapping sleeve and valve and done so in accordance with the Owners schedule of operation. Once the main line has been tapped the new section of water main shall be valved off from the rest of the system by closing the tapping valve. The tapping valve shall remain closed until the Engineer has been satisfied that the new water main has been installed correctly, met the requirements of the hydrostatic test, been sanitized in accordance with the regulatory requirements, and any water main to be abandoned has been disconnected from the water system.

The disconnection of a water main that is to be abandoned shall be accomplished by installing a blind flange at the point of abandonment and secured by means of a concrete thrust block. In the event where the thrust block shall be installed in the area of the abandoned water main a minimum three foot section of the abandoned water main shall be removed and the void replaced with concrete.

7.3 Payment. The unit price bid shall constitute full compensation for furnishing and installing the connections including any abandonment or disconnections of existing water mains. This shall include all fittings but water mains and gate valves shall be paid as per the bid schedule for those respective items.

SECTION 8 – AIR RELEASE VALVE

8.0 Scope of Work. Under this item the Contractor shall provide all labor, tools, equipment and materials to install automatic air release valves as shown on the drawings and as directed.

8.1 Materials. All air release valves shall be automatic float operated valves designed to release accumulated air from a piping system while the system is in operation and under pressure. Valves shall be manufactured and tested in accordance with American Water Works Association (AWWA). The manufacturer shall have a quality management system that is certified to ISO 9001 by an accredited, certifying body. Valves used in potable water service shall be certified to NSF/ANSI 61 Drinking Water System Components - Health Effects.

Valves 3 in. (76mm) and smaller shall be threaded with NPT inlets and outlets. The body inlet connection shall be hexagonal for a wrench connection. Larger valves shall have ANSI Class 125 flanged inlets. The valve shall have two additional NPT connections for the addition of gauges, testing, and draining. The cover shall be bolted to the valve body and sealed with a flat gasket. Resilient seats shall be replaceable and provide drop tight shut off to the full valve pressure rating. Floats shall be unconditionally guaranteed against failure including pressure surges. Mechanical linkage shall provide sufficient mechanical advantage so that the valve will open under full operating pressure. Simple lever designs shall consist of a single pivot arm and a resilient orifice button. Compound lever designs shall consist of two levers and an adjustable threaded resilient orifice button. A fully-ported brass ball valve shall be provided when specified to isolate the air release valve from the piping system.

The valve body and cover shall be constructed of ASTM A126 Class B cast iron for working pressures up to 300 psig. Higher pressure rated valves shall be constructed of ASTM A536 Grade 65-45-12 ductile iron. The orifice, float and linkage mechanism shall be constructed of Type 316 stainless steel. Non-metallic floats or linkage mechanisms are not acceptable. The orifice button shall be Viton for simple lever valves and Buna-N for compound lever designs. Valve interiors and exteriors shall be coated with an NSF/ANSI 61 certified fusion bonded epoxy in accordance with AWWA C550. The exterior of the valve shall be coated with a universal alkyd primer.

All valves installed in vaults or flood prone locations shall include an inflow preventer to prevent the introduction of contaminated water through the air valve outlet. The inflow preventer shall allow the admittance and exhausting of air while preventing contaminated water from entering during normal operating conditions. The inflow preventer shall be flow tested by an independent third party to certify performance. The third party shall be an approved testing lab of the American Society of Sanitary Engineers.

The manufacturer shall demonstrate a minimum of (5) years experience in the manufacture of air valves. When requested, the manufacturer shall provide test certificates, dimensional drawings, parts list drawings, and operation and maintenance manuals.

Air Release Valves shall be Series 50 as manufactured by Val-Matic Valve and Manufacturing Corporation or approved equal.

8.2 Installation. Valve installation shall be as shown on the drawings and standard details. The valve vault shall be one section of a 4-foot manhole barrel with a precast concrete top section. The top shall consist of a vented manhole lid cast flush within the concrete top. The top shall also include a 2-inch steel pipe for use as a vent and the pipe shall be either 'U' shaped or as directed by the Engineer, shop primed and painted. The vent shall be equipped with an insect screen.

The valves shall be connected to the force main with a saddle, corporation stop, a 6-inch long riser pipe, a 1-inch ball valve, and a 2-inch long nipple. The nipple shall be equipped with a 3/8-inch tap with a shutoff connection for a pressure gauge.

8.3 Payment. The unit price shall constitute full compensation for the furnishing and installation of the air release valve assembly including the air release valve, pit, lid and required piping.

SECTION 9 -DIRECTIONAL DRILLING / BORING

9.0 Scope of Work. It is intent of this specification to define the acceptable methods and materials for installing water lines by the horizontal directional drilling method and the requirements for high density polyethylene (HDPE) pipe installed by horizontal directional drilling, directional boring, guided boring or in open cut trenches.

9.1 Requirements. Contractor shall provide HDPE pipe conforming to all standards and procedures, and meeting all testing and material properties as described in this specification for installation by horizontal directional drilling.

The estimated length of each directional bore is indicated on the plan sheets. This stated length shall be the footage used for the contractors payment calculation regardless of the actual length required for installation.

Contractor shall be responsible for all installation processes and procedures associated with the installation by horizontal directional drilling in accordance with this specification.

9.2 Installation Plan. At least 7 days prior to mobilizing equipment, Contractor shall submit his detailed installation plan to the Engineer.

The plan shall also include a listing of major equipment and supervisory personnel and a description of the methods to be used.

9.3 Variations in Plan or Profile. The Contractor may request changes to the proposed vertical and horizontal alignment of the installation and the location of the entry and exit points. Proposed changes shall be submitted in writing to the Engineer and receive approval of the Engineer prior to construction.

9.4 Alignment. The proposed plan and profile installation locations are based on alignments to accommodate acquired right-of-way, to avoid obstructions, and to properly maintain operation flow velocities.

9.5 Qualifications. Directional drilling and pipe installation shall be done only by an experienced Contractor specializing in directional drilling and whose key personnel have at least five (5) years experience in this work. Furthermore, the Contractor shall have installed directional drilled pipe at least as large as 18 inches in diameter, have performed crossings at least 650 feet in length, and successfully installed at least 2000 feet in length.

9.6 Products. High Density Polyethylene (HDPE) pipe accordance to these specifications shall be used in HDD installations. All piping system components shall be the products of one manufacturer and shall conform to the latest edition of ASTM D2447, ASTM D3350, and ASTM F714 for HDPE.

Pipe shall conform to the dimensionality and general characteristics of the mainline carrier piping to which it will be connected to. The inside diameter of the pipe to be used in HDD applications shall be equal to or greater than that of the mainline carrier piping.

9.7 Piping. Piping shall be extruded from a polyethylene compound and shall conform to the following requirements:

The polyethylene resin shall meet or exceed the requirements of ASTM D3350 for PE 4710 material with a cell classification of 445574C/E, or better. The polyethylene compound shall be suitably protected against degradation by ultraviolet light by means of carbon black, well dispersed by precompounding in a concentration of not less than 2 percent.

The maximum allowable hoop stress shall be 1000 psi at 73.4 degrees F.

The pipe manufacturer shall be listed with the Plastic Pipe Institute as meeting the recipe and mixing requirements of the resin manufacturer for the resin used to manufacture the pipe in this project.

Joining shall be performed by thermal butt-fusion in accordance with the manufacturer's recommendations.

9.8 Concrete Restraint Wall. The contractor shall install a concrete restraint wall on each end of the HDD piping. The wall should be constructed as shown in the miscellaneous detail drawings. Details on concrete construction are included elsewhere in these specifications.

9.9 Execution. All HDD pipes shall be cut, fabricated, and installed in strict conformance with the pipe manufacturer's recommendations. Joining, laying, and pulling of HDD pipe shall be accomplished by personnel experienced in working with HDD pipe being used. The pipe supplier shall certify in writing that the Contractor is qualified to join, lay, and pull the pipe or representative of the pipe manufacturer shall be on site to oversee the pipe joining. Expense for the representative shall be paid for by the Contractor.

9.10 Transportation and Unloading. All pipe shall be bundled or packaged in such a manner as to provide adequate protection of the ends during transportation to the site. Care shall be taken during transportation of the pipe to ensure that it is not cut, kinked, or otherwise damaged. Any pipe damaged in shipment shall be replaced as directed by the owner or engineer.

Each pipe shipment should be inspected prior to unloading to see if the load has shifted or otherwise been damaged. Notify owner or engineer immediately if more than immaterial damage is found. Each pipe shipment should be checked for quantity and proper pipe size, color, and type.

Pipe should be loaded, off-loaded, and otherwise handled in accordance with AWWA M23, and all of the pipe supplier's guidelines shall be followed. Off-loading devices such as chains, wire rope, chokers, or other pipe handling implements that may scratch, nick, cut, or gouge the pipe are strictly prohibited.

During removal and handling, be sure that the pipe does not strike anything. Significant impact could cause damage, particularly during cold weather.

If appropriate unloading equipment is not available, pipe may be unloaded by removing individual pieces. Care should be taken to insure that pipe is not dropped or damaged. Pipe should be carefully lowered, not dropped, from trucks.

9.11 Handling and Storage. Any length of pipe showing a crack or which has received a blow that may have caused an incident fracture, even though no such fracture can be seen, shall be marked as rejected and removed at once from the work. Damaged areas, or possible areas of damage may be removed by cutting out and removing the suspected incident fracture area. Limits of the acceptable length of pipe shall be determined by the owner or engineer. Any scratch or gouge greater than 10% of the wall thickness will be considered significant and can be rejected unless determined acceptable by the owner or engineer.

Pipe shall be stored and stacked per the pipe supplier's guidelines. Pipe lengths should be stored and placed on level ground. Pipe should be stored at the job site in the unit packaging provided by the manufacturer. Caution should be exercised to avoid compression, damage, or deformation to the ends of the pipe. . If pipe is to be stored for periods of 1 year or longer, the pipe should be shaded or otherwise shielded from direct sunlight. Covering of the pipe which allows for temperature build-up is strictly prohibited. Pipe should be covered with an opaque material while permitting adequate air circulation above and around the pipe as required to prevent excess heat accumulation.

The open ends of all sections of joined and/or installed pipe (not in service) shall be plugged at night to prevent animals or foreign material from entering the pipe line or pipe section. Waterproof nightcaps of approved design may be used but they shall also be so constructed that they will prevent the entrance of any type of natural precipitation into the pipe and will e fastened to the pipe in such a manner that the wind cannot blow them loose. The practice of stuffing cloth or paper in the open ends of the pipe will be considered unacceptable.

Pipe shall be handled and supported with the use of woven fiber pipe slings or approved equal. Care shall be exercised when handling the pipe to not cut, gouge, scratch or otherwise abrade the piping in any way. Where possible, the pipe shall be raised and supported at a suitable distance back from the open end such that the open end will be below the level of the pipe at the point of support.

9.12 Installation.

The Contractor shall install the pipelines by means of horizontal directional drilling. The Contractor shall assemble, support, and pretest the pipeline prior to installation in the directional drill tunnel.

Horizontal directional drilling shall consist of the drilling of a small diameter pilot hole from one end of the alignment to the other, followed by enlarging the hole diameter for the pipeline insertion. The exact method and techniques for completing the directionally drilled installation will be determined by the Contractor, subject to the requirements of these Specifications.

The Contractor shall prepare and submit a plan to the Engineer for approval for insertion of the HDD pipe into the opened bore hole. This plan shall include pullback procedures, ballasting, use of rollers, side booms and side rollers, coating protection, internal cleaning, internal gauging, hydrostatic tests, dewatering, and purging.

The required piping shall be assembled in a manner that does not obstruct adjacent roadways or public activities. The Contractor shall erect temporary fencing around the entry and exit pipe staging areas.

9.13 Joining Pipe Sections. The joining of pipe sections shall be completed by a Fusion Technician who is fully qualified by the pipe supplier to install the HDD pipe of the type(s) and size(s) being used. Qualification shall be current as of the actual date of fusion performance on the project.

HDD pipe will be handled in a safe and non-destructive manner before, during, and after the fusion process and in accordance with this specification and pipe supplier's guidelines. The fusion process shall be performed by qualified fusion technicians, as documented by the pipe supplier. Each fusion joint shall be recorded and logged by an electronic monitoring device (data logger) connected to the fusion machine.

Only appropriately sized and outfitted fusion machines that have been approved by the pipe supplier shall be used for the fusion process. Fusion machines must incorporate the following elements:

HEAT PLATE - Heat plates shall be in good condition with no deep gouges or scratches. Plates shall be clean and free of any debris or contamination. Heater controls shall function properly; cord and plug shall be in good condition. The appropriately sized heat plate shall be capable of maintaining a uniform and consistent heat profile and temperature for the size of pipe being fused, per the pipe supplier's guidelines.

CARRIAGE – Carriage shall travel smoothly with no binding at less than 50 psi. Jaws shall be in good condition with proper inserts for the pipe size being fused. Insert pins shall be installed with no interference to carriage travel.

GENERAL MACHINE - Overview of machine body shall yield no obvious defects, missing parts, or potential safety issues during fusion.

DATA LOGGING DEVICE – An approved datalogging device with the current version of the pipe supplier’s recommended and compatible software shall be used. Datalogging device operations and maintenance manual shall be with the unit at all times. If fusing for extended periods of time, an independent 110V power source shall be available to extend battery life.

Other equipment specifically required for the fusion process shall be used as necessary. Pipe rollers shall be used for support of pipe to either side of the machine. A weather protection canopy that allows full machine motion of the heat plate, fusion assembly and carriage shall be provided for fusion in inclement, extreme temperatures, and /or windy weather, per the pipe supplier’s recommendations. An infrared (IR) pyrometer for checking pipe and heat plate temperatures. Fusion machine operations and maintenance manual shall be kept with the fusion machine at all times. Facing blades specifically designed for cutting HDPE pipe shall be used.

Each fusion joint shall be recorded and logged by an electronic monitoring device (data logger) connected to the fusion machine. The fusion data logging and joint report shall be generated by software developed specifically for the butt-fusion of HDPE. The software shall register and/or record the parameters required by the pipe supplier and these specifications. Data not logged by the data logger shall be logged manually and be included in the Fusion Technician’s joint report.

9.14 Testing. The pipe shall be hydrostatically tested after joining into continuous lengths prior to installation and again after installation. Pressure and temperature shall be monitored with certified instruments during the test. After this test, the water will be removed with pigs. Erosion prevention procedures will be used during removal and discharge of the water. Hydrostatic testing shall be performed in accordance with Section 1 of these Specifications. All costs associated with acquiring water for testing shall be included in the established contract unit bid prices.

9.15 Tolerances. Pipe installed by the directional drilled method must be located in plan as shown on the Drawings, and must be no shallower than shown on the Drawings unless otherwise approved. The Contractor shall plot the actual horizontal and vertical alignment of the pilot bore at intervals not exceeding 30 feet. This “as built” plan and profile shall be updated as the pilot bore is advanced. The Contractor shall at all times provide and maintain instrumentation that will accurately locate the pilot hole and measure drilling fluid flow and pressure. The Contractor shall grant the Engineer access to all data and readout pertaining to the position of the bore head and the fluid pressures and flows.

When requested, the Contractor shall provide explanations of this position monitoring and steering equipment. The Contractor shall employ experienced personnel to operate the directional drilling equipment and, in particular, the position monitoring and steering equipment. No information pertaining to the position or inclination of the pilot bores shall be withheld from the Engineer.

Sags in the pipeline shall not exceed 5 percent of the nominal pipe diameter. Sags will only be allowed where the entering and exiting grades are adequate to provide velocities through the sag area sufficient for moving solids. No more than (1) sag area shall occur between two (2) manholes. The alignment of each pilot bore must be approved by the Engineer before pipe can be pulled. If the pilot bore fails to conform to the above tolerances, the Engineer may, at his option, require new pilot boring to be made.

After the pipe is in place, cleaning pigs shall be used to remove residual water and debris. After the cleaning operation, the Contractor shall provide and run a sizing pig to check for anomalies in the form of buckles, dents, excessive out-of-roundness, and any other deformations. The sizing pig run shall be considered acceptable if the survey results indicate that there are no shape anomalies (e.g. dents, buckles, gouges, and internal obstruction) greater than 2 percent of the nominal pipe diameter, or excessive ovality greater than 5 percent of the nominal pipe diameter. For gauging purposes, dent locations are those defined above which occur within a span of five feet or less. Pipe ovality shall be measured as the percent difference between the maximum and minimum pipe diameters. For gauging purposes, ovality locations are those defined above which exceed a span of five feet.

9.16 Ream and Pullback.

Reaming: Reaming operations shall be conducted to enlarge the pilot after acceptance of the pilot bore. The number and size of such reaming operations shall be conducted at the discretion of the Contractor.

Pulling Loads: The maximum allowable pull exerted on the HDD pipelines shall be measured continuously and limited to the maximum allowed by the pipe manufacturer so that the pipe or joints are not overstressed.

Torsion and Stresses: A swivel shall be used to connect the pipeline to the drill pipe to prevent torsional stresses from occurring in the pipe. The lead end of the pipe shall be closed during the pullback operation.

Pipeline Support: The pipelines shall be adequately supported by rollers and side booms and monitored during installation so as to prevent overstressing or buckling during the pullback operation. Such support/rollers shall be spaced at a maximum of 60 feet on centers, and the rollers to be comprised of a nonabrasive material arranged in a manner to provide support to the bottom and bottom quarter points of the pipeline allowing for free movement of the pipeline during pullback. Surface damage shall be repaired by the Contractor before pulling operations resume.

The contractor shall at all times handle the HDD pipe in a manner that does not over stress the pipe. Vertical and horizontal curves shall be limited so that wall stresses do not exceed 50% of yield stress for flexural bending of the pipe. If the pipe is buckled or otherwise damaged, the damaged section shall be removed and replaced by the Contractor at his expense. The Contractor shall take appropriate steps during pullback to ensure that the pipe will be installed without damage.

9.17 Handling Drilling Fluids and Cuttings.

During the drilling, reaming, or pullback operations, the Contractor shall make adequate provisions for handling the drilling fluids, or cuttings at the entry and exit pits. These fluids must not be discharged into the waterway. When the Contractor's provisions for storage of the fluids or cuttings on site are exceeded, these materials shall be hauled away to a suitable legal disposal site. The Contractor shall conduct his directional drilling operation in such a manner that drilling fluids are not forced through the sub-bottom into the waterway. After completion of the directional drilling work, the entry and exit pit locations shall be restored to original conditions. The Contractor shall comply with all permit provisions.

Pits constructed at the entry or exit point area shall be so constructed to completely contain the drill fluid and prevent its escape to the waterway. The Contractor shall utilize drilling tools and procedures which will minimize the discharge of any drill fluids. The Contractor shall comply with all mitigation measures listed in the required permits and elsewhere in these Specifications.

To the extent practical, the Contractor shall maintain a closed loop drilling fluid system.

The Contractor shall minimize drilling fluid disposal quantities by utilizing a drilling fluid cleaning system which allows the returned fluids to be used.

As part of the installation plan specified herein before, the Contractor shall submit a drilling fluid plan which details types of drilling fluids, cleaning and recycling equipment, estimated flow rates, and procedures for minimizing drilling fluid escape.

9.18 Drilling Operations.

The Contractor shall prepare a plan to be submitted for Engineer approval which describes the noise reduction program, solids control plant, pilot hole drilling procedure, the reaming operation, and the pullback procedure. All drilling operations shall be performed by supervisors and personnel experienced in horizontal directional drilling. All required support, including drilling tool suppliers, survey systems, mud cleaning, mud disposal, and other required support systems used during this operation shall be provided by the Contractor.

Drill pipe shall be API steel drill pipe, Range 2, Premium Class or higher, Grade S-135 in a diameter sufficient for the torque and longitudinal loads and fluid capacities required for the work. Only drill pipe inspected under API's Recommended Practice Specification

API RP 7G within 30 days prior to start and certified as double white band or better shall be used.

A smoothly drilled pilot hole shall follow the design centerline of the pipe profile and alignment described on the construction drawings.

Between the entry or exit point the Contractor shall provide and use a separate steering system employing a ground survey grid system, such as "TRU-TRACKER" or equal wherever possible. The exit point shall fall within a rectangle 5 feet wide and 10 feet long centered on the planned exit point.

During the entire operation, waste and leftover drilling fluids from the pits and cuttings shall be dewatered and disposed of in accordance with all permits and regulatory agencies requirements. Remaining water shall be cleaned by Contractor to meet permit requirements.

Technical criteria for bentonite shall be as given in API Spec. 13A, Specification of Oil Well Drilling Fluids Material for fresh water drilling fluids. Any modification to the basic drilling fluid involving additives must describe the type of material to be used and be included in Contractor's drilling plan presented to the Engineer. The Owner retains the right to sample and monitor the waste drilling mud, cuttings and water.

9.19 Environmental Provisions.

The Horizontal Directional Drilling operation is to be operated in a manner to eliminate the discharge of water, drilling mud and cuttings to the adjacent creek or land areas involved during the construction process. The Contractor shall provide equipment and procedures to maximize the recirculation or reuse of drilling mud to minimize waste. All excavated pits used in the drilling operation shall be lined by Contractor with heavy duty plastic sheeting with sealed joints to prevent the immigration of drilling fluids and/or groundwater.

The Contractor shall visit the site and must be aware of all structures and site limitations at the directional drill crossing and provide the Engineer with a drilling plan outlining procedures to prevent drilling fluid from adversely affecting the surrounding area.

The general work areas on the entry and exit sides of the crossing shall be enclosed by a berm to contain unplanned spills or discharge.

Waste cuttings and drilling mud shall be processed through a solids control plant comprised as a minimum of sumps, pumps, tanks, desalter/desander, centrifuges, material handlers, and haulers all in a quantity sufficient to perform the cleaning/separating operation without interference with the drilling program. The cutting and excess drilling fluids shall be dewatered and dried by the Contractor to the extent necessary for disposal in offsite landfills. Water from the dewatering process shall be treated by the Contractor to meet permit requirements and disposed of locally. The cuttings and water for disposal

of locally. The cuttings and water for disposal are subject to being sampled and tested. The construction site and adjacent areas will be checked frequently for signs of unplanned leaks or seeps.

Equipment (graders, shovels, etc.) and materials (such as groundsheets, hay bales, booms, and absorbent pads) for cleanup and contingencies shall be provided in sufficient quantities by the Contractor and maintained at all sites for use in the event of inadvertent leaks, seeps or spills.

Waste drilling mud and cuttings shall be dewatered, dried, and stock piled such that it can be loaded by a front end loader, transferred to a truck and hauled offsite to a suitable legal disposal site. The maximum allowed water content of these solids is 50% of weight. Due to a limited storage space at the worksite, dewatering and disposal work shall be concurrent with drilling operations. Treatment of water shall satisfy regulatory agencies before it is discharged.

9.20 Payment. Payment shall be included in the payment for the work as shown on the plan sheets and to which it is subsidiary in the Bid Schedule. The estimated length of each directional bore is indicated on the plan sheets. This stated length shall be the footage used for the contractors payment calculation regardless of the actual length required for installation. Where applicable, the unit price for directional boring shall include labor and materials for installation of both the casing and carrier pipe.

SECTION 10 - METER SETTING & METER RECONNECTION

10.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install the meter settings, meter reconnects, and service tubing as shown on the drawings and as directed.

10.1 Materials. The meter settings shall consist of a saddle, corporation stop, service tubing, coppersetter, meter, meter box, and appurtenances. The corporation stops/ball valves shall be B11-333 as manufactured by Ford with a pack joint for polyethylene pipe. Pack joint inlet couplings shall be C14-33-Q as manufactured by Ford for polyethylene pipe. Saddles shall be equal to the Ford S70 Series with a hinged pin for PVC and 202 Series for ductile iron. The coppersetter shall be equal to the Ford 70 Series Coppersetter VHH72-7W-11-33 with a seven inch rise for a 5/8 inch by 3/4 inch meter and complete with an inlet key valve and outlet dual check valve. A tandem coppersetter to accommodate a pressure reducer and meter shall be used where specified. The pressure reducing valve shall be Mueller, Model No. H-9300 No. 3, or approved equal with a bronze strainer. Each regulator is to have an adjustable pressure range of 60-125 psi and to be set at 70 psi.

All meters shall be a displacement type magnetic drive cold water meter complying with ANSI/AWWA Standard C700, latest revision. All Meters shall meet or exceed the American Water Works Association Standard C707-R92 for Encoder-Type Remote-Registration systems for Cold Water Meters when equipped with an open architecture radio MIU. They shall be Hersey 400 PD as manufactured by Mueller Systems.

The size of the meter shall be 5/8 inch by 3/4 inch or as shown otherwise on the Plans. The meter shall have a straight reading dial in U. S. gallons and must have a working pressure of 150 psi. Serial numbers shall be stamped on both the lid and meter body. The register shall be a true absolute encoder register that provides direct electronic transfer of meter reading information to any number of AMR device options. Minimally, a Touch Pad and Radio MIU device shall read the encoder register. The unit shall also include a high performance, transmitter designed for mobile AMR. It shall be compatible with the Owners current radio read metering system and shall transmit an encoded serial number, water consumption, leak detection information and status data via radio frequency.

The meter boxes shall be black plastic (HDPE) rectangular boxes and shall be approximately 10-inches wide x 15-inches long x 18-inches deep as manufactured by Highline Products, Inc., or approved equal. Meter box settings shall be prefabricated with the copper-setters and fittings as specified ready for connection at the inlet and outlet ends. Meter boxes shall include a single piece flat HDPE lid.

Service tubing shall be 3/4-inch polyethylene or type K copper tubing with a minimum pressure rating of 200 PSI. One-inch and two-inch service lines shall be PVC, PE, or K copper with a minimum pressure rating of 200 PSI. Insert stiffeners shall be used when

using polyethylene service tubing and shall be Series 50 or 70 as manufactured by Ford Meter Box Company, Inc., or approved equal.

10.2 Installation. Meter settings shall be supplied and installed as shown on the detail drawings with backfill neatly compacted in place. The top of the meter box shall be set 1/2 inch above grade in non-pavement applications. In pavement applications, the top of the meter box shall be set flush with the top of the pavement. In all cases, the meter shall be at least 18 inches below the ground surface.

Where applicable, the contractor is also responsible under this bid item for the abandonment of the existing meter settings. This includes disconnection at the direction of the engineer, removing all remnants of the meter box/vault and all other related appurtenances to a point two feet below existing ground level. Any void created by removal of items shall be backfilled with the adjacent area being restored to match the surrounding ground conditions including any incidental pavement replacement which may be required. All existing interior piping, meters, valves, and other appurtenances shall be removed and delivered to the owner prior to demolition and removal of the existing meter box/vault.

Meter reconnects shall consist of reestablishing service to an existing meter after the new water main has been installed. Unless shown otherwise, the new service line shall be installed to connect the new water main to the existing service line at the closest location possible. The new and existing service line shall be connected using an approved brass compression coupling.

Service line reconnects shall consist of reestablishing service on the customer side of a new meter. New service line shall be installed to connect the new water main to the existing service line at the closest location possible. The new and existing service line shall be connected using an approved brass compression coupling. A new customer shut off valve should be installed on the customer side of the meter in those instances where a new meter setting is being installed to replace an existing meter setting with a customer side shutoff valve. See Sheet SD-2 for details regarding the customer side shutoff valve installation.

10.3 Payment. The unit price bid shall constitute full compensation for furnishing and installing the meter setting, or meter reconnect, with the above described appurtenances. Service tubing shall be paid by the linear foot. Installation of the service tubing through or beneath paved surfaces shall be considered as an incidental cost for the installation of the service tubing and there shall be no compensation for pavement replacement.

SECTION 11 - STONE AGGREGATE

11.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install the stone aggregate as shown on the drawings and as directed.

11.1 Materials. The stone aggregate shall be dense grade stone, #9 stone, or other as directed by the Engineer or as otherwise shown. The stone shall be free of dirt, sand, trash, debris, and free water.

11.2 Installation. The Contractor shall install the aggregate at the locations as shown on the drawings which includes any trenches where the water main or service line disturbs any roadway. This also includes any areas where casing pipe is installed in open trenches or the locations where a bore or receiving pit was excavated. Stone shall be backfilled to top of grade where any trenches disturb paved areas. The Engineer may limit the amount of stone to be placed upon determination that the application is excessive.

11.3 Payment. Stone aggregate shall be incidental to the installation of the water mains, and other appurtenances. There shall be no separate pay item for stone aggregate.

SECTION 12- PAVEMENT REPLACEMENT

12.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install concrete and bituminous pavement replacement where pavement is disturbed during construction.

12.1 Materials. Pavement replacement for bituminous surfaces shall consist of a prime coat of emulsified asphalt, Class 1 Bituminous Binder, and Class 1 Bituminous Asphalt as specified by the Kentucky Bureau of Highways latest specifications.

Pavement replacement for concrete surfaces shall consist of Class A concrete including reinforcement consisting of No. 4 reinforcing bars placed on twelve inch centers in both directions or otherwise as directed by the engineer.

Support backfill shall be No. 9 stone, dense grade aggregate or flowable fill as per the detailed drawings and specifications herein.

12.2 Installation. Immediately upon placement of the water lines and appurtenances the disturbed traveled way shall be backfilled with No. 9 stone or dense grade aggregate extending from the top of the pipe up to the traveled way surface. The area of disturbance will be repaved once settlement has subsided granted that water line installation, testing and all other cleanup has been completed as dictated by the Engineer.

In preparation for the installation of pavement replacement, the top twelve inches of stone backfill shall be compacted with a mechanical tamping machine. The use of rubber tire or track driven equipment such as backhoes or dozers shall not satisfy the requirement for final compaction.

12.2.1 State Highway Pavement Replacement. Where bituminous pavement replacement is required due to a disturbance of a Kentucky State Highway, the trench shall be backfilled with #9 stone up to 9-inches below the top of the existing pavement. The stone shall be properly compacted and capped with a 6-inch layer of KYDOT approved flowable fill. A 3-inch layer of temporary asphalt pavement shall then be installed flush with the level of the existing pavement. Upon completion of the water line installation, testing and all other cleanup, the Contractor shall mill the temporary asphalt and the existing asphalt in preparation for final pavement replacement. The total width of final pavement replacement shall be a minimum of three feet from the each edge of temporary pavement. Following milling of existing and temporary pavement, the Contractor shall replace void with an approved prime coat of emulsified asphalt applied at a rate of 0.35 gallons per square yard and a 3-inch finish coat asphalt pavement. The pavement shall be rolled to a smooth finish and provide a gentle transition to the existing pavement.

12.2.2 Full Width Pavement Replacement. Where full width bituminous pavement replacement is required, the pipe trench shall be backfilled as described herein. Upon completion of the water line installation, testing and all other cleanup, the Contractor shall install full width pavement replacement in all areas indicated on the plans. In areas where existing curbing is in place, the contractor shall mill the existing paved surface before new asphalt pavement overlay is installed. In areas where curbing is not in place, the contractor shall install asphalt overlay directly atop existing pavement. An approved prime coat of emulsified asphalt applied at a rate of 0.35 gallons per square yard shall be applied in preparation of for installation of the asphalt overlay. The finish coat of asphalt pavement shall be a minimum of 2-inches across the entire roadway cross-section. The pavement shall be rolled to a smooth finish and provide a gentle transition to all existing pavement. All transitions from new pavement to existing pavements shall be sealed using a KYTC approved hot poured elastic type joint seal compound.

12.2.3 Incidental Pavement Replacement. Unless specifically noted otherwise, pavement replacement shall be incidental to the cost of installing the water line. This includes all driveways, parking lots, city street/county road crossings, and all other locations where state highway or full-width pavement replacement isn't specifically noted on the plans. Where incidental pavement replacement, including partial pavement replacement and partial pavement replacement to the roadway centerline is required, the pipe trench shall be backfilled as described herein. Upon completion of the water line installation, testing and cleanup, the Contractor shall install pavement replacement in all areas where the existing pavement has been disturbed. The total width of pavement replacement shall extend a minimum of three feet outward from each edge of the pipeline trench. Partial pavement replacement will be required when pavement is disturbed along the edge of a paved area. In partial pavement replacement situations the replacement pavement shall extend into the paved area a minimum three feet and toward the pipeline trench to a point equal to that of the existing pavement. In partial pavement replacement to the centerline of the roadway situations, the replacement pavement shall encompass the entire side of the roadway (to the approximate centerline) which was disturbed. In all cases, the transition from the replacement pavement and the existing pavement shall be saw cut with a neat and clean appearance. All existing pavement material within the total width of the pavement replacement area shall be removed by milling or other means prior to installation of new pavement. All transitions from new pavement to existing pavements shall be sealed using a KYTC approved hot poured elastic type joint seal compound.

Where concrete pavement replacement is required, reinforcing steel shall be placed within three inches of the surface of the existing concrete and it shall be supported with CMU support pieces. The area to be repaved shall be formed to coincide with the adjoining concrete surfaces and the edges of the repaved area shall be smooth and uniform. The concrete shall be placed on top of the compacted gravel at a minimum depth of six inches. The surface finish shall match that of the adjoining concrete. The transition to all adjoining pavement shall be smooth and uniform such that ponding will not occur.

Where bituminous pavement replacement is required the base shall be prepared with a prime coat of emulsified asphalt applied at a rate of 0.35 gallons per square yard. A 3-inch thick layer of bituminous binder shall then be placed above the prime coat. The final coat of bituminous concrete shall then be placed at a depth of 2-inches. The final coat of pavement shall be rolled to a smooth finish and provide gentle transitions to all existing pavement.

Detail illustrations regarding the methods described have been included in the standard drawings.

12.3 Final Acceptance. All pavement replacement shall be inspected prior to the final warranty period expiration. Any pavement replacement found to be deteriorated or not uniform due to settlement of the disturbed subsurface shall be repaired before the work is recommended for final acceptance. It is anticipated that this inspection shall take place on or about the eleventh month of the one year warranty period. The warranty period for all pavement replacement shall not commence until the final warranty period for the project in its entirety is initiated.

12.4 Payment. The unit price bid shall constitute full compensation for furnishing and installing pavement replacement as it is outlined in the bid schedule and specifications herein. Unit measurement of all pavement replacement not considered incidental shall be in linear feet, with the measurement being taken parallel to the corresponding pipeline trench

All disturbed pavement which is not specifically indicated on the plans as receiving state highway or full-width pavement replacement shall be considered incidental to the cost of installing the water lines and shall receive no additional payment.

SECTION 13 - MASTER METER VAULT

13.0 Scope of Work. Under this item the Contractor shall provide all labor, tools, equipment, and materials to install the master meter vault assembly, precast concrete vault, connections to the supply line and any applicable appurtenances.

In the event the contractor obtains the engineer's approval on equipment other than that which is specified herein, the contractor shall, at his own expense, make any changes in structures, buildings or piping necessary to accommodate any amended equipment.

It will be assumed that cost to contractor of equipment proposed to be substituted is less than that of the equipment in the contract, and if a substitution is approved, the contract price shall be reduced by an amount equal to savings.

13.1 Pre-cast Concrete Vault and Appurtenances. The vault shall be design per ASTM C-890: Minimal structural design loading for underground precast concrete water and wastewater structures and ACI 318: Building code requirements for reinforced concrete. All concrete used in the construction of the vault shall have a minimum 28 day compressive strength of 4,500 psi. Reinforcing steel shall be ASTM A-6115, Grade 50 and used as required by design standards. Any joints shall be sealed with 1-inch con seal.

The master meter vault shall be made up a 5-foot diameter manhole barrel and precast concrete floor and top sections. The vault shall include manhole steps to all entry and exist from the vault. Manhole steps shall be reinforced with 3/8 inch steel reinforcement (minimum) and shall have a polypropylene plastic coating identical to the dimensions of cast iron manhole steps. They shall be produced specifically for use as manhole steps and shall be cast into walls of all manholes. Manhole steps shall be installed in each section of the manhole in accordance with the details on the drawings.

The vault shall be equipped with one aluminum access hatch with a clear opening of no less than 30" x 30". The hatch shall be of non-skid design and be designed to handle a H-20 Uniform live load with a maximum allowable deflection of 1/150 of the span. A recessed, vandal proof locking device shall be provided as part of the hatch. A positive hold open bar shall also be provided to secure the hatch in the open position. All hinges and hinge bolts shall be stainless steel. All hinge bolt nuts shall be tack welded to prevent removal of bolts. All fasteners used on the hatches shall be non-corrosive. All areas of hatch frames that will be in contact with concrete shall be coated with bitumastic paint. Bolts as required shall be threaded into the hatch frame from the concrete side and secured with stainless steel nuts. All bolts shall be installed to prevent interference when closing the hatch. Two (2) keys shall be provided, on a key ring complete with the manufacturer's identification. The hatch assembly shall be manufactured by Bilco Company, Type J-AL or approved equal.

The vault shall include a floor drain which extends to daylight. Then outlet of the drain should be covered with stainless steel screening suitable to restrict entry of rodents, snakes and other animals. The contractor shall include up to 200 feet of 4-inch PVC drain line in the price of the vault. If the floor drain cannot be extended to daylight due the vault's location, the vault shall include gravel floor openings as shown on the plans which will be installed to facilitate proper drainage. Accordingly, the vault itself shall also be bedded with a sufficient layer (3 foot minimum) of acceptable gravel which will allow for adequate drainage.

13.2 Piping & Fittings. All piping and fittings shall be constructed of flanged ductile iron piping. Ductile iron pipe shall be designed in accordance with AWWA (ASA A21.50) and for pressures and conditions as stated in these specifications or called for on the plans. Ductile iron pipe shall conform to AWWA C-151 (ASA A21.51.). Pipe shall be cement lined in accordance with AWWA C104 (ASA A21.4) and all exposed pipe and fittings shall have a shop prime coat applied that is compatible with the subsequent field enamel paint coats. The class of pipe, wall thickness, and coatings required will be shown on the plans or the bid form for all ductile iron pipe installation.

Ductile iron flanged fittings with appropriate adapters shall be used. All such fittings shall be approved by the pipe manufacturer, and complete data sent to the engineer, including the manufacturer's approval, for review. Fittings shall comply with AWWA C-110 or C-111 and shall be manufactured for the size and pressure class of the line on which they are used. Vault piping shall extend at least ten feet from the meter vault in either direction before being connected back to the mainline piping.

Dismantling Joints shall be used where indicated. They shall be made of ductile iron conforming to ASTM A536 and have flange bolt circles that are compatible with ANSI/AWWA C110/A21.10. Dismantling joints shall consist of telescoping flanged fittings which can be lengthened and shortened, allowing access to valves, pumps and other fittings. The assembly shall meet AWWA C291. All Dismantling Joints shall be the Style DJ400, as manufactured by Romac Industries, Inc., or approved equal.

13.3 Flow Meters. All flow meters shall be cold water fire service turbine type as manufactured by a registered ISO 9001 quality standard facility and have a minimum of ten years of successful field use. Meters must also meet or exceed the latest revision of AWWA C703. Meters shall be of the in-line horizontal-axis type per AWWA Class II and both meter and strainer assemblies shall be both Underwriters Laboratories (UL) listed and Factory Mutual (FM) approved.

The maincase and cover shall be of an NSF/ANSI 61, Annex G no-lead high copper alloy containing a minimum of 85% copper. The size, model, and arrows indicating direction of flow shall be cast in raised characters on the maincase or cover. The meter serial number shall be imprinted on the meter maincase or cover as well as the register box cover. The maincase and cover shall have a rated working pressure of 175 psi. The cover shall contain a calibration vane for the purpose of calibrating the turbine measuring element while the meter is in-line and under pressure. The calibration vane shall be mounted under the register that is attached in a tamper-resistant manner.

Meters shall be supplied with a strainer designed and approved for fire service use by UL and FM, and shall have a rated working pressure of 175 psig. The size, model, and NSF certification shall be marked on the strainer cover. The strainer shall be constructed of steel and coated with fusion-bonded epoxy. The strainer basket shall be constructed of AISI Type 18-8 stainless steel. The strainer shall contain a flushing port located near its bottom to facilitate easy cleaning.

Registers shall be permanently roll-sealed, straight reading, indicating in gallons and shall include a center-sweep test hand and a low flow indicator. Registers shall allow for in-line serviceability. Register boxes and covers shall be of bronze composition. The manufacturer and the meter serial number shall be clearly identifiable and located on the register box cover. The register box shall be affixed to the top cover by means of a plastic tamperproof seal pin that must be destroyed in order to remove the register. The turbine measuring chamber shall be a self-contained unit attached to the cover for easy removal. The turbine spindles shall be stainless steel. The assembly shall contain a Unitized Measuring Unit (UME) being a complete assembly, factory calibrated to AWWA standards, which includes the cover, registers, and a turbine measuring element. It shall be easily field removable from the meter body without the requirement of unbolting flanges.

The intermediate gear train shall be coupled directly to the turbine rotor and magnetically coupled to the register through the meter cover. All moving parts of the gear train shall be made of a self-lubricating polymer or stainless steel for operation in water.

Registration accuracy over the normal operating range shall be 98.5% to 101.5%. All meters shall be equipped with encoder remote registers per AWWA C707 and meet all AWWA C701 performance standards.

The size of the meter shall be as shown otherwise on the Plans. The meter shall have a straight reading dial in U. S. gallons and must have a working pressure of 150 psi. Serial numbers shall be stamped on both the lid and meter body. The register shall be a true absolute encoder register that provides direct electronic transfer of meter reading information to any number of AMR device options. Minimally, a Touch Pad and Radio MIU device shall read the encoder register. The unit shall also include a high performance, transmitter designed for mobile AMR. It shall be compatible with the Owners current radio read metering system and shall transmit an encoded serial number, water consumption, leak detection information and status data via radio frequency. Meters shall be Hersey MVR as manufactured by Mueller Systems or approved equal.

13.4 Shop Drawings. Shop drawing submittals shall be bound and in six (6) copies. The submittals shall contain a minimum of four (4) full size vault drawings, 24" by 36" in size. The submittal booklets shall be complete with data sheets covering all individual components that make up the master meter assembly, precast concrete vault, piping and appurtenances.

13.6 General. The contractor is hereby notified that responsibility for the complete and satisfactory operation or function of all equipment and material is definitely a part of this contract, regardless of the manufacturer's guarantee on any item furnished by him. It is the contractor's responsibility to place all equipment in operation, check all fittings for tightness, and see that proper operating and maintenance instructions are prepared and followed.

13.7 Payment. The unit bid price shall constitute full compensation for furnishing and installation of a complete master meter vault including all metering equipment, valves, piping, vault, connections to the mainline and any and all other applicable appurtenances as specified herein and shown on the drawings.

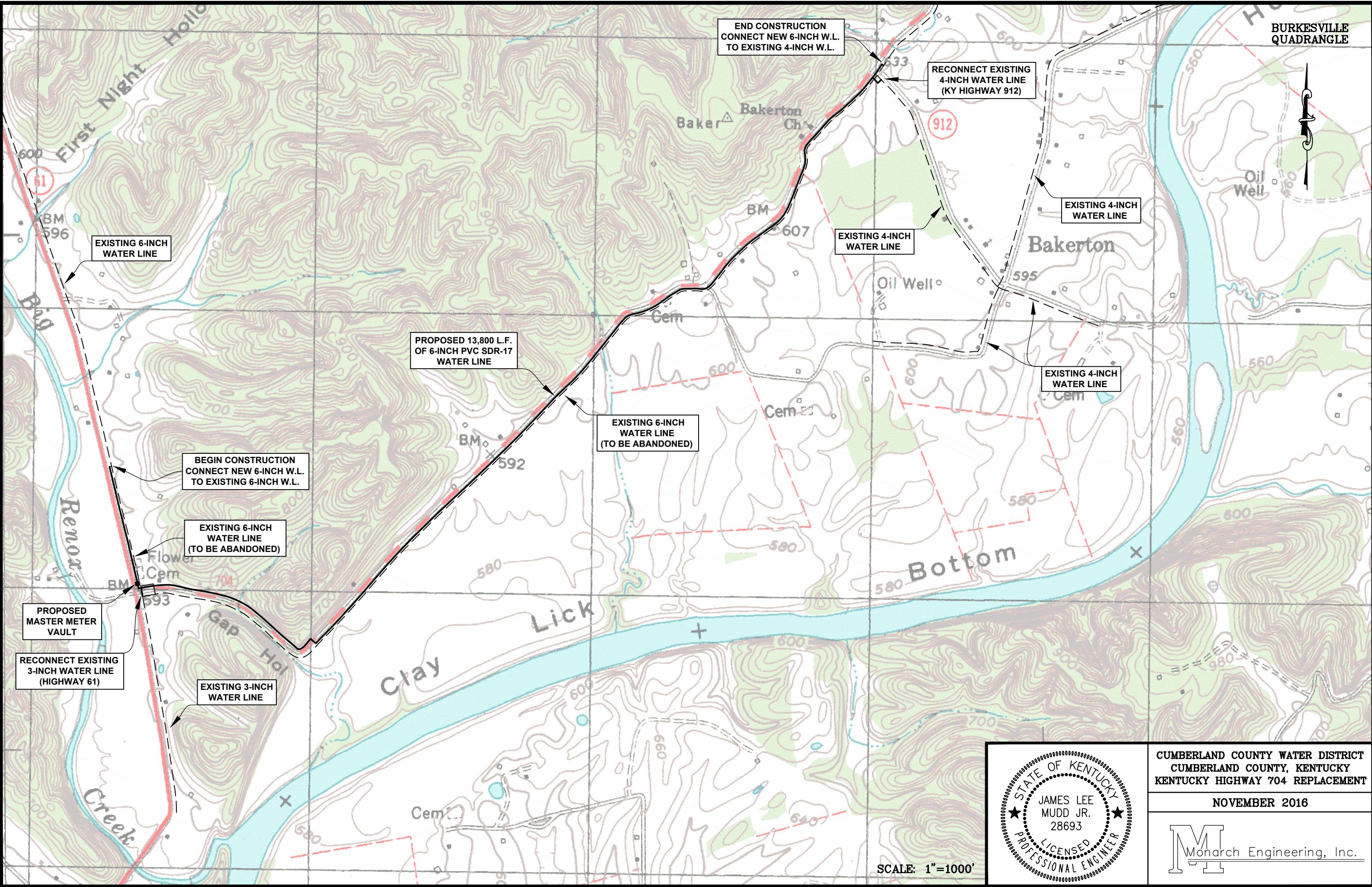
SECTION 14 - EXPLORATION

14.0 Work Included. Under this item the Contractor shall provide all labor, tools, equipment, and materials to explore for existing water lines and appurtenances that are not as shown on the Drawings.

14.1 Description of Work. In those locations where the existing water lines and appurtenances are not in the locations as shown on the Drawings the Contractor shall explore for the utility at the direction of the Engineer. The Contractor shall utilize all equipment necessary to search for the water line or appurtenance and any disturbance of other utilities shall be the responsibility of the Contractor. Any other work or disturbance created by the Contractor as a result of the exploration shall be incidental to this item.

In locations where new water lines are to be installed parallel to existing water lines or other utilities, the contractor shall locate existing lines in 100 foot intervals. This particular requirement shall be considered **incidental** to the installation of the water lines and it **shall not be included** in the calculation of this pay item.

14.2 Payment. The unit price bid shall constitute full compensation for the exploration of the water lines and appurtenances. The Resident Inspector shall approve the Contractor to initiate and terminate the exploration and the Resident Inspector shall monitor the amount of time in 15 minute increments.



END CONSTRUCTION
CONNECT NEW 6-INCH W.L.
TO EXISTING 4-INCH W.L.

RECONNECT EXISTING
4-INCH WATER LINE
(KY HIGHWAY 912)

BURKESVILLE
QUADRANGLE



EXISTING 6-INCH
WATER LINE

EXISTING 4-INCH
WATER LINE

EXISTING 4-INCH
WATER LINE

PROPOSED 13,800 L.F.
OF 6-INCH PVC SDR-17
WATER LINE

EXISTING 6-INCH
WATER LINE
(TO BE ABANDONED)

EXISTING 4-INCH
WATER LINE

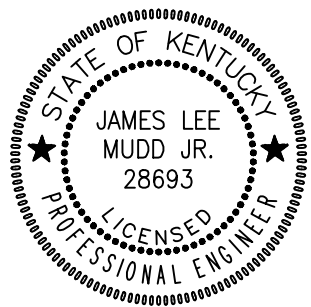
BEGIN CONSTRUCTION
CONNECT NEW 6-INCH W.L.
TO EXISTING 6-INCH W.L.

EXISTING 6-INCH
WATER LINE
(TO BE ABANDONED)

PROPOSED
MASTER METER
VAULT

RECONNECT EXISTING
3-INCH WATER LINE
(HIGHWAY 61)

EXISTING 3-INCH
WATER LINE



SCALE: 1"=1000'

CUMBERLAND COUNTY WATER DISTRICT
CUMBERLAND COUNTY, KENTUCKY
KENTUCKY HIGHWAY 704 REPLACEMENT

NOVEMBER 2016

