



PROVIDENCE WATER

WATER MAIN REHABILITATION PROGRAM Replacement/Rehabilitation of Water Mains and Appurtenances within the Providence Water's Distribution System

CONTRACT 4-21 UPPER SOUTH PROVIDENCE (PLAIN ST) (PW Project No. 20214)

ADDENDUM NO. 2

The following changes, revisions and/or supplemental information, as applicable, are hereby issued as Addendum No. 2 in connection with the Contract Documents (Specifications) issued for the above-referenced projects:

1. Please note, the following documents are attached for record and inclusion in the Contract Documents:
 - “Pre-bid Conference Minutes (WMR 4-21) - Upper South Providence (Plain St) - ADDENDUM NO. 2”
 - “Response to Bidder Questions - Contract 4-21 Upper South Providence (Plain St) - ADDENDUM NO. 2”
 - “Rhode Island Infrastructure Bank - 2021 Disbursement Schedule - ADDENDUM NO. 2”
2. Replace in its entirety “Cover-Sheet-(Contract-4-21)” with the attached replacement section, as noted with ADDENDUM NO. 2.
3. Replace in its entirety “Table-of-Contents-(Contract-4-21)” with the attached replacement section, as noted with ADDENDUM NO. 2.
4. Replace page 8 of “00410---Bid-Form (Cleaning & Lining) (Contract 4-21)” with the attached replacement page, as noted with ADDENDUM NO. 2.
5. Replace pages 32 through 35 of “05000---Utility Piping” with the attached replacement pages, as noted with ADDENDUM NO. 2.
6. Replace page 9 of “05800---Temporary Bypass Piping and Services” with the attached replacement page, as noted with ADDENDUM NO. 2.
7. Replace in its entirety “00480---EPA Disadvantaged Enterprise (DBE) Program” with the attached replacement section, as noted with ADDENDUM NO. 2.
8. Replace in its entirety “Appendix-C---RI DWSRF Program Contract Specifications Package” with the attached replacement section, “Appendix-C---RI DWSRF Program Contract & SRF Signage



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Specifications Package” as noted with ADDENDUM NO. 2.

9. Replace in its entirety “Appendix-D---EPA, Davis-Bacon Prevailing Wage Requirements” with the attached replacement section, as noted with ADDENDUM NO. 2.
10. Replace page 2 of “Appendix-E---EPA, American Iron and Steel (AIS) Requirements” with the attached replacement page, as noted with ADDENDUM NO. 2.
11. Replace in its entirety “Appendix-G---National Grid, Cast Iron Gas Main Encroachment” with the attached replacement section, as noted with ADDENDUM NO. 2.

Should you have any questions, please do not hesitate to contact either Norm Ripstein at 401-521-6300 ext. 7212 or Roger Biron at ext. 7285.

Respectfully,

PROVIDENCE WATER

Attachments:

1. Prebid Conference Minutes (WMR 4-21) - Upper South Providence (Plain St) - ADDENDUM NO. 2
2. Response to Bidder Questions - Contract 4-21 - ADDENDUM NO. 2
3. Rhode Island Infrastructure Bank - 2021 Disbursement Schedule - ADDENDUM NO. 2
4. Cover-Sheet-(Contract-4-21) - ADDENDUM NO. 2
5. Table-of-Contents-(Contract-4-21) - ADDENDUM NO. 2
6. Page 8, 00410---Bid-Form (Cleaning & Lining) (Contract 4-21) - ADDENDUM NO. 2
7. Pages 32 through 35, 05000---Utility Piping - ADDENDUM NO. 2
8. Page 9, 05800---Temporary Bypass Piping and Services - ADDENDUM NO. 2
9. 00480---EPA Disadvantaged Enterprise (DBE) Program - ADDENDUM NO. 2
10. Appendix-C---RI DWSRF Program Contract & SRF Signage Specifications Package - ADDENDUM NO. 2



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11. Appendix-D---EPA, Davis-Bacon Prevailing Wage Requirements - ADDENDUM NO. 2
12. Page 2, Appendix-E---EPA, American Iron and Steel (AIS) Requirements – Special Notes ADDENDUM NO. 2
13. Appendix-G---National Grid, Cast Iron Gas Main Encroachment - ADDENDUM NO. 2

**PROVIDENCE WATER
2021 CONSTRUCTION SEASON
REPLACEMENT & REHABILITATION OF
WATER MAINS AND APPURTENANCES**

**CONTRACT 4-21
UPPER SOUTH PROVIDENCE (PLAIN ST)**

PRE-BID CONFERENCE MEETING MINUTES

Date: January 20, 2021 Time: 9:30 AM
Location: GoToMeeting Online Meeting Platform

Attendees: Bryant Anderson (Providence DPW), Jack Sahlin, Zhengkai Li (RIDOH), Paul Petrykowski (Michels Corp.), Ryan Dewey, Steve Spadonni (DEWCON, Inc.), Steve Biszko (Biszko Contracting Corp.), Chris Walsh (W. Walsh Co.), Mike Lambert (R. P. Iannuccillo & Sons), Paul Heslam (E. J. Prescott), Bryan Harpin (BETA Group, Inc.), Kathy Mello, Matt Gallant, Andy Pion, Kathy Topp, Jason Hindley, Norm Ripstein, and Roger Biron (PW)

All attendees agreed to allow the meeting discussion to be recorded in order to facilitate the creation of the final meeting minutes/report.

A. General Note:

It is expressly understood by all attendees that if there are any inadvertent conflicts in this Pre-Bid Conference with the project Drawings and Specifications, that the Drawings and Specifications and any issued Addenda shall govern.

B. Opening Remarks:

1. This is the Pre-Bid Conference for the following Providence Water 2021 Contract:

a. REPLACEMENT & REHABILITATION OF WATER MAINS AND APPURTENANCES WITHIN UPPER SOUTH PROVIDENCE (PLAIN ST.), CONTRACT 4-21

- (PW Project No. 20214)
- **Upper South Providence Area**, Providence, RI
- Rehabilitation method – **Cleaning and Lining**

Bidders are directed to refer to the contractor qualification requirements in “Section 00200 – Instructions to Bidders, Article 3 - Qualifications of Bidders”. Bidder (Prime Contractor) shall self-perform the Cleaning and Cement Mortar Lining.

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2. Bidders are advised that the contract documents may be obtained by contacting the City Purchasing Department, as follows:

Patricia Jordan
Purchasing Dept. Room 408
Providence City Hall
25 Dorrance St
Providence, RI 02903
pjordan@providenceri.gov
401-680-5264

Please direct questions relative to the bid opening, bidding process, forms, and how to submit a bid package to Purchasing Agent Patti Jordan (pjordan@providenceri.gov). Please use the subject line “Replacement/Rehab of water mains and appurtenances Upper South Providence Contract 4-21”. **To obtain a complete bid package please contact Patti Jordan using the information listed above.**

3. Bids will be received by the Department of the City Clerk, City Hall, Providence, Rhode Island, until 2:00 P.M., on **Monday, February 1, 2021**. At 2:15 PM, the Bids will be publicly opened and read aloud in the City Council Chambers on the Third Floor of City Hall.
4. Project Schedule: Reference is made to Section 00100, Invitation to Bid, of the Contract Specifications, regarding **the intent to award a one (1) year contract for CONTRACT 4-21.**
 - Bidders are not restricted from bidding on multiple contracts and may bid on all of the upcoming 2021 contracts if they so choose.
 - All water main and service related work, including **full depth asphalt restoration of street excavations** shall be completed during the 2021 construction season. The intent is to complete as much permanent restoration (**sidewalks, loam & seeding grassy areas, and mill and overlay of street sections-disturbed during construction operations**) within the 2021 construction season. All excavations opened within a construction season must have restoration completed before the winter closeout of that construction season, and/or as directed by Providence Water.
 - **Per Providence Water policy and per the contract specifications, all temporary by-pass must be removed prior to the winter closeout date of November 15th.**
5. **CONTRACT 4-21** will be funded through the RIDOH Drinking Water State Revolving Loan Fund.

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Therefore, the following requirements apply:

- **10.20% DBE (MBE/WBE) Goal**
 - **Prevailing Wages Rates: Davis Bacon Act**
 - **American Iron and Steel Provisions**
6. The projects are subject to **MBE/WBE participation** by the City of Providence Minority Compliance Office. The City of Providence requires **20%** of the construction cost to be utilized for MBE/WBE companies (10% for each). The State of Rhode Island requires 10.2% DBE utilization. **The City of Providence 20% utilization rate shall govern. All required MBE/WBE forms, which shall serve as the intended MBE/WBE Minority Compliance Plan for this contract, shall be completed and submitted with the Contractor's Bid ("Spec Section 00470 - Bidder Info. (MBE WBE Participation)").** Providence Water recommends that Contractors periodically contact the MBE/WBE Office and maintain records documenting their efforts to obtain and retain MBE/WBE Subcontractors for select work under these contracts.

Approval of the MBE/WBE Minority Compliance Plan by the Rhode Island Department of Administration, Office of Diversity, Equity and Opportunity (ODEO) will not be required with the bid submission. It shall be obtained prior to construction by the successful bidder. **However, it should be noted that the City of Providence Minority and Women Business Enterprise Program (MBE/WBE) forms must be completed for EVERY bid submitted and must be inclusive of ALL required signatures. Forms without all required signatures will be considered incomplete.**

7. It is the responsibility of all potential bidders to make sure they have received all **Addenda** prior to bidding that and their bids are received on time and at the location listed above.
8. Questions regarding the Contract Specifications are to be directed in writing to both Mr. Roger Biron and Mr. Norman Ripstein, by email at rogerb@provwater.com and normanr@provwater.com. **Addenda** will be issued to include the proceedings of this Pre-Bid Conference, all questions received by specified deadlines, and will address any changes or clarifications made during the bidding period. **All inquiries must be submitted in writing and transmitted via e-mail. For Contract 4-21, Upper South Providence (Plain St), the deadline for inquiries and questions from the Contractors is Monday, January 25, 2021, and Addenda will be issued no later than Wednesday, January 27, 2021.**
9. The Attendees List and Minutes/Meeting Report for this Pre-Bid Conference will be sent via e-mail to all meeting attendees, and vendors who have taken out the contract documents from Providence City Hall, and will be issued in an addendum.

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10. Water Main Project Descriptions - General Scope of Work:

- Reference the attached GIS color contract specific area maps.
- The water main rehabilitation contract area for CONTRACT 4-21 is located within the Upper South Providence Area of Providence, RI with approximately 12,000 LF of main replacement and rehabilitation.
- PW plans to both relay and clean and line water mains. **The mains on Plain Street and Dudley Street will be upgraded to 12-inch ductile-iron (DI), from the existing 6- and 8- inch cast-iron (CI) mains;** this will be done to upgrade the size of these mains to improve hydraulics and supply to this area, given the criticality of the hospitals in this area. PW has also had difficulty isolating the mains in this area, particularly on Plain Street and will be installing new valves to improve our control in this area. **Bidders are reminded to refer to the contractor qualification requirements in “Section 00200 – Instructions to Bidders, Article 3 - Qualifications of Bidders”.**
- The City is in a very preliminary planning phase with regard to point repair sewer work (between 5- to 30-foot repairs) in this project area. Blackstone Street has significant issues relating to sink holes and sewerage issues, as does Plain Street.
- **The following streets (with limits) in the contract area are under a state of pavement moratorium. PW is in process of requesting approval to work in these streets. No work shall be performed in these streets until approval is granted to PW by the City of Providence:**
 - Staniford Street – Blackstone Street to Pilgrim Street
 - Bogman Street – Prairie Avenue to Hilton Street
 - Culver Street – Dudley Street to Borinquen Street
 - Eddy Street – Dudley Street to Willard Street

Providence DPW requires a justification letter from PW explaining why there is a need to perform work and the proposed restoration work that PW will then perform. The request letter will then be reviewed by the leadership team at PDPW and City officials. If such work is permitted by Providence DPW, full width pavement restoration will typically be required for any excavated street that is still under moratorium, but final restoration requirements will ultimately be dictated by Providence DPW. **For bidding purposes, the contractor shall account for the completion of all work as depicted on the construction drawings, including for streets noted in a state of pavement moratorium.**

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C. 2020 Contracts Overview:

1. General Construction Notes:

- Zinc Coated DI: All ductile iron pipe and fittings must be zinc coated and conform to the requirements of the American Iron and Steel Act.
- Poly-encasement of the main will not be required in these contracts.
- The intent of all contracts is to fully rehabilitate the water mains within the contract work areas. For the cleaning and lining contracts, sections of mains that cannot be cleaned and lined must be replaced with ductile iron.
- Full depth street paving, restoration of concrete base roadways, and permanent restoration of street excavations via 2-inch mill and overlay (in accordance with the requirements of the “Rhode Island Utility Fair Share Roadway Repair Act”; including repair of traffic loops and restoration of pavement markings), sidewalks, and grassy areas, will be completed by the Contractor of each respective contract area within the same construction season.
- Where traffic loops are encountered, the limits of permanent street restoration will extend to include the complete repair and restoration of these traffic control devices.
- Traffic loops and their associated conduits are not marked by Dig Safe and are typically shallow, located fairly close to the surface. **Contact Providence DPW for more information on Traffic Loops.**
- The Contractor shall respond to all emergency calls immediately and commence emergency repair work at the job site within one (1) hour of being notified by the OWNER.
- All valve installations and coupling connections at work limit terminations shall be restrained to the new piping for future work in adjacent areas.
- Water mains, water services, and hydrant runouts that are disconnected from the system and abandoned in place shall be capped at ALL openings.
- A water facility shall be considered mismarked if its actual location is found to be greater than three feet from the DIGSAFE marked field location.
- By-pass material components (including but not limited to temporary service hoses, couplings, adapters, valves, garden hose wyes, hose ends, and all other fittings and appurtenances) shall be manufactured in accordance with AWWA Standard C800 and shall be "Lead-Free" as defined for lead-free brass alloys in accordance with the ANSI/NSF-60 and ANSI/NSF-61 standards for components in contact with potable water. These products shall have the letters "NL" or "LF" cast into the main body for proper identification. Contractors should carry the appropriate costs to comply with these aforementioned requirements. No additional compensation will be disbursed.
- **The successful bidder must phase his bypass plan for the work area. The entire project shall not be bypassed in one continuous system. Bypass plans are subject to review and approval by OWNER.**
- 6-inch bypass piping shall be utilized where two (2) or more hydrants are located within the bypass system, unless a 4-inch bypass system has multiple feeder

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(supply) hydrants, or direct system connections. The Contractor shall always utilize 6-inch bypass piping for bypass systems that serve facilities with existing 6-inch fire services.

- Both 4-inch and 6-inch domestic and fire services are shown both on the design plans and in the bid documents in Appendix H “Contract Area Distribution Map” for each respective contract. Should the contractor need clarification to the nature of these services if not already identified in these contract documents, questions shall be submitted in writing prior to the question and inquiry deadlines set herein.
- **In terms of payment, there is no delineation between Primary and Secondary roads in the Bid Tab. Contractors should carry the appropriate costs required to work on a congested Primary Road with multiple utilities and heavy traffic. No additional compensation will be disbursed.**

2. Municipality / DPW Notes and Requirements:

- **Work may not begin before 7:00 am. If off-hours work is required, the contractor must seek permission in advance from DPW.**
- All excavations must be sawcut; tearing of pavement is not allowed.
- Should a sidewalk panel be disturbed or damaged (broken, chipped, sawcut, removed, etc.) during the course of construction, the entire sidewalk panel shall be replaced as defined in the specifications. Partial sidewalk replacement or “knockouts” are not permitted. Saving the existing sidewalk panel to place back into the panel opening shall also not be permitted. Contractor shall replace entire sidewalk panel(s) within the limits of disturbance. Limits of sidewalk replacement shall be at the existing control joints of damaged and/or disturbed panels. Sidewalks shall be replaced in full accordance with all standards, requirements, details, licenses, and permits of the municipality in which the sidewalk is located.
- Providence DPW issues road opening permits per block.
- Providence DPW will issue permits in phases to avoid construction conflicts amongst utilities.
- **Providence DPW: Anytime the contractor is partially or fully closing the public sidewalk or public road they need to submit a street closing permit for review and approval. DPW requires 2 business days’ notice on these permits. (See attached Application for Construction Street/Sidewalk Closing Permit.)**
- **Providence DPW: A traffic control plan is required to accompany the street closing permit. The exception is if you are closing the entire street on local streets.**
- **Bicycle and Pedestrian traffic must be maintained along streets in the project area. Bypass must be placed to allow the access and egress of pedestrians.**
- Temporary Paving must be completed by the end of each work day. At the discretion and approval of the municipality, plates may be allowed overnight but must be pinned and bermed. Contact Nate Urso (Providence DPW) before plating.
- No stockpiling of material in the public right of way.
- Equipment may not remain on roads overnight. Residents pay a premium to park along the roads. Contractors must have a storage yard offsite.

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- NO PORTAJOHNS are allowed in the public Right-Of-Way, they must be stored offsite (Contractor may tow facilities and store off site during non-working hours).
- Lane or sidewalk closures must be coordinated with DPW traffic. Contractors must submit a traffic plan and update DPW daily on the day's work activities.
- **Providence DPW issues "No Parking" signs for a fee. Contractors must use DPW's signage and may not create their own signs. Contact Nate Urso at 401-680-7518 for appropriate forms and fees.**
(See attached Permit for Emergency No Parking Tow Zone.)
- **Drainage basins/inlets must be protected with silt/sedimentation barrier, and not blocked by temporary bypass. Contractor shall maintain these storm water and erosion control barriers throughout the project. Contractor will be responsible to clean drainage infrastructure if non-compliant.**
- The following streets have been identified by Providence DPW to have concrete base: **Dudley Street, Providence.**
- Contractor shall maintain all temporary patches in a good state. The Contractor shall repair any temporary patch at the direction of the OWNER. Failure to comply will result in permit revocation.
- Concrete truck washout shall not occur into, adjacent, or upstream of the drainage system.
- Contractor shall not park equipment on the sidewalks.
- COMPACT in 6 inch lifts. Patches shall not deviate more than .25" above or below adjacent road grade.
- Any sawcuts that haven't been excavated or patched shall be crack sealed prior to winter shutdown.

3. Steel Road Plate Usage

Steel plates shall be designed for the safety of vehicles and pedestrians and conform to the following requirements:

- Steel plates shall withstand traffic loading without movement;
- When two (2) or more steel plates are used, the plates shall be pinned in a manner to eliminate vertical movement;
- All steel plates shall be marked with the utility or contractor name and contact information;
- Steel plates shall be installed to extend a minimum of twelve inches (12") beyond the edge of the excavation;
- Temporary paving with a cold asphalt mix shall be used to feather the edges of the plate to form a wedged taper to cover the edges of the steel plate;

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- Each corner of the steel plate shall be marked with durable and highly reflective white pavement marking tape no less than four inches (4") in width;
- The exposed surface area of the steel plate shall be slip resistant or if required by the DPW Director (or the appropriate municipal authority) have a friction coefficient equal to the street surface friction coefficient;
- All signage advising motorists of the steel plate shall be in compliance with the current addition of the manual on uniform traffic control devices.

The director of the department of Public Works or the appropriate municipal authority, in the City or Town permitting the work, may authorize use of steel plates on roadway surfaces which fail to comply with requirements above in an emergency situation or in the interest of public safety.

D. Construction Coordination, Phasing, & Scheduling

1. Customer Contact Information

- Through the course of construction, the Contractor may obtain contact information from property owners, residents, and/or tenants in order to facilitate construction operations (particularly in relation to bypass piping and temporary service connections). Contractor shall tabulate this information in a spreadsheet, formatted with the following headings: name, owner/resident/tenant, address, phone number, and email (if available). A digital copy of this spreadsheet shall be furnished to the OWNER by the completion of construction or at other such intervals as requested by the OWNER, so that OWNER can update contact databases with newly acquired information.

2. National Grid Construction - Coordination

- National Grid personnel will be monitoring the projects for potential encroachments and will work closely with the successful bidder to ensure compliance with their requirements. The successful bidder is required to inform the National Grid field representative of any issues encountered or foreseen within their trench excavations.
- National Grid may have abandoned gas mains (within the projects limits) that have been leased as conduits for telecommunications (fiber optics).
- National Grid will coordinate the removal of unoccupied abandoned mains that encroach upon our existing water mains at their cost.
- National Grid will be invited to both the Pre-Construction meetings and on an as needed basis to bi-weekly project meetings once construction has begun.

3. RI Hospital Complex – Coordination

- The Contractor shall coordinate their work schedule, shutdowns, and traffic control plans with Rhode Island Hospital, Women & Infants, South Side Medical Center,

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Liston Campus – Community College of RI (CCRI), doctor's / specialists offices, and businesses in the project area. It is critical that water supply be maintained to all hospitals and medical facilities at all times.

4. RI Public Transit Authority (RIPTA) – Coordination

- The Contractor shall coordinate their work schedule, shutdowns, and traffic control plans with RIPTA in regard to their bus routes and stops in this project area.

5. RIDOT – Coordination

- The Contractor shall submit traffic control plans and seek permits from RIDOT for all state-maintained roads.
- For a complete listing of State-maintained roads please contact RIDOT or visit their website at:
www.dot.ri.gov/about/maproom/State_Maintained_Roads.php
- **Per PW coordination correspondence with RIDOT, there are no State-maintained roads within the contracts' limits.** However, it is still the successful bidder's responsibility to coordinate with RIDOT to confirm state-maintained roads within their project limits. The preceding list should not be construed as complete nor binding in any fashion.

6. Traffic Control / Police Details

- **Contractors shall schedule the details with the respective police departments. Police details shall be paid by the Contractor and reimbursed by PW per pay period without markup.** For reimbursement purposes, the Contractors shall submit invoices copies from the respective cities and towns with copies of daily detail vouchers for verification.
- **Should a police detail be unavailable, Contractors may use flagmen. Flagmen will be compensated by Providence Water per pay application.** PW will reimburse subcontractor flagging invoices as a pass through without markup. If the successful bidder chooses to use his own forces for flagging, they will be compensated based upon certified payroll wages, without markup.
- Contractors shall consult with the local police departments for pertinent traffic control needs.
- Should the bidder intend to meet a portion of MBE/WBE minority compliance goals with use of a State of Rhode Island certified MBE/WBE contractor, the use of the flagging allowance cost in the bid form in calculating compliance goals is permitted. **However, the excessive use of flagging services to artificially inflate minority participation to meet contractual requirements is prohibited.**
- For purposes of bonding and award, lump sum allowances for police and flagging are included in the bid form. The invoices for these costs will be paid in monthly payment requisitions, against these allowances, as a pass-through with no markup.
- Separate compensation shall not be disbursed for the costs associated with bonding, administration, and coordination of both police details and flagging services.

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E. Private-Side LSR Installations

1. The OWNER will mail all property owners (with both lead & copper public side services) within the scope of work, a construction notification letter. Time permitting, the letter shall be sent at least 45 days prior to the public side lead service replacement work. The "45 Day Notification Letter" shall advise the property owner of the upcoming scheduled work activities, notify the property owner that a lead service potentially exists at their location, and ask the property owner if he/she is interested in a Not-To-Exceed estimate for the work, allowing the either the water main Contractor or an independent contractor to replace their private side lead service at the property owner's expense.
2. Providence Water has included Part 3 of the Bid Schedule, as a mechanism for successful bidders to potentially (with OWNER authorization) complete private side lead service replacements within the contract limits.
3. **At PW's sole discretion (based on the submitted bid price for private side service replacements), PW may direct the contractor (at their price bid) to replace said private side services from the curb stop to the building's water meter. This cost shall include the associated interior plumbing appurtenances required for code compliance as delineated in the specifications.**
4. Private side lead service replacement contracts within the contract limits may potentially be completed by Contractors that are not the Prime Contractor; if so, the successful private side lead service Contractor must coordinate private side replacement work with the Prime Contractor.
5. If contracted by a property owner the "Private Side" contractors performing private side lead service line replacements within the 2021 water main contract limits must coordinate their work with the prime contractors within each respective contract area. The private side contractor is responsible for the permanent restoration of the disturbed areas in the right-of-way (grassed area and sidewalk), only if their work occurs after the prime contractors of these contracts have completed permanent restoration for each respective contract area. Otherwise, restoration will be accomplished in accordance with the contract specifications by the prime contractor. The private side contractor is responsible for the permanent restoration of the disturbed areas in the right-of-way (grassed area and sidewalk), if said area is not or will not be disturbed by the prime contractor.

E. Customer & Resident Pre-Construction Notifications

1. 14-Day Letter Notification - "Construction Notification Advisory"
(By Providence Water)
2. 72-hour door-hanger Notifications - "Important Notice"

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- (Distributed by Contractor - Furnished by Providence Water)
3. 24-hour door-hanger Notifications - "Shutdown Notices"
(Distributed by Contractor - Furnished by Providence Water)
 4. Home/Building Service Shut-off: No earlier than 8:30 AM

F. Street and Sidewalk Restoration

1. Full Depth Asphalt Street Pavement & Permanent Sidewalk, Driveway and Street Pavement Restoration
 - With the exception of sidewalks, the typical 2” temporary restoration and settlement requirements will not be applicable. All paved areas disturbed in these contracts shall require full depth hotmix asphalt restoration, followed by a 60 day settlement period, and 2” mill and overlay.
 - WMR Contracts shall install full depth hotmix asphalt to match the existing street pavement thickness (minimum of four (4”) inches).
 - To account for settlement, the Contractor at his discretion (and at no additional expense to the OWNER) may install a two (2”) inch temporary pavement and then remove it to apply full depth pavement after a settlement period.
 - Temporary pavement markings shall be furnished at disturbed locations, as an interim measure until permanent markings can be installed following permanent street restoration. The Contractor shall maintain these excavations, at no additional cost, throughout the winter season. OWNER does not allow cold patch for temporary trench restoration over winter.
 - WMR Contractors are responsible for the concrete base restoration (if required). Should the successful bidder choose to place 2” asphalt rather than plate before pouring concrete, he shall do so at his convenience and shall not be compensated.
 - WMR Contractors are responsible for all permanent restoration of streets, sidewalks, driveways, and grassy areas. Sidewalks, and driveways shall be temporarily restored with 2” asphalt. After 60 days, sidewalks, and driveways will be permanently restored in kind, and street sections disturbed during construction will be restored via a 2” mill and overlay.
2. Pavement Maintenance and Warranty: Streets, Sidewalks, and Driveways
 - The WMR Contractor shall be responsible for any failures associated with his water main rehabilitation work, for a period of one (1) year from the date of installation.
 - The WMR Contractor shall warranty failures associated with restoration of streets, sidewalks, and driveways for a five (5) year period.

The City of Providence has adopted the permanent street restoration standards of the “Rhode Island Utility Fair Share Roadway Repair Act” legislation, as delineated in RIDOT’s - Minimum Standards for State and Municipal Road Repair for Utility Work, (Appendix I in the bid documents). Potential bidders are reminded that these requirements apply to all utility work conducted in the City including this project.

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Final street pavement restoration shall include two (2) inches of micro-milling and resurfacing all impacted travel lanes and/or shoulders for their full width using Class 9.5 or 12.5 hot mix asphalt (as directed by OWNER). Impacted travel lanes and/or shoulders are the roadway pavement areas that the utility work trench(es) are located within. In addition to the roadway pavement areas impacted by the utility work trenches, this final pavement restoration shall also apply to all travel lanes and/or shoulders impacted by **either lateral or longitudinal utility work trenches when the trenches are less than or equal to one hundred (100) feet longitudinal from one another, including the sections between trenches, so that no section(s) of roadway pavement less than or equal to one hundred (100) feet shall remain unpaved.** This will provide a continuous final pavement between the utility work trenches.

G. Special Bidding & Contractual Notes

1. **Criminal Background Check (BCI) shall be required for all Contractor employees. PW shall provide badges for all contractor employees designated to enter into homes and buildings.**
2. Polypropylene Couplings (HARCO) shall be used for all lead to copper connections at the curb stop. If the distance from curb stop to foundation is less than 10', lead free brass couplings shall be used.
3. **If the existing hydrants that Contractor proposes for bypass piping feed hydrants are not breakaway type or are found to be operationally deficient, Contractor shall replace said hydrants at the unit cost listed in the Bid Schedule (Section 00410-Bid-Form, Item Nos. 12a and 12b) prior to installation of the bypass piping system.** OWNER reserves the right to review the Contractor's proposed hydrants for bypass piping and require the Contractor to replace any existing hydrant (including those outside the limits of work) at the unit cost listed in the Bid Schedule (Section 00410-Bid-Form, Item Nos. 12a and 12b) prior to installation of the bypass piping system. The Contractor shall identify all feed hydrants on submitted bypass piping plans for OWNER's review and approval.
4. **COVID 19: With regards to COVID-19 prevention and protocols, Contractor's labor force shall maintain a social distance of at least six feet and that it is imperative to wear masks when a social distance of six feet cannot be maintained and when dealing with customers (either when entering buildings or speaking with them).**

Contractors are reminded that they are required to follow all current and continually updated PW, RIDOH, CDC, State of Rhode Island and Federal guidelines, requirements and mandates, including but not limited to social distancing and wearing masks/face coverings. Contractors should also have and adhere to their own site safety and work plans.

**PROVIDENCE WATER
2021 CONSTRUCTION SEASON
REPLACEMENT & REHABILITATION OF
WATER MAINS AND APPURTENANCES**

F. Discussion & Questions

1. In light of the COVID-19 epidemic, will the bid opening be streamed live online?

The the Board of Contract and Supply Meeting proceedings may be available online on the City of Providence’s website. Also to the best of PW’s knowledge the submission of the bids must be performed in person. For further information Contact Purchasing Agent Patti Jordan at Providence City Hall.

2. Will the hospital be made aware of the upcoming contract work?

Yes, PW intends to meet with hospital facilities personnel and other project stake holders (including private ambulatory services) with the awarded contractor in the spring during preconstruction phase and on a biweekly basis through construction.

3. “Do all of the “CNU” services need to be removed?”

No, only if the curb box can be found from visual inspection.

4. Please clarify, the drawings show many services labeled Lead CNU Remove. Will these be paid under line item 24A, B and C? It is per LF and per each?

See response to question number 3. If a curb stop is found, the contractor shall close the corporation stop then cut and crimp the existing lead service (Item 24b., each). Finally the old curb stop and box shall be removed and disposed of (Item 24c., each).

5. Is night work anticipated?

Yes in some circumstances it may be needed or required, especially with relation to the hospital complex. Potential night work would be dependent upon the water critical needs of the hospital and other medical related stake holders in this area. At this point, all work is anticipated to occur during day light hours, starting at 7:00 AM; however, contractors are advised that night work may be required.

6. What roadways have concrete base?

Dudley Street has a concrete base.

7. Who pays for the RIDOT inspection fees?

If required, the RIDOT inspection costs will be paid directly by PW.

**PROVIDENCE WATER
2021 CONSTRUCTION SEASON
REPLACEMENT & REHABILITATION OF
WATER MAINS AND APPURTENANCES**

8. Is the use of line stops or insertion valves anticipated?

Historically, PW has had difficulty isolating the mains in this area. Therefore, additional insertion valves may be necessary to improve our control in this area, and therefore additional quantities have been included. See Bid Tab for additional quantities. Due to the presence of the Rhode Island Hospital Complex and other medical facilities this is a critically sensitive water service area that cannot be disrupted.

9. Is the private 12” water main on the south side of Blackstone Street a feed to the Hospital?

No, this is a private potentially abandoned cooling line from a National Grid facility on Henderson Street.

10. Do the ductile iron relay streets, Plain St and Dudley Street, require bypass?

Yes.

11. Will there be any additional details regarding utilities located on Dudley and Plain? The drawings do not include any existing utilities, and I assume there are an abundance of utilities around the hospital?

No. Please refer to “Section 00200 Instructions to Bidders, Article 4.1 “Subsurface and Physical Conditions” and Article 4.2 “Underground Facilities”

“Site conditions as depicted are not based on an actual survey and may not show all utilities present. The Contractor is responsible for confirming the location of all underground utilities prior to the commencement of construction. The contractor shall be responsible for all underground utility lines and structures; active or not and shall maintain a close and constant contact will all utility companies or agencies involved.”

The awarded contractor is responsible to DigSafe the entirety of the project limits, prior to excavation.

“The OWNER makes no claim to the accuracy nor completeness of the locations shown for existing Under Ground Facilities.”

12. Is bypass required on Prairie Avenue?

The work can be planned without bypass on Prairie Street, as the existing cross can be replaced in one shut down period.

**PROVIDENCE WATER
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WATER MAINS AND APPURTENANCES**

- 13. At the intersection of Plain and Blackstone, it does not show how we are tying in to the 16” CI main going down Blackstone. What is the plan for that intersection?**

Remove the existing 16” x 8” cross and replace with a 16” x 12” cross, and appropriately sized DI pipe and couplings for the tie-in.

- 14. Is it PW’s intention to do a one day shut down on the 30” to change the gate valve on Plain Street at Public St?**

Yes.

- 15. Drawing sheet 4 of 8, at the intersection of Staniford St and Blackstone Street, the 6” line is shown being cleaned and lined to the existing 16” Main. Will the 16” Main be shut down for the work or will just the intersection of the mains be shut down? Will the 6” Lined be cleaned and lined as a dead end, or will another access hole be required to line the branch off the 16x6 tee?**

The 16” main on Blackstone Street must be shut down. The 6” valve (T41.052) located on the north property line of Staniford Street shall be relocated to the branch off the 16” main to isolate the 6” main on Staniford Street, this resolves the need for an additional access pit.

- 16. On sheet 4, is it PW intention to remove and replace the 16”x8” cross?**

Yes.

- 17. On Sheet 7 on Staniford Street we are to remove 6” Cast Iron stub, valve, blowoff and end cap. What about the 6”x6” tee?**

Remove and replace the 6” tee on Staniford with ductile iron. Cut, cap, and abandon in place the 6” cast iron branch. Water mains, water services, and hydrant runouts that are disconnected from the system and abandoned in place shall be capped at ALL openings.

- 18. On sheet 8 is it your intention to do a one day shut down on the 30” to change the gate valve on Rhodes @ Eddy?**

Yes, at the same time as Plain Street and Public Street.

- 19. On Blackstone Street there are Fire hydrants to be replaced. Will the old tee be removed and replaced which will require shutting down the 16” main, or will the old tee and valve be abandoned in place and a 16 x 6 Tapping sleeve and valve be installed for the new hydrants?**

**PROVIDENCE WATER
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REPLACEMENT & REHABILITATION OF
WATER MAINS AND APPURTENANCES**

No the 16” tees shall remain undisturbed. The contractor shall remove and replace with ductile the hydrant branch (runout) off the 16-inch, a new gate valve, and hydrant assembly.

- 20. Section 05000 states pipe will be class 52 zinc coated, unless directed by the Owner or high service fire mains would require class 56. Do you anticipate any class 56 being required?**

The use of Class 56 Ductile Iron pipe is not anticipated for this contract. If class 56 pipe is encountered, PW will direct the contractor as to whether to replace the piping in-kind on a case-by-case basis.

- 21. Please clarify where item 22C will be used - Permanent Bituminous paving 9?**

Contractors shall install full depth hotmix asphalt to match the existing street pavement thickness in-kind (minimum of four (4”) inches). Based on historic data from similar water main projects, a small quantity has been included in the event an unexpected roadway is encountered with a 9-inch thickness.

- 22. For Item 33b - Cold Plane / Micro Mill Bit Pavement Restoration (2" Depth), does this include 2" pavement overlay?**

Yes.

- 23. Item 33b for cold plane has a quantity of 27,000 CY. Is that basically the entire project?**

Yes.

- 24. What item will be used for the full depth asphalt trench patch?**

The initial full depth asphalt placed in the trench after compaction is paid by depth (4”, 6”, & 9”) in square yards, Items 22a, 22b, and 22c. Item 22e is a cubic item for Full Depth Binder that if directed by PW will be applicable on a case by case basis.

- 25. Will you accept CertainTeed Yelomine PVC bypass instead of HDPE? The CertainTeed product is a restrained joint system.**

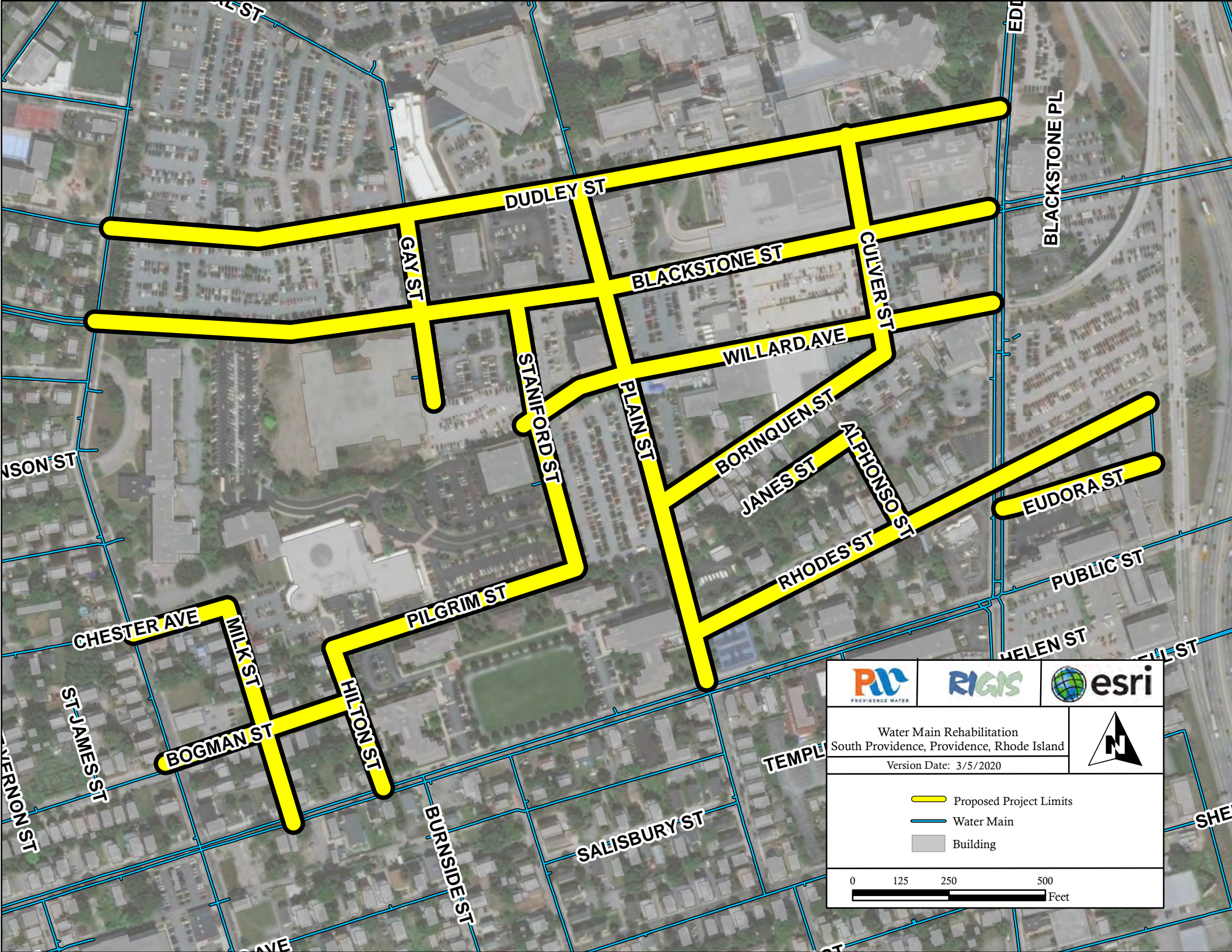
No, all piping utilized for the main line temporary by-pass shall be fusion welded, high density polyethylene (HDPE) piping.








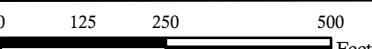
**PROVIDENCE WATER
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WATER MAINS AND APPURTENANCES**

NOTE: The information contained in this meeting report reflects our understanding of topics discussed and the decisions reached at the above meeting. Please contact the author immediately if you are not in agreement with any item of discussion.

Attachments:

- Contract 4-21 Upper South Providence (Plain St) GIS Plan
- Application for Construction Street/Sidewalk Closing Permit
- Permit for Emergency No Parking Tow Zone
- Addendum No. 1 – Contract 4-21 Upper South Prov. (Plain St.)



		
<p>Water Main Rehabilitation South Providence, Providence, Rhode Island Version Date: 3/5/2020</p>		
<p> Proposed Project Limits  Water Main  Building</p>		
<p>0 125 250 500 Feet</p> 		



Department of Public Works
Traffic Engineering
Jorge O. Elorza, Mayor

Date received: _____ (official stamp or clerk's initials only)

Application for Construction Street/Sidewalk Closing Permit

Application Fee: \$25.00 – If you are doing the closure

\$185.00 – If Traffic Engineering is doing the closure

(Make check payable to: Providence City Collector)

MUST APPLY AT LEAST 2 BUSINESS DAYS IN ADVANCE

*Applications which are received less than ten days prior to the event must be accompanied by a **\$50.00 surcharge** in addition to the application fee, which will be refunded if it can't be processed before the event date.

Proof of Liability Insurance Required

Check or Money Order Only-Payable to Providence City Collector

Applicant: _____ Person to Contact: _____

Address: _____

Telephone: _____

Days

Nights/Weekends

Fax

Email

Please circle which apply:

Entire Street/Sidewalk/One Travel Lane Only/Parking Lane Only to be closed:

_____ Between _____ and _____

Date(s) of Closure: From: _____ to: _____

Hours of Closure: From _____ to: _____

Reason for closure:

Will the street be obstructed with equipment, supplies, trucks, or any other obstruction? YES NO

Will propane be used on street or sidewalk areas? YES NO

Do you require The Traffic Engineering Division to provide any physical closures? YES NO

Method: Sawhorses _____ Cones _____

Will the contractor be performing the physical closure and providing signage? YES NO

If the contractor is performing the closure, a traffic management plan is to be submitted indicating the signs and other traffic control devices required for the full or partial closure.

The Applicant is responsible for notifying the property owners abutting the partial or full closure of the sidewalk or street at least 24 hours in advance.

Applicant must provide proof of liability insurance in the amount of \$1,000,000.00 naming the City of Providence and its employees and/or agents as additional insured.



Department of Public Works
Traffic Engineering
Jorge O. Elorza, Mayor

Important notice! This affects your legal rights!

By signing this application for a Construction Street Closing Permit, you agree to indemnify, defend and hold harmless the City, its employees and agents, from any claims, suits, demands, actions or proceedings of any kind, and any injuries, damages, costs, including reasonable attorney's fees, expenses or losses of any kind by anybody arising from or relating to the street closing.

If you are blocking or obstructing parking meters during the weekday (Monday thru Saturday), you will be charged a rate of \$12.50 per day per meter. **TOTAL CHARGE FOR THIS STREET CLOSING PERMIT IS \$25.00 / \$185.00 PLUS ANY PARKING METER CHARGES THAT MAY APPLY. Please note that this permit only grants permission to have the street closed for the construction activities described on this permit during the approved time shown on this document ONLY.**

Signature of applicant: _____ Date: _____

Full name, printed: _____

FOR OFFICIAL USE ONLY

Detail Officer required? Circle: YES NO

* Please note it is the customer's responsibility to Order Police Details. (Detail Office #: 401-243-6405)

In the interest of public safety, this permit can be revoked by the Director of Traffic Engineering, the Director of Public Works, the Chief of Police, the Fire Chief, or their designees if closure presents a traffic, pedestrian or safety hazard.

Restrictions: _____

Approved: _____ Dated: _____

Natale D. Urso, P.E., P.T.O.E (Traffic Engineer)

Email: Nurso@providenceri.gov and Oacevedo@providenceri.gov

Traffic Engineering Division, 700 Allens Ave, Providence, RI, 02905

Phone: 401-680-7500 Fax: 401-781-4044



Addendum Description

From the Water Supply Board, please note that the pre-bid virtual meeting is NOT mandatory.

Notice Modifications

Notice Information	From Value	To Value
No entries		

Category Modifications

Added Categories
No Categories Added

Removed Categories
No Categories Removed



WATER MAIN REHABILITATION PROGRAM
Replacement/Rehabilitation of Water Mains and Appurtenances within the
Providence Water Supply's Distribution System

CONTRACT 4-21
(PW Project No. 20214)
Upper South Providence (Plain St.)

ADDENDUM NO. 2

RESPONSE TO BIDDER QUESTIONS

The following questions and responses, in reference to the 2021 water main rehabilitation project above, are hereby issued for record.

1. Response to Question Submitted 1/20/2021:

Question Submitted:

“There are services shown as "CNU" but they are not all highlighted as being part of the project scope. Example on Sheet #3: Service #2747 located at 192 Prairie Ave. I just want to confirm either way on these.”

Response from PW:

The CNU's off the 16" main on Prairie Avenue (and the 12" main on Eddy Street) are not included in the scope of work.

Aside from some ductile tie-ins on Prairie Avenue and Eddy Street, PW is not rehabilitating the mains on Prairie Avenue and Eddy Street.

2. Response to Question Submitted 1/21/2021:

Questions Submitted:

“Regarding 16 Borinquen Street in Providence (4-21 project), Sheet #5 shows the service leading to an empty lot”

Response from PW:

Lead service at 16 Borinquen Street (Stop No. 21828), should be designated as CNU Remove. See revised bid schedule in Addendum No. 2.



PROVIDENCE WATER

WATER MAIN REHABILITATION PROGRAM Replacement/Rehabilitation of Water Mains and Appurtenances within the Providence Water Supply's Distribution System

3. Response to Question Submitted 1/22/2021:

Question Submitted:

“Please confirm the lead service replacement at 82 Borinquen St”

Response from PW:

Remove the service replacement at 82 Borinquen St from the scope of work.

This lead service was removed and replaced with copper on 6/15/2020.

See revised bid schedule in Addendum No. 2.

Should you have any questions, please do not hesitate to contact either Norm Ripstein at 401-521-6300 ext. 7212 or Roger Biron at ext. 7285.

Respectfully,

PROVIDENCE WATER



Merrill W. Sherman
Chair

Jeffrey R. Diehl
Executive Director & CEO

**DW, R&B and EBF
Loan Disbursement Schedule
for the
RI Infrastructure Bank
2021**

January 8, 2021	July 23, 2021
* January 22, 2021	August 6, 2021
February 5, 2021	August 20, 2021
February 19, 2021	September 3, 2021
March 5, 2021	September 17, 2021
March 19, 2021	October 1, 2021
April 2, 2021	October 15, 2021 *
April 16, 2021	October 29, 2021
April 30, 2021	November 12, 2021 *
May 14, 2021	November 26, 2021 *
May 28, 2021	December 10, 2021
June 11, 2021	December 24, 2021 *
June 25, 2021	January 7, 2022 *
* July 9, 2021	

Requisitions are due to RIIB no later than 12:00 pm the FRIDAY before a disbursement unless noted other wise (see below).

* **Requisitions are due to RIIB** no later than 12:00 pm the Wednesday before the disbursement date.

Note #1: Notice of Temporary Relaxation of Disbursement Submission Schedule: RIIB is pleased to announce that, in cooperation with our regulatory partners, the Infrastructure Bank will temporarily lift the alternating week schedule and process draw requests as they are submitted. We will also allow multiple disbursement requests submitted in a single month under any of our loan programs

Note #2: Payments will be released on the Monday following the disbursement date (unless there is a holiday then payments will be released on the Tuesday).

Specifications
for
Replacement / Rehabilitation
of
Water Mains and Appurtenances
within Providence Water's
Distribution System

THE HON. JORGE O. ELORZA
Mayor

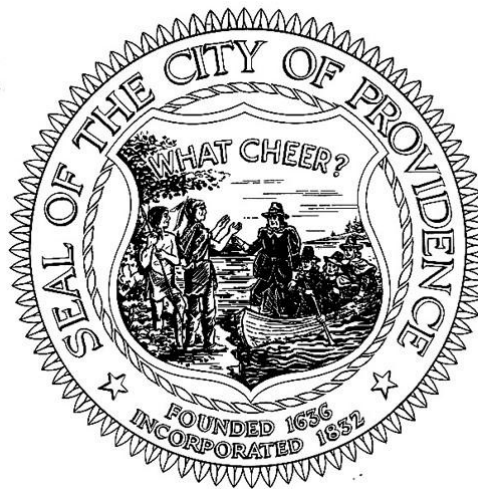
XAYKHAM KHAMSYVORAVONG
Chairperson

MICHAEL J. CORREIA
City Councilperson

SARA SILVERIA
Ex-Officio

DR. ALMA M. GUERRERO BREADY
Member

WILLIAM E. O'GARA, ESQ.
Legal Advisor



RICKY CARUOLO
General Manager

JOSEPH D. CATALDI
Vice Chairperson

JO-ANN RYAN
City Councilperson

CRISTEN L. RAUCCI, ESQ.
Member

CARISSA R. RICHARD
Secretary

CONTRACT 4-21



**SPECIFICATIONS
FOR
REPLACEMENT/REHABILITATION
of
WATER MAINS and
APPURTENANCES
CONTRACT 4-21**

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00300	Information Available to Bidders
00410	Bid Form (Cleaning & Lining)
00430	Proposed Subcontractor and Supplier Listing
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05000	Utility Piping
05200	Cleaning and Lining Water Mains
05600	Flow Stopping Devices
05800	Temporary Bypass Piping and Services
08000	Paving, Surfacing, & Permanent Repairs to Streets & Sidewalks
08100	Infrared Bituminous Pavement Restoration
08200	Cold Plane / Micro-Mill Bituminous Pavement Restoration

APPENDICES

Appendix A – Contract Drawings

Appendix B – Typical Construction Details

Appendix C – RI DWSRF Program Contract & Signage Specifications Package

Appendix D – EPA, Davis-Bacon Prevailing Wage Requirements

Appendix E – EPA, American Iron and Steel (AIS) Requirements

Appendix F – EPA Regulations - Debarment and Suspension

Appendix G – National Grid, “Cast Iron Gas Main Encroachment”

Appendix H – Contract Area Distribution Map

Appendix I – RIDOT - Minimum Standards for State and Municipal Road Repair for Utility Work

Part 1

ADDENDUM NO. 2

14. Lead Service Replacement

**a. Furnish and Install 1" Copper Tubing
(Trenchless Technology)**

350 LF

Est. Qty.

Price per LF (Figures)

Price per Linear Foot (Written)

Total Amt. Bid (Figures)

**b. Furnish and Install 1" Copper Tubing
(Open-Cut Trench)**

100 LF

Est. Qty.

Price per LF (Figures)

Price per Linear Foot (Written)

Total Amt. Bid (Figures)

**c. Furnish and Install 1" Corporation Stop, Curb Stop,
and Service Box**
(Includes Corp, Curb Stop & Service Box)

24 EA

Est. Qty.

Price per Each (Figures)

Price per Each (Written)

Total Amt. Bid (Figures)

15. Lead Service Replacement

**a. Furnish and Install 1-1/2" Copper Tubing
(Trenchless Technology)**

30 LF

Token Qty.

Price per LF (Figures)

Price per Linear Foot (Written)

Total Amt. Bid (Figures)

**b. Furnish and Install 1-1/2" Copper Tubing
(Open-Cut Trench)**

15 LF

Token Qty.

Price per LF (Figures)

Price per Linear Foot (Written)

Total Amt. Bid (Figures)

**c. Furnish and Install 1-1/2" Corporation Stop,
Service Saddle, Curb Stop, and Service Box**
(Includes Corp, Service Saddle, Curb Stop & Service Box)

1 EA

Token Qty.

Price per Each (Figures)

Price per Each (Written)

Total Amt. Bid (Figures)

SECTION 05000 UTILITY PIPING

d. The disinfecting solution shall be left in the mains under full pressure for a period of not less than 24 hours. Prior to flushing the water main, a sample shall be obtained from the water main to verify that a minimum Chlorine residual concentration of 50 ppm is present. The entire section shall then be flushed through a neutralizing agent until all traces of Chlorine are removed in accordance with the **latest revision to AWWA Standard C655, Field Dechlorination**. NOTE: Under special circumstances approved by OWNER, a 3 hour disinfection period may be allowed with the requirement that a minimum Chlorine residual concentration 100 ppm is present in the main at the end of the disinfection period.

e. **The Contractor shall conform to all federal, state, and local discharge and permitting requirements. The costs associated with the dechlorination and discharge of water (including permitting, if required) shall be borne by the Contractor, at no additional cost to the OWNER.**

f. After completion of the final flushing of the new water main, and prior to connecting main to the distribution system and placing into service, two (2) consecutive sets of water samples from the new main **shall be taken by OWNER and delivered to OWNER's laboratory, at least 24 hours apart, to be analyzed for total coliform and heterotrophic plate count (HPC).**

g. Water samples shall be collected by the OWNER's representative, from only approved water sample locations. At no time shall bacterial samples be collected from Fire Hydrants without prior approval by OWNER and special procedures followed. Water sample shall be taken at every terminus of the main, also at points no further apart than 1,000 feet. Sample collection and analysis must be performed by OWNER's personnel and laboratory, at no additional cost to the contractor.

h. Any new water main or section of pipe failing to meet OWNER's laboratory standards for disinfection shall be flushed or re-chlorinated, at the discretion of the Owner, until the desired results are obtained.

i. The analytical results of the samples shall reflect what is typical of the distribution system in the area where the water main is replaced.

Parameters measured by the OWNER's laboratory:

- Total Coliform
- HPC (Heterotrophic Plate Count)
- Free Chlorine
- Total Iron

SECTION 05000 UTILITY PIPING

Required standards for acceptance:

- Total Coliform = Negative
- HPC = <30 Colonies per plate
- Free Chlorine = <0.90 ppm (acceptable range shall be 0.10 - 0.90 ppm)
- Iron = <0.30 ppm Total Iron

Samples that are visibly discolored due to elevated iron levels shall be rejected.

j. Connections at cuttings shall be swabbed with 50 ppm solution of Chlorine at locations when other methods are not applicable.

k. Chlorine, or other OWNER approved disinfection agents, shall be ANSI/NSF-60 certified for use in potable water.

8.6.2 Particular attention is directed to the requirement that a double-check valve installation shall be made in the water supply to the main under treatment, to prevent possible backflow or siphonage of chlorine treated solutions into the distribution system in service. At no time is an existing Valve separating a live water main to the new water main be opened for the purpose of flushing or filling a newly installed water main, until that new water main has been accepted by OWNER and placed into service.

8.6.3 Permission of the Owner must be obtained by the Contractor before any water main is placed into service.

8.6.4 Valves and Fittings

8.6.4.1 Before valves and fittings are installed, they shall be thoroughly disinfected in accordance with AWWA Standard C651. **Chlorine used for disinfection shall be ANSI/NSF-60 certified for potable water use.**

8.6.4.2 A solution of 50 mg/L available chlorine shall be applied directly to the surfaces of all parts of the valve and fittings that would be in contact with potable water.

8.6.4.3 The chlorine solution may be applied with suitable brushes or spray equipment. The solution shall thoroughly coat all surfaces to be treated.

8.6.4.4 The disinfected surfaces shall remain in contact with the strong chlorine solution for at least 30 minutes, after which the valve and fittings shall be rinsed with potable water. Following this procedure, the valve and fittings may be installed upon approval of the Owner.

SECTION 05000 UTILITY PIPING

8.7 WATER SERVICE LEAKAGE REPAIRS

8.7.1 Upon activation, the Contractor shall observe and check the new water service line for any visible leaks. The Contractor shall stop all visible leaks at the joints or connections, and remove and replace any cracked or defective piping, fittings, or valve.

8.8 WATER SERVICE DISINFECTION

8.8.1 Before the piping, curb valve and fittings are installed, they shall be disinfected in accordance with AWWA Standard C651. Chlorine used for disinfection shall be NSF 60 certified for potable water use.

8.8.2 A 50% chlorine solution shall be applied directly to the surfaces of the corporation stop, service piping, curb valve and fittings. The chlorine solution may be applied with suitable brushes or spraying devices. The solution shall thoroughly coat all surfaces to be treated.

8.9 WATER SERVICE FLUSHING

8.9.1 The Contractor shall open the corporation at the water main connection to perform a preliminary flushing and cleaning of the new service piping prior to connection to the existing private-side service piping.

8.9.2 Whereupon the final connection of the new service to the existing private service piping is completed, and the water service is activated, the Contractor will perform a final flushing of the overall service line utilizing the exterior faucet/hose bib of the house or building. The final flushing shall be performed for a minimum period of fifteen (15) minutes. If an exterior faucet is not available, or is inoperable, and a final flush cannot be performed, the Contractor shall deliver and place a "red" door-hanger notice, as provided by the Owner, at the home (building). This notice will advise the homeowner and/or resident to flush their internal plumbing.

8.9.3 The contractor must coordinate with OWNER before removing a lead water service from the bypass, and shall notify OWNER 24 hours prior to the final connection and activation of a new service line connection to an existing lead private side pipe.

8.10 WATER QUALITY SAMPLING AND TESTING

8.10.1 When a public-side lead service is removed, replaced with a copper service, reconnected to a private-side lead service, and after it is activated; the OWNER shall then make arrangements to obtain a water sample for lead testing at a certified testing laboratory. The Owner is responsible for obtaining the water samples and the costs associated with the laboratory testing.

SECTION 05000 UTILITY PIPING

Ductile Iron Pipe Restraint Guide

Bends				
	11.25	22.5	45	90
<i>Pipe Size</i>	<i>Restraint Length</i>			
4"	2'	3'	6'	14'
6"	2'	4'	8'	20'
8"	3'	6'	11'	26'
10"	3'	6'	13'	31'
12"	4'	8'	15'	36'
16"	5'	10'	19'	46'

End Caps	
<i>Pipe Size</i>	<i>Restraint Length</i>
4"	25'
6"	35'
8"	46'
10"	55'
12"	65'
16"	83'

Tees			
<i>Pipe Size</i>	<i>Restraint Length</i>	<i>Pipe Size</i>	<i>Restraint Length</i>
4" x 4"	25'	12" x 4"	25'
6" x 4"	25'	12" x 6"	35'
6" x 6"	35'	12" x 8"	46'
8" x 4"	25'	12" x 10"	55'
8" x 6"	35'	12" x 12"	65'
8" x 8"	46'	16" x 6"	35'
10" x 4"	25'	16" x 8"	46'
10" x 6"	35'	16" x 12"	65'
10" x 8"	46'	16" x 16"	83'
10" x 10"	55'		

Reducers	
<i>Pipe Size</i>	<i>Restraint Length</i>
6" x 4"	18'
8" x 4"	33'
8" x 6"	19'
10" x 4"	45'
10" x 6"	34'
10" x 8"	19'
12" x 4"	56'
12" x 6"	47'
12" x 8"	35'

Notes:

Restraint lengths are calculated in feet from face of fitting to closest bell or mechanical joint.

All calculations are based on the pipe bedded in a 4" minimum of loose soil backfill, lightly consolidated to top of pipe and then backfilled to a depth of 4.0'.

Also the piping will have a maximum pressure of 150 psi.

END OF SECTION

SECTION 05800 TEMPORARY BYPASS PIPING AND SERVICES

4-inch outlet and valve, shall serve as a temporary hydrant. Temporary hydrants shall meet the approval of the OWNER, and shall be set in such a manner that the Fire Department will have no difficulty making a connection with a fire hose, and where they will cause the least obstruction to vehicular and pedestrian traffic, and will be least likely to be damaged. Nozzles shall be threaded for a cap and grooved for a fire hose attachment which meets the requirements of the governing Fire Department. Before permanently shutting off the water main that is to be replaced, the Contractor shall test all temporary hydrants and valves to be sure that they are in proper working order. Once put into use, the temporary hydrants shall be maintained until the existing hydrants and/or new hydrants are restored to service. No separate payment will be made for such work, and all associated cost shall be included with the Owner-approved "Not to Exceed Lump Sum" price of respective project assignments or "Unit Rates" for the respective bid items specified for the Contract work.

Field Quality Control

8.1 PROTECTION

- 8.1.1** The Contractor shall be responsible for taking and providing all necessary and required precautionary measures at all times during the installation and removal of the temporary bypass service piping and building service connections, to prevent any contamination of the OWNER distribution system, and for the protection of public health and safety. When dechlorinating by-pass piping, water discharged from the piping shall be free of residual chlorine **in accordance with the latest revision to AWWA Standard C655, Field Dechlorination.**
- 8.1.2** **The Contractor shall conform to all federal, state, and local discharge and permitting requirements. The costs associated with the dechlorination and discharge of water (including permitting, if required) shall be borne by the Contractor, at no additional cost to the OWNER.**
- 8.1.3** The Contractor shall be responsible for providing labor, materials, and equipment on a twenty-four (24) hour stand-by status to maintain continuous water service to all OWNER costumers at no additional cost to the OWNER. Any service interruptions, whether caused by defective piping, pipe jointing or other components; physical damage by vehicles; vandalism; frost action; or other unforeseen reasons, shall be immediately corrected and repaired so as to restore the temporary service to all OWNER customers as soon as possible.

END OF SECTION

SECTION 00480

**EPA
DISADVANTAGED ENTERPRISE (DBE)
PROGRAM**

GOOD FAITH EFFORTS

EPA DBE SUBCONTRACTOR FORMS

EPA Form 6100-2

EPA Form 6100-3

EPA Form 6100-4

Good Faith Efforts

What is the Purpose of the Good Faith Efforts?

The Good Faith Efforts are methods employed by all EPA financial assistance agreement recipients to ensure that disadvantaged business enterprises (DBEs) have the opportunity to compete for procurements funded by EPA financial assistance funds.

What Are the Good Faith Efforts?

- ❖ Ensure DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and local government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
- ❖ Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
- ❖ Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and local Government recipients, this will include dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
- ❖ Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
- ❖ Use the services and assistance of the SBA and the Minority Business Development Agency of the Department of Commerce.
- ❖ If the prime contractor awards subcontracts, require the prime contractor to take the steps in paragraphs (a) through (e) of this section.

What are the New Contract Administration Provisions?

When the DBE rule goes into effect, there are a number of new provisions designed to prevent unfair practices that adversely affect DBEs. Those provisions are as follows:

- ❖ A recipient must require its prime contractor to pay its subcontractor for satisfactory performance no more than 30 days from the prime contractor's receipt of payment from the recipient.
- ❖ A recipient must be notified in writing by its prime contractor prior to any

termination of a DBE subcontractor for convenience by the prime contractor.

- ❖ If a DBE subcontractor fails to complete work under the subcontract for any reason, the recipient must require the prime contractor to employ the Six Good Faith Efforts if soliciting a replacement subcontractor.
- ❖ A recipient must require its prime contractor to employ the Six Good Faith Efforts even if the prime contractor has achieved its fair share objectives.

What are the New Forms Associated With the New Contract Administration Provisions?

EPA Form 6100-2 - DBE Program Subcontractor Participation Form. This form gives a DBE subcontractor the opportunity to describe the work the DBE subcontractor received from the prime contractor, how much the DBE subcontractor was paid and any other concerns the DBE subcontractor might have.

EPA Form 6100-3 - DBE Program Subcontractor Performance Form. This form captures an intended subcontractor's description of work to be performed for the prime contractor and the price of the work submitted to the prime.

EPA Form 6100-4 – DBE Program Subcontractor Utilization Form. This form captures the prime's intended use of an identified DBE subcontractor, and the estimated dollar amount of the subcontract.

Form	Requirement	Provided By	Completed By	Submitted To
EPA Form 6100-2	Recipients required to have prime contractors provide form to Subcontractors	Prime Contractors	DBE Subcontractors	EPA DBE Coordinator
EPA Form 6100-3	Recipients required to have prime contractors provide form to Subcontractors	Prime Contractors	DBE Subcontractors	Recipients as part of bid or proposal package
EPA Form 6100-4	Recipients required to have prime contractors complete the form	Recipients	Prime Contractors	Recipients as part of bid or proposal package



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

MAR 8 2016

OFFICE OF
SMALL BUSINESS
PROGRAMS

MEMORANDUM

SUBJECT: Suspended Use of Forms Associated with Disadvantaged Business Enterprise Participation in Financial Assistance Agreements

FROM: Kimberly Y. Patrick, Director
Office of Small Business Programs

A handwritten signature in black ink, appearing to read "KYP", is written over the name "Kimberly Y. Patrick" in the "FROM:" field.

Teree Henderson, DBE Program National Coordinator
Office of Small Business Programs

TO: EPA Financial Assistance Agreement Recipients, Prime Contractors and DBE Subcontractors

As of March 7, 2016, EPA has suspended use of the following forms associated with the DBE Rule pursuant to 40 CFR 33:

CONTRACT ADMINISTRATION

- EPA Form 6100-2, DBE Subcontractor Participation Form;
- EPA Form 6100-3, DBE Subcontractor Performance Form; and
- EPA Form 6100-4, DBE Subcontractor Utilization Form

CERTIFICATION APPLICATIONS

- EPA Form 6100-1a, Sole Proprietorship;
- EPA Form 6100-1b, Limited Liability Company;
- EPA 6100-1c, Partnerships;
- EPA Form 6100-1d, Corporations;
- EPA Form 6100-1e, Alaska Native Corporations;
- EPA Form 6100-1f, Tribally Owned Businesses;
- EPA Form 6100-1g, Private and Voluntary Organizations;
- EPA Form 6100-1h, Concerns Owned by Native Hawaiian Organizations; and
- EPA Form 6100-1i, Concerns Owned by Community Development Corporations

EPA is currently making revisions to the DBE Rule which will affect use of the above-mentioned forms and as a result, use of the forms have been postponed until further notice. EPA financial assistance agreement recipients who initiated procurements prior to March 7, 2016 are expected to require use of EPA Forms 6100-3 and 6100-4. The optional use of EPA Form 6100-2 is also valid for procurements initiated prior to March 7, 2016. Recipients who initiate procurements after March 7, 2016 cannot require the use of these forms. Entities seeking EPA DBE certification should contact Teree Henderson at henderson.teree@epa.gov for further instruction.

Please note that while use of the aforementioned forms has been suspended, the remaining requirements under 40 CFR 33 are still in effect; this includes, but is not limited to: the Good Faith Efforts (Subpart C), the Fair Share Objectives (Subpart D), and Recordkeeping and Reporting (Subpart E). EPA financial assistance agreement recipients, prime contractors and DBE subcontractors are expected to make every effort to continue to uphold the intent of the DBE Program.

The process to improve the DBE Rule is underway. During this process there will be notices posted in the Federal Register soliciting your comments and feedback. We encourage you to provide suggestions during this time. If you have any questions, please contact your Regional Small Business Coordinator, or Teree Henderson, DBE Program National Coordinator, at 202-566-2222.

cc: Regional Small Business Coordinators
Office of Grants and Debarment

Disadvantaged Business Enterprise (DBE) Program DBE Subcontractor Participation Form

An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE¹ subcontractor² the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

Subcontractor Name		Project Name	
Bid/ Proposal No.	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Prime Contractor Name		Issuing/Funding Entity:	

Contract Item Number	Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies	Amount Received by Prime Contractor

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Participation Form**

Please use the space below to report any concerns regarding the above EPA-funded project:

Subcontractor Signature	Print Name
Title	Date

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

This form is intended to capture the DBE¹ subcontractor's² description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractor's bid or proposal package.

Subcontractor Name		Project Name	
Bid/ Proposal No.	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Prime Contractor Name		Issuing/Funding Entity:	

Contract Item Number	Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies	Price of Work Submitted to the Prime Contractor
DBE Certified By: ___ DOT ___ SBA ___ Other: _____		Meets/ exceeds EPA certification standards? ___ YES ___ NO ___ Unknown

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

Prime Contractor Signature	Print Name
Title	Date

Subcontractor Signature	Print Name
Title	Date

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

Disadvantaged Business Enterprise (DBE) Program DBE Subcontractor Utilization Form

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE¹ subcontractors² and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

Prime Contractor Name		Project Name	
Bid/ Proposal No.	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Issuing/Funding Entity:			

I have identified potential DBE certified subcontractors	__ YES	__ NO	
If yes, please complete the table below. If no, please explain:			
Subcontractor Name/ Company Name	Company Address/ Phone/ Email	Est. Dollar Amt	Currently DBE Certified?

Continue on back if needed

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

Prime Contractor Signature	Print Name
Title	Date

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

APPENDIX C

**RI DWSRF Program Contract &
Signage Specifications Package**



**Rhode Island Department of Health
Center for Drinking Water Quality**

**Drinking Water State Revolving Fund Program
Contract Specifications Package**

A. Federal

- 1) Equal Employment Opportunity and Affirmative Action (Executive Order 11246)
 - i) OFCCP fact sheet.
 - ii) Equal Opportunity Clause and the Standard Federal Equal Employment Specifications.
 - iii) Notice of Non-Discrimination in Employment.
- 2) Non-discrimination in employment notice.
- 3) Assurance of compliance with Title VI of the Civil Rights Act of 1964 and Section 13 of the FWPCA Amendments of 1972 (EPA form 4700-1).
- 4) Affirmative steps for soliciting MBE/WBE (40 CFR 31.36(e))

Applicable cross-cutting Federal authorities for projects funded through SRF programs are made available at http://water.epa.gov/grants_funding/dwsrf/xcuts.cfm. Additional information is provided in the United States Environmental Protection Agency's cross-cutting handbook available at <https://www.epa.gov/sites/production/files/2015-08/documents/crosscutterhandbook.pdf>.

B. State of Rhode Island

- 1) RIGL 37-2.1, Domestic Steel
- 2) RIGL 37-12, Contractors Bonds
- 3) RIGL 37-12.1, Substitution of Security for Retained Earnings of Architects and Engineers.
- 4) RIGL 37-13, Labor and Payment of Debts by Contractors
 - i) Prevailing Wage Rates
- 5) RIGL 37-14.1, Minority Business Enterprise
 - i) Regulations Governing Participation by Minority Business Enterprises in State Funded and Directed Public Construction Projects, Construction Contracts and Procurement Contracts Goods and Services.
- 6) RIGL 37-16, Public Works Arbitration
- 7) RIGL 45-55, Award of Municipal Contracts

NOTE: This package is prepared by DOH as a service of the DWSRF program. While every attempt at accuracy has been made, these are not certified true copies of the laws presented. **The responsibility for compliance with all applicable provisions of Federal and State laws and regulations relating to the bidding, award, and performance of contracts is the applicant's and the bidder's.** Certified true and complete copies of any Rhode Island laws and regulations may be obtained from the Office of the Secretary of State.

Employment Standards Administration Office of Federal Contract Compliance Programs

Fact Sheet EXECUTIVE ORDER 11246

EEO and Affirmative Action Guidelines for Federal Contractors Regarding Race, Color, Gender, Religion, and National Origin.

BASIC PROVISIONS

Since 1965, the U.S. Department of Labor's Office of Federal Contract Compliance Programs (OFCCP) has been committed to ensuring that Government contractors comply with the equal employment opportunity (EEO) and the affirmative action provisions of their contracts.

OFCCP administers and enforces Executive Order 11246, as amended, which prohibits federal contractors and federally-assisted construction contractors and subcontractors, who do over \$10,000 in Government business in one year from discriminating in employment decisions on the basis of race, color, religion, sex, sexual orientation, gender identity, or national origin.

The Executive Order also requires Government contractors to take affirmative action to insure that equal opportunity is provided in all aspects of their employment.

AFFIRMATIVE ACTION REQUIREMENTS

Each Government contractor with 50 or more employees and \$50,000 or more in government contracts is required to develop a written affirmative action program (AAP) for each of its establishments.

A written affirmative action program helps the contractor identify and analyze potential problems in the participation and utilization of women and minorities in the contractor's workforce.

If there are problems, the contractor will specify in its AAP the specific procedures it will follow and the good faith efforts it will make to provide equal employment opportunity.

Expanded efforts in outreach, recruitment, training and other areas are some of the affirmative steps contractors can take to help members of the protected groups compete for jobs on equal footing with other applicants and employees.

Affirmative action is not preferential treatment. It does not mean that unqualified persons should be hired or promoted over other people. What affirmative action does mean is that positive steps must be taken to ensure equal employment opportunity for traditionally disadvantaged groups.

ENFORCEMENT AND COMPLIANCE

Compliance Reviews

OFCCP conducts compliance reviews to investigate the employment practices of Government contractors. During a compliance review, a compliance officer examines the contractor's affirmative action program; checks personnel, payroll, and other employment records; interviews employees and company officials; and investigates virtually all aspects of employment in the company.

The investigator also checks to see whether the contractor is making special efforts to achieve equal opportunity through affirmative action. If problems are discovered, OFCCP will recommend corrective action and suggest ways to achieve equal employment opportunity.

Complaint Investigations

Individuals may file complaints if they believe they have been discriminated against by federal contractors or subcontractors. Complaints also may be filed by organizations on behalf of the person or persons affected.

Complaints must be filed within 180 days from the date of the alleged discrimination, although filing time can be extended for a good reason.

If a complaint filed under Executive Order 11246 involves discrimination against only one person, OFCCP will normally refer it to the EEOC. Cases involving groups of people or indicating patterns of discrimination are generally investigated and resolved by OFCCP. Complaints may be filed directly with any of OFCCP's regional or district offices throughout the country, or with OFCCP in Washington, D.C.

Compliance Assistance

To help contractors understand their contractual obligations for EEO and affirmative action, OFCCP provides technical assistance. District office staff offers guidance to contractors on how to develop an affirmative program through company seminars, training programs held in conjunction with industry liaison groups, and one-on-one consultations on affirmative action practices and procedures.

Enforcing Contract Compliance

When a compliance review discloses problems, OFCCP attempts to work with the contractor, often entering into a conciliation agreement. A conciliation agreement may include back pay, job offers, seniority credit, promotions or other forms of relief for victims of discrimination. It may also involve new training programs, special recruitment efforts, or other affirmative action measures.

When conciliation efforts are unsuccessful, OFCCP refers the case to the Office of the Solicitor for enforcement through administrative enforcement proceedings. A contractor cited for violating EEO and affirmative action requirements may have a formal hearing before an administrative law judge.

If conciliation is not reached before or after the hearing, sanctions may be imposed. For example, a contractor could lose its government contracts or subcontracts or be debarred, i.e., declared ineligible for any future government contracts.

Further Information

For more information about contract compliance, filing complaints, or compliance assistance, contact any of OFCCP's regional or district offices. All offices are listed in telephone directories under U.S. Department of Labor, Employment Standards Administration, Office of Federal Contract Compliance Programs.

EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION

Executive Order 11246
(Excerpts from 41 CFR 60 Parts 1 and 4)

41 CFR 60-1.4 - Equal opportunity clause

(b) Federally assisted construction contracts. Except as otherwise provided, each administering agency shall require the inclusion of the following language as a condition of any grant, contract, loan, insurance, or guarantee involving federally assisted construction which is not exempt from the requirements of the equal opportunity clause:

The applicant hereby agrees that it will incorporate or cause to be incorporated into any contract for construction work, or modification thereof, as defined in the regulations of the Secretary of Labor at 41 CFR Chapter 60, which is paid for in whole or in part with funds obtained from the Federal Government or borrowed on the credit of the Federal Government pursuant to a grant, contract, loan insurance, or guarantee, or undertaken pursuant to any Federal program involving such grant, contract, loan, insurance, or guarantee, the following *equal opportunity clause*:

During the performance of this contract, the contractor agrees as follows:

- (1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, gender identity, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following: Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause. Such action shall include but not be limited to the following:
- (2) Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause. The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive considerations for employment without regard to race, color, religion, sex, sexual orientation, gender identity, or national origin.
- (3) The contractor will not discharge or in any other manner discriminate against any employee or applicant for employment because such employee or applicant has inquired about, discussed, or disclosed the compensation of the employee or applicant or another employee or applicant. This provision shall not apply to instances in which an employee who has access to the compensation information of other employees or applicants as a part of such employee's essential job functions discloses the compensation of such other employees or applicants to individuals who do not otherwise have access to such information, unless such disclosure is in response to a formal complaint or charge, in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or is consistent with the contractor's legal duty to furnish information.
- (4) The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives of the contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- (5) The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.
- (6) The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will

permit access to his books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

- (7) In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said rules, regulations, or orders, this contract may be canceled, terminated, or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- (8) The contractor will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraphs (1) through (8) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for noncompliance:

Provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the administering agency the contractor may request the United States to enter into such litigation to protect the interests of the United States.

The applicant further agrees that it will be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work: Provided, that if the applicant so participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality or subdivision of such government which does not participate in work on or under the contract.

The applicant agrees that it will assist and cooperate actively with the administering agency and the Secretary of Labor in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary of Labor, that it will furnish the administering agency and the Secretary of Labor such information as they may require for the supervision of such compliance, and that it will otherwise assist the administering agency in the discharge of the agency's primary responsibility for securing compliance.

The applicant further agrees that it will refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a contractor debarred from, or who has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the Executive order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon contractors and subcontractors by the administering agency or the Secretary of Labor pursuant to Part II, Subpart D of the Executive order. In addition, the applicant agrees that if it fails or refuses to comply with these undertakings, the administering agency may take any or all of the following actions: Cancel, terminate, or suspend in whole or in part this grant (contract, loan, insurance, guarantee); refrain from extending any further assistance to the applicant under the program with respect to which the failure or refund occurred until satisfactory assurance of future compliance has been received from such applicant; and refer the case to the Department of Justice for appropriate legal proceedings.

(c) *Subcontracts.* Each nonexempt prime contractor or subcontractor shall include the equal opportunity clause in each of its nonexempt subcontracts.

(d) *Incorporation of the equal opportunity clause by reference.* The equal opportunity clause may be incorporated by reference in all Government contracts and subcontracts, including Government bills of lading, transportation requests, contracts for deposit of Government funds, and contracts for issuing and paying U.S. savings bonds and notes, and such other contracts and subcontracts as the Director may designate.

(e) *Incorporation by operation of the order.* By operation of the order, the equal opportunity clause shall be considered to be a part of every contract and subcontract required by the order and the regulations in this part to include such a clause whether or not it is physically incorporated in such contracts and whether or not the contract between the agency and the contractor is written.

(f) Adaptation of language. Such necessary changes in language may be made in the equal opportunity clause as shall be appropriate to identify properly the parties and their undertakings.

41 CFR 60-4.3 - Equal opportunity clauses

(a) The equal opportunity clause published at 41 CFR 60-1.4(a) of this chapter is required to be included in, and is part of, all nonexempt Federal contracts and subcontracts, including construction contracts and subcontracts. The equal opportunity clause published at 41 CFR 60-1.4(b) is required to be included in, and is a part of, all nonexempt federally assisted construction contracts and subcontracts. In addition to the clauses described above, all Federal contracting officers, all applicants and all non-construction contractors, as applicable, shall include the specifications set forth in this section in all Federal and federally assisted construction contracts in excess of \$10,000 to be performed in geographical areas designated by the Director pursuant to 60-4.6 of this part and in construction subcontracts in excess of \$10,000 necessary in whole or in part to the performance of non-construction Federal contracts and subcontracts covered under the Executive order.

Standard Federal Equal Employment Opportunity Construction Contract Specifications (Executive Order 11246)

1. As used in these specifications:
 - a. "Covered area" means the geographical area described in the solicitation from which this contract resulted;
 - b. "Director" means Director, Office of Federal Contract Compliance Programs, United States Department of Labor, or any person to whom the Director delegates authority;
 - c. "Employer identification number" means the Federal Social Security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941.
 - d. "Minority" includes:
 - (i) Black (all persons having origins in any of the Black African racial groups not of Hispanic origin);
 - (ii) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race);
 - (iii) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands); and
 - (iv) American Indian or Alaskan Native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).
2. Whenever the Contractor, or any Subcontractor at any tier, subcontracts a portion of the work involving any construction trade, it shall physically include in each subcontract in excess of \$10,000 the provisions of these specifications and the Notice which contains the applicable goals for minority and female participation and which is set forth in the solicitations from which this contract resulted.
3. If the Contractor is participating (pursuant to 41 CFR 60-4.5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, its affirmative action obligations on all work in the Plan area (including goals and timetables) shall be in accordance with that Plan for those trades which have unions participating in the Plan. Contractors must be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each Contractor or Subcontractor participating in an approved Plan is individually required to comply with its obligations under the EEO clause, and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors or Subcontractors toward a goal in an approved Plan does not excuse any covered Contractor's or Subcontractor's failure to take good faith efforts to achieve the Plan goals and timetables.
4. The Contractor shall implement the specific affirmative action standards provided in paragraphs 7 a through p of these specifications. The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minority and female utilization the Contractor should reasonably be able to achieve in each construction trade in which it has employees in the covered area. Covered Construction contractors performing construction work in geographical areas where they do not have a Federal or federally assisted construction contract shall apply the minority and female goals established for the geographical area where the work is being performed. Goals are published periodically in the Federal Register in notice form, and such notices may be obtained from any Office of Federal Contract Compliance Programs office or from Federal procurement contracting officers. The Contractor is expected to make substantially uniform progress in meeting its goals in each craft during the period specified.

5. Neither the provisions of any collective bargaining agreement, nor the failure by a union with whom the Contractor has a collective bargaining agreement, to refer either minorities or women shall excuse the Contractor's obligations under these specifications, Executive Order 11246, or the regulations promulgated pursuant thereto.
6. In order for the non-working training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees must be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees must be trained pursuant to training programs approved by the U.S. Department of Labor.
7. The Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following:
 - a. Ensure and maintain a working environment free of harassment, intimidation, and coercion at all sites, and in all facilities at which the Contractor's employees are assigned to work. The Contractor, where possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.
 - b. Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female recruitment sources and to community organizations when the Contractor or its unions have employment opportunities available, and maintain a record of the organizations' responses.
 - c. Maintain a current file of the names, addresses and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment source or community organization and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefor, along with whatever additional actions the Contractor may have taken.
 - d. Provide immediate written notification to the Director when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.
 - e. Develop on-the-job training opportunities and/or participate in training programs for the area which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notice of these programs to the sources compiled under 7b above.
 - f. Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its EEO obligations; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.
 - g. Review, at least annually, the company's EEO policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination or other employment decisions including specific review of these items with onsite supervisory personnel such as Superintendents, General Foremen, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.
 - h. Disseminate the Contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO policy with other Contractors and Subcontractors with whom the Contractor does or anticipates doing business.
 - i. Direct its recruitment efforts, both oral and written, to minority, female and community organizations, to schools with minority and female students and to minority and female recruitment and training organizations

- serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the Contractor shall send written notification to organizations such as the above, describing the openings, screening procedures, and tests to be used in the selection process.
- j. Encourage present minority and female employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and female youth both on the site and in other areas of a Contractor's work force.
 - k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3.
 - l. Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.
 - m. Ensure that seniority practices, job classifications, work assignments and other personnel practices, do not have a discriminatory effect by continually monitoring all personnel and employment related activities to ensure that the EEO policy and the Contractor's obligations under these specifications are being carried out.
 - n. Ensure that all facilities and company activities are non-segregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.
 - o. Document and maintain a record of all solicitations of offers for subcontracts from minority and female construction contractors and suppliers, including circulation of solicitations to minority and female contractor associations and other business associations.
 - p. Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's EEO policies and affirmative action obligations.
8. Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7a through p). The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7a through p of these Specifications provided that the contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program are reflected in the Contractor's minority and female workforce participation, makes a good faith effort to meet its individual goals and timetables, and can provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's and failure of such a group to fulfill an obligation shall not be a defense for the Contractor's noncompliance
9. A single goal for minorities and a separate single goal for women have been established. The Contractor, however, is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order if a particular group is employed in a substantially disparate manner (for example, even though the Contractor has achieved its goals for women generally, the Contractor may be in violation of the Executive Order if a specific minority group of women is underutilized).
10. The Contractor shall not use the goals and timetables or affirmative action standards to discriminate against any person because of race, color, religion, sex, or national origin.
11. The Contractor shall not enter into any Subcontract with any person or firm debarred from Government contracts pursuant to Executive Order 11246.
12. The Contractor shall carry out such sanctions and penalties for violation of these specifications and of the Equal Opportunity Clause, including suspension, termination and cancellation of existing subcontracts as may be imposed or ordered pursuant to Executive Order 11246, as amended, and its implementing regulations, by the Office of Federal Contract Compliance Programs. Any Contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Executive Order 11246, as amended.
13. The Contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in paragraph 7 of these specifications, so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the Contractor fails to

comply with the requirements of the Executive Order, the implementing regulations, or these specifications, the Director shall proceed in accordance with 41 CFR 60-4.8.

14. The Contractor shall designate a responsible official to monitor all employment related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions hereof as may be required by the Government and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (e.g., mechanic, apprentice trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.

15. Nothing herein provided shall be construed as a limitation upon the application of other laws which establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

(b) The notice set forth in 41 CFR 60-4.2 and the specifications set forth in 41 CFR 60-4.3 replace the New Form for Federal Equal Employment Opportunity Bid Conditions for Federal and Federally Assisted Construction published at 41 FR 32482 and commonly known as the Model Federal EEO Bid Conditions, and the New Form shall not be used after the regulations in 41 CFR Part 60-4 become effective.

[43 FR 49254, Oct. 20, 1978; 43 FR 51401, Nov. 3, 1978, as amended at 45 FR 65978, Oct. 3, 1980]

NOTICE TO LABOR UNIONS OR OTHER ORGANIZATIONS OF WORKERS

NON-DISCRIMINATION IN EMPLOYMENT

TO: _____
(Name of Union or Organization of Workers)

The undersigned currently holds contract(s) with _____
(Name of Applicant)

involving funds or credit of the U.S. Government of (a) subcontract(s) with a prime contractor holding such contract(s).

You are advised that under the provisions of the above contract(s) or subcontract(s) and in accordance with Executive Order 11246, dated September 24, 1965, the undersigned is obliged not to discriminate against any employee or applicant for employment because of race, age, handicap, veteran status, color, creed, or national origin. This obligation not to discriminate in employment includes, but is not limited to, the following:

**HIRING, PLACEMENT, UPGRADING, TRANSFER, OR DEMOTION,
RECRUITMENT, ADVERTISING, OR SOLICITATION FOR
EMPLOYMENT TRAINING DURING EMPLOYMENT, RATES OF PAY
OR OTHER FORMS OF COMPENSATION, SELECTION FOR TRAINING
INCLUDING APPRENTICESHIP, LAYOFF, OR TERMINATION.**

This notice is furnished you pursuant to the provisions of the above contract(s) or subcontract(s) and Executive Order 11246.

COPIES OF THIS NOTICE WILL BE POSTED BY THE UNDERSIGNED IN CONSPICUOUS PLACES AVAILABLE TO EMPLOYEES OR APPLICANTS FOR EMPLOYMENT.

(Contractor or Subcontractor)

(Date)

UNITED STATES
ENVIRONMENTAL PROTECTION AGENCY

ASSURANCE OF COMPLIANCE
FOR
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964
AND
SECTION 13 OF THE FWPCA AMENDMENTS OF 1972

NAME AND ADDRESS OF APPLICANT/RECIPIENT (<i>Hereinafter called ASSUROR</i>)	GRANT IDENTIFICATION NUMBER <i>(To be completed by EPA)</i>	GRANT AMOUNT REQUESTED \$
	TYPE OF GRANT <input type="checkbox"/> DEMONSTRATION <input type="checkbox"/> RESEARCH <input type="checkbox"/> TRAINING <input type="checkbox"/> OTHER (<i>Specify</i>):	
	CHECK ONE: <input type="checkbox"/> NEW <input type="checkbox"/> CONTINUATION	

HEREBY AGREES THAT IT will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements of the U.S. Environmental Protection Agency (*hereinafter called "EPA"*) issued pursuant to that title, to the end that in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Assuror receives financial assistance from EPA and hereby gives assurance that it will now and hereafter take all necessary measures to effectuate this agreement.

HEREBY AGREES THAT IT will comply with all applicable requirements of Section 13 of the Federal Water Pollution Control Act Amendments of 1972 (P.L. 92-500) and all requirements of EPA issued pursuant to that section, to the end that in accordance with that section of that Act, no person in the United States shall, on the ground of sex be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity under the said Federal Water Pollution Control Act Amendments for which the Assuror receives assistance from EPA and hereby gives assurance that it will now and hereafter take all necessary measures to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of financial assistance extended to the Assuror by EPA, this Assurance obligates the Assuror, or, in the case of any transfer of such property, any transferee for the period during which the real property or structure is used for a purpose involving the provisions of similar services or benefits. If any personal property is so provided, this Assurance obligates the Assuror for the period during which it retains ownership or possession of the property. In all other cases, this Assurance obligates the Assuror for the period during which the financial assistance is extended to it by EPA.

THE ASSURANCE is given in consideration of and for the purpose of obtained any and all Federal grants, loans, contracts, property discounts or other financial assistance extended after the date hereof to the Assuror by EPA including installment payments after such date on account of arrangements for Federal financial assistance which were approved before such date. The Assuror recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance and that the United States shall reserve the right to seek judicial enforcement of this Assurance. The Assurance is binding on the Assuror, its successors, transferees, and assignees, and the person or persons whose signature appear below are authorized to sign this Assurance on behalf of the Assuror.

The obligations assumed by the Assuror hereunder are in addition to any obligations which may be imposed to the Assuror by any applicable regulation now outstanding or which may hereafter be adopted by EPA to effectuate any provision or goal of the said Title VI and all applicable requirements of the said Section 13, and no part of this Assurance shall be read so as to in any way detract from or modify any obligation which may be imposed on the Assuror by any such regulation standing alone.

SIGNATURE OF ASSUROR BY PRESIDENT, CHAIRMAN OF BOARD OR COMPARABLE AUTHORIZED OFFICIAL	DATE
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CONTRACTING WITH SMALL AND MINORITY FIRMS, WOMEN'S BUSINESS ENTERPRISE

40 CFR 31.36(e)

40 CFR 31.36(e) – Contracting with small and minority firms, women's business enterprise and labor surplus area firms.

(1) The grantee and sub-grantee will take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.

(2) Affirmative steps shall include:

- (i) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
- (ii) Assuring that small and minority businesses and women's business enterprises are solicited whenever they are potential sources;
- (iii) Dividing the total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women's business enterprises;
- (iv) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, and women's business enterprises;
- (v) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce; and
- (vi) Requiring the prime contractor, if subcontracts are to be let, to take affirmative steps listed in paragraphs (e)(2)(i) through (v) of this section.

TITLE 37

CHAPTER 2.1 DOMESTIC STEEL

Section

37-2.1-1.	Short Title
37-2.1-2.	Purpose
37-2.1-3.	Purchase of steel and steel products
37-2.1-4.	Payment
37-2.1-5.	Definitions

37-2.1-1. Short title.

This chapter shall be known and may be cited as the "Steel Products Procurement Act".

37-2.1-2. Purpose.

- (a) This chapter shall be deemed to be an exercise of the police powers of the state for the protection of the health, safety, and general welfare of the people of the state.
- (b) It is hereby determined by the general assembly of Rhode Island and declared as a matter of legislative findings that:
- (1) The United States is one of the leading countries in the production and use of steel and its allied products;
 - (2) The use of steel products constitutes a major industry of the United States and, as such, provides the jobs and family incomes of millions of persons in the United States;
 - (3) The taxes paid to Rhode Island and the United States by employers and employees engaged in the production and sale of steel products are one of the largest single sources of public revenues in this country;
 - (4) It has, for many years, been the policy of the state to aid and support the development and expansion of industry in the United States in order to foster the economic well-being of the state and its people; and
 - (5) The economy, general welfare, and national security of the United States, are inseparably related to the preservation and development of the steel industry in the United States.
- (c) The general assembly therefore declares it to be the policy of the state that all public officers and agencies should, at all times, aid and promote the development of the steel industry of the United States in order to stimulate and improve the economic well-being of the state and its people.

37-2.1-3. Purchase of steel and steel products.

- (a) Every public agency shall require that every contract document for the construction, reconstruction, alteration, repair, improvement, or maintenance of public works contain a provision that, if any steel products are to be used or supplied in the performance of the contract, only steel products as herein defined shall be used or supplied in the performance of the contract or any subcontracts thereunder.
- (b) This section shall not apply in any case where the head of the public agency, in writing, determines that steel products as herein defined are not produced in, or readily available in the United States or that such steel products shall not exceed fifteen percent (15%) of the costs of any other steel products obtainable nationally or internationally.

37-2.1-4. Payment.

No public agency shall authorize, provide for, or make any payments to any person under any contract containing the provision required by 37-2.1-3 unless the public agency is satisfied that such person has fully complied with that provision. Any such payments made to any person by any public agency which should not have been made, as a result of this section, shall be recoverable directly from the contractor or subcontractor who did not comply with 37-2.1-3 by either such public agency or the attorney general upon suit filed in the court of any county.

37-2.1-5. Definitions.

The following words and phrases when used in this chapter shall have, unless the context clearly indicates otherwise, the meanings given to them in this section:

- (a) "Person" means natural persons as well as corporations, partnerships, business units, and associations;
- (b) "Public agency" means (1) the state and its departments, boards, commissions and agencies, (2) cities, towns, school districts, and any other governmental unit or district, (3) any and all other public bodies, authorities, officers, agencies, or instrumentalities, whether exercising a governmental or proprietary function;
- (c) "Public works" means steel to construct, frame or reinforce any public structure, building, highway, waterway, street, bridge, transit system, airport, or other betterment, work or improvement, whether of a permanent or temporary nature, and whether for governmental or proprietary use;
- (d) "Steel products" means products rolled, formed, shaped, drawn, extruded, forged, cast, fabricated, or otherwise similarly processed, or processed by a combination of two or more of such operations, from steel made in the United States by the open hearth, basic oxygen, electric furnace, Bessemer, or other steel making process;
- (e) "United States" means the United States of America and includes all territory, continental or insular, subject to the jurisdiction of the United States.

TITLE 37

CHAPTER 12 CONTRACTORS' BONDS

Sections

- 37-12-1. Contractors required to give bond – Terms and conditions.
- 37-12-2. Rights of persons furnishing labor and materials.
- 37-12-3. Remedies of creditors and state – Priority of claims.
- 37-12-4. Intervention by creditor in suit brought by state.
- 37-12-5. Time limitation on creditors' actions.
- 37-12-6. Intervention in suit brought by creditor – Consolidation of suits.
- 37-12-7. Notice of Pendency of Suit
- 37-12-8. Certified copies of documents.
- 37-12-9. Payment into court by surety – Discharge.
- 37-12-10. Retainers relating to contracts for public works or sewer or water main construction.
- 37-12-11. Substitution of securities for retained earnings.

§ 37-12-1. Contractors required to give bond – Terms and conditions. – Every person (which word for the purposes of this chapter shall include a co-partnership, a number of persons engaged in a joint enterprise, or a corporation), before being awarded a contract by the department of transportation or by the department of administration, as the case may be, and every person awarded such a contract as a general contractor or construction or project manager for the construction, improvement, completion, or repair of any public road or portion thereof or of any bridge in which the contract price shall be in excess of fifty thousand dollars (\$ 50,000), or for a contract for the construction, improvement, completion, or repair of any public building, or portion thereof, shall be required to furnish to the respective department a bond of that person to the state, with good and sufficient surety or sureties (hereafter in this chapter referred to as surety), acceptable to the respective department, in a sum not less than fifty percent (50%) and not more than one hundred percent (100%) of the contract price, conditioned that the contractor, principal in the bond, the person's executors, administrators, or successors, shall in all things, well and truly keep and perform the covenants, conditions, and agreements in the contract, and in any alterations thereof made as therein provided, on the person's part to be kept and performed, at the time and in the manner therein specified, and in all respects according to their true intent and meaning, and shall indemnify and save harmless the state, the respective department, and all of its officers, agents, and employees, as therein stipulated, and shall also promptly pay for all such labor performed or furnished and for all such materials and equipment furnished, (which as to equipment shall mean payment of the reasonable rental value, as determined by the respective department, of its use during the period of its use), as shall be used in the carrying on of the work covered by the contract, or shall see that they are promptly paid for, whether or not the labor is directly performed for or furnished to the contractor or is even directly performed upon the work covered by the contract, and whether or not the materials are furnished to the contractor or become component parts of the work, and whether or not the equipment is furnished to the contractor or even directly used upon the work. The bond shall contain the provisions that it is subject to all such rights and powers of the respective department and such other provisions as are set forth in the contract and the plans, specifications, and proposal incorporated by reference in the contract, and that no extension of the time of performance of the contract or delay in the completion of the work thereunder or any alterations thereof, made as therein provided, shall invalidate the bond or release the liability of the surety thereunder. Waiver of the bonding requirements of this section is expressly prohibited.

37-12-2. Rights of persons furnishing labor and materials.

Every person who shall have performed labor and every person who shall have furnished or supplied labor, material, or equipment in the prosecution of the work provided for in the contract, in respect of which a payment bond is furnished under § 37-12-1, and who has not been paid in full therefor before the expiration of a period of ninety (90) days after the day on which the last of the labor was performed or furnished by him or her, or material or equipment furnished or supplied by him or her for which a claim is made, shall have the right to sue on the payment bond for the amount, or the balance thereof, unpaid at the time of institution of the suit and to prosecute the action to final execution and judgment for the sum or sums justly due him or her; provided, however, that any person having direct contractual relationship with a subcontractor but no contractual relationship express or implied with the contractor

furnishing the payment bond shall have a right of action upon the payment bond upon giving written notice to the contractor within ninety (90) days from the date on which the person furnished or performed the last of the labor, or furnished or supplied the last of the material or equipment for which the claim is made, stating with substantial accuracy the amount claimed and the name of the party to whom the labor was furnished or performed or the material or equipment was furnished or supplied. The notice shall be served by mailing the same by certified mail, postage prepaid, in an envelope addressed to the contractor at any place he or she maintains an office, conducts his or her business, or his or her residence.

37-12-3. Remedies of creditors and state - Priority of claims.

The remedy on the bond shall be by a civil action brought in the superior court for the counties of Providence and Bristol and in any suit brought on the bond the rights of the state shall be prior to those of all creditors. The rights of persons who shall have performed labor as aforesaid shall be prior to the rights of all other creditors, and there shall be no priorities among laborers or among other creditors under the bond. The state, either after having recovered a judgment against the contractor on the contract or without having recovered a judgment, may bring a suit on the bond against the contractor and surety on the bond, and may join as parties defendant in the suit any persons claiming to have rights under the bond as creditors; and, if it has not brought such a suit, it may at any time before a final and conclusive decree, intervene and become a party in any suit brought, as hereafter provided in this chapter, by any person claiming to be a creditor under the bond.

37-12-4. Intervention by creditor in suit brought by state.

Any person claiming to be a creditor under the bond may at any time intervene and become a party in any pending suit brought as aforesaid by the state on the bond, and by so intervening may have the rights to the person adjudicated in the suit.

37-12-5. Time limitation on creditors' actions.

No suit instituted under § 37-12-2 shall be commenced after the expiration of two (2) years, or under the maximum time limit as contained within any labor or material payment bond required under § 37-12-1, whichever period is longer, after the day on which the last of the labor was furnished or performed or material or equipment was furnished or supplied by any person claiming under the section.

37-12-6. Intervention in suit brought by creditor - Consolidation of suits.

When a suit has been so brought on the bond by a person claiming to be a creditor under the bond and is pending, any other person claiming to be a creditor under the bond may intervene and become a party in the first suit thus brought and pending and by so intervening may have the rights of the other person adjudicated in the suit. If two (2) or more of the suits be filed in the court on the same day, the one in which the larger sum shall be claimed shall be regarded as the earlier suit. All suits brought upon the bond as provided in this chapter shall be consolidated together by the court and heard as one suit.

37-12-7. Notice of pendency of suit.

In any suit brought under the provisions of this chapter such personal notice of the pendency of the suit as the court may order shall be given to all such known creditors and persons claiming to be creditors under the bond as shall not have entered their appearances in the suit and, in addition to the notice, notice of the pendency of the suit shall be given by publication in some newspaper published in this state of general circulation in the city or town or every city or town in which the work covered by the contract was carried on, once a week for three (3) successive weeks, in such form as the court may order. The court, however, may dispense with the notices if satisfied that sufficient notices shall have been given in some other suit brought under the provisions of this chapter.

37-12-8. Certified copies of documents.

Any person claiming to be a creditor under the bond and having filed a claim with the respective department, in accordance with the requirements of § 37-12-2, shall have the right, at any time when the person could under this chapter file a suit or intervene in a pending suit, to require the respective department to furnish to the person certified copies of the contract, proposal, plans specifications, and bond.

37-12-9. Payment into court by surety - Discharge.

The surety on the bond may pay into the registry of the court, for distribution among those who may be or become entitled thereto under the decree of the court, the penal sum named in the bond less any amount which the surety

may have paid to the state in satisfaction of the liability of the surety to the state under the bond, and then shall be entitled to be discharged from all further liability under the bond.

37-12-10. Retainers relating to contracts for public works or sewer or water main construction.

(a) Upon substantial completion of the work required by a contract aggregating in amount less than five hundred thousand dollars (\$ 500,000) with any municipality, or any agency or political subdivision thereof, for the construction, reconstruction, alteration, remodeling, repair, or improvement of sewers and water mains, or any public works project defined in, the awarding authority may deduct from its payment a retention to secure satisfactory performance of the contractual work not exceeding five percent (5%) of the contract price unless otherwise agreed to by the parties. Upon substantial completion of the work required by a contract aggregating in an amount of five hundred thousand dollars (\$ 500,000) or greater with any municipality, or any agency or political subdivision thereof, for the construction, reconstruction, alteration, remodeling, repair, or improvement of sewers and water mains, or any public works project defined in § 37-13-1, the awarding authority may deduct from its payment a retention to secure satisfactory performance of the contractual work not exceeding five percent (5%) of the contract price. In the case of periodic payments with respect to contracts less than the aggregate amount of five hundred thousand dollars (\$ 500,000), the awarding authority may deduct from its payment a retention to secure satisfactory performance of the contractual work not exceeding five percent (5%) of the approved amount of any periodic payment unless otherwise agreed to by the parties. In the case of periodic payments with respect to contracts in the aggregate amount of five hundred thousand dollars (\$ 500,000) or greater, the awarding authority may deduct from its payment a retention to secure satisfactory performance of the contractual work not exceeding five percent (5%) of the approved amount of any periodic payment.

(b) The retainage shall be paid to any contractor or subcontractor within ninety (90) days of the date the work is accepted by the awarding authority unless a dispute exists with respect to the work. If payment is not made within ninety (90) days for any reason other than a dispute, which, if resolved and it is not the fault of the contractor, interest shall be assessed at the rate of ten percent (10%) per annum on all money which is to be paid to the contractor or subcontractor.

(c) The retainage shall be paid to any contractor or subcontractor within ninety (90) days of the date his or her work is completed and accepted by the awarding authority. If payment is not made, interest shall be assessed at the rate of ten percent (10%) per annum.

(d) There shall also be deducted and retained from the contract price an additional sum sufficient to pay the estimated cost of municipal police traffic control on any public works project. Municipalities shall directly pay the officers working traffic details and shall bill and be reimbursed by the withholding authority for which the contract is being performed every thirty (30) days until the project is complete.

(e) Notwithstanding the foregoing, with respect to projects located within the town of Warren, the withholding authority shall hold an amount from the contract price which shall be reasonably sufficient to pay the estimated cost of municipal police traffic control. The withholding authority shall pay to the town of Warren within seventy-two (72) hours of written demand the actual costs of police traffic control associated with said project on an ongoing basis.

37-12-11. Substitution of securities for retained earnings.

(a) Where any public works contract as defined by § 37-13-1 provides for the retention of earned estimates by the state of Rhode Island, the contractor may, from time to time, withdraw the whole or any portion of the amount retained for payments to the contractor pursuant to the terms of the contract, upon depositing with the general treasurer either; (1) United States treasury bonds, United States treasury notes, United States treasury certificates of indebtedness, or United States treasury bills; (2) Bonds or notes of the state of Rhode Island ; or (3) Bonds of any political subdivision in the state of Rhode Island.

(b) No amount shall be withdrawn in excess of the market value of the securities at the time of deposit or of the par value of the securities, whichever is lower. The general treasurer shall, on a regular basis, collect all interest or income on the obligations so deposited and shall pay the interest or income, when and as collected, to the contractor who deposited the obligations. If the deposit is in the form of coupon bonds, the general treasurer shall deliver each coupon as it matures to the contractor. Any amount deducted by the state, or by any public department or official thereof, pursuant to the terms of the contract, from the retained payments otherwise due the contractor, shall be

deducted, first from that portion of the retained payments for which no security has been substituted, then from the proceeds of any deposited security. In the latter case, the contractor shall be entitled to receive interest, coupons, or income only from those securities which remain after the amount has been deducted. The securities so deposited shall be properly endorsed by the contractor in such manner so as to enable the general treasurer to carry out the provisions of this section.

TITLE 37

CHAPTER 12.1 SUBSTITUTION OF SECURITY FOR RETAINED EARNINGS OF ARCHITECTS AND ENGINEERS

Sections

- 37-12.1-1. Definition of Terms.
- 37-12.1-2. Substitution of security for retained earnings by designers.
- 37-12.1-3. Deduction from retained earnings.
- 37-12.1-4. Endorsement on securities.
- 37-12.1-5. Applicability.

37-12.1-1. Definition of terms.

Terms used in this chapter shall be construed as follows:

- (a) "Designers", means any person, firm or corporation duly authorized pursuant to the laws of this state to engage in the practice of architecture and/or engineering within this state.
- (b) "Public works contract" means a contract to perform design or planning services by a designer with the state or any agency or governmental subdivisions thereof.
- (c) "Retained earnings" means any moneys or earned estimates withheld from a designer pursuant to the terms of a public works contract.

37-12.1-2. Substitution of security for retained earnings by designers.

(a) Where any public works contract provides for the holding of retained earnings from a designer, the designer may from time to time withdraw the whole or any portion of the amount retained upon either depositing with the general treasurer:

- (1) United States treasury bonds, United States treasury notes, United States treasury certificates of indebtedness, or United States treasury bills;
- (2) Bonds or notes of the state of Rhode Island; or
- (3) Bonds of any political subdivision of the state of Rhode Island.

(b) With respect to the deposit of securities, the general treasurer shall, on a regular basis, collect all interest or income on the securities so deposited and shall pay the interest or income when and as collected to the designer depositing the securities. If the security is in the form of coupon bonds, the general treasurer shall deliver each coupon as it matures to the designer.

37-12.1-3. Deduction from retained earnings.

In the event that pursuant to the terms of the public works contract it is necessary to deduct any sum from retained earnings, the state or governmental unit or agency thereof shall first apply such deduction against sums not withdrawn and thereafter from the proceeds of the sale of any securities deposited or from the income earned on such securities, whichever is applicable.

37-12.1-4. Endorsement on securities.

All securities deposited with the general treasurer pursuant to this chapter shall be properly endorsed by the designer in such manner as to enable the general treasurer to carry out the provisions of this chapter.

37-12.1-5. Applicability.

This chapter shall apply to all retained earnings held pursuant to any public works contract as of [June 16, 1991].

TITLE 37

CHAPTER 13 LABOR AND PAYMENT OF DEBTS BY CONTRACTORS

Sections

- 37-13-1. "Public Works" defined
- 37-13-2. "Contractor" defined – information required.
- 37-13-3. Contractors subject to provisions – Weekly payment of employees.
- 37-13-3.1 State public works contract apprenticeship requirements
- 37-13-4. Provisions applicable to public works contracts – List of Subcontractors.
- 37-13-5. Payment for trucking or materials furnished – Withholding of sums due.
- 37-12-6. Ascertainment of prevailing rate of wages and other payments – Specification of rate in call for bids and in contract.
- 37-13-7. Specification in contract of amount and frequency of payment and wages.
- 37-13-8. Investigation and determination of prevailing wages – Filing of schedule.
- 37-13-9. Statutory provisions included in contracts.
- 37-13-10. Overtime compensation.
- 37-13-11. Posting of prevailing wage rates.
- 37-13-12. Wage records of contractors.
- 37-13-12.1. Obstruction of enforcement.
- 37-13-12.2. Subpoena powers.
- 37-13-12.3. Compelling obedience to subpoenas.
- 37-13-12.4. Penalty for violations.
- 37-13-13. Furnishing payroll record to director of labor.
- 37-13-13.1. Audits of wage records of out of state contractors and subcontractors.
- 37-13-14. Contractor's bond.
- 37-13-14.1. Enforcement – Hearings.
- 37-13-15. Review.
- 37-13-16. Termination of work on failure to pay agreed wages – Completion of work.
- 37-13-17. Private right of action to collect wages or benefits

37-13-1. "Public works" defined.

"Public works" as used in this chapter shall mean any public work consisting of grading, clearing, demolition, improvement, completion, repair, alteration, or construction of any public road or any bridge, or portion thereof, or any public building or portion thereof, or any heavy construction, or any public works projects of any nature or kind whatsoever.

37-13-2. "Contractor" defined - Information required.

The term "contractor" as used in this chapter shall mean the bidder whose bid has been accepted by an authorized agency or awarding authority as the bidder possessing the skills, ability, and integrity necessary to the faithful performance of the contract or work, and who shall certify that he or she is able to furnish labor that can work in harmony with all other elements of labor employed or to be employed on the contract or work. Essential information in regard to qualifications shall be submitted in such form to the awarding authority and the director of labor and training as the director of labor and training shall require. The authorized agency or awarding authority shall reserve the right to reject all bids, if it be in the public interest to do so.

37-13-3. Contractors subject to provisions - Weekly payment of employees.

All contractors, who have been awarded contracts for public works by an awarding agency or authority of the state or of any city, town, committee, or by any person or persons therein, in which state or municipal funds are used and of which the contract price shall be in excess of one thousand dollars (\$1,000) whether payable at the time of the signing of the contract or at a later date, and their subcontractors, on such public works shall pay their employees at weekly intervals and shall comply with the provisions set forth in 37-13-4 - 37-13-14, inclusive, and 37-13-16.

37-13-3.1. State public works contract apprenticeship requirements.

Notwithstanding any laws to the contrary, all general contractors and subcontractors who perform work on any public works contract awarded by the state after passage of this act and valued at one million dollars (\$ 1,000,000) or more shall employ apprentices required for the performance of the awarded contract. The number of apprentices shall comply with the apprentice to journeyman ratio for each trade approved by the apprenticeship council of the department of labor and training. To the extent that any of the provisions contained in this section conflict with the requirements for federal aid contracts, federal laws and regulations shall control.

37-13-4. Provisions applicable to public works contracts - Lists of subcontractors.

All public works shall be done by contract, subject to the same provisions of law relating thereto and to the letting thereof, which are applicable to similar contracts of the awarding authority or authorized agency, hereinafter called the "proper authority," in the general location where the work is to be performed and which are not contrary to the provisions of 37-13-1 - 37-13-14, and 37-13-16. Each contractor after the award of a contract for public works shall submit to the proper authority a list of his or her subcontractors of any part or all of the work. The list shall be submitted in such manner or form as the proper authority shall uniformly require from contractors in all public works.

37-13-5. Payment for trucking or materials furnished - Withholding of sums due.

A contractor or subcontractor on public works authorized by a proper authority shall pay any obligation or charge for trucking and material which have been furnished for the use of the contractor or subcontractor, in connection with the public works being performed by him or her, within ninety (90) days after the obligation or charge is incurred or the trucking service has been performed or the material has been delivered to the site of the work, whichever is later. When it is brought to the notice of the proper authority in a city or town, or the proper authority in the state having supervision of the contract, that the obligation or charge has not been paid by the contractor or subcontractor, the proper authority may deduct and hold for a period not exceeding sixty (60) days, from sums of money due to the contractor or subcontractor, the equivalent amount of such sums certified by a trucker or material man creditor as due him or her, as provided in this section, and which the proper authority determines is reasonable for trucking performed or materials furnished for the public works.

37-13-6. Ascertainment of prevailing rate of wages and other payments - Specification of rate in call for bids and in contract.

Before awarding any contract for public works to be done, the proper authority shall ascertain from the director of labor and training the general prevailing rate of the regular, holiday, and overtime wages paid and the general prevailing payments on behalf of employees only, to lawful welfare, pension, vacation, apprentice training, and educational funds (payments to the funds must constitute an ordinary business expense deduction for federal income tax purposes by contractors) in the city, town, village, or other appropriate political subdivision of the state in which the work is to be performed, for each craft, mechanic, teamster, laborer, or type of worker needed to execute the contract for the public works. The proper authority shall, also, specify in the call for bids for the contract and in the contract itself the general prevailing rate of the regular, holiday, and overtime wages paid and the payments on behalf of employees only, to the welfare, pension, vacation, apprentice training, and education funds existing in the locality for each craft, mechanic, teamster, laborer, or type of worker needed to execute the contract or work.

37-13-7. Specification in contract of amount and frequency of payment of wages.

Every call for bids for every contract in excess of one thousand dollars (\$ 1,000), to which the state of Rhode Island or any political subdivision thereof or any public agency or quasi-public agency is a party, for construction, alteration, and/or repair, including painting and decorating, of public buildings or public works of the state of Rhode Island or any political subdivision thereof, or any public agency or quasi-public agency and which requires or involves the employment of employees, shall contain a provision stating the minimum wages to be paid various types of employees which shall be based upon the wages that will be determined by the director of labor and training to be prevailing for the corresponding types of employees employed on projects of a character similar to the contract work in the city, town, village, or other appropriate political subdivision of the state of Rhode Island in which the work is to be performed. Every contract shall contain a stipulation that the contractor or his or her subcontractor shall pay all the employees employed directly upon the site of the work, unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account, the full amounts accrued at time of payment computed at wage rates not less than those stated in the call for bids, regardless of any contractual relationships which may be alleged to exist between the contractor or subcontractor and the employees, and that the scale of wages to be paid shall be posted by the contractor in a prominent and easily accessible place at the site of the work; and the further stipulation that there may be withheld from the contractor so much of the accrued payments as may be considered necessary to pay to the employees employed by the contractor, or any subcontractor on the work, the difference between the rates of wages required by the contract to be paid the employees on the work and the rates of wages received by the employees and not refunded to the contractor, subcontractors, or their agents.

(b) The terms "wages" , "scale of wages" , "wage rates" , "minimum wages" , and "prevailing wages" shall include:

(1) The basic hourly rate of pay; and

(2) The amount of:

(A) The rate of contribution made by a contractor or subcontractor to a trustee or to a third person pursuant to a fund, plan, or program; and

(B) The rate of costs to the contractor or subcontractor which may be reasonably anticipated in providing benefits to employees pursuant to an enforceable commitment to carry out a financially responsible plan or program which was communicated in writing to the employees affected, for medical or hospital care, pensions on retirement or death, compensation for injuries or illness resulting from occupational activity, or insurance to provide any of the foregoing, for unemployment benefits, life insurance, disability and sickness insurance, or accident insurance, for vacation and holiday pay, for defraying costs of apprenticeship or other similar programs, or for other bona fide fringe benefits, but only where the contractor or subcontractor is not required by other federal, state, or local law to provide any of the benefits ; provided, that the obligation of a contractor or subcontractor to make payment in accordance with the prevailing wage determinations of the director of labor and training insofar as this chapter of this title and other acts incorporating this chapter of this title by reference are concerned may be discharged by the making of payments in cash, by the making of contributions of a type referred to in subsection (b)(2), or by the assumption of an enforceable commitment to bear the costs of a plan or program of a type referred to in this subdivision, or any combination thereof, where the aggregate of any payments, contributions, and costs is not less than the rate of pay described in subsection (b)(1) plus the amount referred to in subsection (b)(2).

(c) The term "employees" , as used in this section, shall include employees of contractors or subcontractors performing jobs on various types of public works including mechanics, apprentices, teamsters, chauffeurs, and laborers engaged in the transportation of gravel or fill to the site of public works, the removal and/or delivery of gravel or fill or ready-mix concrete, sand, bituminous stone, or asphalt flowable fill from the site of public works, or the transportation or removal of gravel or fill from one location to another on the site of public works, and the employment of the employees shall be subject to the provisions of subsections (a) and (b) .

(d) The terms "public agency" and "quasi-public agency" shall include, but not be limited to, the Rhode Island industrial recreational building authority, the Rhode Island economic development corporation, the Rhode Island airport corporation, the Rhode Island industrial facilities corporation, the Rhode Island refunding bond authority, the Rhode Island housing and mortgage finance corporation, the Rhode Island resource recovery corporation, the Rhode Island public transit authority, the Rhode Island student loan authority, the water resources board corporate, the Rhode Island health and education building corporation, the Rhode Island turnpike and bridge authority, the Narragansett Bay water quality management district commission, Rhode Island telecommunications authority, the

convention center authority, the board of governors for higher education, the board of regents for elementary and secondary education, the capital center commission, the housing resources commission, the Quonset Point-Davisville management corporation, the Rhode Island children's crusade for higher education, the Rhode Island depositors economic protection corporation, the Rhode Island lottery commission, the Rhode Island partnership for science and technology, the Rhode Island public building authority, and the Rhode Island underground storage tank board.

37-13-8. Investigation and determination of prevailing wages - Filing of schedule.

The director of labor and training shall investigate and determine the prevailing wages and payments made to or on behalf of employees, as set forth in § 37-13-7, paid in the trade or occupation in the city, town, village, or other appropriate political subdivision of the state and keep a schedule on file in his or her office of the customary prevailing rate of wages and payments made to or on behalf of the employees which shall be open to public inspection. In making a determination, the director of labor may adopt and use such appropriate and applicable prevailing wage rate determinations as have been made by the secretary of labor of the United States of America in accordance with the Davis-Bacon Act, as amended, 40 U.S.C. § 276a; provided, however, that each contractor awarded a public works contract after July 1, 2007 shall contact the department of labor and training on or before July first of each year, for the duration of such contract to ascertain the prevailing wage rate of wages on a hourly basis and the amount of payment or contributions paid or payable on behalf of each mechanic, laborer or worker employed upon the work contracted to be done each year and shall make any necessary adjustments to such prevailing rate of wages and such payment or contributions paid or payable on behalf of each such employee every July first.

37-13-9. Statutory provisions included in contracts.

A copy of 37-13-5, 37-13-6, and 37-13-7 shall be inserted in all contracts for public works awarded by the state or any city or town, committee, an authorized agency or awarding authority thereof, or any person or persons in their behalf in which state or municipal funds are used if the contract price be in excess of one thousand dollars (\$1,000).

37-13-10. Overtime compensation.

Labor performed under the provisions of 37-13-1 - 37-13-16, inclusive, during the period of forty (40) hours in any one week and during the period of eight (8) hours in any one day, shall be considered a legal week's work or a legal day's work, as the case may be, and any number of hours of employment in any one week greater than the number of forty (40) hours or in any one day greater than the number of eight (8) hours shall be compensated at the prevailing rate of wages for overtime employment; provided, however, when the director of labor and training has determined in the investigation provided for in 37-13-7 and 37-13-8 that there is a prevailing practice in a city, town, or other appropriate political subdivision to pay an overtime rate of wages for work of any craft, mechanic, teamster, laborer, or type of worker needed to execute the work other than hours worked in any one week greater than the number of forty (40) or in hours worked in any one day greater than the number of eight (8), then the prevailing practice shall determine the legal workday and the legal workweek in the city or town for the work and the prevailing rate of overtime wages shall be paid for such work in excess of that legal workday or week, as the case may be.

37-13-11. Posting of prevailing wage rates.

Each contractor awarded a contract for public works with a contract price in excess of one thousand dollars (\$ 1,000), and each subcontractor who performs work on those public works, shall post in conspicuous places on the project, where covered workers are employed, posters which contain the current, prevailing rate of wages and the current, prevailing rate of payments to the funds required to be paid for each craft or type of worker employed to execute the contract as set forth in §§ 37-13-6 and 37-13- 7, and the rights and remedies of any employee described in § 37-13-17 for nonpayment of any wages earned pursuant to this chapter. Posters shall be furnished to contractors and subcontractors by the director of labor and training, who shall determine the size and context thereof from time to time, at the time a contract is awarded. A contractor or subcontractor who fails to comply with the provisions of this section shall be deemed guilty of a misdemeanor and shall pay to the director of labor and training one hundred dollars (\$ 100) for each calendar day of noncompliance as determined by him or her. Contracts set forth in this section shall not be awarded by the state, any city, town, or any agency thereof until the director of labor and training has prepared and delivered the posters to the division of purchases, if the state or any agency thereof is the proper authority, or to the city, town, or an agency thereof, if it is the proper authority, and the contractor to whom the contract is to be awarded.

37-13-12. Wage records of contractors.

Each contractor awarded a contract with a contract price in excess of one thousand dollars (\$1,000) for public works, and each subcontractor who performs work on those public works, shall keep an accurate record showing the name, occupation, and actual wages paid to each worker employed by him or her and the payments to all the employee funds specified in sections 37-13-6 and 37-13-7 by him or her in connection with the contract or work. The director and his or her authorized representatives shall have the right to enter any place of employment at all reasonable hours for the purpose of inspecting the wage records and seeing that all provisions of this chapter are complied with.

37-13-12.1. Obstruction of enforcement.

Any effort of any employer to obstruct the director and his or her authorized representatives in the performance of their duties shall be deemed a violation of this chapter and punishable as such.

37-13-12.2. Subpoena powers.

The director and his or her authorized representatives shall have power to administer oaths and examine witnesses under oath, issue subpoenas, subpoenas duces tecum, compel the attendance of witnesses, and the production of papers, books, accounts, records, payrolls, documents, and testimony, and to take depositions and affidavits in any proceeding before the director.

37-13-12.3. Compelling obedience to subpoenas.

In case of failure of any person to comply with any subpoena lawfully issued, or subpoena duces tecum, or on the refusal of any witness to testify to any matter regarding which he may be lawfully interrogated, it shall be the duty of the superior court, or any judge thereof, on application by the director, to compel obedience by proceedings in the nature of those for contempt.

37-13-12.4. Penalty for violations.

Except as otherwise provided in this chapter, any employer who shall violate or fail to comply with any of the provisions of this chapter shall be guilty of a misdemeanor and shall be punished by a fine of not less than five hundred dollars (\$500) nor more than one thousand dollars (\$1,000) for each separate offense, or by imprisonment of up to one year, or by both fine and imprisonment. Each day of failure to pay wages due an employee at the time specified in this chapter shall constitute a separate and distinct violation.

37-13-13. Furnishing payroll record to director of labor.

(a) Every contractor and subcontractor awarded a contract for public works as defined by this chapter shall furnish a certified copy of his or her payroll records of his or her employees employed on the project to the awarding authority on a monthly basis for all work completed in the preceding month on a uniform form prescribed by the director of labor and training. Notwithstanding the foregoing, certified payrolls for department of transportation public works may be submitted on the federal payroll form, provided that, when a complaint is being investigated, the director or his or her designee may require that a contractor resubmit the certified payroll on the uniform department form.

(b) Awarding authorities, contractors and subcontractors shall provide any and all payroll records to the director of labor and training within ten (10) days of their request by the director or his or her designee.

(c) In addition, every contractor and subcontractor shall maintain on the site where public works are being constructed and the general or primary contract is one million dollars (\$1,000,000) or more, a daily log of employees employed each day on the public works project. The log shall include, at a minimum, for each employee his or her name, primary job title, and employer and shall be kept on a uniform form prescribed by the director of labor and training. Such log shall be available for inspection on the site at all times by the awarding authority and/or the director of the department of labor and training and his or her designee. This subsection shall not apply to road, highway, or bridge public works projects.

(d) The director of labor and training may promulgate reasonable rules and regulations to enforce the provisions of this section.

(e) The awarding authority of any public works project shall withhold the next scheduled payment to any contractor or subcontractor who fails to comply with the provisions of subsections (a) or (b) above and shall also

notify the director of labor and training. The awarding authority shall withhold any further payments until such time as the contractor or subcontractor has fully complied. If it is a subcontractor who has failed to comply, the amount withheld shall be proportionate to the amount attributed or due to the offending subcontractor as determined by the awarding authority. The department may also impose a penalty of up to five hundred dollars (\$500) for each calendar day of noncompliance with this section, as determined by the director of labor and training. Mere errors and/or omissions in the daily logs maintained under subsection (c) shall not be grounds for imposing a penalty under this subsection.

37-13-13.1. Audits of wage records of out of state contractors and subcontractors.

Out of state contractors or subcontractors who perform work on public works in this state authorize the director of labor and training to conduct wage and hour audits of their payroll records pursuant to the provisions of chapter 14 of title 28.

37-13-14. Contractor's bond.

The state or any city, town, agency, or committee therein awarding contracts for public works shall require the contractor awarded a contract with a contract price in excess of fifty thousand dollars (\$ 50,000) for public works to file with the proper authority good and sufficient bond with surety furnished by any surety company authorized to do business in the state, conditioned upon the faithful performance of the contract and upon the payment for labor performed and material furnished in connection therewith, a bond to contain the terms and conditions set forth in chapter 12 of this title, and to be subject to the provisions of that chapter. Waiver of the bonding requirements of this section is expressly prohibited.

37-13-14.1. Enforcement - Hearing

(a) Before issuing an order or determination, the director of labor and training shall order a hearing thereon at a time and place to be specified, and shall give notice thereof, together with a copy of the complaint or the purpose thereof, or a statement of the facts disclosed upon investigation, which notice shall be served personally or by mail on any person, firm, or corporation affected thereby. The person, firm, or corporation shall have an opportunity to be heard in respect to the matters complained of at the time and place specified in the notice, which time shall be not less than five (5) days from the service of the notice personally or by mail. The hearing shall be held within ten (10) days from the order of hearing. The hearing shall be conducted by the director of labor and training or his or her designee. The hearing officer in the hearing shall be deemed to be acting in a judicial capacity and shall have the right to issue subpoenas, administer oaths, and examine witnesses. The enforcement of a subpoena issued under this section shall be regulated by Rhode Island civil practice law and rules. The hearing shall be expeditiously conducted, and upon such hearing, the hearing officer shall determine the issues raised thereon and shall make a determination and enter an order within ten (10) days of the close of the hearing, and forthwith serve a copy of the order, with a notice of the filing thereof, upon the parties to the proceeding, personally or by mail. The order shall dismiss the charges or direct payment of wages or supplements found to be due, including interest at the rate of twelve percent (12%) per annum from the date of the underpayment to the date of payment, and may direct payment of reasonable attorney's fees and costs to the complaining party.

(b) In addition to directing payment of wages or supplements including interest found to be due, the order shall also require payment of a further sum as a civil penalty in an amount up to three times the total amount found to be due. Further, if the amount of salary owed to an employee pursuant to this chapter but not paid to the employee in violation of thereof exceeds five thousand dollars (\$5,000), it shall constitute a misdemeanor and shall be referred to the office of the attorney general. The misdemeanor shall be punishable for a period of not more than one year in prison and/or fined not more than one thousand dollars (\$1,000). In assessing the amount of the penalty, due consideration shall be given to the size of the employer's business, the good faith of the employer, the gravity of the violation, the history of previous violations, and the failure to comply with recordkeeping or other nonwage requirements. The surety of the person, firm, or corporation found to be in violation of the provisions of this chapter shall be bound to pay any penalties assessed on such person, firm, or corporation. The penalty shall be paid to the department of labor and training for deposit in the state treasury; provided, however, it is hereby provided that the general treasurer shall establish a dedicated "prevailing wages enforcement fund" for the purpose of depositing the penalties paid as provided herein. There is hereby appropriated to the annual budget of the department of labor and training the amount of the fund collected annually under this section, to be used at the direction of the director of labor and training for the sole purpose of enforcing prevailing wage rates as provided in this chapter.

(c) For the purposes of this chapter, each day or part thereof of violation of any provision of this chapter by a person, firm, or corporation, whether the violation is continuous or intermittent, shall constitute a separate and succeeding violation.

(d) In addition to the above, any person, firm, or corporation found in violation of any of the provisions of this chapter by the director of labor and training, an awarding authority, or the hearing officer, shall be ineligible to bid on, or be awarded work by, an awarding authority or perform any such work for a period of no less than eighteen (18) months and no more than thirty-six (36) months from the date of the order entered by the hearing officer. Once a person, firm, or corporation is found to be in violation of this chapter, all pending bids with any awarding authority shall be revoked, and any bid awarded by an awarding authority prior to the commencement of the work shall also be revoked.

(e) In addition to the above, any person, firm, or corporation found to have committed two (2) or more willful violations in any period of eighteen (18) months of any of the provisions of this chapter by the hearing officer, which violations are not arising from the same incident, shall be ineligible to bid on, or be awarded work by, an awarding authority or perform any work for a period of sixty (60) months from the date of the second violation.

(f) The order of the hearing officer shall remain in full force and effect unless stayed by order of the superior court.

(g) The director of labor and training, awarding authority, or hearing officer shall notify the bonding company of any person, firm, or corporation suspected of violating any section of this chapter. The notice shall be mailed certified mail and shall enumerate the alleged violations being investigated.

(h) In addition to the above, any person, firm, or corporation found to have willfully made a false or fraudulent representation on certified payroll records shall be referred to the office of the attorney general. A first violation of this section shall be considered a misdemeanor and shall be punishable for a period of not more than one year in prison and/or fined one thousand dollars (\$1,000). A second or subsequent violation of this section shall be considered a felony and shall be punishable for a period of not more than three (3) years imprisonment, a fine of three thousand dollars (\$3,000), or both. Further, any person, firm, or corporation found to have willfully made a false or fraudulent representation on certified payroll records shall be required to pay a civil penalty to the department of labor and training in an amount of no less than two thousand dollars (\$2,000) and not greater than fifteen thousand dollars (\$15,000) per representation.

37-13-15. Review.

(a) There is hereby created an appeals board which shall be comprised of three (3) members who shall be appointed by the governor; provided, however, that each member of the appeals board shall have at least five (5) years experience with prevailing wage rates as they apply to the construction industry. The members of such appeals board shall serve without compensation. The members of the appeals board shall be appointed for terms of three (3) years except that of the three (3) members originally appointed by each of the appointing authorities; one (1) shall be appointed for a term of one (1) year, one (1) shall be appointed for a term of two (2) years and one (1) for a term of three (3) years.

(b) Any person aggrieved by any action taken by the director of labor and training or his or her designated hearing officer under the authority of this chapter, or by the failure or refusal of the director of labor and training to take any action authorized by this chapter, may obtain a review thereof for the purpose of obtaining relief from the action or lack of action by filing a petition for administrative review and relief, to the appeals board as provided herein. The petition for administrative review shall be filed within twenty (20) days of the action taken by the director of labor and training or designated hearing officer: The petition for administrative review shall be heard within ten (10) days of the date of filing. An aggrieved person under this section shall include:

- (1) Any person who is required to pay wages to his or her employees or make payments to a fund on behalf of his or her employees, as provided in this chapter;
- (2) Any person who is required to be paid wages for his or her labor or on whose behalf payments are required to be paid to funds, as provided by this chapter;
- (3) The lawful collective bargaining representative of a person defined in subdivision (2) above;
- (4) A trade association of which a person defined in subdivision (1) above is a member;
- (5) A proper authority as defined in this chapter;

- (6) A contractor who submitted a bid for work to be or which has been awarded under the provisions of this chapter or a trade association of which he or her is a member, and
 - (7) A labor organization which has one or more written collective bargaining agreements with one or more employers or a trade association which sets forth the hours, wages, and working conditions of a craft, mechanic, teamster, or type of worker needed to execute the work, as provided in this chapter to the extent that it would be affected by the action or the failure to act of the director of labor and training or the hearing officer.
- (c) Any aggrieved person as defined herein may obtain a review of a decision of the appeals board by filing a petition in the superior court in Providence county pursuant to the provisions of the administrative procedures act, praying for review and relief and the petition shall follow the course of and be subject to the procedures for causes filed in the court.
- (d) The director is hereby empowered to enforce his or her decision and/or the decision of the appeals board in the superior court for the county of Providence.

37-13-16. Termination of work on failure to pay agreed wages - Completion of work.

Every contract within the scope of this chapter shall contain the further provision that in the event it is found by the director of labor and training that any employee employed by the contractor or any subcontractor directly on the site of the work covered by the contract has been or is being paid a rate of wages less than the rate of wages required by the contract to be paid as aforesaid, the awarding party may, by written notice to the contractor or subcontractor, terminate his or her right as the case may be, to proceed with the work, or such part of the work as to which there has been a failure to pay the required wages, and shall prosecute the work to completion by contract or otherwise, and the contractor and his or her sureties shall be liable to the awarding party for any excess costs occasioned the awarding authority thereby.

37-13-17. Private right of action to collect wages or benefits

(a) An employee or former employee, or any organization representing such an employee or former employee, of a contractor or subcontractor may bring a civil action for a violation of § 37-13-7 for appropriate injunctive relief, or actual damages, or both within three (3) years after the occurrence of the alleged violation. An action commenced pursuant to this section, may be brought in the superior court for the county where the alleged violation occurred, the county where the complainant resides, or the county where the person against whom in the civil complaint is filed resides or has their principal place of business. Any contractor or subcontractor who violates the provisions of § 37-13-7 shall be liable to the affected employee or employees in the amount of unpaid wages or benefits, plus interest. A civil action filed in court under this section may be instituted instead of, but not in addition to the director of labor and training enforcement procedures authorized by § 37-13-14.1, provided the civil action is filed prior to the date the director of labor and training issues notice of an administrative hearing.

(b) An employer's responsibility and liability is solely for its own employees.

(c) An action instituted pursuant to this section may be brought by one or more employees or former employees on behalf of himself/herself or themselves and other employees similarly situated, except that no employee shall be a party plaintiff to any such action unless he/she gives his/her consent in writing to become such a party and such consent is filed in the court in which such action is brought.

(d) In an action filed under this section in which the plaintiff prevails, the court shall, in addition to any judgment awarded to the plaintiff, require reasonable attorneys' fees and the costs of the action to be paid by the defendant.

(e) The court in an action filed under this section shall award affected employees or former employees liquidated damages in an amount equal to two (2) times the amount of unpaid wages or benefits owed. Unpaid fringe benefit contributions owed pursuant to this section in any form shall be paid to the appropriate benefit fund, however, in the absence of an appropriate fund the benefit shall be paid directly to the individual.

(f) The filing of a civil action under this section shall not preclude the director of labor and training from referring a matter to the attorney general as provided in § 37-13-14.1(b), from prohibiting a contractor or subcontractor from bidding on or otherwise participating in contracts as provided in § 37-13-14.1(d), (e) and (h), or from prohibiting termination of work on failure to pay agreed wages pursuant to § 37-13-16.

(g) Any person, firm, or corporation found to have willfully made a false or fraudulent representation in connection with wage obligations owed on a contract shall be required to pay a civil penalty to the department of labor and training in an amount of no less than one thousand dollars (\$ 1,000) and not greater than three thousand dollars (\$ 3,000) per representation. Such penalties shall be recoverable in civil actions filed pursuant to this section. For purposes of this subsection "willfully" shall mean representations that are known to be false, or representations made with deliberate ignorance or reckless disregard for their truth or falsity.

(h) An employer shall not discharge, threaten, or otherwise discriminate against an employee, or former employee, regarding compensation terms, conditions, locations or privileges of employment because the employee or former employee, or a person or organization acting on his or her behalf: (1) Reports or makes a complaint under this section; or otherwise asserts his or her rights under this section; and/or (2) Participates in any investigation, hearing or inquiry held by the director of labor and training under § 37-13-14.1. In the event a contractor or subcontractor retaliates or discriminates against an employee in violation of this section, the affected employee may file an action in any court of competent jurisdiction and the court shall order reinstatement and/or restitution of the affected employee, as appropriate, with back pay to the date of the violation, and an additional amount in liquidated damages equal to two (2) times the amount of back pay and reasonable attorneys' fees and costs.

(i) If any one or more subsections of this section shall for any reason be adjudged unconstitutional or otherwise invalid, the judgment shall not affect, impair, or invalidate the remaining subsections.

PREVAILING WAGE RATES

(Appropriate wage rate to be inserted by bidder in specifications)

For a copy of the appropriate wage rate, contact:

**R.I. Department of Labor and Training
Center General Complex
1511 Pontiac Avenue
Cranston, RI 02920**

TITLE 37

CHAPTER 14.1 MINORITY BUSINESS ENTERPRISE

Sections

37-14.1-1.	Purpose.
37-14.1-2.	Applicability.
37-14.1-3.	Definitions.
37-14.1-4.	Policy.
37-14.1-5.	Discrimination prohibited.
37-14.1-6.	Minority business enterprise guidelines.
37-14.1-7.	Establishment of criteria and guidelines.
37-14.1-8.	Sanctions.

37-14.1-1. Purpose.

The purpose of this chapter is to carry out the state's policy of supporting the fullest possible participation of firms owned and controlled by minorities and women (MBE's), in state funded and state directed public construction programs and projects and in state purchases of goods and services. This includes assisting MBE's throughout the life of contracts in which they participate.

37-14.1-2. Applicability.

This chapter shall apply to any and all state purchasing, including, but not limited to the procurement of goods, services, construction projects, or contracts funded in whole or in part by state funds, or funds which, in accordance with a federal grant or otherwise, the state expends or administers or in which the state is a signatory to the construction contract.

37-14.1-3. Definitions.

- (a) "Affirmative action" means taking specific steps to eliminate discrimination and its effects, to ensure nondiscriminatory results and practices in the future, and to involve minority business enterprises fully in contracts and programs funded by the state.
- (b) "Compliance" means the condition existing when a contractor has met and implemented the requirements of this chapter.
- (c) "Contract" means a mutually binding legal relationship or any modification thereof obligating the seller to furnish supplies or services, including construction, and the buyer to pay for them. For purposes of this chapter, a lease is a contract.
- (d) "Contractor" means one who participates, through a contract or subcontract, in any procurement or program covered by this chapter, and includes lessees and material suppliers.
- (e) "Minority" means a person who is a citizen or lawful permanent resident of the United States and who is:
 - (1) Black (a person having origins in any of the black racial groups of Africa);
 - (2) Hispanic (a person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race);
 - (3) Portuguese (a person of Portuguese, Brazilian, or other Portuguese culture or origin, regardless of race);
 - (4) Asian American (a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands);
 - (5) American Indian and Alaskan Native (a person having origins in any of the original peoples of North America.); or
 - (6) Members of other groups, or other individuals, found to be economically and socially disadvantaged by the Small Business Administration under section 8(a) of the Small Business Act, as amended [15 U.S.C. 637(a)].
- (f) "Minority business enterprise" or "MBE" means a small business concern, as defined pursuant to section 3 of the federal Small Business Act [15 U.S.C. 632] and implementing regulations, which is owned and controlled by one or more minorities or women. For the purposes of this chapter, owned and controlled means a business.

- (1) Which is at least fifty-one percent (51%) owned by one or more minorities or women or, in the case of a publicly owned business, at least fifty-one percent (51%) of the stock of which is owned by one or more minorities or women; and
- (2) Whose management and daily business operations are controlled by one or more such individuals.

(g) "MBE coordinator" means the official designated to have overall responsibility for promotion of minority business enterprise in his or her departmental element.

(h) "Noncompliance" means the condition existing when a recipient or contractor has failed to implement the requirements of this chapter.

37-14.1-4. Policy.

It is the policy of the state of Rhode Island that minority business enterprises (MBE's) shall have the maximum opportunity to participate in the performance of procurements and projects outlined in 37-14.1-2.

37-14.1-5. Discrimination prohibited.

No person shall be excluded from participation in, denied the benefits of, or otherwise discriminated against in connection with the award and performance of any project covered by this chapter, on the grounds of race, color, national origin, or sex.

37-14.1-6. Minority business enterprise participation.

Minority business enterprises shall be included in all procurements and construction projects under this chapter and shall be awarded a minimum of ten percent (10%) of the dollar value of the entire procurement or project. The director of the department of administration is further authorized to establish by rules and regulation formulas for giving minority business enterprises a preference in contract and subcontract awards.

37-14.1-7. Establishment of criteria and guidelines.

The director of the department of administration shall establish, by rule and regulations adopted in accordance with chapter 35 of title 42, standards which shall determine whether a construction project is covered by this chapter, compliance formulas, procedures for implementation, and procedures for enforcement which are not inconsistent with 49 CFR 23 of the federal regulations. As to Rhode Island department of transportation contracts, the director of administration may delegate this authority to the director of transportation.

37-14.1-8. Sanctions.

(a) The director of the department of administration shall have the power to impose sanctions upon contractors not in compliance with this chapter and shall include but not be limited to:

- (1) Suspension of payments;
- (2) Termination of the contract;
- (3) Recovery by the state of ten percent (10%) of the contract award price as liquidated damages; and
- (4) Denial of right to participate in future projects for up to three (3) years.

(b) As to Rhode Island department of transportation contracts, the director of the department of administration may delegate this authority to the director of transportation.

**RHODE ISLAND REQUIREMENTS FOR PARTICIPATION BY MINORITY BUSINESS ENTERPRISES
IN STATE FUNDED AND DIRECTED PUBLIC CONSTRUCTION PROJECTS, CONSTRUCTION
CONTRACTS AND PROCUREMENT CONTRACTS**

In accordance with RI Gen. Law § 37-14.1-1, it is the policy of the State of Rhode Island to support the fullest possible participation of firms owned and controlled by minorities (MBEs) and women (WBEs). Pursuant to §§ 37-14.1-2 and 37-14.1-6, MBEs and WBEs shall be included in all state purchasing, including, but not limited to, the procurement of goods, services, construction projects, or contracts funded in whole or in part with state funds, or funds which, in accordance with a federal grant or otherwise, the state expends or administers. MBEs and WBEs shall be awarded a minimum of ten percent (10%) of the dollar value of the entire procurement or project. MBE participation credit shall only be granted for firms duly certified as MBEs or WBEs by the State of Rhode Island, Department of Administration, Office of Diversity, Equity and Opportunity, MBE Compliance Office (MBECO). The current directory of firms certified as MBEs or WBEs may be accessed at <http://odeo.ri.gov/offices/mbeco/mbe-wbe.php> or by contacting Dorinda Keene at the MBECO at (401) 574-8670 or via email at Dorinda.Keene@doa.ri.gov

TITLE 37

CHAPTER 16 PUBLIC WORKS ARBITRATION

Sections

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37-16-1. Short title.

This chapter shall be known as the "Public Works Arbitration Act".

37-16-2. Contract provision for arbitration.

(a) A provision in a written contract executed on or after January 1, 1962, for the construction, alteration, repair, or painting of any public building, sewer, highway, bridge, water treatment or disposal projects one party to which is the state, a city, a town, or an authority, a board, a public corporation, or any similar body created by statute or ordinance or any committee, agency, or subdivision of any of them, to settle by arbitration any dispute or claim arising out of or concerning the performance or interpretation of the contract shall be valid, irrevocable, and enforceable, save upon grounds existing in law or equity for the revocation of the contract.

(b) (1) Every contract for the construction, alteration, repair, painting, or demolition of any public building, sewer, water treatment or disposal project, highway, or bridge one party to which is the state, a city, a town, or an authority, a board, a public corporation, or any similar body created by statute or ordinance or any committee, agency, or subdivision of any of them which has a contract price of ten thousand dollars (\$ 10,000) or more and which is executed on or after July 1, 1967, shall contain a provision for arbitration of disputes and claims arising out of or concerning the performance or interpretation of the contract as follows:

(2) "All claims, disputes, and other matters in question arising out of or relating to this contract or the performance or interpretation thereof shall be submitted to arbitration. Arbitration shall be commenced by a demand in writing made by one party to the contract upon the other within a reasonable time after the dispute, claim, or other matter in question arose but in no event after payment in full of the contract price has been made and accepted. The written demand shall contain a statement of the question to be arbitrated and a detailed statement of each item or matter in

dispute and the name of the arbitrator appointed by that party. The other party to the contract within ten (10) days of the receipt of the written demand shall appoint an arbitrator and give notice in writing thereof to the party who commenced arbitration. The two (2) arbitrators appointed by the parties shall within ten (10) days of the date of the appointment of the second arbitrator select a third arbitrator who shall be designated as chairperson and who immediately shall give written notice to the parties of his or her appointment. The third arbitrator shall select a time, date, and place for hearing and give each party five (5) days notice in writing thereof. The date for hearing shall not be more than fifteen (15) days after the date of appointment of the third arbitrator. The award shall be made promptly by the arbitrators and, unless otherwise agreed by the parties or specified by law, no later than thirty (30) days from the date of closing the hearing, or, if oral hearings have been waived, from the date of the transmittal of the final statements and proofs to the arbitrators. The award shall be in writing and shall be signed by a majority of the arbitrators. It shall be executed in the manner required by law. The arbitrator shall provide a written explanation of the reasoning for the award. In the event the party of whom arbitration is demanded shall fail to appoint his or her arbitrator within the time specified or the two (2) arbitrators appointed by the parties are unable to agree on an appointment of the third arbitrator within the time specified, either party may petition the presiding justice of the superior court to appoint a single arbitrator who shall hear the parties and make an award as provided herein. The petitioner shall give five (5) days notice in writing to the other party before filing his or her petition."

(c) Any dispute involving claims less than one hundred thousand dollars (\$ 100,000) and associated with construction of a highway or bridge as referred to in subsection (b) shall be submitted to arbitration. Any dispute involving claims of one hundred thousand dollars (\$ 100,000) or more and associated with construction of a highway or bridge as referred to in subsection (b) shall only be arbitrated with the consent of the parties. If the parties fail to consent to arbitration and the state of Rhode Island is a party to the dispute, then the claim will proceed in accordance with § 37-13.1-1.

(d) For the purposes of this section, the term "claims" shall not mean the aggregate amount sought under the contract or in the arbitration, but shall refer specifically to each item or matter in dispute for which additional compensation is sought or for each item for which a credit is sought.

(e) Notwithstanding subsection (a) or (b) of this section, if any contract except for highway and bridge contracts provides for an arbitration procedure, and a method of appointment of an arbitrator or arbitrators, that method shall be followed instead of the method provided in subsection (b) of this section.

(f) This section shall apply to all written contracts executed on or after January 1, 1986.

37-16-3. Application to subcontracts.

When a contract described in 37-16-2 is in effect and any party thereto has entered into a subcontract to perform part of the work and/or furnish any materials in connection with the work described in the contract and the terms of the subcontract provide for arbitration of a dispute or claim concerning the performance or interpretation thereof, or the subcontract, expressly or by reference to the terms of the contract, provides that the parties to the subcontract shall comply with the arbitration provisions of the contract, the following shall apply when a request is made or an order of court is entered for arbitration either under the terms of the contract or subcontract.

(a) When arbitration under the contract may adversely affect the interest of a party thereto because of the effect of an award of the arbitrator or arbitrators upon the performance or interpretation of the terms of a subcontract to which he or she is also a party, he or she may require any other party or all other parties to the subcontract to become a party or parties to the arbitration.

(b) When a party to a subcontract makes a demand or an order of court is entered for arbitration under the terms of the subcontract which comply with the provision of this chapter, any party thereto who is also a party to the contract and whose rights under the contract may be adversely affected by the effect of an award of the arbitrator or arbitrators upon the performance or interpretation of the contract, may require any other party to the contract to become a party to the arbitration.

(c) When a party to a contract or to a subcontract is made a party to arbitration by virtue of the provisions of this section, he or she shall have all the rights of a party to arbitration as provided in this chapter except the appointment of an arbitrator. Provided, however, he or she may object to the arbitrators appointed by the parties in which event a single arbitrator shall be appointed as provided in 37-16-2 in the petition of either of the original parties to arbitration. The award of the arbitrator or arbitrators shall be valid and shall be binding on him or her to

the extent that it affects the performance or interpretation of the contract and/or subcontract to which he or she is a party. The award of the arbitrator or arbitrators may be enforced, modified, or vacated as this chapter provides an award made in an arbitration of a contract described in 37-16-2 may be enforced, modified, or vacated.

37-16-4. Stay of legal proceedings pending arbitration.

If any suit or proceedings be brought upon any issue referable to arbitration under contract in writing providing for arbitration, the court in which the suit is pending upon being satisfied that the issue involved in the suit or proceedings is referable to arbitration under the contract, shall on application of one of the parties, stay the trial of the action until arbitration has been held.

37-16-5. Jurisdiction of superior court to enforce arbitration provision and awards.

The entering into a contract in writing providing for arbitration shall be deemed a consent of all parties, including those enumerated in 37-16-2, thereto to the jurisdiction of the superior court of this state to enforce the arbitration provision and any award made pursuant to that provision. A party aggrieved by the failure, neglect, or refusal of another to perform under a contract providing for arbitration, may petition the superior court, or a judge thereof, for an order directing that arbitration proceed in the manner provided for in the contract. Five (5) days' notice in writing of the application shall be served upon the part in default. Service thereof shall be made in the manner specified in the contract, and if no manner specified therein, then in the manner provided by law for personal service of a summons, within or without the state, or substituted service of a summons, or upon satisfactory proof that the party aggrieved has been or will be unable with due diligence to make service in any of the foregoing manners, then notice shall be served in such manner as the court or judge may direct. A judge of the superior court shall hear the parties and upon being satisfied that there is no substantial issue as to the making of the contract or the failure to comply therewith, the court, or the judge thereof, hearing the application, shall make an order directing the parties to proceed to arbitration in accordance with the terms of the contract.

37-16-6. Trial upon evidence of substantial issue.

If evidentiary facts are set forth raising a substantial issue as to the making of the contract or the failure to comply therewith, the court, or the judge thereof, shall proceed immediately to the trial of the issues. Whenever an immediate trial is ordered, the order therefor shall provide that, if the court finds that a written contract providing for arbitration was made, and that there was a failure to comply therewith, the parties shall proceed with the arbitration in accordance with the terms of the contract and the order shall provide that if the court finds that there was no contract or failure to comply with the contract, then the proceeding shall be dismissed.

37-16-7. Method of appointing arbitrators or umpire.

If in the contract providing for arbitration, provision is made for a method of naming or appointing an arbitrator or arbitrators or an umpire, that method shall be followed, but if no method be provided therein, then the parties to the contract shall agree to the method of naming or appointing an arbitrator or arbitrators or an umpire and if the parties shall fail to agree, then the court or the judge thereof upon application of either of the parties after due notice to the other party shall appoint an arbitrator to hear the dispute.

37-16-8. Scheduling and notice of arbitration hearing - Adjournment.

Subject to the terms of the contract, if any are specified therein, the arbitrators selected as prescribed in this chapter must appoint a time and place for the hearing of the matters submitted to them, and must cause notice thereof to be given to each of the parties. They, or a majority of them, may adjourn the hearing from time to time upon the application of either party for good cause shown or upon their own motion, but not beyond the day fixed if a date in the contract, if any, for rendering their award, unless the time so fixed is extended by the written consent of the parties to the contract or their attorney, or the parties have continued with the arbitration without objection to such adjournment.

37-16-9. Power of court to direct prompt hearing.

The court shall have power to direct the arbitrators to proceed promptly with the hearing and determination of the dispute, claim, or matter in question.

37-16-10. Arbitrator's oath - Waiver.

Before hearing any testimony, arbitrators selected as prescribed in this chapter must be sworn, by an officer authorized by law to administer an oath, faithfully and fairly to hear and examine the claim, dispute, or matter in question and to make a just award according to the best of their understanding, unless the oath is waived by the

written consent of the parties to the contract or their attorneys or the parties have continued with the arbitration without objection to the failure of the arbitrators to take the oath.

37-16-11. Powers of arbitrators.

The arbitrator or arbitrators selected as prescribed in this chapter, may require any person to attend before them as a witness; and he or she and they have, and each of them has, the same powers with respect to all the proceedings before them which are conferred upon a board or a member of a board authorized by law to hear testimony. All the arbitrators selected as prescribed in this chapter must meet together and hear all the allegations and proofs of the parties; but an award by a majority of them is valid.

37-16-12. Fees.

In any proceeding under this chapter, unless the parties agree as to the arbitrator's or arbitrators' fees, such fees shall be fixed by the court or the judges thereof who shall require the payment equally by both parties of the arbitrators' fees.

37-16-13. Validity of awards.

An award shall be valid and enforceable according to its terms and under the provisions of this chapter, without previous adjudication of the existence of a contract to arbitrate, subject, nevertheless, to the provisions of this section:

- (a) A party who has participated in any of the proceedings before the arbitrator or arbitrators may object to the confirmation of the award only on one or more of the grounds hereinafter specified (provided that he did not continue with the arbitration with notice of the facts or defects upon which his objection is based) because of a failure to comply with 37-16-8 or with 37-16-10 or because of the improper manner of the selection of the arbitrators.
- (b) A party who has not participated in any of the proceedings had before the arbitrator or arbitrators and who has not made or been served with an application to compel arbitration under 37-16-5 may also put in issue the making of the contract or the failure to comply therewith, either by a motion for a stay of the arbitration or in opposition to the confirmation of the award. If a notice shall have been personally served upon such party of an intention to conduct the arbitration pursuant to the provisions of a contract specified in the notice, then the issues specified in this subdivision may be raised only by a motion for a stay of the arbitration, notice of which motion must be served within ten (10) days after the service of the notice of intention to arbitrate. The notice must state in substance that unless within ten (10) days after its service, the party served therewith shall serve a notice of motion to stay the arbitration, he or she shall thereafter be barred from putting in issue the making of the contract or the failure to comply therewith. The arbitration hearing shall be adjourned upon service of the notice pending the determination of the motion. Where the opposing party, either on a motion for a stay or in opposition to the confirmation of an award, sets forth evidentiary facts raising a substantial issue as to the making of the contract or the failure to comply therewith, an immediate trial of the same shall be had. In the event that the party is unsuccessful he or she may, nevertheless, participate in the arbitration if the same is still being carried on.

37-16-14. Arbitration under chapter deemed special proceeding - Jurisdiction of superior court.

Arbitration of a claim, dispute, or matter in question under a contract described in this chapter shall be deemed a special proceeding, of which the superior court for Providence County shall have jurisdiction.

37-16-15. Procedure for hearing of application to court.

Any application to the court, or a judge thereof, hereunder shall be made and heard in the manner provided by law for the making and hearing of motions, except as otherwise herein expressly provided.

37-16-16. Form of award.

To entitle the award to be enforced, as prescribed in this chapter, it must be in writing; and, within the time limited in the contract, if any, subscribed by the arbitrator or arbitrators making it and either filed in the office of the clerk of the court having jurisdiction as provided in 37-16-14 or delivered to one of the parties or his or her attorney.

37-16-17. Court order confirming award.

At any time within one year after the award is made, as prescribed in 37-16-16, any party to the contract by the terms of which arbitration was had, may apply to the court having jurisdiction as provided in 37-16-14 for an order confirming the award. Thereupon the court must grant the order unless the award is vacated, modified, or corrected, as prescribed in 37-16-18 and 37-16-19 or unless the award is unenforceable under the provisions of 37-16-13. Notice of the motion must be served upon the adverse party or parties or his or her or their attorneys, as prescribed by law for service of notice of a motion upon an attorney in an action in the same court.

37-16-18. Court order vacating award.

In any of the following cases, the court must make an order vacating the award, upon the application of any party to the controversy which was arbitrated

- (a) When the award was procured by fraud.
- (b) Where the arbitrator or arbitrators exceeded their powers, or so imperfectly executed them, that a mutual, final, and definite award upon the subject matter submitted was not made.
- (c) If there was no valid contract, and the objection has been raised under the conditions set forth in 37-16-13.

37-16-19. Rehearing after vacation of award.

Where an award is vacated, the court, in its discretion may direct a rehearing either before the same arbitrator or arbitrators or before a new arbitrator or arbitrators to be chosen in the manner provided in the contract for the selection of the original arbitrator or arbitrators or as provided for in 37-16-7 and any provision limiting the time in which the arbitrator or arbitrators may make a decision shall be deemed applicable to the new arbitration and to commence from the date of the court's order.

37-16-20. Court order modifying or correcting award.

In any of the following cases, the court must make an order modifying or correcting the award, upon the application of any party to the contract by the terms of which the arbitration was held.

- (a) Where there was an evident miscalculation of figures or an evident mistake in the description of any persons, thing, or property referred to in the award.
- (b) Where the arbitrator or arbitrators have awarded upon a matter not submitted to them, not affecting the merits of the decision upon the matter submitted.
- (c) Where the award is imperfect in a matter of form not affecting the merits of the controversy, and, if it had been a master's report the defect could have been amended or disregarded by the court.

37-16-21. Notice of motion to vacate, modify, or correct an award.

Notice of a motion to vacate, modify, or correct an award must be served upon all adverse parties, or their attorneys, within sixty (60) days after the award is filed or delivered, as prescribed by law for service of notice of a motion upon an attorney in an action; except that in opposition to a motion to confirm an award, any of the grounds specified in 37-16-18 may be set up. For the purpose of the motion, any judge who might make an order, to stay the proceedings in an action brought in the same court may make an order, to be served with the notice of motion, staying the proceedings of an adverse party or parties to enforce the award.

37-16-22. Entry of judgment - Costs.

Upon the granting of an order confirming, modifying, or correcting an award, judgment may be entered in conformity therewith, except as is otherwise prescribed in this chapter. Costs of the application and of the proceedings subsequent thereto, not exceeding twenty-five dollars (\$25.00) and disbursements, may be awarded by the court in its discretion. If awarded, the amount thereof must be included in the judgment.

37-16-23. Filing of papers after judgment.

(a) Immediately after entering judgment, the clerk must attach together and file the following papers:

- (1) The contract, and each written extension of the time, if any, within which to make the award.
- (2) The award.
- (3) Each notice, affidavit or other paper used upon an application to confirm, modify, or correct the award, and a copy of each order of the court upon the application.
- (4) A copy of the judgment.

(b) The judgment may be docketed as if it was rendered in an action.

37-16-24. Effect of judgment.

The judgment so entered has the same force and effect, in all respects as, and is subject to all the provisions of law relating to a judgment in an action. The judgment may be enforced as if it had been rendered in an action in the court in which it is entered.

37-16-25. Appeals.

An appeal may be taken from an order made in a proceeding under this chapter, or from a judgment entered upon an award. The proceedings upon the appeal, including the judgment thereupon and the enforcement of the judgment, are governed by the provisions of statute and rule regulating appeal in actions as far as they are applicable.

37-16-26. Satisfaction of award.

- (a) An award which requires the payment of a sum of money by a city, town, or the state or any body described in 37-16-2 created or organized by or through the authority of any of them, shall be satisfied to the extent of payment of that sum by payment thereof to the party to whom the award was made by the treasurer or officer exercising the duties of a treasurer thereof from its general funds.
- (b) An award which requires the payment of a sum of money to a city, a town, or the state or any body described in 37-16-2 created or organized by or through the authority of any of them shall be satisfied to the extent of payment of that sum by payment thereof to its treasurer or officer exercising the duties of a treasurer thereof who shall deposit the same in its general funds.

37-16-27. Application to sureties.

- (a) If a contractor principal on a bond furnished to guarantee performance or payment on a construction contract and the claimant are parties to a written contract with a provision to submit to arbitration any controversy thereafter arising under the contract, or subject to arbitration as provided in 37-16-2(b), the arbitration provisions shall apply to the surety for all disputes involving questions of the claimant's right of recovery against the surety. Either the claimant, the contractor principal, or surety may demand arbitration in accordance with the written contract or as provided in 37-16-2(b) if applicable in one arbitration proceeding, provided that the provisions of 37-16-3 shall be applicable to any such demand for arbitration. The arbitration award shall decide all controversies subject to arbitration between the claimant, on the one hand, and the contractor principal and surety on the other hand, including all questions involving liability of the contractor principal and surety on the bond, but a claimant must file suit for recovery against the surety within the time limits set forth in 37-12-2 and 37-12-5. The arbitration shall be in accordance with this chapter and the court shall enter judgment thereon as provided therein.
- (b) The arbitrator or arbitrators, if more than one, shall make findings of fact as to the compliance with the requirements for recovery against the surety, and those findings of fact shall be a part of the award binding on all parties to the arbitration.

TITLE 45

CHAPTER 55 AWARD OF MUNICIPAL CONTRACTS

SECTIONS

- 45-55-1 Legislative findings
- 45-55-2. Method of source selection
- 45-55-3. Purchasing agent - Appointment - Duties.
- 45-55-4. Definitions.
- 45-55-5. Competitive sealed bidding.
- 45-55-5.1. Business exempt.
- 45-55-5.2. Town of North Smithfield - Exemption.
- 45-55-6. Competitive negotiation.
- 45-55-7. Negotiations after unsuccessful competitive sealed bidding
- 45-55-8. Sole source procurement and emergency procurements.
- 45-55-8.1 Qualification based selection of architects and engineers.
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- 45-55-10. Cancellation of invitation for bids and requests for proposals.
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- 45-55-12. Prequalification of contractors - General.
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- 45-55-13.2. Exclusion of multi-cities or towns energy aggregation programs.
- 45-55-13.3. Exclusion of multi-school district combined purchasing consortia
- 45-55-14. Staff consultants.
- 45-55-15. Severability.
- 45-55-16 Prohibition against the use of lead based paints.
- 44-55-17 Penalties

45-55-1. Legislative findings.

It is hereby declared that a need exists to establish a uniform system for the award of contracts by municipalities, utilizing open cooperative bids.

45-55-2. Method of source selection.

Except as otherwise authorized by law, all municipal contracts shall be awarded by:

- (1) Competitive sealed bidding, pursuant to 45-55-5;
- (2) Competitive negotiations, pursuant to 45-55-6;
- (3) Non-competitive negotiations, pursuant to 45-55-7 and 45-55-8;
- (4) Small purchase procedures, pursuant to 45-55-9.
- (5) Qualification based selection (QBS) process for architects/engineers pursuant to 45-55-8.1

45-55-3. Purchasing agent - Appointment - Duties.

Within each city or town or quasi public agency there shall be designated a person or persons to act as purchasing officer to exercise the powers and duties as set forth in this chapter.

45-55-4. Definitions.

The words defined in this section have the following meanings whenever they appear in this chapter, unless the context in which they are used clearly requires a different meaning or a different definition is prescribed for a particular section, group of sections or provision.

- (1) "Business" means any corporation, partnership, individual, sole proprietorship, joint stock company, joint venture, or any other legal entity through which business is conducted.
- (2) "Change order" means a written order signed by the purchasing agent, or contractor directing or allowing the contractor to make changes which the changes clause of the contract authorizes the purchasing agent or contractor to order without the consent of the contractor or purchasing agent.
- (3) "Construction" means the process of building, altering, repairing, improving, or demolishing any public structures or building, or other public improvements of any kind to any public real property. It does not include the routine maintenance or repair of existing structures, buildings, or real property performed by salaried employees of the municipality in the usual course of their job.
- (4) "Contract" means all types of agreements, including grants and orders, for the purchase or disposal of supplies, services, construction, or any other item. It includes awards; contracts of a fixed-price, cost, cost-plus-a-fixed-fee, or incentive type; contracts providing for the issuance of job or task orders; leases; letter contracts, purchase orders, and construction management contracts. It also includes supplemental agreements with respect to any of the preceding. "Contract" does not include labor contracts with employees of the municipality.
- (5) "Contract modification" means any written alteration in the specifications, delivery point, rate of delivery, contract period, price, quantity, or other contract provisions of any existing contract, whether accomplished by unilateral action in accordance with a contract provision, or by mutual action of the parties to the contract. It includes bilateral actions, as supplemental agreements, and unilateral actions, as change orders, administrative changes, notices of termination, and notices of the exercise of a contract option.
- (6) "Contractor" means any person having a contract with a municipality.
- (8) "Data" means recorded information, regardless of form or characteristic.
- (8) "Designee" means a duly authorized representative of a person holding a superior position.
- (9) "Employee" means an individual drawing a salary from a municipality, whether elected or not, and any non-salaried individual performing personal services for any municipality.
- (10) "May" means permissive.
- (11) "Municipality" means the individual cities and towns of the state of Rhode Island.
- (12) "Negotiation" means contracting by either of the methods described in §§ 45-55-6, 45-55-7, and 45-55-8.
- (13) "Person" means any business, individual, organization, or group of individuals.
- (14) "Procurement" means the purchasing, buying, renting, leasing, or otherwise obtaining of any supplies, services, or construction. It also includes all functions that pertain to the obtaining of any supply, service, or construction item, including description of requirements, selection and solicitation of sources, preparation and award of contract, and all phases of contract administration.
- (15) "Purchasing officer" means the person designated in each municipality or quasi public agency pursuant to section 45-55-3.
- (16) "Regulations" means rules and regulations adopted by the individual cities or towns, concerning the implementation of the provisions of this chapter.

(17) "Services" means the rendering, by a contractor, of its time and effort rather than the furnishing of a specific end product, other than reports which are merely incidental to the required performance of services. "Services" does not include labor contracts with employees of governmental agencies.

(18) "Shall" means imperative.

(19) "Supplemental agreement" means any contract modification which is accomplished by the mutual action of the parties.

(20) "Supplies" means all property, including, but not limited to, leases of real property, printing and insurance, except land or permanent interest in land.

45-55-5. Competitive sealed bidding.

(a) Contracts exceeding the amount provided by 45-55-9 shall be awarded by competitive bidding unless they are professional engineering/architectural services pursuant to 45-55-8.1 and it is determined in writing that this method is not practicable. Factors to be considered in determining whether competitive sealed bidding is practicable shall include whether:

- (1) Specifications can be prepared that permit award on the basis of either the lowest qualified bid price or the lowest qualified evaluated bid price; and
 - (2) The available sources, the time and place of performance, and other relevant circumstances as are appropriate for the use of competitive sealed bidding.
- (b) The invitation for bids shall state whether award shall be made on the basis of the lowest bid price or the lowest evaluated or responsive bid price. If the latter basis is used, the objective measurable criteria to be utilized shall be stated in the invitation for bids, if available.
- (c) Adequate public notice of the invitation for bids shall be given a sufficient time prior to the date stated in the notice for the opening of bids. Notice may include publication in a newspaper of general circulation in the state as determined by the purchasing officer for the municipality not less than seven (7) days nor more than twenty-one (21) days before the date set for opening of the bids. The purchasing officer may make a written determination that the twenty-one (21) day limitation needs to be waived. The written determination shall state the reason why the twenty-one (21) day limitation is being waived and shall state the number of days, giving a minimum and maximum, before the date set for the opening of bids when public notice is to be given.
- (4) Bids shall be opened publicly in full view of the public at the time and place designated in the invitation for bids. Each bid, together with the name of the bidder, shall be recorded and an abstract made available for public inspection. Subsequent to the awarding of the bid, all documents pertinent to the awarding of the bid shall be made available and open to public inspection and retained in the bid file.
- (5) The contract shall be awarded with reasonable promptness by written notice to the responsive and responsible bidder whose bid is either the lowest bid price, or lowest evaluated or responsive bid price.
- (6) Correction or withdrawal of bids may be allowed only to the extent permitted by regulations issued by the purchasing officer.

45-55-5.1. Business exempt.

The North Kingstown Bus Contractors Association and the Scituate School Bus Owners Club shall be exempt from the provisions of this chapter.

45-55-5.2. Town of North Smithfield - Exemption.

The town of North Smithfield is exempt from the provisions of this chapter with regard to the contracting for fire and rescue services with the Primrose Volunteer Fire Department and/or North Smithfield Fire Department and/or their respective successors and assigns.

45-55-6. Competitive negotiation.

- (a) When, under regulations adopted by the city or town council, the purchasing agent determines in writing that the use of competitive sealed bidding is not practicable, and except as provided in 45-55-8, 45-55-9, and 45-55-10 a contract may be awarded by competitive negotiation.
- (b) Adequate public notice of the request for proposals shall be given in the same manner as provided in 45-55-5(c).
- (c) Contracts may be competitively negotiated when it is determined, in writing, by the purchasing agent that the bid prices received by competitive sealed bidding either are unreasonable as to all or part of the requirements, or were not independently reached in open competition, and for which:
 - (1) Each competitive bidder has been notified of the intention to negotiate and is given reasonable opportunity to negotiate; and
 - (2) The negotiated price is lower than the lowest rejected bid by any competitive bidder; and
 - (3) The negotiated price is the lowest negotiated price offered by a competitive offeror.
- (d) The request for proposals shall indicate the relative importance of price and other evaluation factors.
- (e) Award shall be made to the responsible offeror whose proposal is determined in writing to be the most advantageous to the municipality taking into consideration price and the evaluation factors set forth in the request for proposals.
- (f) Written or oral discussions shall be conducted with all responsible offerors who submit proposals determined, in writing, to be reasonably susceptible of being selected for award. Discussions shall not disclose any information derived from proposals submitted by competing offerors. Discussions need not be conducted:
 - (1) With respect to prices, where such prices are fixed by law or regulation, except that consideration shall be given to competitive terms and conditions; or
 - (2) Where time of delivery or performance will not permit discussions; or
 - (3) Where it can be clearly demonstrated and documented from the existence of adequate competition or accurate prior cost experience with the particular supply, service, or construction item, that acceptance of an initial offer without discussion would result in fair and reasonable prices, and the request for proposals notifies all offerors of the possibility that award may be made on the basis of the initial offers.

45-55-7. Negotiations after unsuccessful competitive sealed bidding.

- (a) In the event that all bids submitted pursuant to competitive sealed bidding under 45-55-5 result in bid prices in excess of the funds available for the purchase, and the purchasing officer determines in writing:
 - (1) That there are no additional funds available from any source so as to permit an award to the lowest responsive and responsible bidder, and
 - (2) The best interest of the municipality will not permit the delay attendant to a re-solicitation under revised specifications, or for revised quantities, under competitive sealed bidding as provided in 45-55-5, then a negotiated award may be made as stated in subsection (b) or (c) of this section.
- (b) Where there is more than one bidder, competitive negotiations pursuant to 45-55-6, shall be conducted with the three (3) (two (2) if there are only two (2)) bidders determined in writing, to be the lowest responsive and responsible bidders to the competitive sealed bid invitation. Competitive negotiations shall be conducted under the following restrictions:
 - (1) If discussions pertaining to the revision of the specifications or quantities are held with any potential offeror, all other potential offerors shall be afforded an opportunity to take part in the discussions; or

(2) A request for proposals, based upon revised specifications or quantities, shall be issued as promptly as possible, shall provide for an expeditious response to the revised requirements, and shall be awarded upon the basis of the lowest bid price, or lowest evaluated bid price submitted by any responsive and responsible offeror.

(c) When after competitive sealed bidding, it is determined in writing, that there is only one responsive and responsible bidder, a noncompetitive negotiated award may be made with such bidder in accordance with 45-55-8.

45-55-8. Sole source procurement and emergency procurements.

(a) A contract may be awarded for a supply, service, or construction item without competition when, under published regulations, the purchasing officer determines, in writing, that there is only one source for the required supply, service, or construction item.

(b) Notwithstanding any other provision of this chapter, the purchasing agent may make or authorize others to make emergency procurements when there exists a threat to public health, welfare, or safety under emergency conditions as defined in regulations or where the procurement will be in the best interest of the city as established by properly promulgated rules and regulations; provided, that such emergency procurements shall be made with such competition as is practicable under the circumstances. A written determination of the basis for the emergency, and for the selection of the particular contractor, shall be included in the contract file.

45-55-8.1. Qualification based selection of architects and engineers.

When the purchasing agent determines that the city or town needs the services of a professional architect or engineer, the purchasing agent shall follow the qualification based selection process for the procurement of architectural and engineering consulting services.

45-55-9. Small purchases.

Procurements, not to exceed an aggregate amount of ten thousand dollars (\$10,000) for construction and five thousand dollars (\$5,000) for all other purchases may be made in accordance with small purchase regulations promulgated by the municipality. These amounts shall be increased or decreased annually hereafter at the same rate as the Boston Regional Consumer Price Index. Procurement requirements shall not be artificially divided so as to constitute a small purchase under this section. A municipality may further reduce the aggregate purchase amount, as provided for in this section by ordinance.

45-55-10. Cancellation of invitation for bids and requests for proposals.

An invitation for bids, a request for proposals, or other solicitation may be canceled, or all bids or proposals rejected, if it is determined, in writing, that such action if taken is not in the best interest of the municipality and approved by the chief purchasing officer.

45-55-11. Responsibilities of bidders and offerors.

(1) A written determination of responsibility of a bidder or offeror shall be made and it shall be made in accordance with regulations issued by the municipality.

A reasonable inquiry to determine the responsibility of a bidder or offeror may be conducted. The failure of a bidder or offeror to promptly supply information in connection with a reasonable inquiry may be grounds for a determination of non-responsibility with respect to a bidder or offeror.

(2) Except as otherwise provided, by law, information furnished by a bidder or offeror pursuant to this section may not be disclosed outside of the purchasing department administering the contract without prior written consent of the bidder or offeror.

45-55-12. Prequalification of contractors - General.

The municipality may provide for prequalification of suppliers as responsible prospective contractors for particular types of supplies, services, and construction. Municipalities which choose to provide for prequalification of suppliers shall adopt regulations for prequalification in the same manner provided for in the adoption of ordinances in the manner provided for in the legislative or home rule charter of the municipality. Solicitation mailing lists of

potential contractors of supplies, services, and construction shall include but need not be limited to prequalified contractors. Prequalification shall not foreclose a written determination:

- (1) Between the time of the bid opening or receipt of offers and the making of an award, that a prequalified supplier is not responsible; or
- (2) That a supplier who is not prequalified at the time of bid opening or receipt of offers is responsible.

45-55-13. Exclusion of state mandated costs.

The provisions of 45-13-7 through 45-13-10 do not apply to this section.

45-55-13.1. Exclusion of multi-cities or towns insurance corporations and cooperative risk management programs.

The provisions of this chapter shall not apply to entities organized pursuant to section 45-5-20.1. Those entities are exempt from all of the provisions of this chapter.

45-55-13.2. Exclusion of multi-cities or towns energy aggregation programs.

The provisions of this chapter do not apply to entities organized for the purpose of negotiating the purchase of electric power pursuant to § 39-3-1.1, or energy or energy related services. Those entities are exempt from all provisions of this chapter.

45-55-13.3. Exclusion of multi-school district combined purchasing consortia.

The provisions of this chapter do not apply to purchases and contracts entered into by those consortia established pursuant to § 16-2-9.2, and such entities shall be exempt from all provisions of this chapter.

45-55-14. Staff consultants.

The procurement of the service of an attorney, physician or dentist by a municipality, is exempt from the provisions of this chapter.

45-55-15. Severability.

If any one or more sections, clauses, sentences or parts of this chapter are for any reason be adjudged unconstitutional or otherwise invalid in any court, that judgment shall not affect, impair or invalidate the remaining provisions of this chapter but shall be confined in its operation to the specific provisions so held unconstitutional or invalid and the inapplicability or invalidity of any section, clause or provisions of this chapter in any one or more instances or circumstances shall not be taken to affect or prejudice in any way its applicability or validity in any other instance.

45-55-16. Prohibition against the use of lead based paints.

When purchasing paint products or contracting or subcontracting for painting, construction, improvement, completion, or repair of any public buildings, public road, public bridge, or public construction, all municipalities, as defined by 45-55-4(11), shall be prohibited from the use of lead based paint.

45-55-17. Penalties.

Any person who knowingly and intentionally violates any provision of this chapter shall be subject to a misdemeanor, punishable by a fine of not more than five hundred dollars (\$500), or by imprisonment for not more than one year, or both.

THIS PROJECT IS FUNDED BY THE



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Infrastructure Bank**

**Merrill W. Sherman
Chair**

**Jeffrey R. Diehl
Executive Director**



**State of Rhode Island
Department of Health**

**Gina Raimondo
Governor**

**Nicole Alexander-Scott, MD, MPH
Director - RIDOH**



"Dedicated To Protecting And Preserving Our State's Most Important Resource...Clean Water"

EPA Logo
(12" x 5")

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"Dedicated To Protecting And Preserving Our State's Most Important Resource...Clean Water"

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"Dedicated To Protecting And Preserving Our State's Most Important Resource...Clean Water"

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APPENDIX D

EPA, Davis-Bacon Prevailing Wage Requirements

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- **Davis-Bacon Prevailing Wage Requirements**

**APPENDIX D
EPA DAVIS-BACON PREVAILING WAGE
REQUIREMENTS SPECIAL NOTES**

- 1.1** This contract is subject to the requirements of the Davis-Bacon Prevailing Wage Regulations as administered by the Environmental Protection Agency (EPA). Reference is made to **Davis-Bacon Prevailing Wage Requirements**, which is bound within this appendix of the Contract Specifications.

- 1.2** The Contractor is required to submit a Statement of Compliance as part of the required weekly certified payrolls submissions. Reference is made to Paragraph ii(B) of Article (3) Payrolls and Basic Records, **the latest revision US DOL Form WH-347 can be found on the U.S. Department of Labor website.**

DAVIS-BACON PREVAILING WAGE REQUIREMENTS

(a) GENERAL CONTRACT AND SUBCONTRACT PROVISIONS

For any contract in excess of \$2,000 which is entered into for the actual construction, alteration and/or repair, including painting and decorating, of a treatment work under the CWSRF or a construction project under the DWSRF financed in whole or in part from Federal funds or in accordance with guarantees of a Federal agency or financed from funds obtained by pledge of any contract of a Federal agency to make a loan, grant or annual contribution (except where a different meaning is expressly indicated), and which is subject to the labor standards provisions of any of the acts listed in §5.1 or the FY 2010 appropriation, the following clauses shall be inserted in full:

(1) Minimum Wages

(i) All laborers and mechanics employed or working upon the site of the work will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (a)(1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in §5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: *Provided*, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph (a)(1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

Wage determinations may be obtained from the U.S. Department of Labor's website, www.dol.gov.

(ii)(A) The Owner, on behalf of the EPA, shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The State award official shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the Owner agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), documentation of the action taken and the request, including the local wage determination shall be sent by the Owner to the State award official. The State award official will transmit the request to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210 and to the EPA DB Regional Coordinator concurrently. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the State award official or will notify the State award official within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the Owner do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the award official shall refer the questions, including the views of all interested parties and the recommendation of the State award official, to the Administrator for determination. The request shall be sent to the EPA DB Regional Coordinator concurrently. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the State award official or will notify the State award official within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, *Provided*, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

(2) Withholding

The Owner, shall upon written request of the EPA Award Official or an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor under this

(1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the Owner agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), documentation of the action taken and the request, including the local wage determination shall be sent by the Owner to the State award official. The State award official will transmit the request to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210 and to the EPA DB Regional Coordinator concurrently. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the State award official or will notify the State award official within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the Owner do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the award official shall refer the questions, including the views of all interested parties and the recommendation of the State award official, to the Administrator for determination. The request shall be sent to the EPA DB Regional Coordinator concurrently. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the State award official or will notify the State award official within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, *Provided*, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

(2) Withholding

The Owner, shall upon written request of the EPA Award Official or an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor under this

contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the (Agency) may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) Payrolls and Basic Records

(i) Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii)(A) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the Owner, that is, the entity that receives the sub-grant or loan from the State capitalization grant recipient. Such documentation shall be available on request of the State recipient or EPA. As to each payroll copy received, the Owner shall provide written confirmation in a form satisfactory to the State indicating whether or not the project is in compliance with the requirements of 29 CFR 5.5(a)(1) based on the most recent payroll copies for the specified week. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly payrolls. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g. , the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the owner for transmission to the State or EPA if requested by EPA, the State, the contractor, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of

contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the (Agency) may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) Payrolls and Basic Records

(i) Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii)(A) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the Owner, that is, the entity that receives the sub-grant or loan from the State capitalization grant recipient. Such documentation shall be available on request of the State recipient or EPA. As to each payroll copy received, the Owner shall provide written confirmation in a form satisfactory to the State indicating whether or not the project is in compliance with the requirements of 29 CFR 5.5(a)(1) based on the most recent payroll copies for the specified week. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly payrolls. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g. , the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the owner for transmission to the State or EPA if requested by EPA, the State, the contractor, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of

compliance with prevailing wage requirements. It is not a violation of this section for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to the Owner.

(B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be provided under §5.5 (a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under §5.5 (a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;

(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the State, EPA or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the Federal agency or State may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

(4) Apprentices and Trainees

(i) *Apprentices.* Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of

Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) *Trainees*. Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) *Equal employment opportunity*. The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

(5) Compliance with Copeland Act Requirements

The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract.

(6) Subcontracts

The contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR 5.5(a)(1) through (10) and such other clauses as the (write in the name of the Federal agency) may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

(7) Contract Termination: Debarment

A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

(8) Compliance with Davis-Bacon and Related Act Requirements

All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract.

(9) Disputes Concerning Labor Standards

Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the Owner, the State, EPA, the U.S. Department of Labor, or the employees or their representatives.

(10) Certification of Eligibility

(i) By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(ii) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

(b) CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

For any contract in an amount in excess of \$100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act, the following clauses set forth in paragraphs (b) (1), (2), (3) and (4) of this section shall be inserted in full. These clauses shall be inserted in addition to the clauses required in Section (a), above or 29 CFR 4.6. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

(1) Overtime Requirements

No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

(2) Violation; Liability for Unpaid Wages; Liquidated Damages

In the event of any violation of the clause set forth in paragraph (b)(1) of this section the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (b)(1) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (b)(1) of this section.

(3) Withholding for Unpaid Wages and Liquidated Damages

The Owner, upon written request of the EPA Award Official or an authorized representative of the Department of Labor shall withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (b)(2) of this section.

(4) Subcontracts

The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (b)(1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (b)(1) through (4) of this section.

(c) MAINTENANCE OF RECORDS

In addition to the clauses contained in Section (a), above, in any contract subject only to the Contract Work Hours and Safety Standards Act and not to any of the other statutes cited in §5.1 the contractor or subcontractor shall maintain payrolls and basic payroll records during the course of the work and shall preserve them for a period of three years from the completion of the contract for all laborers and mechanics, including guards and watchmen, working on the contract. Such records shall contain the name and address of each such employee, social security number, correct classifications, hourly rates of wages paid, daily and weekly number of hours worked, deductions made, and actual wages paid. The records to be maintained under this paragraph shall be made available by the contractor or subcontractor for inspection, copying, or transcription by authorized representatives of the Owner, the State, EPA and the Department of Labor, and the contractor or subcontractor will permit such representatives to interview employees during working hours on the job.

(d) COMPLIANCE VERIFICATION

(1) The Owner shall periodically interview a sufficient number of employees entitled to DB prevailing wages (covered employees) to verify that contractors or subcontractors are paying the appropriate wage rates. As provided in 29 CFR 5.6(a)(6), all interviews must be conducted in confidence. The Owner must use Standard Form 1445 (SF 1445) or equivalent documentation to memorialize the interviews. Copies of the SF 1445 are available from EPA on request.

(2) The Owner shall establish and follow an interview schedule based on its assessment of the risks of noncompliance with DB posed by contractors or subcontractors and the duration of the contract or subcontract. At a minimum, the Owner should conduct interviews with a representative group of covered employees within two weeks of each contractor or subcontractor's submission of its initial weekly payroll data and two weeks prior to the estimated completion date for the contract or subcontract. Owners must conduct more frequent interviews if the initial interviews or other information indicates that there is a risk that the contractor or subcontractor is not complying with DB . Owners shall immediately conduct necessary interviews in response to an alleged violation of the prevailing wage requirements. All interviews shall be conducted in confidence.

(3) The Owner shall periodically conduct spot checks of a representative sample of weekly payroll data to verify that contractors or subcontractors are paying the appropriate wage rates. The Owner shall establish and follow a spot check schedule based on its assessment of the risks of noncompliance with DB posed by contractors or subcontractors and the duration of the contract or subcontract. At a minimum, if practicable, the Owner should spot check payroll data within two weeks of each contractor or subcontractor's submission of its initial payroll data and two weeks prior to the completion date the contract or subcontract . Owners must conduct more frequent spot checks if the initial spot check or other information indicates that there is a risk that the contractor or subcontractor is not complying with DB. In addition, during the examinations the Owner shall verify evidence of fringe benefit plans and payments thereunder by contractors and subcontractors who claim credit for fringe benefit contributions.

(4) The Owner shall periodically review contractors and subcontractors use of apprentices and trainees to verify registration and certification with respect to apprenticeship and training programs approved by either the U.S Department of Labor or a state, as appropriate, and that contractors and subcontractors are not using disproportionate numbers of, laborers, trainees

and apprentices. These reviews shall be conducted in accordance with the schedules for spot checks and interviews described in Item 5(b) and (c) above.

(5) Owners must immediately report potential violations of the DB prevailing wage requirements to the EPA DB contact listed above and to the appropriate DOL Wage and Hour District Office listed at <http://www.dol.gov/esa/contacts/whd/america2.htm>.

**APPENDIX E
EPA AMERICAN IRON AND STEEL (AIS) REQUIREMENTS
SPECIAL NOTES**

- 1.1** This contract is subject to the application of American Iron and Steel Requirements to the Fiscal Year **2021** and **2022** Drinking Water State Revolving Fund Assistance Agreements for projects associated with the construction, alteration, maintenance, or repair of public water systems.

- 1.2** Reference is made to USEPA Memorandum, dated April 7, 2017, which has been provided within this appendix of the Contract Specifications.

APPENDIX G

National Grid, "Cast Iron Gas Main Encroachment"

GAS UTILITY GENERAL NOTES

1. CONTRACTOR SHALL FOLLOW THE GUIDELINES LISTED IN NATIONAL GRID'S "GUIDELINES FOR WORKING AROUND GAS UTILITIES", DOCUMENT ATTACHED.
2. DEPTH OF GAS FACILITIES ARE UNKNOWN AND COULD BE SHALLOW, USE CAUTION WHEN WORKING IN THE VICINITY OF ANY GAS FACILITY, HAND DIGGING ONLY.
3. NATIONAL GRID REQUIRES A MINIMUM OF ONE FOOT OF SEPARATION BETWEEN CROSSING UTILITIES AND EXISTING GAS FACILITIES.
4. NATIONAL GRID REQUIRES A MINIMUM OF THREE FEET OF SEPARATION BETWEEN THE GAS MAIN AND THE PARALLEL FACILITY FOR STEEL AND PLASTIC GAS MAINS. **FOR CAST IRON GAS MAIN SEE LINE ITEM FOR ENCROACHMENT GUIDELINES.**
5. IF A **GAS MAIN IS** EXPOSED OR **GOING TO BE EXPOSED** CALL NATIONAL DISPATCH OFFICE AT 877-304-1203 FOR AN INSPECTOR TO BE DISPATCHED TO THE SITE TO INSPECT THE LINE BEFORE BACKFILL.
6. IF A **GAS MAIN OR GAS MAIN COATING IS** DAMAGED CALL NATIONAL DISPATCH OFFICE AT 877-304-1203 FOR AN INSPECTOR TO BE DISPATCHED TO THE SITE FOR REPAIR BEFORE BACKFILL.
7. FOR ANY EXPOSED GAS FACILITY, PROVIDE BACKFILL MATERIALS AND COMPACT THE BACKFILL MATERIALS IN ACCORDANCE WITH NATIONAL GRID'S "GUIDELINES FOR BACKFILL AND COMPACTION AROUND GAS PIPES", DOCUMENT ATTACHED.
8. WHEN CROSSING OR EXPOSING A STEEL OR PLASTIC GAS FACILITY SUPPORT MAY BE REQUIRED. FOLLOW THE GUIDELINES LISTED AND ILLUSTRATED IN NATIONAL GRID'S "SUPPORT REQUIREMENTS FOR EXPOSED & UNDERMINED STEEL OR PLASTIC GAS FACILITIES", DOCUMENT (DWG NO. CNST-6045) ATTACHED.
9. ALL GAS VALVE BOXES SHALL BE ADJUSTED TO THE NEW ROAD/SIDEWALK SURFACE. VALVE BOXES, IF REQUIRED FOR REPLACEMENT, CAN BE OBTAINED AT NATIONAL GRID'S PROVIDENCE LOCATION, 477 DEXTER STREET, PROVIDENCE, RI OR LINCOLN LOCATION, 642 GEORGE WASHINGTON HIGHWAY (QUANTITIES 5 OR LESS). GAS VALVE BOXES NEED TO BE ACCESSIBLE AT ALL TIMES TO BE OPERATED BY NATIONAL GRID IN THE EVENT OF AN EMERGENCY.
10. ALL CATHODIC PROTECTION BOXES (BOXES THAT CONTAIN WIRES THAT GO DOWN TO THE GAS MAIN) SHALL BE ADJUSTED TO THE NEW ROAD/SIDEWALK SURFACE. CARE SHALL BE EXERCISED WHEN ADJUSTING SO AS NOT TO DAMAGE THE WIRES. IF THE WIRES ARE DAMAGED OR IF ASSISTANCE IS NEEDED, CONTACT NATIONAL GRID CORROSION ENGINEER TO VISIT THE SITE. CONTACT RICK LEPAGE 508-948-8432 OR MIKE HARMON 781-953-2545. NEW BOXES, IF REQUIRED, CAN BE OBTAINED AT NATIONAL GRID'S PROVIDENCE FACILITY, 477 DEXTER ST, PROVIDENCE, RI OR NATIOANL GRID'S LINCOLN FACILITY, 642 GEORGE WASHINGTON HIGHWAY, LINCOLN, RI (QUANTITIES 5 OR LESS). CONTRACTOR SHALL FOLLOW THE GUIDELINES LISTED IN NATIONAL GRID'S "GUIDELINES FOR WORKING AROUND CORROSION CONTROL SYSTEM COMPONENTS", DOCUMENT ATTACHED.

11. IF EXCAVATING PARALLEL TO OR CROSSING A CAST IRON GAS FACILITY THEN ENCROACHMENT OF THE CAST IRON LINE IS A POSSIBILITY AND A CONCERN WHERE REPLACEMENT MAY BE REQUIRED. WHENEVER AN EXCAVATION IS IN THE VICINITY OF A CAST IRON GAS MAIN CONTACT NATIONAL GRID ENCROACHMENT ENGINEER TO BE ON SITE, CALL NICOLE TIMOTEO AT 781-514-0768. GUIDELINES IN AVOIDING AN ENCROACHMENT ARE LISTED IN NATIONAL GRID'S "CAST IRON GAS MAIN ENCROACHMENT PREVENTION", DOCUMENT ATTACHED.
12. IF EXCAVATING PARALLEL TO OR CROSSING A CAST IRON FACILITY THAT IS GREATER THAN 8", THIS LINE IS NOT COVERED UNDER THE ENCROACHMENT GUIDELINES AND LAW. NATIONAL GRID DOES NOT ALLOW MORE THAN 10' OF GAS MAIN TO BE EXPOSED AND ONLY ALLOWS (1) BELL & SPIGOT JOINT TO BE EXPOSED. IF A BELL & SPIGOT JOINT IS EXPOSED SAID JOINT MUST BE LEAK CLAMPED BEFORE BACKFILL UNLESS A CLAMP IS ALREADY IN PLACE. PROVIDE BACKFILL MATERIALS AND COMPACT THE BACKFILL MATERIALS IN ACCORDANCE WITH NATIONAL GRID'S "GUIDELINES FOR BACKFILL AND COMPACTION AROUND GAS PIPES", DOCUMENT ATTACHED. MINIMUM 95% COMPACTION OF THE SOIL BELOW A CAST IRON IS ALWAYS REQUIRED. ALWAYS CALL NATIONAL GRID DAMAGE PREVENTION DEPARTMENT FOR AN INSPECTOR TO BE DISPATCHED TO SITE. CALL ED SOUZA AT 401-283-9159.
13. DUE TO SYSTEM RELIABILITY AND PUBLIC SAFETY CONCERNS, IT IS NATIONAL GRID'S PRACTICE TO RESTRICT ALL CONSTRUCTION WORK ON OR NEAR GAS FACILITIES BETWEEN NOVEMBER 15TH AND APRIL 15TH. ALL SCHEDULED WORK SHOULD BE COMPLETED BETWEEN APRIL 15TH AND NOVEMBER 15TH. AS GAS USAGE PEAK DURING THE MONTHS OF DECEMBER TO MARCH DRIVEN BY HEATING NEEDS, NATIONAL GRID'S PRIORITY IS TO PROVIDE OUR CUSTOMERS WITH SAFE AND RELIABLE GAS SERVICE. ANY WORK ON OR NEAR THE GAS FACILITY WILL EXPOSE OUR CUSTOMERS TO UNNECESSARY RISK. EXCEPTIONS WILL BE CONSIDERED ON A CASE BY CASE BASIS. APPROVALS FROM GAS CONTROL, OPERATIONAL ENGINEERING, AND PROJECT ENGINEERING WILL BE REQUIRED FOR THESE CASES.
14. FOR A GAS LEAK CALL 800-640-1595.
15. FOR A DAMAGED GAS FACILITY CALL 800-870-1664.

Cast Iron Gas Main Encroachment Prevention

nationalgrid

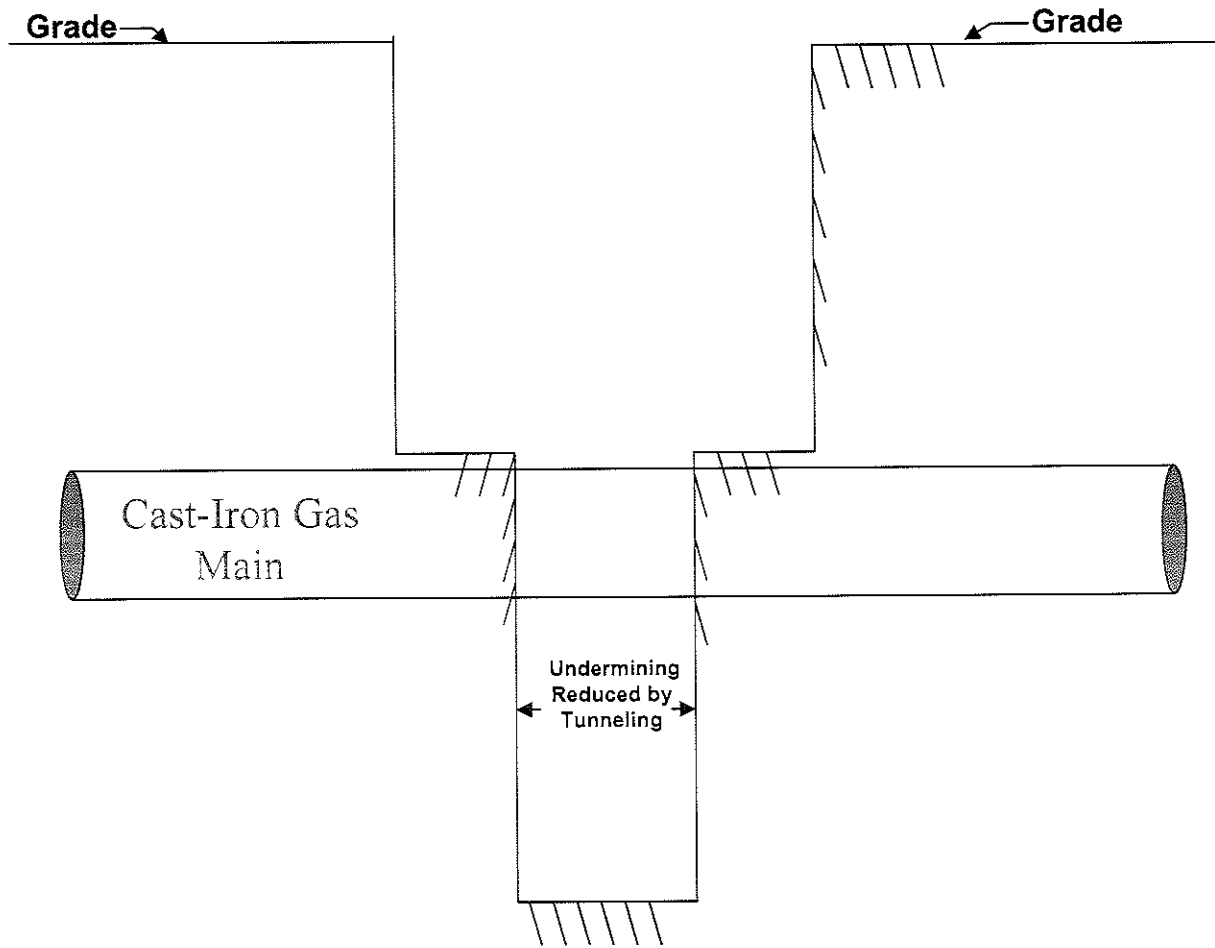
Nicole Timoteo
Encroachment Engineer
Gas Operations & Construction
Rhode Island
Cell: 781-514-0768
nicole.timoteo@nationalgrid.com

477 Dexter Street
Providence, RI 02863

CI Encroachments

- CI Encroachments can occur when excavating under or next to CI gas mains
- CI Encroachments can occur Even when a gas main is not exposed
- Two types of Encroachments: Undermine and Parallel
 - Undermine Encroachments (Cross Trench)
 - Parallel Encroachments

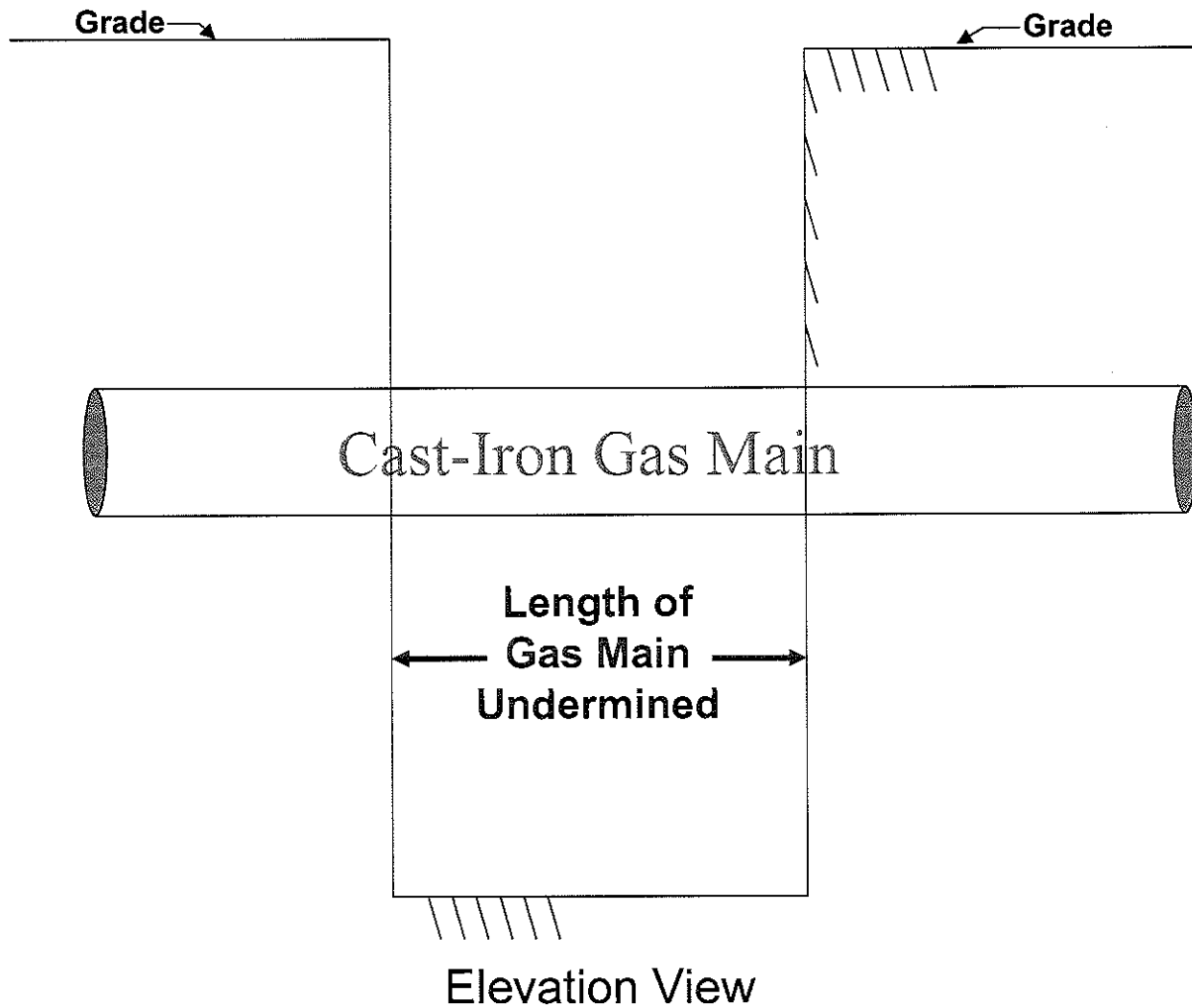
Cross Trench with Tunneling



Elevation View

Tunneling is an Effective Way of Preventing Encroachments

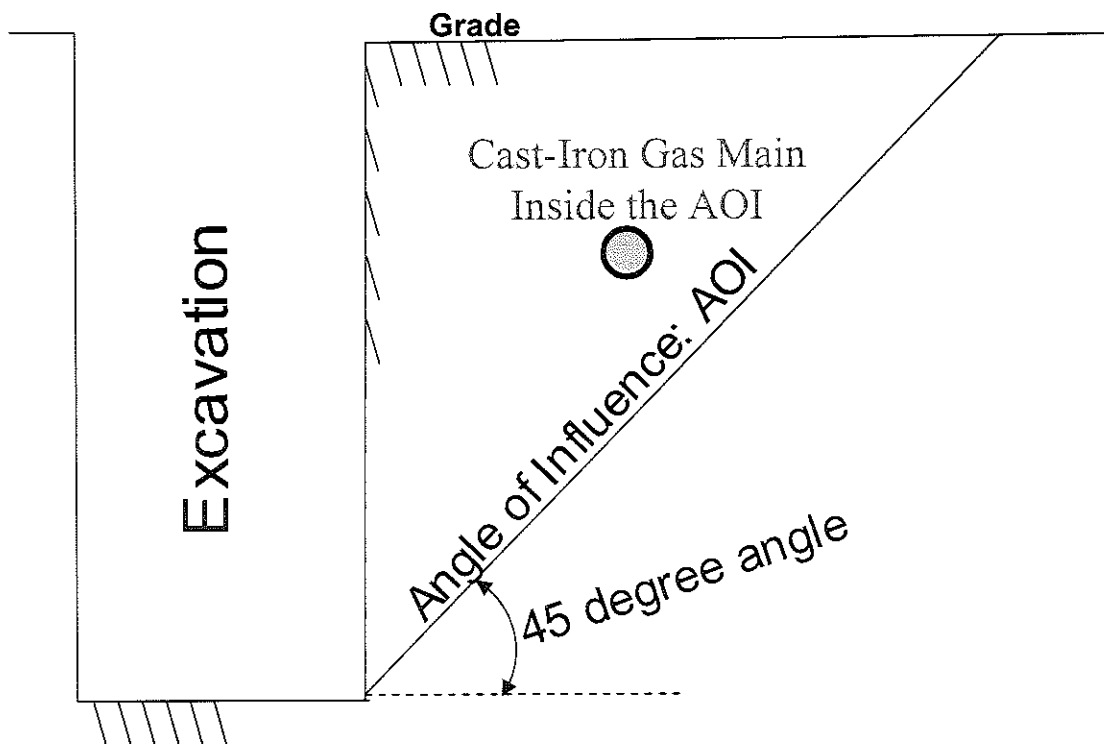
Cross Trench



Cross Trench - Rules of Thumb:

- The shorter the undermine, the better
- Limiting the length of the undermine to 30" or less will always avoid an encroachment

Cast Iron Encroachments can occur even when the Gas Main is not Exposed

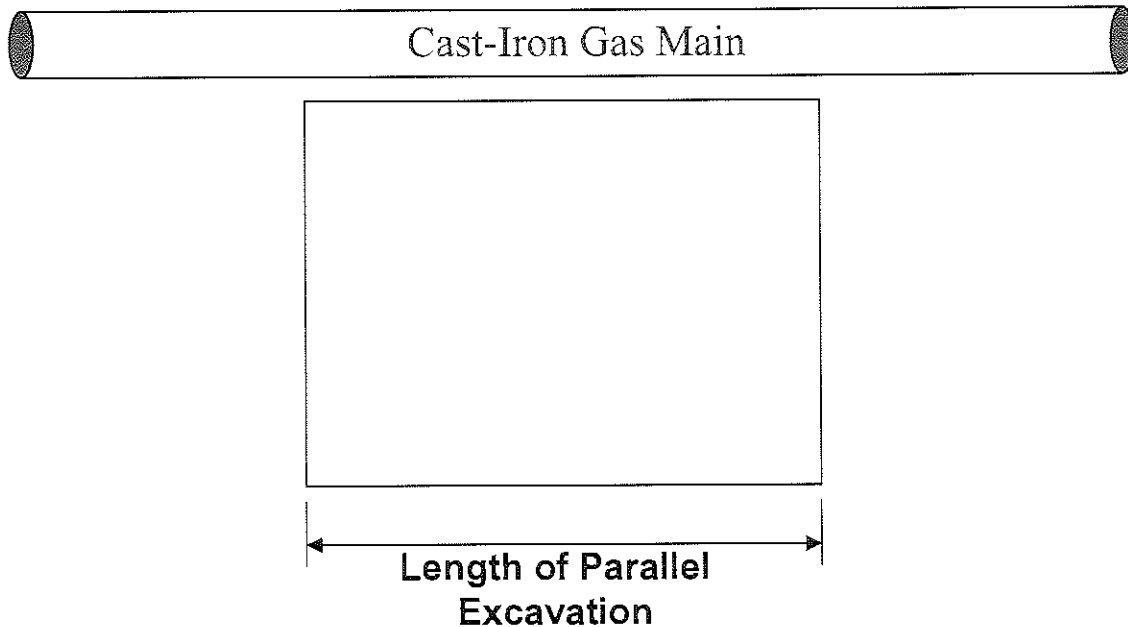


Angle of Influence:

- The AOI extends up from the bottom of the excavation at a 45 degree angle
- The AOI can affect cast iron gas mains even if the gas main is not exposed

Excavation Next to Gas Main

(view from above looking down)

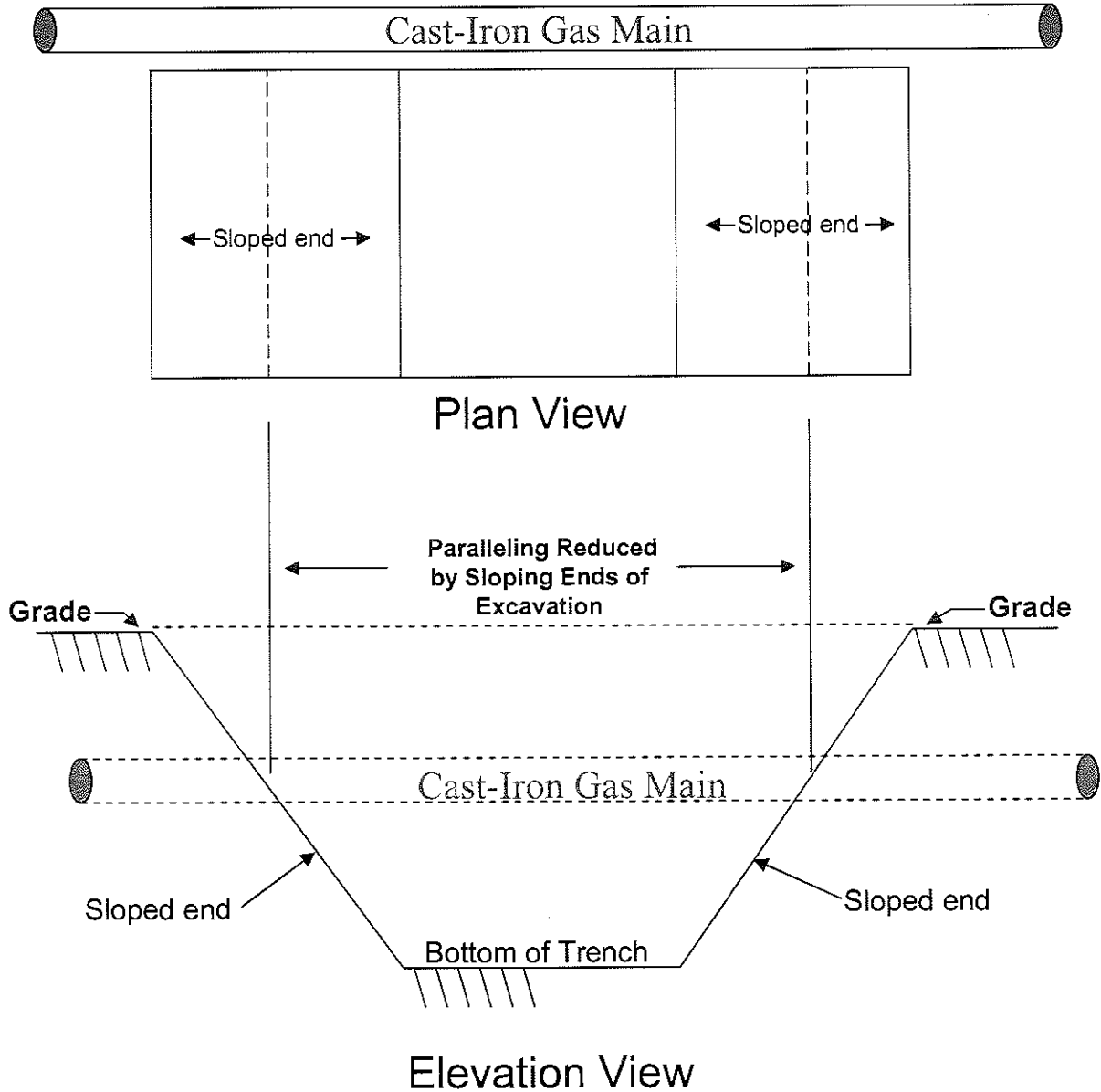


Plan View

Parallel Excavation Rule of Thumb:

- Limiting the length of the parallel to 7'-6" or less will always avoid an encroachment

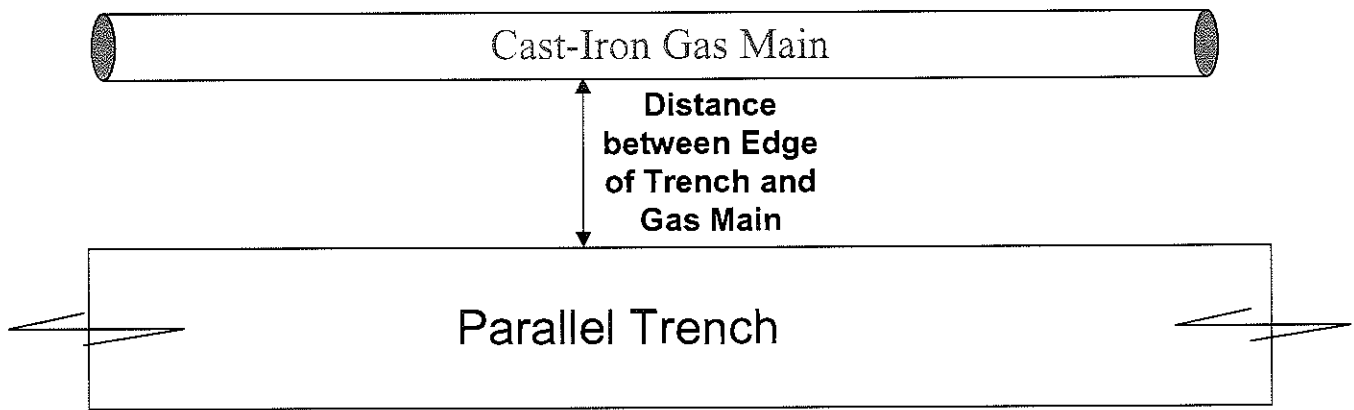
Parallel Excavation with Sloped Ends



Sloping the ends of an Excavation can be an Effective Way of Preventing Encroachments

Trenching Next to Gas Main

(view from above looking down)



Plan View

Parallel Trenching Rules of Thumb:

- The greater the separation between the gas main and the trench, the better
- Keeping the distance between the excavation and the gas main greater than the (depth of the trench - 2') will in most cases avoid an encroachment

CI Encroachments

- CI Encroachments can occur when excavating under or next to CI gas mains
- CI Encroachments can occur **Even when a gas main is not exposed**
- Two types of Encroachments: Undermine and Parallel
 - **Undermine Encroachments (Cross Trench)**
 - In all cases, the shorter the length of gas main undermined the better
 - Limiting undermining to less than 30” in length will always avoid an encroachment
 - Tunneling under the gas main can be an effective method for avoiding encroachments
 - **Parallel Encroachments**
 - Parallel Encroachments can occur even if the gas main is not exposed
 - In all cases, the greater the separation between the gas main and the parallel excavation, the better
 - Limiting excavations adjacent to gas main to less than 7’-6” in length will always avoid an encroachment
 - Keeping parallel excavations more than the (depth of the trench – 2’) from gas main in most cases will prevent an encroachment



10/01/12

Guidelines for Working Around Gas Utilities

Notification of Construction

National Grid requests at least six week advanced notification prior to the start of construction to perform scheduled work in the proposed project area. Be aware that some gas work cannot be performed during the normal heating season.

Support and Protect

Contractor must call Dig Safe to have the gas mains and services marked out before construction. Care must be exercised when saw cutting over any gas infrastructure, especially services, which are more shallow than the main. Depth of gas mains vary. Contractor shall dig test pits in order to ascertain exact locations, cover and invert elevations, clearances, alignment and operating status of existing gas facilities. Contractor shall exercise extreme caution when excavating in the vicinity of any gas facility. Hand excavation shall be performed to locate all gas facilities and whenever digging within 24" of gas facilities. If cover over gas piping is removed the required cover must be replaced, or if not feasible, National Grid must be notified for review of the issue. Undermined gas pipe must be adequately supported and protected from damage. Contact National Grid engineer for guidelines regarding proper pipe support. Significant vibration from pile driving and such may negatively impact gas facilities, particularly cast iron mains and regulator station vaults. Contact National Grid engineer prior to performing such activities as well as operations which may undermine gas facilities such as micro-tunneling, jacking, directional drilling, etc.

Gas Leaks

For any gas leak please call the appropriate number immediately.

Greater Boston - 800-233-5325

Other Massachusetts – 800-548-8000

Rhode Island – 800-640-1595

Types of Gas Facilities

Gas mains and services are made of several different materials and contain a wide range of pressures. Typical materials used for buried gas pipe includes bare steel, coated steel, plastic, cast iron, wrought iron, ductile iron, and copper. Never assume that a pipe is not gas. At times gas lines are inserted into older lines to save excavation cost.

Exposure of Gas Facilities

If any gas mains or services become exposed, National Grid must be notified to inspect the line before backfilling. Also any damage that may have been made to the pipe or pipe coating will need to be repaired by National Grid before backfilling. Contact our Dispatch office at (877) 304-1203 for inspection. It is important that even minor damage or scrapes be reported to National Grid. Backfill shall be 6" of sand around the gas line and clean compacted fill above.



Regulator Stations

Gas regulator stations are particularly critical facilities and National Grid must be notified whenever work is to take place within 200 feet of a station. Regulator stations are typically in buried vaults accessed through either manhole covers or aluminum doors. **ONLY AUTHORIZED NATIONAL GRID EMPLOYEES SHALL OPEN A REGULATOR STATION VAULT.** Be aware that a complex nest of piping and valves often exists in the vicinity outside the vaults.

Blasting

National Grid must be notified of any blasting that will take place within 200 feet of a gas utility. National Grid must be supplied with a detailed blast plan for blasting in the vicinity of gas facilities. The evaluation of the blast plan by a National Grid engineer may take some time, therefore, blast plan data should be submitted at least two weeks prior to the planned blasting. As a general rule blasting will not be permitted within 10 feet of a gas line and PPV at the nearest gas pipe shall not exceed 5 in/sec. PPV at the nearest gas main shall be monitored.

Valves

Access to gas valves must be maintained throughout construction and left at grade at the end of construction. Should valve boxes be damaged and need to be replaced National Grid will supply replacements upon request. **NEVER OPERATE A GAS VALVE. ONLY NATIONAL GRID SHALL OPERATE GAS VALVES.**

Clearance

Adequate clearance must be provided when installing other utilities, foundations, structures, etc. Contact National Grid engineer for guidance.

GUIDELINES FOR SUPPORT of GAS PIPES TEMPORARY SUPPORT of GAS PIPES

DESCRIPTION

This work shall consist of temporarily supporting gas pipes, during construction work and related activities. Any gas pipe that is exposed shall follow this specification stipulating pipe support criteria. Whether gas pipe is located directly in the excavation trench box or if it is located in the excavated adjacent slopes (Angle of Repose) all gas pipe must be supported.

When gas pipe is undermined for 5 feet or more at any given time, Nationalgrid must be notified and a decision will be made on what type of support system will be utilized. Nationalgrid reserves the right to insist that a Rhode Island Registered Professional Engineer submit plans, if the gas pipe being supported exceeds an unsupported span length of 12 feet, is located in cohesive soils (wet, silty soils), or feels that the structural integrity of the gas distribution system may be compromised.

All cast iron gas pipes will be replaced and not be temporarily supported, unless determined differently by Nationalgrid. This criterion is in accordance with Section 6315.6 of Nationalgrid's *Operations Standards and Practices Manual*.

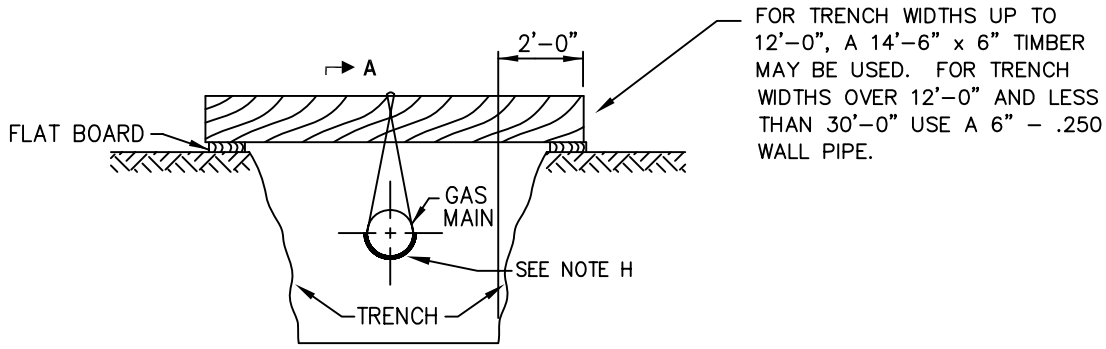
The following criteria should be used as guidelines when undermining existing steel or plastic gas pipes:

STEEL GAS PIPE

If pipe is undermined for a distance between 5 and 10 feet, the support system should consist, as a minimum, of adequately sized steel I-beams, steel plate girders, or 6" x 6" wood beams (Hem-Fir) with a sling supporting the pipe mid-span. For distances greater than 10 feet, these temporary support beams will have slings supporting the pipe every 10 to 12 feet along the length of the undermined pipe. Furthermore, when a mechanical coupling or fitting is encountered at any span length, the slings must be placed on either side of the fitting to avoid buckling.

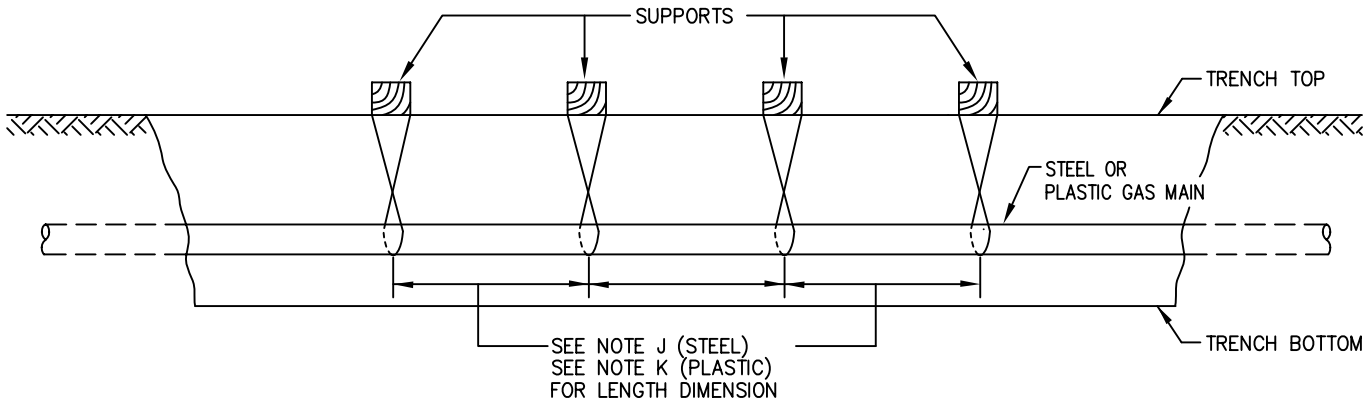
PLASTIC GAS PIPE

If pipe is undermined for a distance between 5 and 10 feet, the support system should consist, as a minimum, of adequately sized steel I-beams, steel plate girders, or 4" x 4" wood beams (Hem-Fir) with a sling supporting the pipe mid-span. For distances greater 10 feet, these temporary support beams will have slings supporting pipe every 10 to 12 feet along the length of the undermined pipe. Furthermore, when a mechanical coupling or fitting is encountered, the slings must be placed on either side of the fitting to avoid buckling.

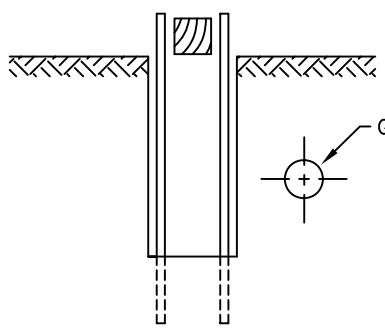


FOR TRENCH WIDTHS UP TO 12'-0", A 14'-6" x 6" TIMBER MAY BE USED. FOR TRENCH WIDTHS OVER 12'-0" AND LESS THAN 30'-0" USE A 6" - .250 WALL PIPE.

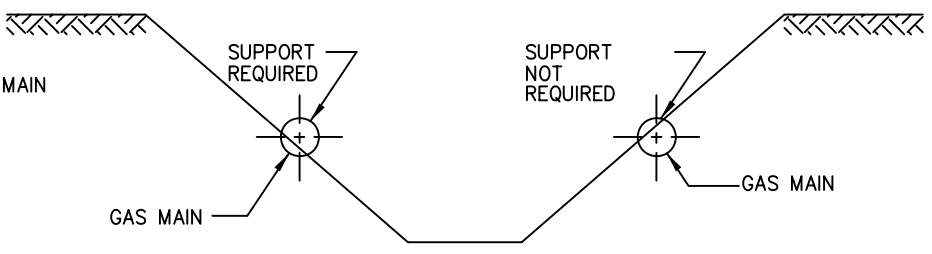
EXPOSED SUPPORT



SUPPORTED LENGTH A-A



ADEQUATELY SHORED TRENCH
DETAIL A
SEE NOTE B



INADEQUATELY SHORED OR UNSHORED TRENCH
DETAIL B
SEE NOTE B

 LI-MA-NH-NYC	SUPPORT REQUIREMENTS FOR EXPOSED & UNDERMINED STEEL OR PLASTIC GAS FACILITIES	
	DATE: 07/01/2003 DESIGN: A. GIULIANI DRAWN: P. DIMAIO	EFFECTIVE DATE: 03/24/2006 STD. DWG. NO. CNST-6045
REVISIONS CLARIFIED NOTES B & C ADDED NOTE N.		

NOTES:

- A. THIS CONSTRUCTION STANDARD SHALL BE USED TO SUPPORT PLASTIC OR STEEL GAS FACILITIES WHICH ARE UNDERMINED AND EXPOSED BY CONSTRUCTION ACTIVITY.
- B. IF AN EXCAVATION IS MADE **AT ANY DISTANCE** PARALLEL TO THE GAS FACILITY WITH ADEQUATE **OSHA** STRUCTURAL SHORING, AS SHOWN IN DETAIL "A", OR IF A STABLE SOIL CONDITION WITH **SUFFICIENT COVER ABOVE THE PIPE'S CENTERLINE EXISTS**, AS SHOWN IN DETAIL "B", THEN SUPPORTS ARE NOT REQUIRED. **UNSTABLE SOIL IS DEFINED AS A SOIL WHICH CAN CAUSE "SOIL RUN OUT" FROM BENEATH THE PIPE (e.g., WASHOUT, SOFT CLAY, etc.) OR CAN SHIFT DUE TO CONSTRUCTION ACTIVITY, VIBRATIONS, etc.; AND CAUSE A SOIL SCENARIO TO OCCUR AS SHOWN IN DETAIL "B" TO REQUIRE PIPE SUPPORT.**
- C. IF AN EXCAVATION CROSSES OR RUNS PARALLEL TO A GAS FACILITY, SUPPORTS MAY NOT BE REQUIRED IF THE EXPOSED SECTION OF PLASTIC PIPES IS 3' OR LESS AND STEEL PIPES 7' OR LESS.
- D. ALL EXCAVATIONS SHALL BE PERFORMED IN ACCORDANCE WITH THE REQUIREMENTS OF THE **ONE CALL DIG SAFE PROGRAM** USING THE APPROPRIATE MARK OUT, TEST HOLES AND EXCAVATION TO AVOID DAMAGE TO PIPE OR PIPE COATINGS:
 - NEW YORK STATE CODE RULE 753
 - MA CHAPTER 82 - SECTION 40, GENERAL LAWS, REGULATING NOTICE REQUIREMENTS FOR EXCAVATION IN PUBLIC WAYS
 - NH DIG SAFE LAW, RSA 374 – REGULATING UNDERGROUND UTILITY DAMAGE PREVENTION SYSTEM
- E. USE OF THIS CONSTRUCTION STANDARD DOES NOT RELIEVE THE CONSTRUCTION AGENCY OR AUTHORITY OR THEIR RESPECTIVE CONTRACTORS OF RESPONSIBILITY FOR DAMAGES. ALL DAMAGES WILL BE REPAIRED IN ACCORDANCE WITH EXISTING STANDARDS AND THE APPROPRIATE PARTY SHALL BE BILLED FOR ALL EXPENSES.
- F. GAS FACILITIES SHOULD NOT BE UNDERMINED WITHOUT ADEQUATE SUPPORT (DETAIL A). ALL SUPPORT LINES SHALL BE TENSIONED SO THAT NO DEFLECTION WILL OCCUR WHEN THE FACILITY IS UNDERMINED. THIS TENSION SHALL BE CHECKED AT THE START AND END OF EACH DAY AND ADJUSTED AS NECESSARY.
- G. WHERE A COUPLING, GAS SERVICE, CLAMP, VALVE, DRIP LINE OR OTHER APPURTENANCE EXISTS ON THE EXPOSED SECTION OF MAIN, AN ADDITIONAL SUPPORT SHALL BE INSTALLED AT THE LOCATION.
- H. WHEN SUPPORTING AN EXPOSED FACILITY, THE PIPE COATING SHALL BE PROTECTED WITH ROCK SHIELD (ITEM ID 00301097), OR OTHER LIKE MATERIAL CUT TO A MINIMUM WIDTH OF ½ THE SUPPORTED PIPE DIAMETER. SUPPORT LINES SHALL BE A MINIMUM OF ¾" POLYPROPYLENE OR BETTER.
- I. SUPPORTS FOR GAS TRANSMISSION FACILITIES SHALL BE REVIEWED WITH GAS ENGINEERING PRIOR TO INSTALLATION.
- J. THE MAXIMUM SPACING BETWEEN SUPPORTS FOR STEEL FACILITIES SHALL BE AS FOLLOWS:
 - 7' SPACING FOR ¾" AND 1 ¼" STEEL
 - 10' SPACING FOR 2" STEEL
 - 15' SPACING FOR 3" AND 4" STEEL
 - 20' SPACING FOR 6" AND LARGER STEEL
- K. THE MAXIMUM SPACING BETWEEN SUPPORTS FOR PLASTIC FACILITIES SHALL BE AS FOLLOWS :
 - 3' SPACING FOR 2" AND SMALLER PLASTIC
 - 6' SPACING FOR 4" AND LARGER PLASTIC
- L. VIBRATING MACHINES ARE ALLOWED OVER STEEL OR PLASTIC FACILITIES WITH 24" OR GREATER COVER. HAND HELD MECHANICAL TAMPER IS ACCEPTABLE OVER ANY FACILITY WITH 12" OR GREATER COVER.
- M. WHEN CONSTRUCTION ACTIVITY IS COMPLETED, CLEAN FILL SHALL BE COMPACTED AROUND AND UNDER THE GAS FACILITY BEFORE REMOVING SUPPORTS.
- N. **SEE REGIONAL PBWK5010 PROCEDURES FOR REPLACEMENT REQUIREMENTS OF CAST IRON PIPE.**

No.	ITEM	CODE No.
BILL OF MATERIAL		

GUIDELINES FOR BACKFILL AND COMPACTION AROUND GAS PIPES

PERMANENT BACKFILL AND COMPACTION

DESCRIPTION

This work shall consist of backfilling and compacting all disturbed material at and around existing gas pipes and facilities. Size of pipe, material, length of exposed pipe, location of pipe, etc. will all follow the same set of Standards and Specifications stipulated by Nationalgrid Company. If design plans call for gas pipes to be exposed and supported (sheeting methods not used), then at the time of backfill, all disturbed material below the invert of the gas pipe shall be removed and replaced with suitable roadway or trench excavation material or bedding material. The contractor will not be allowed to replace this disturbed material with the same existing material if it has now been mixed with adjacent silty subsoil (clays) and fines. Well-graded gravel and sands will be used to replace the unsuitable material when no excess suitable material is available on site. Soils with high humus or mineral content should not be used to for backfill because they can promote electrolytic or bacterial attack.

Backfilling the gas pipe should begin immediately after the work in that location is complete. The region within 6" alongside and on top of the gas pipe shall be backfilled with padding sand (free of cinders, ash, and rock). In no case shall the material used for backfilling in this region contain any stones. Backfill shall consist of suitable materials (medium to coarse sands with little or no silts) placed in layers of not more than 8" to 12" after compaction.

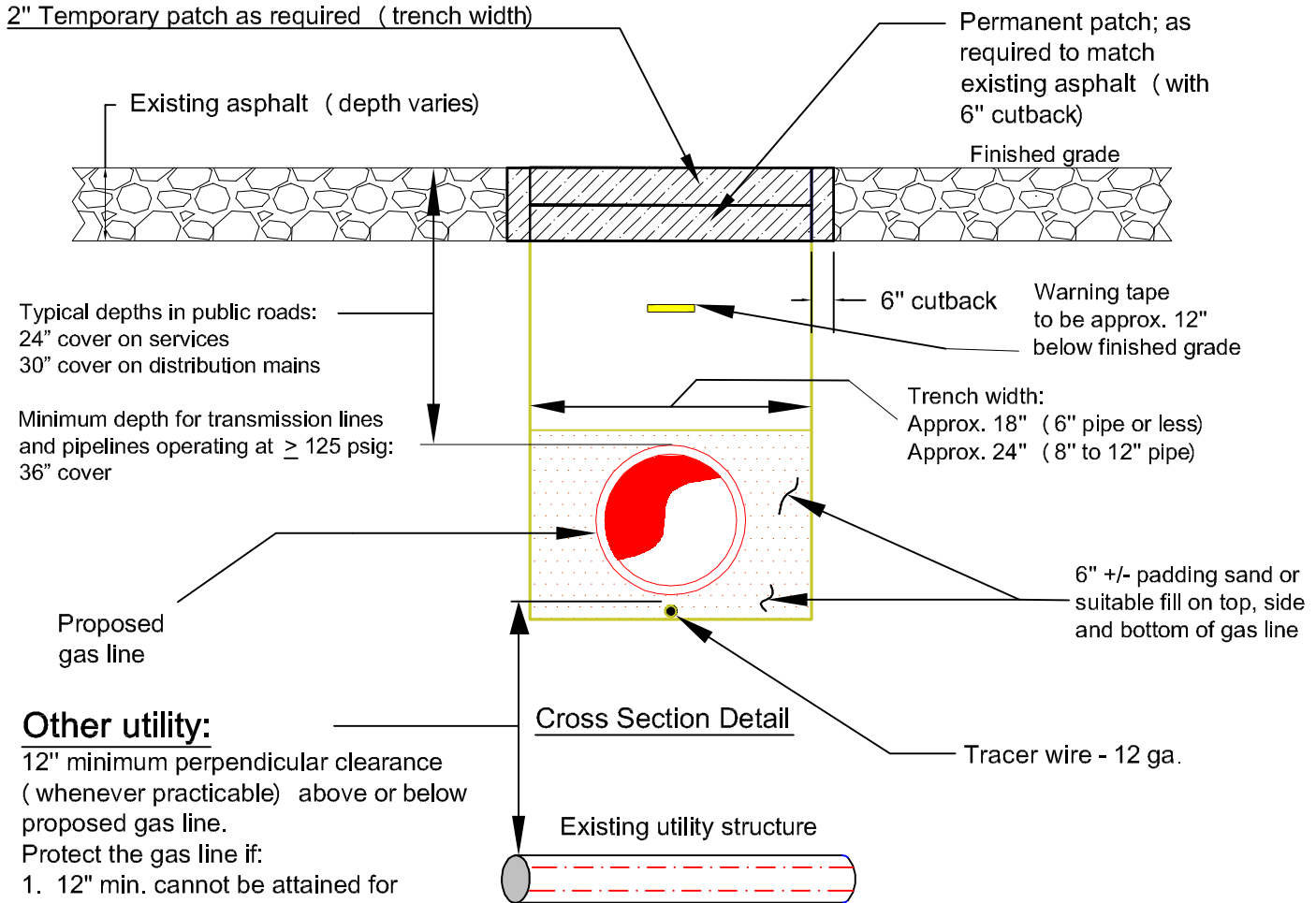
Trench spoil material shall be suitable for backfilling above the padding material as long as rocks with a diameter larger than 3" are removed. The layers shall be mechanically compacted to the industry standard of 95% or until a density comparable to the unexcavated material is achieved. In some instances, flooding with water is an acceptable method of compaction but only if the back-fill material is clean, coarse, and adequate drainage is existent. The above specified backfill material is essential in order to attain the degree of compaction necessary to avoid future settlement.

Tracing Wire, if necessary, shall be installed 2" to 6" below Plastic gas pipes.

Warning Tape shall be installed approximately 12" above the gas pipe.

A minimum of 2" temporary pavement shall be applied over the trench as soon as possible.

Typical Utility Crossing and Trench Guidelines



Other utility:

12" minimum perpendicular clearance (whenever practicable) above or below proposed gas line.

Protect the gas line if:

1. 12" min. cannot be attained for gas transmission lines and pipelines operating at ≥ 125 psig.
2. 6" min. cannot be attained for distribution mains.
3. 4" min. cannot be attained for services.

Minimum clearance when protection is provided against damage is 2" for all gas lines.

Pipeline backfill will consist of suitable materials (medium to coarse sands with little or no silts) placed in layers of no more than 8" to 12" after compaction. Trench spoil materials suitable for backfilling will be mechanically compacted to the industry standards of 95% (as measured by Drop-Cone Penetrometer method) or until a density comparable to the unexcavated material is achieved.

nationalgrid

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TYPICAL UTILITY CROSSING AND TRENCH GUIDELINES

DATE: 09/15/2014

EFFECTIVE DATE: 09/15/2014

DESIGN: N. COSTANZO

STD. DWG. NO.

DRAWN: N. COSTANZO

CS-CNST002

Key Changes:

GUIDELINES FOR WORKING AROUND CORROSION CONTROL SYSTEM COMPONENTS

DESCRIPTION

This guideline shall control work around existing Corrosion Control components. Replacement of test stations, anodes and test wire leads shall comply with Standards and Specifications stipulated by Nationalgrid. If design plans call for work in the area of Corrosion Control components, care must be taken to prevent damage to such components.

GENERAL NATIONALGRID CONSIDERATIONS

The contractor shall perform replacement of damaged corrosion control test boxes, resetting of disturbed test boxes, and ensure a minimum of 12" of excess wire above the rim of the test box after set to finished grade. Wires shall not be pulled taught to achieve the 12" above the box, as this will cause stress on the wire connection at the main. Wires needing to be lengthened, damaged corrosion control components i.e. wires, or wire coating, shall require notification to the Corrosion Control Department (525-5610 or 474-5171) to initiate inspection/repair or replacement of the damaged components.

Backfilling exposed Corrosion Control wire components should begin immediately after the work in that location is complete. The region within 6" alongside and on top of the connector wires shall be backfilled with padding sand (free of cinders, ash, and rock). Test wire leads must be kept with enough slack to prevent stress on the points where the wires connect to the gas main. Trench spoil material shall be suitable for backfilling above the padding material as long as rocks with a diameter larger than 3" are removed. The 8" to 12" backfill layers shall be mechanically compacted to the industry standard of 95%.