The Commonwealth of Massachusetts

University of Massachusetts Amherst

Contract For

Fine Arts Center, Room 125 Rand Theater Rigging System

Special Attention to Bidders

- Bids must be made on the enclosed form.
- Fill in all applicable blank spaces on all pages of this form.
- Return complete form intact.
Bid Express

All construction projects at the University of Massachusetts Amherst are available for bidding on the Bid Express website at: bidexpress.com. Submitting bids via the Bid Express website will become **mandatory** for any bid advertised on or after July 1, 2015.

Electronic bids may be submitted at the bidexpress.com website. All electronic bidders must first register on bidexpress.com and create an Info Tech Digital ID. Registration and Digital ID creation are free. It can take up to five business days to process your Digital ID and it is highly recommended that a Digital ID be enabled at least 48 hours in advance of submitting an electronic bid. Please plan accordingly. A fee of $25 will be incurred for bidding electronically on a pay-per solicitation basis; alternatively, you may subscribe for $50 per month to have access to all solicitations and email notifications.

Electronic Bid Bonds: To utilize the Electronic Bid Bond option, please contact either Surety 2000 at 800-660-3263 or help@surety2000.com or InSure Vision Technologies at 818-783-3460 or info@insurevision.com

For additional guidance, please contact the Bid Express team at toll free (888) 352-2439 (select option 1) or at support@bidexpress.com

**Traditional Paper Bid Bonds or Certified Check:** If you choose not to utilize the Electronic Bond Option you may upload a scanned copy of your Bond or Certified Check when submitting your bid, the scanned copies must be followed up with a hard copy delivered to the Procurement Office, Mass Venture Center, 100 Venture Way, Room 334, Hadley, MA, 01034 within 72 hours after the bid opening. Failure to submit a hard copy of your bid bond or certified check within the specified time period will result in the rejection of your bid.

Note that failure to submit a hard copy of your bid bond or certified check more than two times in a twelve month period will result in a twelve month ban on submitting bids to the University.

During the introductory period only one copy of your bid should be submitted either through Bid Express or a hard copy delivered to Procurement; in the event that a company submits a bid both on Bid Express and a hard copy to Procurement then the Bid Express bid will be considered the official bid and the hard copy will not be considered
Attention Contractors
(Effective July 1, 2013)

UMASS Amherst is a Tobacco-Free campus

Starting July 1, 2013, the University of Massachusetts will prohibit tobacco use everywhere on campus, inside buildings and throughout the grounds. The policy applies to everyone and anyone on campus, inside buildings and throughout the grounds. This policy applies to everyone and anyone, including students, staff, faculty, contractors and visitors. For the purpose of this policy, “tobacco” refers to any and all tobacco products, whether inhaled or ingested, as well as electronic cigarettes.

1. The use of tobacco will be prohibited in all buildings and vehicles owned or leased by UMASS Amherst, regardless of location.

2. The use of tobacco will also be prohibited on all University grounds and in any outdoor area controlled by the University. This includes all University land, parking lots and parking ramps, athletic fields, tennis courts and recreational areas.

3. The use of tobacco will be prohibited inside any vehicle located on University grounds.

4. When any person enters the grounds of the University, any smoking material shall be extinguished and disposed of in an appropriate receptacle at the perimeter of the grounds of the University.
Attention Contractors  
(Effective July 1\textsuperscript{st}, 2012)

The University of Massachusetts Amherst will be posting \textbf{all addenda} to the procurement website:

http://www.umass.edu/procurement/constructionprojects.htm

Effective July 1st 2012 the university will \textbf{not} be sending out hard copies of the addenda. Notification will be sent via e-mail to all plan holders of record once an addendum has been posted to the website.

***It is the sole responsibility of the Bidder to ascertain the existence of any addenda issued by the Awarding Authority, whether or not the same are mailed to, or received by, Bidder. Copies of addenda will be made available for inspection at the locations listed in the Advertisement where the Contract Documents are on file.***
ATTENTION CONTRACTORS & SUBCONTRACTORS
(EFFECTIVE AUGUST 1, 2006)

ALL CONTRACTORS AND SUBCONTRACTORS PLEASE NOTE THE NEW UNIVERSITY OF MASSACHUSETTS AMHERST CONTRACT PROVISIONS REQUIRING CONFIRMATION OF HIRING PRACTICES IN ACCORDANCE WITH FEDERAL DEPARTMENT OF HOMELAND SECURITY REQUIREMENTS. THIS INCLUDES BUT IS NOT LIMITED TO THE FAITHFUL COMPLETION OF THE FORM I-9 PROCESS FOR ALL PERSONS TO BE EMPLOYED IN THE WORK OF THE PROJECT WHO ARE REQUIRED TO BE LISTED ON THE CERTIFIED PAYROLL REPORTS. THE CONTRACTOR AND ALL SUBCONTRACTORS MUST: 1) EXECUTE ALONG WITH ITS CONTRACT/SUBCONTRACT AND CERTIFICATE OF COMPLIANCE WITH EMPLOYMENT ELIGIBILITY VERIFICATION REQUIREMENTS, AND 2) MUST CERTIFY IN EACH CERTIFIED PAYROLL REPORT SUBMITTED TO UNIVERSITY OF MASSACHUSETTS AMHERST, THAT THE FORM I-9 PROCESS WAS FAITHFULLY COMPLETED FOR ALL EMPLOYEES LISTED ON EACH CERTIFIED PAYROLL REPORT.

SEE NOTICE TO BIDDERS AND GENERAL CONDITIONS
ATTENTION CONTRACTORS & SUB-CONTRACTORS
(EFFECTIVE JULY 1, 2006)

M.G.L. c. 30, § 39S (a)(2) REQUIRES THAT ALL EMPLOYEES TO BE EMPLOYED AT THE WORKSITE WILL HAVE SUCCESSFULLY COMPLETED A COURSE IN CONSTRUCTION SAFETY AND HEALTH APPROVED BY THE UNITED STATES OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION THAT IS AT LEAST 10 HOURS IN DURATION AT THE TIME THE EMPLOYEE BEGINS WORK AND ALL CONTRACTORS, SUBCONTRACTORS AND OTHERS WORKING AT THE SITE SHALL FURNISH DOCUMENTATION OF SUCCESSFUL COMPLETION OF SAID COURSE WITH THE FIRST CERTIFIED PAYROLL REPORT FOR EACH EMPLOYEE.
ATTENTION FILED SUB-BIDDERS
(EFFECTIVE JANUARY 1, 2006)

A VALID SUB-BIDDER CERTIFICATE

OF ELIGIBILITY ISSUED BY THE DIVISION

OF CAPITAL ASSET MANAGEMENT (DCAM)

IN THE CATEGORY OF WORK OF YOUR

SUB-BID AND A COMPLETED SUB-BIDDER

UPDATE STATEMENT MUST ACCOMPANY

EACH AND EVERY FILED SUB-BID SUBMITTED.

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UNIVERSITY OF MASSACHUSETTS AMHERST
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Daily Time and Material Report for Change Orders
Request and Agreement for a Change in the Plans,
Specifications and/or Contract (UMA Form 5)
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BID PACKAGE

PART I

INSTRUCTIONS TO BIDDERS

Instructions to Bidders

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Attachment B: Forms Used During Bidding

Sample Certificate of Eligibility – Prime Bidder

Sample Sub-bidder Certificate of Eligibility

Update Statement – Prime Bidder

Sub-bidder Update Statement

Form for General Bid

Form for Sub-Bid
UNIVERSITY OF MASSACHUSETTS AMHERST

INSTRUCTIONS TO BIDDERS

Awarding Authority:
University of Massachusetts Amherst
Procurement Office, Mass Venture Center
100 Venture Way, Room 334
Hadley, MA 01035
Telephone: 413/545-0361

UMA No. 17-18
Project No. 001800
Title: Fine Arts Center, Room 125 Rand Theater Rigging System

Category of Work: General Building

Project Description and Scope: General Building
Note: Completion date based upon executed contract date is: August 11, 2017

Pre-Bid Meeting Information (if any):
March 28, 2017 at 9:00 a.m. at Fine Arts Center, Green Room
151 Presidents Drive, OFC 2, Amherst, MA

Deadline for filing filed Sub-bids is 12:00 noon on N/A, 20__.
Deadline for filing General bids is 2:00 p.m. on April 5, 2017.
The list of filed subtrades for this project is found at Page 10 of these Instructions to Bidders.

The minimum wage rate requirements for this Contract are located in Attachment A to these Instructions to Bidders.

Pursuant to M.G.L. c. 30, §39S(a) (2) all employees to be employed on the worksite must have successfully completed a course in construction safety and health approved by OSHA and of at least 10 hours in duration.

The Contractor must provide written verification as detailed in the General Conditions at Article X, of compliance with Federal Department of Homeland Security Requirements, including but not limited to the Employment Eligibility Verification (Form I-9) Process.

Bid forms for this Contract are located in Attachment B to these Instructions to Bidders.

The combined participation goal for Minority/Women Business Enterprise for this Contract is 0.0 %.

The MBE/WBE participation goal must include a reasonable representation of both MBE and WBE firms that meet or exceeds the combined goal. MBE/WBE participation plans that consist solely of either a MBE or WBE representing 100% of the overall combined goals will not be considered reasonable or responsive. Firms submitting MBE/WBE participation plans which do not provide reasonable participation by both MBE/WBE firms shall be provided an opportunity to revise and resubmit their plans within the time frame set by the awarding authority; however, no price adjustments shall be permitted as a result of the revised plan. Firms failing to submit an MBE/WBE participation plan deemed reasonable, and accepted by the awarding authority, shall not be awarded the contract.

The time for completion of the Work is specified in Article 2 of the Owner - Contractor Agreement. Liquidated damages for failure to complete work on time are as stated in Article 8 of the Owner - Contractor Agreement.

Bidding Documents may be examined at the University of Massachusetts Amherst, Procurement Office, Mass Venture Center, 100 Venture Way, Room 334, Hadley, MA 01035, and copies may be obtained by depositing a company, treasurer's, cashier's, or bank check, in the sum of $50.00, per set payable to the University of Massachusetts. A refund will be made to those returning the documents in satisfactory condition within 10 working days after the general bid opening. Otherwise this deposit shall become the property of the University.

CLOSING: Should the University of Massachusetts Amherst close the campus for any reason on the scheduled day of the bid opening, the bid opening date will be extended to the next normal business day for the University at the same time/same place. It is the bidder's responsibility to verify by going to the University closing website at: www.umass.edu/closing or by public announcements.
The filed sub-trades for this project are as follows:

<table>
<thead>
<tr>
<th>Section #</th>
<th>Filed Sub-trade</th>
<th>All Bid Deposits</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>5% of Bid Amount</td>
</tr>
</tbody>
</table>

(Sub-bid forms pages 60-64)

N/A

As used herein, capitalized terms shall have the meaning assigned to them in the General Conditions of the Contract and the Owner - Contractor Agreement unless the context clearly indicates otherwise.
SECTION I - BIDDER'S REPRESENTATION

1.1 Each general bidder or sub-bidder (hereinafter sometimes referred to as "Bidder") by making a bid or sub-bid (hereinafter sometimes referred to as "Bid") represents and warrants that Bidder has visited the site and examined the Contract Documents, that Bidder is familiar with the local conditions under which the Work is to be performed, that Bidder has correlated personal observations with the requirements of the Contract Documents, and that where the Contract Documents require, in any part of the Work, a given result to be produced, the Contract Documents are adequate and that Bidder will produce the required result within the Bid price and that the Bid is made in accordance therewith.

1.2 Failure to so examine the Contract Documents and the Site will not relieve any Bidder from any obligation under the Bid as submitted. Neither the University of Massachusetts nor the Designer will be responsible for errors, omissions and/or charges for extra work arising from Bidder's failure to familiarize itself with the Contract Documents or existing conditions.

SECTION 2 -- GENERAL BIDDERS - CERTIFICATE OF ELIGIBILITY AND UPDATE STATEMENT

2.1 Every general Bidder must submit the following with its general Bid:
   --A current Certificate of Eligibility issued by the Division of Capital Asset Management and Maintenance ("DCAM"), DCAM Form CQ 7, showing that the Bidder has been approved to bid on projects of the category of work required and that the Bidder has a single project limit in an amount no lower than the amount of its Bid including all "add" alternates.
   --A fully completed current Contractor Update Statement, DCAM Form CQ3.

2.2 It is the Bidder's responsibility to obtain the necessary forms from DCAM and to submit its Application for Certificate of Eligibility so as to allow sufficient time for DCAM's evaluation of the application and issuance of a Certificate of Eligibility prior to the deadline for bidding.

2.3 The Contractor Update Statement is not a public record as defined in M.G.L. c. 4, § 7 and will not be open to public inspection.
SECTION 3 – FILED SUB-BIDDERS - CERTIFICATE OF ELIGIBILITY AND UPDATE STATEMENT

3.1 Every Filed Sub-Bidder must submit the following with each filed sub-bid:
--A current Certificate of Eligibility issued by the Division of Capital Asset Management and Maintenance ("DCAM") for that sub-bid trade, showing that the Sub-Bidder has been approved to bid on projects of the category of work required.
--A fully completed current Sub-Bidder Update Statement.

3.2 It is the Sub-Bidder’s responsibility to obtain the necessary forms from DCAM and to submit its Application for Sub-bidder Certificate of Eligibility so as to allow sufficient time for DCAM’s evaluation of the application and issuance of a Sub-Bidder Certificate of Eligibility prior to the deadline for bidding.

3.3 The Sub-Bidder Update Statement is not a public record as defined in M.G.L. c. 4, §7 and will not be open to public inspection.

SECTION 4 -- REQUESTS FOR INTERPRETATION

4.1 Any questions by prospective Bidders concerning interpretation of the Contract Documents must be submitted in writing to the Awarding Authority and should be in its possession at least five (5) calendar days, excluding weekend and holidays, unless otherwise specified, before the date set for the receipt of general Bids, or, if a question pertains to Item 2 filed sub-Bid work, at least five (5) calendar days, excluding weekend and holidays, unless otherwise specified, before the date set for the receipt of filed sub-Bids. The Awarding Authority will post any addenda or written interpretations that it deems necessary on the Procurement website: http://www.umass.edu/procurement/constructionprojects.htm. Bidders may not rely upon oral communications or interpretations from the Awarding Authority or the Designer and the Awarding Authority shall not be bound by them.

4.2 It is the sole responsibility of the Bidder to ascertain the existence of any addenda issued by the Awarding Authority, as posted on the website. Copies of addenda will be made available for inspection at the locations listed in the Advertisement where the Contract Documents are on file.

4.3 Wherever in the Contract Documents reference is made to Massachusetts General Laws, it shall be construed to include all amendments thereto effective as of the date of the issuance of the invitation to bid on the proposed work.
SECTION 5 -- PREPARATION OF BIDS; ALTERNATES

5.1 General Bids shall be submitted on the Form for General Bid included in Attachment B to these Instructions to Bidders. Filed sub-Bids shall be submitted on the Form for Sub-Bid included in Attachment B to these Instructions to Bidders.

5.2 All entries on the Bid form shall be typewritten or in ink.

5.3 Where so indicated on the Bid form, sums shall be expressed in both words and numerals. Where there is a discrepancy between the Bid sum expressed in words and the Bid sum expressed in figures, the Bid sum expressed in words shall control unless the intention of the Bidder clearly is otherwise as determined by the Awarding Authority in its sole discretion.

5.4 Each general Bidder shall acknowledge all required alternates in Section C on the Form for General Bid by entering the dollar amount of addition or subtraction necessitated by the alternate. General Bidders shall enter on the Form for General Bid a single amount for each alternate that shall consist of the sub-Bidders' amounts and the amount for work performed by the general Bidder.

5.5 If an alternate includes work within the Bidder's scope of work and does not involve a change in the cost of the Bid, the Bidder shall so indicate by writing "No Change" or "N/C" or "0" in the space provided for that alternate. Sub-Bidders shall enter on the Form for Sub-Bid the amount of addition or subtraction necessitated only for those alternates expressly identified in the Bid Documents as part of the sub-Bidder's category of work. If the alternate is not identified in the Bid Documents as affecting the sub-Bidder's category of work then the sub-Bidder shall so indicate by writing "N/A" and only "N/A" or leaving the alternate blank.

5.6 The lowest Bidder will be determined on the basis of the sum of the base Bid and the accepted alternates.

5.7 If the space for indicating a requirement for payment and performance bonds for filed subcontractors is left blank by the general Bidder on the Form for General Bid, the Awarding Authority shall interpret this as a "No."

5.8 Costs for subcontractors' bond premiums shall be paid for by the general Contractor in accordance with M.G.L. c. 149, § 44F unless the project is a project in which contractor and subcontractor prequalification are required pursuant to M.G.L. 149, §§ 44D1/2 or 44D3/4.
5.9 If the general Bidders are instructed to carry an amount for a given sub-trade listed under Item 2, general Bidders shall list the sub-trade and the amount provided by the Awarding Authority. The line under "bonds required" on the Form for General Bid should be left blank or marked "N/A" in order for subsection 5.10 to apply.

5.10 Upon solicitation of a subcontractor to perform the work required with respect to a sub-trade referenced in subsection 5.9, the general Bidder's Contract Price shall be adjusted by the following: a) the difference between the subcontract amount and the amount carried in the general Bid; b) the total cost of the subcontractor's bonds, if the general Bidder requires such bonds after the solicitation is completed and if the general Bidder complied with 5.9 above; c) the documented increased costs for the general Bidder's bonds, if any, attributable to the incremental difference between the amount carried for the given sub-trade and the actual subcontract amount.

5.11 Overhead and profit for supervision of the sub-trade mentioned in subsections 5.9 and 5.10 above shall be included by all general Bidders in Item 1 of the subdivision of the Contract Price. No additional overhead or profit will be paid on the incremental difference between the amount carried for the sub-trade and the subcontract amount as stated in M.G.L. c. 149, § 44F(4)(a)(2).

5.12 Sub-Bidders should not list Paragraph E sub-subcontractors unless requested to do so by the Awarding Authority.

5.13 Each general Bid and each Bid of a filed subcontractor must be accompanied by a bid deposit in the form of a bid bond; a check certified by, or a treasurer's or cashier's check issued by, a responsible bank or trust company, payable to the University of Massachusetts Amherst. Any bid bond shall be (a) in a form satisfactory to the Awarding Authority, (b) with a surety company qualified to do business in the Commonwealth and (c) conditioned upon the faithful performance by the principal of the agreements contained in the Bid.

5.14 The amount of such bid deposit shall be **5% five per cent** of the value of the Bid including alternates.
SECTION 6 - SUBMISSION OF BIDS

6.1 Each sub-Bid, including the bid deposit, Sub-Bidder Certificate of Eligibility and properly completed Sub-Bidder Update Statement shall be enclosed in a sealed envelope with the following plainly marked on the outside:

Filed Sub-Bid for:

UMA No. __________________________
Project No. __________________________
Title: ______________________________
Sub-Bid Section No. _________________
Trade: ______________________________
Sub-Bidders name, business address, and telephone number:

6.2 Each general Bid, including the bid deposit, DCAM Certificate of Eligibility (CQ7), and properly completed Update Statement (CQ3), shall be enclosed in a sealed envelope with the following plainly marked on the outside:

General Bid for:
UMA No. __________________________
Project No. __________________________
Title: ______________________________
General Bidders name, business address, and telephone number.

6.3 All Bids must be received by the Procurement Department at the address specified on page 8 of these Instructions to Bidders no later than the applicable date and time specified on page 8 of these Instructions to Bidders. Any Bid not received by the applicable deadline will not be accepted.

6.4 Bidding results will not be given out over the telephone prior to 1:00 PM of the day following the Bid opening.
SECTION 7 - WITHDRAWAL OF BIDS; REJECTION OF BIDS

7.1 Any Bid may be withdrawn prior to the specified deadline for the receipt of Bids provided that the withdrawal shall be made by a written request signed by a person having the authority to bind the Bidder. The written request must be hand delivered or otherwise delivered to the University of Massachusetts Amherst, Attn: Director of Procurement, Procurement Office, Mass Venture Center, 100 Venture Way, Room 334, Hadley, MA 01035 and must be received on or before the date and time appointed as the deadline for the receipt of Bids.

7.2 A Bidder may withdraw its Bid without penalty at any time up to the time of Award as defined below in subsection 9.1 only upon demonstrating to the satisfaction of the Awarding Authority that a death or disability has occurred or a bona fide clerical or mechanical error of a substantial nature was made during the preparation of the bid. Failure to demonstrate conclusively that a bona fide clerical or mechanical error of a substantial nature was made may result in forfeiture of the Bid deposit.

7.3 The Awarding Authority reserves the right to waive any informality in or to reject any and all Bids if it is in the public interest to do so. Without limiting the foregoing, the Awarding Authority reserves the right to reject unit prices which it deems unduly high or unduly low as unbalanced.

SECTION 8 - MBE AND WBE PARTICIPATION

8.1 The apparent low Bidder’s compliance with the requirements of this Section 8 is a prerequisite for receiving the Award of the Contract.

8.2 The MBE and WBE participation goals for this Contract are as set forth on the first page of these Instructions to Bidders. The Awarding Authority reserves the right to reduce or waive the MBE or WBE participation goals established for this Contract upon written request made by a general Bidder within the time frame set forth in Section 8.3. Such written request must demonstrate to the satisfaction of the Awarding Authority that it is not feasible for a non-MBE or non-WBE general Bidder to meet the goals established for this Contract based upon any or all of the following: (i) actual M/WBE availability, (ii) the geographic location of the project to the extent related to M/WBE availability, (iii) the scope of the work, (iv) the percentage of work available for subcontracting to M/WBEs and/or (v) other relevant factors, including a documented inability by the prospective Bidder to obtain commitments from M/WBE subcontractors sufficient to meet the M/WBE goals after having made a diligent, good faith effort to do so. All of the foregoing documentation shall accompany the Bidder’s request for a reduction or waiver of the M/WBE participation goals. Such documentation shall include, at a minimum, the following:
-- A list of all items of work under the Contract that the Bidder made available for subcontracting to M/WBEs. The Bidder shall identify all items of work, other than work to be performed by filed sub-Bidders, that the Bidder did not make so available and shall state the reasons for not making such work available for subcontracting to M/WBEs. The Bidder shall also demonstrate that, where commercially reasonable, subcontracts were divided into units capable of being performed by M/WBEs.

-- Evidence that the Bidder sent written notices soliciting Bids or proposals to perform the items of work made available by the Bidder for subcontracting to M/WBEs to all M/WBEs qualified to perform such work. The Bidder shall identify (i) each M/WBE solicited, and (ii) each M/WBE listed in the SOMWBA directory under the applicable trade category that was not solicited and reasons therefor. The Bidder shall also state the dates that notices were mailed and provide a copy of the written notice(s) sent.

-- Evidence that the Bidder made reasonable efforts to follow up the written notices sent to M/WBEs with telephone calls or personal visits in order to determine with certainty whether the M/WBEs were interested in performing the work. Phone logs or other documentation must be submitted.

-- A statement of the response received from each M/WBE solicited, including the reason for rejecting any M/WBE who submitted a bid or proposal.

-- Evidence of efforts made to assist M/WBEs that needed assistance in obtaining bonding or insurance, or lines of credit with suppliers if the inability of M/WBEs to obtain bonding, insurance, or lines of credit is the reason given for the Bidder’s inability to meet the M/WBE goals.

The Bidder may also submit any other information supporting its request for a waiver or reduction in the M/WBE participation goals, including without limitation evidence that the Bidder placed advertisements in appropriate media and trade association publications announcing the Bidder’s interest in obtaining bids or proposals from M/WBEs, and/or sent written notification to M/WBE economic development assistance agencies, trade groups and other organizations notifying them of the Contract and the work to be subcontracted by the Bidder to M/WBEs. The Bidder shall also submit any other information reasonably requested by the Awarding Authority to show that the Bidder has taken all actions that could reasonably be expected to achieve the M/WBE participation goals.

8.3 If filed sub-Bids are solicited for this Contract, requests from prospective general Bidders to reduce or waive the M/WBE participation goals for this Contract must be received by the Awarding Authority no later than four (4) working days after the list of filed sub-Bidders is mailed by the Awarding Authority to persons who have taken out plans for the Contract. If
there are no filed sub-Bids solicited for this Contract, requests to reduce or waive the W/MBE participation goals for this Contract must be received by the Awarding Authority no later than fourteen (14) calendar days before the date set for the receipt of general Bids. **THE AWARDING AUTHORITY WILL NOT CONSIDER ANY REQUEST TO REDUCE OR WAIVE THE M/WBE PARTICIPATION GOALS FOR THIS CONTRACT THAT IS RECEIVED AFTER THESE DEADLINES.** Any reduction or waiver of the M/WBE participation goals for this Contract will be made by written addendum mailed to all persons who have taken out plans for the project.

8.4 No later than five (5) working days after the opening of general Bids, the apparent low Bidder shall submit the following documents to the Awarding Authority's Compliance Office: (i) a completed Schedule for Participation by Minority/Women Business Enterprises ("Schedule for Participation") in the form provided by the Awarding Authority showing M/WBE participation in amounts equal to or exceeding the M/WBE participation goals for this Contract, (ii) a completed Letter of Intent in the form provided by the Awarding Authority for each M/WBE listed in the Schedule for Participation, and (iii) a current SOMWBA certification letter for each M/WBE listed in the Schedule of M/WBE Participation showing that the M/WBE is certified in the area of work for which it is listed on the Letter of Intent.

8.5 Each Letter of Intent shall identify and describe the work to be performed by the named M/WBE (the “M/WBE Work”) with enough specificity to permit the Awarding Authority to identify the particular items of contract work that the M/WBE will perform for M/WBE participation credit. The Awarding Authority reserves the right to reject any Letter of Intent if the price to be paid for the M/WBE Work does not bear a reasonable relationship to the value of such work under the Contract as determined by the Awarding Authority.

8.6 Within five (5) working days after receipt of the Schedule For M/WBE Participation, Letters of Intent, and SOMWBA certification letters, the Awarding Authority shall review and either approve or disapprove the apparent low Bidder’s submissions. If the apparent low Bidder has not submitted an appropriate Schedule For M/WBE Participation and appropriate Letters of Intent and SOMWBA certification letters establishing that the M/WBE participation goal for the project will be met, the apparent low Bidder will be considered ineligible for Award of the Contract and the Awarding Authority will Award the Contract to the second lowest Bidder, subject to said Bidder’s compliance with these conditions.

8.7 The Bidder’s attention is called to Article XIII of the General Conditions of the Contract which requires the Contractor to submit, within 30 days of the Contract Date, signed subcontracts with all subcontractors or a purchase order or invoice from each material supplier and/or manufacturer listed on the Schedule For M/WBE Participation.
8.8 A filed sub-Bidder is not required to submit a Schedule of M/WBE Participation with its Bid. A filed sub-Bidder may, at its option, submit a Letter of Intent with its Bid if it is a SOMWBA certified M/WBE. If a filed sub-Bidder intends to sub-subcontract work to a SOMWBA certified M/WBE, and the filed sub-Bidder wishes that sub-subcontract to be credited toward the participation goals for this Contract, the filed sub-Bidder should submit a Letter of Intent from that M/WBE with its Bid. A filed sub-Bidder can subcontract out up to 20% of its work to M/WBEs unless such work is designated as sub-sub contract Paragraph E work in the Bid Documents in which case the 20% cap does not apply.

SECTION 9 -- CONTRACT AWARD

9.1 "Award" means the determination, selection, and notification of the lowest, responsible and eligible Bidder by the Awarding Authority.

9.2 The Awarding Authority will award the Contract within thirty days, Saturdays, Sundays, and legal holidays excluded after the opening of Bids in accordance with M.G.L. c.149 §44A.

9.3 The Contract will be awarded to the lowest responsible and eligible Bidder as determined by the Awarding Authority, except in the event of substitution as provided under M.G.L. c.149, §§44E and 44F, in which cases the procedure as required by said sections shall govern the award of the Contract.

9.4 As used herein, the term "lowest responsible and eligible Bidder" shall mean the general Bidder whose Bid is the lowest of those Bidders who, in the Awarding Authority's opinion, are ready, willing and able to comply with all requirements of the Contract Documents and demonstrably possess the skill, ability, and integrity necessary for the faithful performance of the Work, based on the determination of past performance and financial soundness under (i) M.G.L. c.149 §44A and following sections, (ii) the rules, regulations, orders, guidelines and policies promulgated from time to time by the Commissioner of the Division of Capital Asset Management and Maintenance ("DCAM") and (iii) any other relevant criteria that the Commissioner may prescribe. If the Awarding Authority determines that any non-filed subcontractor chosen by a Bidder is not qualified or responsible, then the Bidder shall obtain another subcontractor satisfactory to Awarding Authority and the contract price shall not be adjusted.

9.5 The general Bid price shall be the price set forth in paragraph C of the Form for General Bid. No general Bid shall be rejected (i) because the sum of the prices set forth in Item 1 and 2 does not equal the general Bid price set forth in said paragraph C or (ii) because of one or more errors in setting forth the name, the sub-Bid price of a sub-Bidder, or the total of Item 2, provided that
the sub-Bidder or sub-Bidders designated are clearly identifiable, or (iii) because the plans and specifications do not accompany the Bid or are not submitted with the Bid.

9.6 Should the Contract Documents require submission of special data to accompany the Bid, the Awarding Authority reserves the right to rule the Bidder’s failure to submit such data an informality and to receive said data subsequently within a reasonable time as set by the Awarding Authority, provided that no such ruling shall result in an unfair advantage to the Bidder.

9.7 The Awarding Authority also reserves the right to reject any sub-Bid if it determines that such sub-Bid does not represent the Bid of a person competent to perform the work as specified, or if fewer than three sub-Bids are received for a sub-trade, and the Bid prices are not reasonable for acceptance without further competition.

9.8 If the Awarding Authority decides to reject all general Bids or if the Awarding Authority does not receive any general Bids, the Awarding Authority may retain and use the sub-Bids received for a second opening of general Bids; provided, however, that there are no changes in the work involved for the sub-trades for which the sub-Bids are so retained and used; and provided, further, that the Awarding Authority shall obtain the consent of each sub-Bidder included in any award of a general Contract made pursuant to the second opening of general Bids if such award is not made within ninety days, Saturdays, Sundays and legal holidays excluded, after the opening of such sub-Bids.

SECTION 10 - EXECUTION OF CONTRACTS

10.1 If a selected filed sub-Bidder fails, within five days, Saturdays, Sundays and legal holidays excluded, after presentation of a Subcontract by the general Bidder to which the Contract was awarded, to perform its agreement to execute a Subcontract in the form provided by the Awarding Authority with such general Bidder contingent upon the execution of the general Contract, and, if requested to do so by such general Bidder in the general Bid, to furnish a performance and a payment bond as stated in its filed sub-Bid, such general Bidder and the Awarding Authority shall select from the other filed sub-Bids duly filed with the Awarding Authority for such sub-trade and not rejected the lowest responsible and eligible filed sub-Bidder at the amount named in its filed sub-Bid as so filed against whose standing and ability the general Contractor makes no objection, and the Contract price shall be adjusted by the difference between the amount of such filed sub-bid and the amount of the sub-bid of the delinquent filed sub-Bidder.

10.2 Upon receipt of the Award, the general Bidder awarded the Contract shall submit three (3) properly executed originals of each of the following documents prior to execution of the Contract by the Awarding Authority. All such documents shall be in the form prescribed by the Awarding Authority. Note: The successful general Bidder must submit its Schedule For Participation of
Minority/Women Business Enterprises and Letters of Intent as set forth in Section 8.4 above prior to Award of the Contract.
-Owner-Contractor Agreement
-Certificate of Corporate Vote
-Joint Venture Authorization (if appropriate)
-Performance and Payment Bonds with power of attorney attached
-Certificates of Insurance evidencing coverage in amounts required by the Contract Documents

-Written representation by the General Contractor to the effect that it has presented subcontracts to all selected filed sub-Bidders and a statement as to whether or not each such selected filed sub-Bidder has executed its subcontract such that the Awarding Authority may release the Bid deposit with respect to the same. Misrepresentation of the foregoing shall render the general Contractor liable to the Awarding Authority for the sum of any Bid deposit released by the Awarding Authority with respect to a filed sub-Bidder that fails to execute its subcontract.

-Any other documents that the Awarding Authority may reasonably require in connection with the Contractor's execution of the Contract.

10.3 Please note that no part of the General Contractor's work may be subcontracted without the prior written approval of the Awarding Authority. If the General Contractor desires to subcontract any part of the Work, other than work covered by Item 2, filed sub-Bidders, the General Contractor must promptly forward to the Awarding Authority a list in triplicate designating the work to be performed and the name of each proposed subcontractor for approval by the Awarding Authority. Approved subcontractors are eligible for direct payments under M.G.L. 30, § 39F, as amended. Material suppliers not involving site labor need not be submitted for approval.

SECTION 11 - RETURN OF BID DEPOSITS

11.1 All Bid deposits of general Bidders, except those of the three (3) lowest responsible and eligible general Bidders, shall be returned within five (5) days, Saturdays, Sundays and legal holidays excluded, after the opening of the general Bids. The Bid deposits of the three (3) lowest responsible and eligible general Bidders shall be returned upon the execution and delivery of the General Contractor, if no award is made, upon the expiration of the time prescribed in M.G.L. c. 149, § 44A for making an award; except that, if any general Bidder fails to perform its agreement to execute the Contract and furnish Performance and Payment Bonds as stated in its Bid, then said general Bidder’s Bid deposit shall become the property of the Commonwealth as liquidated damages; provided that the amount of the Bid deposit that
becomes the property of the Commonwealth shall not exceed the difference between the Contractor's Bid price and the Bid price of the next lowest responsible and eligible Bidder; and provided further that, in the case of death, disability, bona fide clerical or mechanical error of a substantial nature, or other similar unforeseen circumstances affecting the general Bidder, such general Bidder's Bid deposit shall be returned.

11.2 All Bid deposits of sub-Bidders, except (i) those of the sub-Bidders named in the general Bids of the three (3) lowest responsible and eligible general Bidders and (ii) those of the three (3) lowest responsible and eligible sub-Bidders for each sub-trade, shall be returned within five (5) days, Saturdays, Sundays and legal holidays excluded, after the opening of the general Bids. The Bid deposits of sub-Bidders not returned pursuant to the provisions of the preceding sentence shall be returned within five (5) days, Saturdays, Sundays, and legal holidays excluded, after the execution of the General Contract; except that, if a selected sub-Bidder fails to perform its agreement to execute a sub-contract with the general Bidder selected as the general Contractor, contingent upon the execution of the General Contract, and, if requested to do so in the general Bid by such general Bidder, to furnish a Performance and Payment Bonds as stated in its sub-Bid in accordance with M.G.L. c. 149, § 44F(2), the Bid deposit of such sub-Bidder shall become the property of the Commonwealth as liquidated damages, provided that the amount of the Bid deposit that shall become the property of the Commonwealth shall not exceed the difference between its sub-Bid price and the sub-Bid price of the next lowest responsible and eligible sub-Bidder.

11.3 In addition to the provisions for the return of Bid deposits as provided above, upon receipt of a Bid Bond in an amount not less than the amount of the required Bid deposit, the Awarding Authority shall return any Bid deposit of a Bidder forthwith after the public opening of Bids.
ATTACHMENT A

PREVAILING WAGE SCHEDULE

The minimum wage rates provided in the following pages have been provided by the Division of Occupational Safety of the Massachusetts Department of Labor and Workforce Development. The Awarding Authority is not responsible for errors or omissions in such wage rates.

M.G.L. c. 149, §§ 26 and 27 provide as follows:

"... Payments by employers to health and welfare plans, pension plans and supplementary unemployment benefit plans under collective bargaining agreements or understandings between organized labor and employers shall be included for the purpose of establishing minimum wage rates as herein provided.

... The aforesaid rates of wages in the schedule of wage rates shall include payments by employers to health and welfare plans, pension plans and supplementary unemployment benefit plans as provided in said section twenty-six, and such payments shall be considered as payments to persons under this section performing work as herein provided. Any employer engaged in the construction of such works who does not make payments to a health and welfare plan, a pension plan and a supplementary unemployment benefit plan, where such payments are included in said rates of wages, shall pay the amount of said payments directly to each employee engaged in said construction "

23
ATTACHMENT B:

Forms Used During Bidding

Sample Certificate of Eligibility - Prime Bidder
Sample Certificate of Eligibility - Sub-Bidder
Update Statement – Prime Bidder
Update Statement - Sub-Bidder
Blanket Deposit Bond
Form of General Bid
Form of Sub-Bid
Certificate of Eligibility

Contractor: CONTRACTOR

CONTRACTOR ADDRESS

CONTRACTOR CITY MA 00000

In accordance with M.G.L. Chapter 149, Section 44D and 810 CMR 4.00, you are hereby certified to file
bids under Chapter 149, Section 44A in the following categories:

Exterior Siding

General Building Construction

Painting

Your Single Project Limit is: $2,500,000

Your Aggregate Work Limit is: $5,000,000

This certificate is valid from 10/15/2005 to 10/15/2006

________________________________________________________________________

George M. Matthews, Deputy General Counsel

for David B. Perini, Commissioner

Official DCAM Amendments Date Authorization

Extension to: ____________________________

Name: ____________________________

SPL: ____________________________

GBC SPL: ____________________________

AWL: ____________________________

Category: ____________________________

Address: ____________________________

25
Sub-Bidder Certificate of Eligibility

Contractor: CONTRACTOR

CONTRACTOR ADDRESS

CONTRACTOR CITY MA 00000

In accordance with M.G.L. Chapter 149, Section 44D and 810 CMR 4.00, you are hereby certified to file sub-bids under Chapter 149, Section 44A in the following categories:

Metal Windows

Glass & Glazing

The average numerical value on projects evaluated by: 89

Number of prior construction projects evaluated by DCAM on this: 15

Number of projects given numerical values below a passing score: 1

This certificate is valid 10/16/200 to 10/16/2006

---------------------------------------------

George M. Matthews, Deputy General Counsel Date

for David B. Perini, Commissioner

<table>
<thead>
<tr>
<th>Official DCAM Amendments</th>
<th>Date</th>
<th>Authorization</th>
</tr>
</thead>
</table>

Extension to: ____________________________

Name: _________________________________

Category: ______________________________

Address: _______________________________
SPECIAL NOTICE TO AWARDING AUTHORITY

BIDDERS’ UPDATE STATEMENTS ARE NOT PUBLIC RECORDS AND ARE NOT OPEN TO PUBLIC INSPECTION (M.G.L. C.149, §44D)

Effective March 30, 2010

Commonwealth of Massachusetts
Division of Capital Asset Management
PRIME/GENERAL CONTRACTOR
UPDATE STATEMENT

TO ALL BIDDERS AND AWARDING AUTHORITIES

A COMPLETED AND SIGNED PRIME/GENERAL CONTRACTOR UPDATE STATEMENT MUST BE SUBMITTED WITH EVERY PRIME/GENERAL BID FOR A CONTRACT PURSUANT TO M.G.L. c.149, §44A AND M.G.L. c. 149A. ANY PRIME/GENERAL BID SUBMITTED WITHOUT AN APPROPRIATE UPDATE STATEMENT IS INVALID AND MUST BE REJECTED. Caution: This form is to be used for submitting Prime/General Contract bids. It is not to be used for submitting Filed Sub-Bids or Trade Sub-Bids.

AWARDING AUTHORITIES

If the Awarding Authority determines that the bidder does not demonstrably possess the skill, ability, and integrity necessary to perform the work on the project, it must reject the bid.

BIDDER’S AFFIDAVIT

I swear under the pains and penalties of perjury that I am duly authorized by the bidder named below to sign and submit this Prime/General Contractor Update Statement on behalf of the bidder named below, that I have read this Prime/General Contractor Update Statement, and that all of the information provided by the bidder in this Prime/General Contractor Update Statement is true, accurate, and complete as of the bid date.

[Enter Bid Date Here] [Enter Name of Prime/General Contractor Here]
Bid Date Name of Prime/General Contractor

[Enter Project Number Here] [Enter Business Address Here]
Project Number (or Business Address
name if no number)

[Enter Name of Awarding Authority Here] [Enter Your Telephone Number Here]
Awarding Authority Telephone Number

SIGNATURE ➔
________________________________________
Bidder’s Authorized Representative

Division of Capital Asset Management
(Etited by UMass Amherst 1/19/2011)
• This form must be completed and submitted by all Prime/General contractors bidding on projects pursuant to M.G.L. c. 149, §44A and M.G.L. c. 149A.
• You must give complete and accurate answers to all questions and provide all of the information requested. MAKING A MATERIALLY FALSE STATEMENT IN THIS UPDATE STATEMENT IS GROUNDS FOR REJECTING YOUR BID AND FOR DEBARRING YOU FROM ALL PUBLIC CONTRACTING.
• Information is to cover the period from the date your most recent annual Certificate of Eligibility was issued (not extended) to the date of the bid.
• You must use this official form of Update Statement. Copies of this form may be obtained from the awarding authority and from the Asset Management Web Site: www.mass.gov/cam
• If additional space is needed, please copy the appropriate page of this Update Statement and attach it as an additional sheet.
• See the section entitled “Bidding Limits” in the Instructions to Awarding Authorities for important information concerning your bidding limits.

INSTRUCTIONS TO AWARDING AUTHORITIES

Determination of Bidder Qualifications
• It is the awarding authority’s responsibility to determine who is the lowest eligible and responsible bidder. You must consider all of the information in the low bidder’s Update Statement in making this determination. Remember: this information was not available to the Division of Capital Asset Management at the time of certification.
• The bidder’s performance on the projects listed in Parts 1 and 2 must be part of your review. Contact the project references.
• AWARDING AUTHORITIES ARE STRONGLY ENCOURAGED TO REVIEW THE LOW BIDDER’S ENTIRE CERTIFICATION FILE AT THE DIVISION OF CAPITAL ASSET MANAGEMENT. Telephone (617) 727-9320 for an appointment.

Bidding Limits

Single Project Limit: The total amount of the bid, including all alternates, may not exceed the bidder’s Single Project Limit.

Aggregate Work Limit: The annual value of the work to be performed on the contract for which the bid is submitted, when added to the annual cost to complete the bidder’s other currently held contracts, may not exceed the bidder’s Aggregate Work Limit. Use the following procedure to determine whether the low bidder is within its Aggregate Work Limit:

Step 1 Review Update Statement Question #2 to make sure that all requested information is provided and that the bidder has accurately calculated and totaled the annualized value of all incomplete work on its currently held contracts (column 9).

Step 2 Determine the annual dollar value of the work to be performed on your project. This is done as follows:

(i) If the project is to be completed in less than 12 months, the annual dollar value of the work is equal to the full amount of the bid.

(ii) If the project will take more than 12 months to complete, calculate the number of years given to complete the project by dividing the total number of months in the project schedule by 12 (calculate to 3 decimal places), then divide the amount of the bid by the calculated number of years to find the annual dollar value of the work.

Step 3 Add the annualized value of all of the bidder’s incomplete contract work (the total of column 9 on page 5) to the annual dollar value of the work to be performed on your project. The total may not exceed the bidder’s Aggregate Work Limit.

Correction of Errors and Omissions in Update Statements

Matters of Form: An awarding authority shall not reject a contractor’s bid because there are mistakes or omissions of form in the Update Statement submitted with the bid, provided the contractor promptly corrects those mistakes or omissions upon request of the awarding authority. [810 CMR 8.05(1)].

Correction of Other Defects: An awarding authority may, in its discretion, give a contractor notice of defects, other than mistakes or omissions of form, in the contractor’s Update Statement, and an opportunity to correct such defects, provided the correction of such defects is not prejudicial to fair competition. An awarding authority may reject a corrected Update Statement if it contains unfavorable information about the contractor that was omitted from the Update Statement filed with the contractor’s bid. [810 CMR 8.05(2)].
PART 1 - COMPLETED PROJECTS

LIST ALL PUBLIC AND PRIVATE BUILDING PROJECTS YOUR FIRM HAS COMPLETED SINCE THE DATE YOUR CURRENT CERTIFICATE OF ELIGIBILITY WAS ISSUED (NOT EXTENDED). *

<table>
<thead>
<tr>
<th>PROJECT TITLE &amp; LOCATION</th>
<th>WORK CATEGORY</th>
<th>CONTRACT PRICE</th>
<th>START DATE</th>
<th>DATE COMPLETED</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Enter Project Title &amp; Location Here]</td>
<td>[Enter Work Category]</td>
<td>[Enter Contract Price]</td>
<td>[Enter Start Date]</td>
<td>[Date Completed]</td>
</tr>
<tr>
<td>[Enter Project Title &amp; Location Here]</td>
<td>[Enter Work Category]</td>
<td>[Enter Contract Price]</td>
<td>[Enter Start Date]</td>
<td>[Date Completed]</td>
</tr>
<tr>
<td>[Enter Project Title &amp; Location Here]</td>
<td>[Enter Work Category]</td>
<td>[Enter Contract Price]</td>
<td>[Enter Start Date]</td>
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<td>[Enter Project Title &amp; Location Here]</td>
<td>[Enter Work Category]</td>
<td>[Enter Contract Price]</td>
<td>[Enter Start Date]</td>
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<td>[Enter Project Title &amp; Location Here]</td>
<td>[Enter Work Category]</td>
<td>[Enter Contract Price]</td>
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<td>[Enter Project Title &amp; Location Here]</td>
<td>[Enter Work Category]</td>
<td>[Enter Contract Price]</td>
<td>[Enter Start Date]</td>
<td>[Date Completed]</td>
</tr>
</tbody>
</table>

Attach additional sheets if necessary

* If your firm has been terminated from a project prior to completion of the work or has failed or refused to complete its work under any contract, full details and an explanation must be provided. See Part 3 of this Update Statement.
<table>
<thead>
<tr>
<th>GC:</th>
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<tbody>
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<td>OWNER:</td>
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<td>DESIGNER:</td>
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<td>GC:</td>
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</tbody>
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Is your company or any individual who owns, manages or controls your company affiliated with any owner, designer or general contractor named above, either through a business or family relationship?  □ YES  □ NO

Are any of the contact persons named above affiliated with your company or any individual who owns, manages or control your company, either through a business or family relationship?  □ YES  □ NO

If you have answered YES to either question, explain: _____
PART 2 - CURRENTLY HELD CONTRACTS

LIST ALL PUBLIC AND PRIVATE BUILDING AND NON-BUILDING CONSTRUCTION PROJECTS YOUR FIRM HAS UNDER CONTRACT ON THIS DATE REGARDLESS OF WHEN OR WHETHER THE WORK COMMENCED.

<table>
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<tr>
<th>1</th>
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<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROJECT TITLE &amp; LOCATION</td>
<td>WORK CATEGORY</td>
<td>START AND END DATES</td>
<td>ON SCHEDULE (yes / no)</td>
<td>CONTRACT PRICE</td>
<td>% NOT COMPLETE</td>
<td>$ VALUE OF WORK NOT COMPLETE (col. 5 x col. 6)</td>
<td>NO. OF YEARS REMAINING (see note below)</td>
<td>ANNUALIZED VALUE OF INCOMPLETE WORK (col. 7 ÷ col. 8) (divided by)</td>
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ANNUALIZED VALUE OF ALL INCOMPLETE CONTRACT WORK (Total of Column 9) $_____

**Column 8**  
• If less than one year is left in the project schedule, write 1.

• If more than 12 months are left in the project schedule, divide the number of months left in the project schedule by 12 (calculate to three decimal places).
Provide the following reference information for each incomplete project listed on the previous page.

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>COMPANY NAME</th>
<th>CONTACT PERSON</th>
<th>TELEPHONE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>OWNER:</td>
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<td>DESIGNER:</td>
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<td>GC:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Is your company or any individual who owns, manages or controls your company affiliated with any owner, designer or general contractor named above either through a business or family relationship?  □ YES □ NO

Are any of the contact persons named above affiliated with your company or any individual who owns, manages or control your company, either through a business or family relationship?  □ YES □ NO

If you have answered YES to either question, explain: ______
PART 3 - PROJECT PERFORMANCE

For Parts 3 and 4, if you answer YES to any question, please provide on a separate page a complete explanation. Information is to cover the period from the date your most recent annual Certificate of Eligibility was issued (not extended) to the date of the bid. Include all details [project name(s) and location(s), names of all parties involved, relevant dates, etc.]. IF YOU HAVE ANY DOUBT AS TO WHETHER TO ANSWER “YES” IT IS BETTER TO BE OVER INCLUSIVE AND TO PROVIDE A DETAILED EXPLANATION.

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Has your firm been terminated on any contract prior to completing a project or has any officer, partner or principal of your firm been an officer, partner or principal of another firm that was terminated or failed to complete a project?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Has your firm failed or refused either to perform or complete any of its work under any contract prior to substantial completion?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Has your firm failed or refused to complete any punch list work under any contract?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4. Has your firm filed for bankruptcy, or has any officer, principal or individual with a financial interest in your current firm been an officer, principal or individual with a financial interest in another firm that filed for bankruptcy?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. Has your surety taken over or been asked to complete any of your work under any contract?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>6. Has a payment or performance bond been invoked against your current firm, or has any officer, principal or individual with a financial interest in your current firm been an officer, principal or individual with a financial interest in another firm that had a payment or performance bond invoked?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>7. Has your surety made payment to a materials supplier or other party under your payment bond on any contract?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>8. Has any subcontractor filed a demand for direct payment with an awarding authority for a public project on any of your contracts?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>9. Have any of your subcontractors or suppliers filed litigation to enforce a mechanic's lien against property in connection with work performed or materials supplied under any of your contracts?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>10. Have there been any deaths of an employee or others occurring in connection with any of your projects?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>11. Has any employee or other person suffered an injury in connection with any of your projects resulting in their inability to return to work for a period in excess of one year?</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
PART 4 - Legal or Administrative Proceedings; Compliance with Laws

Please answer the following questions. Information is to cover all judicial and administrative proceedings involving bidder’s firm, which were instituted or concluded (adversely or otherwise) from the date your most recent annual Certificate of Eligibility was issued (not extended) to the date of the bid.

The term “administrative proceeding” as used in this Prime/General Contractor Update Statement includes (i) any action taken or proceeding brought by a governmental agency, department or officer to enforce any law, regulation, code, legal, or contractual requirement, except for those brought in state or federal courts, or (ii) any action taken by a governmental agency, department or officer imposing penalties, fines or other sanctions for failure to comply with any such legal or contractual requirement.

The term “anyone with a financial interest in your firm” as used in this Section “I”, shall mean any person and/or entity with a 5% or greater ownership interest in the applicant’s firm.

If you answer YES to any question, on a separate page provide a complete explanation of each proceeding or action and any judgment, decision, fine or other sanction or result. Include all details (name of court or administrative agency, title of case or proceeding, case number, date action was commenced, date judgment or decision was entered, fines or penalties imposed, etc.). IF YOU HAVE ANY DOUBT AS TO WHETHER TO ANSWER “YES” IT IS BETTER TO BE OVER INCLUSIVE AND TO PROVIDE A DETAILED EXPLANATION.

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>1. Have any civil, judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to the procurement or performance of any construction contract, including but not limited to actions to obtain payment brought by subcontractors, suppliers or others?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Have any criminal proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to the procurement or performance of any construction contract including, but not limited to, any of the following offenses: fraud, graft, embezzlement, forgery, bribery, falsification or destruction of records, or receipt of stolen property?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of any state’s or federal procurement laws arising out of the submission of bids or proposals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of M.G.L. Chapter 268A, the State Ethics Law?</td>
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</table>
### PART 4 - Legal or Administrative Proceedings; Compliance with Laws (continued)

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<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>5.</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of any state or federal law regulating hours of labor, unemployment compensation, minimum wages, prevailing wages, overtime pay, equal pay, child labor or worker’s compensation?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>6.</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of any state or federal law prohibiting discrimination in employment?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>7.</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a claim of repeated or aggravated violation of any state or federal law regulating labor relations?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>8.</td>
<td>Have any proceedings by a municipal, state, or federal agency been brought, concluded, or settled relating to decertification, debarment, or suspension of your firm or any principal or officer or anyone with a financial interest in your firm from public contracting?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>9.</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of state or federal law regulating the environment?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>10.</td>
<td>Has your firm been fined by OSHA or any other state or federal agency for violations of any laws or regulations related to occupational health or safety? Note: this information may be obtained from OSHA’s Web Site at <a href="http://www.osha.gov">www.osha.gov</a></td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>11.</td>
<td>Has your firm been sanctioned for failure to achieve DBE/MBE/WBE goals, workforce goals, or failure to file certified payrolls on any public projects?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>12.</td>
<td>Other than previously reported in the above paragraphs of this Section I, have any administrative proceedings or investigations involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled by any local, state or federal agency relating to the procurement or performance of any construction contract?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>13.</td>
<td>Are there any other issues that you are aware which may affect your firm’s responsibility and integrity as a building contractor?</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
PART 5 - SUPERVISORY PERSONNEL

List all supervisory personnel, such as project managers and superintendents, who will be assigned to the project if your firm is awarded the contract. Attach the resume of each person listed below.

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE OR FUNCTION</th>
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<tbody>
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</tbody>
</table>

PART 6 - CHANGES IN BUSINESS ORGANIZATION OR FINANCIAL CONDITION

Have there been any changes in your firm’s business organization, financial condition or bonding capacity since the date your current Certificate of Eligibility was issued? ☐ Yes ☐ No

If YES, attach a separate page providing complete details.

PART 7 – LIST OF COMPLETED CONSTRUCTION PROJECTS SUBMITTED TO THE DIVISION OF CAPITAL ASSET MANAGEMENT.

Attach here a copy of the list of completed construction projects which was submitted with your firm’s DCAM application for your most recently issued (not extended or amended) DCAM Certificate of Eligibility. The Attachment must include a complete copy of the entire Section G – “Completed Projects” and the final page – “Certification” (Section J) containing the signature and date that the Completed Projects list (Section G) was submitted to the Division of Capital Asset Management.
SPECIAL NOTICE TO AWARDING AUTHORITY

SUB-BIDDERS’ UPDATE STATEMENTS ARE NOT PUBLIC RECORDS AND ARE NOT OPEN TO PUBLIC INSPECTION (M.G.L. C.149, §44D)

Effective March 30, 2010

Commonwealth of Massachusetts
Division of Capital Asset Management

SUB-BIDDER
UPDATE STATEMENT

TO ALL SUB-BIDDERS, TRADE CONTRACTORS AND AWARDING AUTHORITIES
A COMPLETED AND SIGNED SUB-BIDDER UPDATE STATEMENT MUST BE SUBMITTED WITH EVERY FILED SUB-BID PURSUANT TO M.G.L. c.149, §44F AND EVERY TRADE SUB-BID PURSUANT TO M.G.L. c. 149A. ANY FILED SUB-BID OR TRADE SUB-BID SUBMITTED WITHOUT AN APPROPRIATE SUB-BIDDER UPDATE STATEMENT IS INVALID AND MUST BE REJECTED.

Caution: This form is to be used for submitting Filed Sub-Bids and Trade Sub-Bids. It is not to be used for submitting Prime/General Contract bids.

AWARDING AUTHORITIES

If the Awarding Authority determines that the sub-bidder is not competent to perform the work as specified on the project, it should reject the bid.

SUB-BIDDER’S AFFIDAVIT

I swear under the pains and penalties of perjury that I am duly authorized by the bidder named below to sign and submit this Sub-bidder Update Statement on behalf of the bidder named below, that I have read this Sub-bidder Update Statement, and that all of the information provided by the bidder in this Sub-bidder Update Statement is true, accurate, and complete as of the bid date.

[Enter Bid Date Here] [Enter Name of Sub-bidder or Contractor]
Bid Date Print Name of Sub-bidder or Trade Contractor

[Project Number] [Enter Business Address]
Project Number (or name if no number) Business Address

[Awarding Authority] [Contractor’s Telephone Number]
Awarding Authority Telephone Number

SIGNATURE⇒

Bidder’s Authorized Representative

Division of Capital Asset Management

(Edited by UMass Amherst 1/19/2011)
INSTRUCTIONS TO SUB-BIDDERS

• This form must be completed and submitted by all Filed Sub-Bidders bidding on projects pursuant to M.G.L. c. 149, §44F and Trade Contractors bidding on projects pursuant to M.G.L. c. 149A.
• You must give complete and accurate answers to all questions and provide all of the information requested. MAKING A MATERIALLY FALSE STATEMENT IN THIS SUB-BIDDER UPDATE STATEMENT IS GROUNDS FOR REJECTING YOUR BID AND FOR DEBARRING YOU FROM ALL PUBLIC CONTRACTING.
• Information is to cover the period from the date your most recent annual Sub-bidder Certificate of Eligibility was issued (not extended) to the date of the bid.
• You must use this official form of Sub-bidder Update Statement. Copies of this form may be obtained from the awarding authority and from the DCAM Web Site: www.mass.gov/cam
• If additional space is needed, please copy the appropriate page of this Sub-bidder Update Statement and attach it as an additional sheet.

INSTRUCTIONS TO AWARDING AUTHORITIES

Determination of Sub-Bidder Qualifications

It is the awarding authority’s responsibility to determine each responsible bidder. You must consider all of the information in the bidder’s Sub-bidder Update Statement in making this determination. Remember: this information was not available to the Division of Capital Asset Management at the time of certification.

Division of Capital Asset Management
Sub-bidder Update Statement Effective March 30, 2010

• The sub-bidder’s performance on the projected listed in Parts 1 and 2 must be part of your review. Contact the project references.
• AWARDING AUTHORITIES ARE STRONGLY ENCOURAGED TO REVIEW THE SUB-BIDDER’S ENTIRE CERTIFICATION FILE AT THE DIVISION OF CAPITAL ASSET MANAGEMENT. Telephone (617) 727-9320 for an appointment.

Correction of Errors and Omissions in Sub-bidder Update Statements

Matters of Form: An awarding authority shall not reject a sub-bidder’s bid because there are mistakes or omissions of form in the Sub-bidder Update Statement submitted with the bid pursuant to M.G.L. c.149, §44D, provided the sub-bidder promptly corrects those mistakes or omissions upon request of the awarding authority. [810 CMR 8.13(1)].

Correction of Other Defects: An awarding authority may, in its discretion, give a sub-bidder notice of minor defects and omissions as to form in the Sub-bidder’s Update Statement and provide an opportunity to correct its Sub-bidder Update Statement. However, the sub-bidder shall not be allowed to make corrections to a Sub-bidder Update Statement if material information about the sub-bidder was omitted from the Sub-bidder Update Statement filed with the sub-bidder’s bid. The Awarding Authority shall advise DCAM of any material omissions in a Sub-bidder’s Update Statement.. [810 CMR 8.13(2)].
**PART 1 - COMPLETED PROJECTS**

LIST ALL PUBLIC AND PRIVATE PROJECTS OF $20,000 OR MORE THAT YOUR FIRM HAS COMPLETED SINCE THE DATE YOUR CURRENT SUB-BIDDER CERTIFICATE OF ELIGIBILITY WAS ISSUED (NOT EXTENDED). *

<table>
<thead>
<tr>
<th>PROJECT TITLE &amp; LOCATION</th>
<th>WORK CATEGORY</th>
<th>CONTRACT PRICE</th>
<th>START DATE</th>
<th>DATE COMPLETED</th>
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Attach additional sheets if necessary

* If your firm has been terminated from a project prior to completion of the work or has failed or refused to complete its work under any contract, full details and an explanation must be provided. See Part 3 of this Sub-bidder Update Statement.
PROVIDE THE FOLLOWING REFERENCE INFORMATION FOR EACH COMPLETED PROJECT LISTED ON THE PREVIOUS PAGE.

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>COMPANY NAME</th>
<th>CONTACT PERSON</th>
<th>TELEPHONE</th>
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</thead>
<tbody>
<tr>
<td>OWNER:</td>
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<td>DESIGNER:</td>
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<td>GC:</td>
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Is your company or any individual who owns, manages or controls your company affiliated with any owner, designer or general contractor named above, either through a business or family relationship?  □ YES  □ NO  
Are any of the contact persons named above affiliated with your company or any individual who owns, manages or control your company, either through a business or family relationship?  □ YES  □ NO  If you have answered YES to either question, explain:  _____
PART 2 - CURRENTLY HELD CONTRACTS

LIST ALL PUBLIC AND PRIVATE PROJECTS OF $20,000 OR MORE THAT YOUR FIRM HAS UNDER CONTRACT ON THIS DATE REGARDLESS OF WHEN OR WHETHER THE WORK COMMENCED.

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<tbody>
<tr>
<td>1</td>
<td>PROJECT TITLE &amp; LOCATION</td>
<td>WORK CATEGORY</td>
<td>START AND END DATES</td>
<td>ON SCHEDULE (yes / no)</td>
<td>CONTRACT PRICE</td>
<td>% NOT COMPLETE</td>
<td>$ VALUE OF WORK NOT COMPLETE (col. 5 x. col. 6)</td>
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</table>
PROVIDE THE FOLLOWING REFERENCE INFORMATION FOR EACH INCOMPLETE PROJECT LISTED ON THE PREVIOUS PAGE.

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>COMPANY NAME</th>
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<td>GC:</td>
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</tbody>
</table>

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| OWNER: |   |
| DESIGNER: |   |
| GC: |   |

Is your company or any individual who owns, manages or controls your company affiliated with any owner, designer or general contractor named above either through a business or family relationship?  
☐ YES  ☐ NO

Are any of the contact persons named above affiliated with your company or any individual who owns, manages or control your company, either through a business or family relationship?  
☐ YES  ☐ NO

If you have answered YES to either question, explain: _____
PART 3 - PROJECT PERFORMANCE

For Parts 3 and 4, if you answer YES to any question, please provide on a separate page a complete explanation. Information is to cover the period from the date your most recent annual Sub-Bidder Certificate of Eligibility was issued (not extended) to the date of the bid. Include all details [project name(s) and location(s), names of all parties involved, relevant dates, etc.]. IF YOU HAVE ANY DOUBT AS TO WHETHER TO ANSWER “YES” IT IS BETTER TO BE OVER INCLUSIVE AND TO PROVIDE A DETAILED EXPLANATION.

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Has your firm been terminated on any contract prior to completing a project or has any officer, partner or principal of your firm been an officer, partner or principal of another firm that was terminated or failed to complete a project?</td>
<td></td>
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<tr>
<td>2. Has your firm failed or refused either to perform or complete any of its work under any contract prior to substantial completion?</td>
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<tr>
<td>3. Has your firm failed or refused to complete any punch list work under any contract?</td>
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<tr>
<td>4. Has your firm filed for bankruptcy, or has any officer, principal or individual with a financial interest in your current firm been an officer, principal or individual with a financial interest in another firm that filed for bankruptcy?</td>
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</tr>
<tr>
<td>5. Has your surety taken over or been asked to complete any of your work under any contract?</td>
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<tr>
<td>6. Has a payment or performance bond been invoked against your current firm, or has any officer, principal or individual with a financial interest in your current firm been an officer, principal or individual with a financial interest in another firm that had a payment or performance bond invoked?</td>
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<tr>
<td>7. Has your surety made payment to a materials supplier or other party under your payment bond on any contract?</td>
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<tr>
<td>8. Has any subcontractor filed a demand for direct payment with an awarding authority for a public project on any of your contracts?</td>
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<tr>
<td>9. Have any of your subcontractors or suppliers filed litigation to enforce a mechanic’s lien against property in connection with work performed or materials supplied under any of your contracts?</td>
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<tr>
<td>10. Have there been any deaths of an employee or others occurring in connection with any of your projects?</td>
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<tr>
<td>11. Has any employee or other person suffered an injury in connection with any of your projects resulting in their inability to return to work for a period in excess of one year?</td>
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</table>
PART 4 - Legal or Administrative Proceedings; Compliance with Laws

Please answer the following questions. Information is to cover all judicial and administrative proceedings involving bidder’s firm, which were instituted or concluded (adversely or otherwise) from the date your most recent annual Sub-Bidder Certificate of Eligibility was issued (not extended) to the date of the bid.

The term “administrative proceeding” as used in this Sub-Bidder Update Statement includes (i) any action taken or proceeding brought by a governmental agency, department or officer to enforce any law, regulation, code, legal, or contractual requirement, except for those brought in state or federal courts, or (ii) any action taken by a governmental agency, department or officer imposing penalties, fines or other sanctions for failure to comply with any such legal or contractual requirement.

The term “anyone with a financial interest in your firm” as used in this Section “I”, shall mean any person and/or entity with a 5% or greater ownership interest in the applicant’s firm.

If you answer YES to any question, on a separate page provide a complete explanation of each proceeding or action and any judgment, decision, fine or other sanction or result. Include all details (name of court or administrative agency, title of case or proceeding, case number, date action was commenced, date judgment or decision was entered, fines or penalties imposed, etc.). IF YOU HAVE ANY DOUBT AS TO WHETHER TO ANSWER “YES” IT IS BETTER TO BE OVER INCLUSIVE AND TO PROVIDE A DETAILED EXPLANATION.

<table>
<thead>
<tr>
<th></th>
<th>YES</th>
<th>NO</th>
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<tr>
<td>1. Have any civil, judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to the procurement or performance of any construction contract, including but not limited to actions to obtain payment brought by subcontractors, suppliers or others?</td>
<td>☐</td>
<td>☐</td>
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<tr>
<td>2. Have any criminal proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to the procurement or performance of any construction contract including, but not limited to, any of the following offenses: fraud, graft, embezzlement, forgery, bribery, falsification or destruction of records, or receipt of stolen property?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of any state’s or federal procurement laws arising out of the submission of bids or proposals?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4. Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of M.G.L. Chapter 268A, the State Ethics Law?</td>
<td>☐</td>
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</table>
## PART 4 - Legal or Administrative Proceedings; Compliance with Laws (continued)

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<th></th>
<th>Question</th>
<th>YES</th>
<th>NO</th>
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<td>5</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of any state or federal law regulating hours of labor, unemployment compensation, minimum wages, prevailing wages, overtime pay, equal pay, child labor or worker’s compensation?</td>
<td>☐</td>
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<tr>
<td>6</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of any state or federal law prohibiting discrimination in employment?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>7</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a claim of repeated or aggravated violation of any state or federal law regulating labor relations?</td>
<td>☐</td>
<td>☐</td>
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<tr>
<td>8</td>
<td>Have any proceedings by a municipal, state, or federal agency been brought, concluded, or settled relating to decertification, debarment, or suspension of your firm or any principal or officer or anyone with a financial interest in your firm from public contracting?</td>
<td>☐</td>
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<td>9</td>
<td>Have any judicial or administrative proceedings involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled relating to a violation of state or federal law regulating the environment?</td>
<td>☐</td>
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<td>10</td>
<td>Has your firm been fined by OSHA or any other state or federal agency for violations of any laws or regulations related to occupational health or safety? Note: this information may be obtained from OSHA’s Web Site at <a href="http://www.osha.gov">www.osha.gov</a></td>
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<td>11</td>
<td>Has your firm been sanctioned for failure to achieve DBE/MBE/WBE goals, workforce goals, or failure to file certified payrolls on any public projects?</td>
<td>☐</td>
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<td>12</td>
<td>Other than previously reported in the above paragraphs of this Section I, have any administrative proceedings or investigations involving your firm or a principal or officer or anyone with a financial interest in your firm been brought, concluded, or settled by any local, state or federal agency relating to the procurement or performance of any construction contract?</td>
<td>☐</td>
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<td>13</td>
<td>Are there any other issues that you are aware which may affect your firm’s responsibility and integrity as a building contractor?</td>
<td>☐</td>
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</table>
PART 5 - SUPERVISORY PERSONNEL
List all supervisory personnel who will be assigned to the project if your firm is awarded the contract.
Attach the resume of each person listed below.

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<th>NAME</th>
<th>TITLE OR FUNCTION</th>
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PART 6 - CHANGES IN BUSINESS ORGANIZATION OR FINANCIAL CONDITION
Have there been any changes in your firm’s business organization, financial condition or bonding capacity since the date your current Certificate of Eligibility was issued? ☐ Yes ☐ No
If YES, attach a separate page providing complete details.

PART 7 – LIST OF COMPLETED CONSTRUCTION PROJECTS SUBMITTED TO THE DIVISION OF CAPITAL ASSET MANAGEMENT ALONG WITH CERTIFICATION PAGE.

Attach here a copy of the list of completed construction projects which was submitted with your firm’s Application for your most recently issued (not extended or amended) Sub-Bidder Certificate of Eligibility. The Attachment must include a complete copy of the entire Section F – “Completed Projects” (Section G – “Completed Projects” for firms certified based upon their Prime/General Application), and the final page – “Certification Page”, (Section I in the Sub-bidder Application or Section J in Prime/General Application) containing the signature and date that the Completed Projects list (Section F or G) was submitted to the Division of Capital Asset Management.
The following must be attached to or inserted into this Bid:

1. Current Bidder's Certificate of Eligibility issued by the Division of Capital Asset Management and Maintenance showing the Bidder is certified in the category of work specified in the advertisement and the bid documents for this project.

2. Completed current Contractor Update Statement (Form CQ3). NOTE: All information and the documents called for in the update statement must be supplied. All information provided must be complete and accurate. A defect or omission in the Update Statement may result in the rejection of the Bid. Part 5 MUST list the NAMES of all supervisory personnel for this project.

3. Bid deposit meeting the requirements of Section 5.13 and 5.14 of the Instructions to Bidders.
FORM FOR GENERAL BID

To the Awarding Authority:

A. The undersigned proposes to furnish all labor and materials required for

UMA No. 17-18 Project No. 001800

Project Name: fine Arts Center, Room 125 Rand Theater Rigging System

in Amherst, Massachusetts, in accordance with the accompanying plans and specifications prepared by [name of architect or engineer] for the contract price specified below, subject to additions and deductions according to the terms of the specifications.

B. This bid includes addenda numbered (list all addenda) ____________________.

C. The proposed contract price is

______________________________

(totals bid in words)
dollars ($__________.)

For Alternate No. 1: Add $________ Subtract $________
For Alternate No. 2: Add $________ Subtract $________
For Alternate No. 3: Add $________ Subtract $________
For Alternate No. 4: Add $________ Subtract $________
For Alternate No. 5: Add $________ Subtract $________

Name of General Bidder ________________________________
D. The subdivision of the proposed contract price is as follows:

Item 1. The work of the general contractor, being all work other than that covered by Item 2.

_________________________________________________________ dollars ($_______)

(total bid in words)

Item 2. Sub-bids as follows:

<table>
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<tr>
<th>Section #</th>
<th>Subtrade</th>
<th>Name of Sub-Bidder</th>
<th>Amount</th>
<th>Bonds required, indicated by &quot;Yes&quot; or &quot;No&quot;</th>
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52
The undersigned agrees that each of the above-named sub-bidders will be used for the work indicated at the amount stated, unless a substitution is made. The undersigned further agrees to pay the premiums for the performance and payment bonds furnished by sub-bidders as requested herein and that all of the cost of all such premiums is included in the amount set forth in Item 1 of this bid.

The undersigned agrees that if it is selected as general contractor, it will promptly confer with the awarding authority on the question of sub-bidders; and that the awarding authority may substitute for any sub-bid listed above a sub-bid filed with the awarding authority by another sub-bidder for the sub-trade against whose standing and ability the undersigned makes no objection; and that the undersigned will use all such finally selected sub-bidders at the amounts named in their respective sub-bids and be in every way as responsible for them and their work as if they had been originally named in this general bid, the total contract price being adjusted to conform thereto.

E. The undersigned agrees that, if it is selected as general contractor, it will within five days, Saturdays, Sundays and legal holidays excluded, after presentation thereof by the awarding authority, execute a contract in accordance with the terms of this bid and furnish a performance bond and also a labor and materials or payment bond, each of a surety company qualified to do business under the laws of the Commonwealth and satisfactory to the awarding authority and each in the sum of the contract price, the premiums for which are to be paid by the general contractor and are included in the contract price; provided, however, that if there is more than 1 surety company, the surety companies shall be jointly and severally liable.

The undersigned hereby certifies that it is able to furnish labor that can work in harmony with all other elements of labor employed or to be employed on the work; that all employees to be employed at the worksite will have successfully completed a course in construction safety and health approved by the United States Occupational Safety and Health Administration that is at least 10 hours in duration at the time the employee begins work and who shall furnish documentation of successful completion of said course with the first certified payroll report for
each employee; and that it will comply fully with all laws and regulations applicable to awards made subject to section forty-four A of Chapter 149 of the General Laws.

The undersigned further certifies under the penalties of perjury that this bid is in all respects bona fide, fair and made without collusion or fraud with any other person. As used in this subsection the word "person" shall mean any natural person, joint venture, partnership, corporation or other business or legal entity.

The undersigned further certifies under penalty of perjury that the said undersigned is not presently debarred from doing public construction work in the Commonwealth under the provisions of section twenty-nine F of chapter twenty-nine, or any other applicable debarment provisions of any other chapter of the General Laws or any rule or regulation promulgated thereunder.

The undersigned further certifies under penalties of perjury that the undersigned is not debarred from doing public construction work under any law, rule or regulation of the federal government.

The undersigned hereby declares that the undersigned has carefully examined the Advertisement, Instructions to Bidders, Owner - Contractor Agreement, General Conditions of the Contract, Special Conditions (if any), Plans and Specifications, all other Contract Documents, and also the Site upon which the proposed work is to be performed. The undersigned further declares that in regard to the conditions affecting the work to be done and the labor and materials needed, this proposal is based solely on the undersigned's own investigation and research and not in reliance upon any representation of any employee, officer or agent of the Commonwealth.
The undersigned further certifies under the penalties of perjury that:
-- this bid is in all respects bona fide, fair and made without collusion or fraud with any other person;
-- we are the only persons interested in this proposal;
-- that it is made without any connection with any other person making any bid for the same work and without directly or indirectly influencing or attempting to influence any other person to bid or to refrain from bidding or to influence the amount of the bid of any other person or corporation;
-- that no person acting for, or employed by, the Commonwealth of Massachusetts is directly or indirectly interested in this proposal, or in any contract which be made under it, or in expected profits to arise therefrom.

As used above the word "person" shall mean natural person, joint venture, partnership, corporation or other business or legal entity.

The undersigned certifies that it shall comply with the provisions of the Equal Employment Opportunity, Non-Discrimination, and Affirmative Action Program set forth in Article XII of the General Conditions of the Contract.

Should the Contract Documents require submission of special data to accompany the bid, the Awarding Authority reserves the right to rule the bidder's failure to submit such data an informality and to receive said data subsequently within a reasonable time as set by the Awarding Authority.

Date _______________________, 20__.  

__________________________________________
(Name of General Bidder)

By _______________________________________
(Print Name/Title of Person Signing Bid)

__________________________________________
(Signature)

__________________________________________
(Business Address)

__________________________________________
(City and State)

__________________________________________
(Telephone Number) (Facsimile Number)
The following information is furnished by the Bidder for the information of the University of Massachusetts Amherst.

Is Bidder a corporation? ____ If so, incorporated in what state? __________________________

President ____________________________

Secretary or Clerk ____________________________

Treasurer ____________________________

If Bidder is a foreign corporation, is it registered to do business in Massachusetts? ____

If Bidder is a foreign corporation and is selected, Bidder is required under M.G.L. c. 30, s. 39L to obtain from the Massachusetts Secretary of State, One Ashburton Place, 17th floor, a certificate stating that the corporation is registered to do business in Massachusetts, and to furnish said certificate to the awarding authority prior to the award.

Is Bidder a general partnership or joint venture? ____ If so, name each partner or venturer ____________________________

Is Bidder a limited partnership? ____________________________

Is Bidder registered in Massachusetts? ____ If so, name each general partner ____________

If Bidder is a foreign limited partnership and is selected, Bidder is required under M.G.L. c. 30, s. 39L to obtain from the Massachusetts Secretary of State, One Ashburton Place, 17th floor, a certificate stating that the partnership is registered to do business in Massachusetts, and to furnish said certificate to the awarding authority prior to the award.

For each general partner or venturer that is a corporation, provide the following information (use additional sheets if necessary):

Name of corporation ____________________________

State of incorporation ____________________________

President ____________________________

Secretary or Clerk ____________________________
Treasurer

Name of corporation

State of incorporation

President

Secretary or Clerk

Treasurer

Is Bidder an individual?

Residence Address

Name under which Bidder does business

Business Address

If selected Bidder is an individual doing business under a different name then Bidder must furnish evidence of any required DBA filing.

University of Massachusetts Amherst

Facilities Planning

Physical Plant Building

360 Campus Center Way

Amherst, MA 01003-9248

Telephone: (413) 545-1383
UNIVERSITY OF MASSACHUSETTS AMHERST

FORM FOR SUB-BID

M.G.L. c. 149, s. 44F as amended

The following must be attached to or inserted into this Sub-Bid or Trade Bid:

1. Current Sub-Bidder Certificate of Eligibility issued by the Division of Capital Asset Management and Maintenance showing the Sub-Bidder or Trade Contractor is certified in the category of work for which this Sub-Bid is submitted.

2. Completed Sub-Bidder Update Statement. NOTE: All information and the documents called for in the update statement must be supplied. All information provided must be complete and accurate. A defect or omission in the Update Statement may result in the rejection of the Bid. Part 5 MUST list the NAMES of all supervisory personnel for this project.

3. Bid deposit meeting the requirements of Section 5.13 and 5.14 of the Instructions to Bidders.
To all General Bidders except those excluded:

A. The undersigned proposes to furnish all labor and materials required for completing, in accordance with the hereinafter described Plans, Specifications and addenda, all the work specified in Section No. __________________ of the Specifications and in any Plans specified in such section, prepared by _______________________________ for

   (name of architect or engineer)

________________________  ________________________________
(project number)         (project name)

in ________________________________, Massachusetts, for the Contract sum of

   (city/town)

______________________________ ____________________________ dollars

($________________________).

   For Alternate No. 1: Add $________________ Subtract $______________
   For Alternate No. 2: Add $________________ Subtract $______________
   For Alternate No. 3: Add $________________ Subtract $______________
   For Alternate No. 4: Add $________________ Subtract $______________
   For Alternate No. 5: Add $________________ Subtract $______________

B. This sub-bid includes addenda numbered (list all addenda) _____________________

Name of Sub-bidder ________________________________
C. This sub-bid

☐ May be used by any general bidder except: ____________________________

☐ May only be used by the following general bidders: ____________________

(To exclude general bidders, insert “X” in one box only and fill in blank following that box. Do not answer C if no general bidders are excluded.)

D. The undersigned agrees that, if it is selected as a sub-bidder, it will, within five days, Saturdays, Sundays, and legal holidays excluded, after presentation of a subcontract by the general bidder selected as the general contractor, execute with such general bidder a subcontract in accordance with the terms of this sub-bid, and contingent upon the execution of the general contract, and if requested so to do in the general bid by such general bidder, who shall pay the premiums therefore, or if prequalification is required pursuant to section 44D3/4, furnish a performance and payment bond of a surety company qualified to do business under the laws of the Commonwealth and satisfactory to the awarding authority in the full sum of the subcontract price.

E. The names of all persons, firms and corporations furnishing to the undersigned labor or labor and materials for the class or classes or part thereof of work for which the provisions of the section of the Specifications for this sub-trade require a listing in this paragraph, including the undersigned if customarily furnished by persons on his own payroll and in the absence of a contrary provision in the Specifications, the name of each such class of work or part thereto and the bid price for such class of work or part thereof are:

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<tr>
<th>NAME</th>
<th>CLASS OF WORK</th>
<th>BID PRICE</th>
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(Do not give bid price for any class or part thereof furnished by undersigned).
F. The undersigned agrees that the above list of bids to the undersigned represents bona fide bids based on the hereinbefore described Plans, Specifications and addenda and that, if the undersigned is awarded the contract, they will be used for the work indicated at the amounts stated, if satisfactory to the awarding authority.

G. The undersigned further agrees to be bound to the general Contractor by the terms of the hereinbefore describe Plans, Specifications, including all general conditions stated therein, and addenda, and to assume toward the general Contractor all the obligations and responsibilities that the general Contractor, by those documents, assumes toward the Commonwealth.

H. The undersigned offers the following information as evidence of its qualifications to perform the work as bid upon according to all the requirements of the Plans and specification:

1. Have been in business under present business name ________ years.

2. Ever failed to complete any work awarded? ____________________.

3. List one or more recent buildings with names of the general Contractor and Designer on which you served as a subcontractor for work of similar character as required for the above named building.

<table>
<thead>
<tr>
<th>Building</th>
<th>Designer</th>
<th>General Contractor</th>
<th>Amount of Contract</th>
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<td>(c)</td>
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</table>

4. Bank reference ____________________________________________

I. The undersigned hereby certifies that it is able to furnish labor that can work in harmony with all other elements of labor employed or to be employed on the work; that all employees to be employed at the worksite will have successfully completed a course in construction safety and health approved by the United States Occupational Safety and Health Administration that is at least 10 hours in duration at the time the employee begins work and who shall furnish documentation of successful completion of said course with the first certified payroll report for each employee; and that it will comply fully with all laws and regulations applicable to awards of subcontracts subject to section forty-four F of Chapter 149 of the General Laws.

The undersigned further certifies under penalties of perjury that this sub-bid is in all respects bona fide, fair and made without collusion or fraud with any other person. As used in this subsection the word “person” shall mean any natural person, joint venture, partnership, corporation or other business or legal entity.
The undersigned further certifies under penalties of perjury that the said undersigned is not presently debarred from doing public construction work in the Commonwealth under the provisions of section twenty-nine F of chapter twenty-nine, or any other applicable debarment provisions of any other chapter of the General Laws or any rule or regulation promulgated thereunder.

Date: _______________________________

__________________________________
(Name of Sub-Bidder)

By: ________________________________

__________________________________
(Title and Name of Person Signing Bid)

__________________________________
(Business Address)

__________________________________
(Business Telephone No.)
BID PACKAGE

PART II

OWNER - CONTRACTOR AGREEMENT

Owner - Contractor Agreement
Exhibit A: Additional Insurance Requirements, if any.
Exhibit B: Forms Used During Contract Award and Execution:
- Payment Bond
- Performance Bond
- Schedule for Participation by Minority/Women Business Enterprises
- Letter of Intent
- Certificate of Corporate Vote
- Certificate of Joint Venture
- Certificate of Compliance with State Tax Laws
- Form of Subcontract

Document ID: __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __
Contractor’s DCAM Certification Number: __ __ __ __ __ __ __ __ __ __ __ __ __ __ __
Contractor’s Vendor Code Number: __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __ __
UNIVERSITY OF MASSACHUSETTS AMHERST

STANDARD VERTICAL CONSTRUCTION CONTRACT
For Projects Over $25,000 Subject to M.G.L. 149, s. 44A -F

OWNER - CONTRACTOR AGREEMENT

Awarding Authority: __________________________________________________________
Department Code:  __  __  __

This agreement ("Contract") is made as of the ___ day of ________, 20___, by and between the Commonwealth of Massachusetts acting by and through the Awarding Authority identified above with a principal place of business at ________________________________
and______________________________, a ______________________________ with a principal place of business at ________________________________
______________________________, ______________________________, hereinafter called the "Contractor".

Terms used in this Owner - Contractor Agreement which are defined in the General Conditions of the Contract shall have the meanings designated therein.

The Awarding Authority and the Contractor agree as follows:
**Article 1. Scope of Work.** The Work under this Contract is defined as all work required by the Contract Documents for the construction of ________________________________.

UMA Number ________________________________,

Project Number ________________________________, in accordance with and as described in the Plans and Specifications dated ____________________, 20___, prepared by ________________________________, (“Designer”), as modified by Addenda Nos. ________________________________ dated ____________________, 20___.

**Article 2. Time for Completion.** The Contractor shall commence the Work under this Contract on the date specified in the written "Notice to Proceed," and shall, within ________________ days after such date, bring the Work to Substantial Completion and to the point at which a Certificate of Agency Use and Occupancy may be issued, and shall bring the Work to Final Acceptance within 30 days after the date specified for Substantial Completion.

**Article 3. Contract Price.** The Awarding Authority shall pay the Contractor, in current funds, for the performance of the Work, subject to additions and deductions by Approved Change Order(s), the Contract Price of ________________________________ dollars ($ ________________________). The Unit Prices, if any, approved by the Awarding Authority are those included in the Contractor's General Bid. The following Alternates have been accepted and their costs are included in the Contract Price:

Alternate No(s): ________________________________

**Article 4. Approved Subcontractors.** The filed Subcontractors listed in the Contractor's General Bid submitted by the Contractor have been approved for the performance of the specified portions of the Work subject to the Commonwealth's verification that they have complied with state corporation and partnership registration laws. No other filed Subcontractors and no non-filed Subcontractors shall be used for these or any other portions of the Work without the prior written approval of the Awarding Authority.

**Article 5. Certifications.** Pursuant to M.G.L. c. 62(c), s.49A, the individual signing this Contract on behalf of the Contractor hereby certifies, under the penalties of perjury, that to the best of his or her knowledge and belief the Contractor has complied with any and all applicable state and federal tax laws. The individual signing this Contract on behalf of the Contractor further certifies under penalties of perjury that the Contractor is not presently debarred from doing public construction work in the Commonwealth under the provisions of M.G.L. c. 29, s. 29F, or any other applicable debarment provisions of any other chapter of the General Laws or any rule or regulation promulgated thereunder and is not presently debarred from doing public construction work by any agency of the United States.
Article 6. The Contract Documents: The following documents from the Contract, are incorporated by reference herein, and are referred to as the "Contract Documents:"

- The Instructions to Bidders
- The General Bid submitted by the Contractor
- This Owner – Contractor Agreement, including Exhibit A, if any.
- The General Conditions of the Contract
  - The Supplementary General Conditions [Note: the term “Supplementary General Conditions” may also refer to Division 1 of the Specifications.]
- The Plans and Specifications, including Addenda identified in Article 1 above
- All Approved Change Orders issued after execution of this Owner - Contractor Agreement

Article 7. Minority Business Enterprise and Women Business Enterprise Participation Goals and Minority/Women Workforce Utilization Percentages: The applicable goals, if any, for minority business enterprise and woman business enterprise participation established for this Contract are as follows:

The combined participation goal for Minority/Women Business Enterprise for this Contract is __________%

The applicable minority workforce utilization percentage, if any is __________.
The applicable women workforce utilization percentage, if any is __________.

The MBE/WBE participation goal must include a reasonable representation of both MBE and WBE firms that meet or exceeds the combined goal. MBE/WBE participation plans that consist solely of either a MBE or WBE representing 100% of the overall combined goals will not be considered reasonable or responsive. Firms submitting MBE/WBE participation plans which do not provide reasonable participation by both MBE/WBE firms shall be provided an opportunity to revise and resubmit their plans within the time frame set by the awarding authority; however, no price adjustments shall be permitted as a result of the revised plan. Firms failing to submit an MBE/WBE participation plan deemed reasonable, and accepted by the awarding authority, shall not be awarded the contract.

Article 8. Liquidated Damages. For the purposes of Article VI of the General Conditions of the Contract, liquidated damages for delay shall be as follows:

$1,000.00 per day

Article 9. Additional Insurance Provisions. The insurance requirements set forth in Article XIV of the General Conditions of the Contract are supplemented by the provisions, if any, appearing in Exhibit A attached hereto and incorporated herein.

In witness whereof, the parties hereto have caused this instrument to be executed in triplicate under seal as of the date set forth above.
CONTRACTOR:

By: _____________________________________________

Name: ___________________________________________

Title: ____________________________________________

Date: ____________________________________________

AWARDING AUTHORITY:

By executing this Agreement, the undersigned authorized signatory of the Awarding Authority, who incurs no personal liability by reason of the execution hereof or anything herein contained, hereby certifies under penalties of perjury that this Contract is executed in accordance with a prior approval of the University of Massachusetts Amherst and further certifies under the penalties of perjury that all the applicable provisions of M.G.L. c. 149, s. 44J, have been complied with.

Application of Executive Orders: This agreement is funded by state appropriation; and, accordingly, the University of Massachusetts is using the State Standard Contract terms and conditions for the purposes of this agreement. Chapter 75 of the Massachusetts General Laws, empowers the Board of Trustees of the University of Massachusetts with the authority to govern and manage its affairs without supervision or subject to the control of any other entity of the Commonwealth unless specifically set forth in the Massachusetts General Laws. Therefore the provisions of the State Executive Orders included in this agreement are not applicable to the University of Massachusetts.

All Contracts

By: _____________________________________________

Name: ___________________________________________

Title: ________Vice Chancellor for Administration & Finance________

Date: ____________________________________________
EXHIBIT A
Additional Insurance Provisions

(Insert provision specifying deductible amounts if any)
Exhibit B

Forms Used During Contract Award and Execution

Payment Bond

Performance Bond

Certificate of Corporate Vote

Certificate of Joint Venture

Certificate of Compliance with State Tax Laws

Form for Subcontract
PAYMENT BOND

Know all men by these presents, that

as principal, and ________________________________

as surety, are held and firmly bound unto the University of Massachusetts Amherst in the sum of

______________________________

in lawful money of the United States of America, to be paid to the University of Massachusetts Amherst, for which payments, well and truly to be made, we bind ourselves, our respective heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

Whereas, the said principal has made a Contract with the University of Massachusetts Amherst ("Awarding Authority")

Bearing date of ______________________________, 20___, for construction of

UMA Number ________________________________

Project Name ________________________________

Now the condition of this obligation is such that if the principal shall pay for all labor performed or furnished and for all materials used or employed in said Contract and in any and all duly authorized modifications, alterations, extensions of time, changes or additions to said Contract that may hereafter be made, notice to the surety of such the foregoing to include any other purpose or items set out in, and to be subject to, provisions of Massachusetts General Laws Chapter 30, section 39A, and Chapter 149 section29, as amended , then this obligation shall become null and void; otherwise it shall remain in full force and virtue.

In witness whereof we hereunto set our hand and seals this ___________ day of

______________________________ , 20__.

______________________________ (Seal) ________________________________ (Seal)

(Print Name of General Contractor) (Print Name of Surety)

By ________________________________ ________________________________

(Signature – Title) (Signature – Title)

Surety Address ________________________________

______________________________
PERFORMANCE BOND

Know all men by these presents, that

as principal, and ________________________________

as surety, are held and firmly bound unto the University of Massachusetts Amherst in the sum of

________________________________________________________________________________________

in lawful money of the United States of America, to be paid to the University of Massachusetts Amherst, for which payments, well and truly to be made, we bind ourselves, our respective heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

Whereas, the said principal has made a Contract with the University of Massachusetts Amherst ("Awarding Authority")

bearing date of __________________________, 20____, for construction of

UMA Number ____________________________________________________________

Project Name ____________________________________________________________

Now the condition of this obligation is such that if the principal shall well and truly keep and perform all the undertakings, covenants, agreements, terms and conditions of said Contract and any extensions thereof that may be granted by the University of Massachusetts Amherst, with or without notice to the surety, and during the life of any guarantee required under the Contract, and shall also well and truly keep and perform all the undertakings, covenants, agreements, terms and conditions of any and all duly authorized modifications, alterations, changes or additions to said Contract that may hereafter be made, notice to the surety of such modifications, alterations, changes or additions being hereby waived, then this obligation shall become null and void; otherwise it shall remain in full force and virtue.

In the event that the Contract is abandoned by the Contractor, or is terminated by the University of Massachusetts Amherst under the provisions of said Contract, said surety shall, if requested in writing by the University of Massachusetts Amherst, take such action is necessary to complete the Contract.

In witness whereof we hereunto set our hand and seals this _____________ day of

______________________________________, 20__.
______________________________ (Seal) __________________________ (Seal)

(Print Name of General Contractor)  (Print Name of Surety)

By _____________________________  __________________________

(Signature – Title)  (Signature – Title)

Surety Address __________________________

______________________________

Countersigned Mass. Resident Agent By: ________________________________

Agent’s Address: ________________________________

Telephone Number: ________________________________
SCHEDULE FOR PARTICIPATION
BY MINORITY/WOMEN BUSINESS ENTERPRISES
UNIVERSITY OF MASSACHUSETTS AMHERST

UMA Number 17-18  Project Location

Project Name

This form must be submitted by the General Contractor within five (5) working days of the opening of the General Bids. A Letter of Intent and SOMWBA certification letter for each M/WBE must be submitted with this Schedule of M/WBE participation.

BIDDER CERTIFICATION:

The undersigned General Contractor firm agrees that it will subcontract with the following listed firms for the work described and for the dollar amounts listed below. For purposes of this commitment, the MBE and WBE designation means that a business has been certified by SOMWBA as either a MBE, WBE or M/WBE. The General Contractor must indicate the MBE/WBE firms it intends to utilize on the project as follows (attach additional sheets if necessary):

<table>
<thead>
<tr>
<th>Company Name &amp; Address</th>
<th>MBE or WBE</th>
<th>Describe MBE/WBE Scopes of Work</th>
<th>Total Dollar Value of Participation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<tr>
<td>8.</td>
<td></td>
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</tbody>
</table>
MBE Goal: $______________  Total Dollar Value of MBE Commitment:
$______________

WBE Goal: $______________  Total Dollar Value of WBE Commitment:
$______________

The undersigned hereby certifies that he/she has read the terms and conditions of the contract with regard to MBE/WBE participation and is authorized to bind the General Contractor to the commitment set forth above.

Name of General Contractor _______________________________________________________

Business Address_______________________________________________________________

Name (print) _________________________________________________________________

Title ________________________________________________________________

Authorized Signature ___________________________________________________________

Telephone No.____________________ Fax No.____________________

Date ______________________________
SCHEDULE FOR PARTICIPATION
BY MINORITY/WOMEN BUSINESS ENTERPRISES
UNIVERSITY OF MASSACHUSETTS AMHERST

UMA Number________ Project Location______________________________________________

Project Name
______________________________________________________________

This form must be submitted by the General Contractor within five (5) working days of the opening of the General Bids. A Letter of Intent and SOMWBA certification letter for each M/WBE must be submitted with this Schedule of M/WBE participation.

BIDDER CERTIFICATION:

The undersigned General Contractor firm agrees that it will subcontract with the following listed firms for the work described and for the dollar amounts listed below. For purposes of this commitment, the MBE and WBE designation means that a business has been certified by SOMWBA as either a MBE, WBE or M/WBE. The General Contractor must indicate the MBE/WBE firms it intends to utilize on the project as follows (attach additional sheets if necessary):

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</tr>
</tbody>
</table>
**MBE/WBE PARTICIPATION**

<table>
<thead>
<tr>
<th>Section/Item Number (if applicable)</th>
<th>Describe MBE/WBE Scopes of Work (clarify “Labor Only”, “Material Only” or “Labor and Material”)</th>
<th>If Supplier, Indicate Total Value of Supplies (10% of total counts toward Participation)</th>
<th>Dollar Value of Participation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total Dollar Value:**

$____________________________________

Name of MBE/WBE Firm________________________________________

Authorized Signature________________________________________

Business Address____________________________________________

Print Name__________________________________________________

______________________________________________________________

Title________________________________________________________

Telephone No________________________ Fax No.____________________

Date________________________________________________________

**Letter of Intent – Revised 10/01**
CERTIFICATE OF CORPORATE VOTE

Date: 20___

I hereby certify that I am the ________________, clerk, ________________, assistant clerk, of

______________________________ (the “Corporation”) and that at a
duly authorized meeting of the Board of Directors of the Corporation held on

______________________________ in __________________________ a which a quorum

(Date) (Location)

was present and voting it was voted to authorize ________________

(Name)

______________________________ of the Corporation to execute

(Officer Title)

and deliver on behalf of the Corporation the following contract and to act as principal to execute bonds
in connection therewith, which contract and bonds were presented to and made a part of the records of
said meeting:

UMA Number ________________

Project Title: ____________________________________________

I further certify that ________________ is duly qualified and acting

(Name of Corporate Officer)

______________________________ of the Corporation and that said vote

(Officer Title)

has not been repealed, rescinded or amended.

______________________________

Name

______________________________

Date

(CORPORATE SEAL)

SUBSCRIBED AND SWORN TO THIS _____ DAY OF __________, 20_____ BEFORE ME

______________________________

Notary Public

My Commission Expires: ________________
CERTIFICATE OF JOINT VENTURE
(INCLUDING SIGNATURE AUTHORITY)

This certificate is being given in connection with the execution by

______________________________________________ (the “Joint Venture”) of the following construction contract with
the University of Massachusetts Amherst:

__________________________________________________________________________________________

__________________________________________________________________________________________

__________________________________________________________________________________________

In connection with the execution of the contract (the “Contract”) the parties to the Joint Venture represent and warrant as follows:

1. Exhibit A attached hereto is a true and complete copy of the Joint Venture Agreement between
   the parties dated __________________. Said Joint Venture Agreement is in full force and effect
   and has not been modified, amended, revoked, or terminated.

2. The principal place of business of the Joint Venture is as follows:
   _______________________________________________________________________________________
   _______________________________________________________________________________________
   _______________________________________________________________________________________

3. The Management Committee of the Joint Venture described in
   Section_____________________________ of the Joint Venture Agreement continues to
   consist of _______________________________________________________________________________
   _______________________________________________________________________________________
   _______________________________________________________________________________________
   who together have the power to bind the Joint Venture and the parties thereto.

4. The Management Committee of the Joint Venture hereby appoints ______________
   _______________________________________________________________________________________
   as an authorized representative of the Joint Venture who
   shall have the power, individually, to execute any and all documents in connection with the
   Contract and whose signature shall be binding upon the Joint Venture. The Management
   Committee may modify or revoke such appointment, and may appoint additional authorized
   representative(s), only with the consent of the Director of Facilities Planning, University of
   Massachusetts Amherst and only by a written document executed by the members of the
   Management Committee.
5. No changes in the Management Committee of the Joint Venture shall be effective without the written consent of the Director of Facilities Planning, University of Massachusetts Amherst.
6. No amendments to the Joint Venture Agreement shall be effective without the written consent of the Director of Facilities Planning, University of Massachusetts Amherst.
7. By executing this certificate

........................................................................................................................................
........................................................................................................................................

acknowledge that they are jointly and severally liable to the University of Massachusetts Amherst for all obligations of the Joint Venture.

This certificate is executed under seal as of the dates set forth opposite the last signature below:

........................................................................................................................................

By: ____________________________________________, a Massachusetts joint venture

principal place of business at ________________________________________________

........................................................................................................................................

By: ____________________________________________

Its: ____________________________________________

Hereunto duly authorized

Date: ____________________________________________

By: ____________________________________________, a Massachusetts corporation having a

principal place of business at ________________________________________________

........................................................................................................................................

By: ____________________________________________

Its: ____________________________________________

Hereunto duly authorized

Date: ____________________________________________

(Note: This certificate may have to be modified depending upon the terms of the joint venture agreement.)
CERTIFICATE OF COMPLIANCE WITH STATE LAWS AND WITH UNEMPLOYMENT COMPENSATION CONTRIBUTION REQUIREMENTS

Pursuant to M.G.L. c. 62C, s. 49A and M.G.L., c. 151A, s. 19A,

I, ________________________________ authorized signatory for
______________________________ whose principal place of business is at
______________________________

______________________________ do hereby certify under penalties of perjury that _____________________________ has filed all
state tax returns and paid all taxes as required by law and has complied with all state laws pertaining to
contributions to the unemployment compensation fund and to payments in lieu of contributions.

The Business Organization Social Security Number or Federal Identification Number is

______________________________.

Signed under the penalties of perjury the _____________ day of _____________, 20____.

Signature: ________________________________

Name: ________________________________

Title: ________________________________
CERTIFICATE OF COMPLIANCE WITH EMPLOYMENT ELIGIBILITY VERIFICATION REQUIREMENTS (I-9 CERTIFICATE)

Applicable to all UMA Construction Projects
To Be Executed by GC/CMGC/All Subcontractors

Company Name: ___________________________________________

I, _______________________________________________________, authorized signatory for
( Print Name)

Company whose principal place of business is at
_________________________________________________________

(Address)

do hereby certify under penalties of perjury that Company shall comply with Federal Department of Homeland Security Requirements in hiring any and all “Employees” to be employed in the Project who are required to be listed in the certified payroll reports for the Project. Such compliance shall include, but not be limited to the faithful completion of the Federal Department of Homeland Security Form I-9 process by company for each of its Employees. Company shall require each of its subcontractors to execute and provide to Company a Certificate of Compliance with Employment Eligibility Verification Requirements (I-9 Certificate) with the execution of each subcontract, and Company shall forward a copy of each such I-9 Certificate to the General Contractor for filing with the University of Massachusetts Amherst. In addition, Company is aware that the weekly workforce report form contained in the contract documents, which must be submitted by the Company on a weekly basis, contains a statement that the Form I-9 process was faithfully completed for all employees listed on the weekly certified payroll report. Company therefore acknowledges that the Company and all of its subcontractors will be required to certify that the Form I-9 process was faithfully completed for all Employees listed on each certified payroll report when submitted.

By the signature of the Contractor’s Authorized Signatory below, the contractor certifies under the pains and penalties of perjury that the Contractor shall not knowingly use undocumented workers in connection with the performance of this contract; that pursuant to federal requirements, the Contractor shall verify the immigration status of all workers assigned to the contract without engaging in unlawful discrimination; and that the Contractor shall not knowingly or recklessly alter, falsify, or accept altered or falsified documents from any such worker. The Contractor understands and agrees that breach of any of these terms during the period of a contract may be regarded as a material breach, subjecting the Contractor to sanctions, including but not limited to monetary penalties, withholding of payments, contract suspension or termination.

UMA Project Number: ______________________  Project Number: ______________________

Project Title: ________________________________________________________________

The Company Social Security No. or Federal Identification No. is: ______________________

Signed under pains and penalties of perjury the _________ day of ____________, 20_____

Signature: ________________________________________________________________

Name and Title: _____________________________________________________________
THIS AGREEMENT made this _______________ day of ___________ 20___, by and between

_____________________________________________________________________________

a corporation organized and existing under the law of ____________________________

a partnership consisting of ____________________________________________________

an individual doing business as ________________________________________________

hereinafter called the “Contractor” and __________________________________________

_____________________________________________________________________________

a corporation organized and existing under the law of ____________________________

a partnership consisting of ____________________________________________________

an individual doing business as ________________________________________________

hereinafter called the “Subcontractor”.

WITNESSETH that the Contractor and the Subcontractor for the considerations hereafter named, agree as follows:

1. The Subcontractor agrees to furnish all labor and materials required for the completion of all work specified in Section No. ______________________________

   of the Specifications for ________________________________________________

   (Name of Sub-trade)

   and the Plans referred to therein and addenda No. ______, _______, ______, and

   __________ for the ____________________________________________________________

   ____________________________________________________________

   (complete title of the project and project no. taken from the title page of the Specifications)
all as prepared by ______________________________

(Name of Architect or Engineer)

for the sum of ________________________________ ($______________)

and the Contractor agrees to pay the Subcontractor said sum for said work. This price includes the following alternates (and other items set forth in the sub-bid):

Alternate No(s) __________, __________, __________, __________, __________, __________, __________, __________, __________, __________, __________.

(a) The Subcontractor agrees to be bound to the Contractor by the terms of the hereinbefore described Plans, Specifications (including all general conditions stated herein) and addenda No. __________, __________, __________, and __________, and to assume to the Contractor all the obligations and responsibilities that the Contractor by those documents assumes to the ____________ hereinafter called the “Awarding Authority”, except to the extent that provisions contained herein are by their terms or by law applicable only to the Contractor.

(b) The contractor agrees to be bound to the Subcontractor by the terms of the hereinbefore described documents and to assume to the Subcontractor all the obligations and responsibilities that the Awarding Authority by the terms of the hereinbefore described documents assumes to the Contractor, except to the extent that provisions contained therein are by their terms or by law applicable only to the Awarding Authority.

2. The Contractor agrees to begin, prosecute and complete the entire work specified by the Awarding Authority in an orderly manner so that the Subcontractor will be able to begin, prosecute and complete the work described in this subcontract; and, in consideration thereof, upon notice from the contractor, either oral or in writing, the Subcontractor agrees to begin, prosecute and complete the work described in this Subcontract in an orderly manner and with due consideration to the date or time specified by the Awarding Authority for the completion of the entire work.

3. The Subcontractor agrees to furnish to the contractor with a reasonable time after the execution of this subcontract, evidence of workers’ compensation insurance as required by law and evidence of public liability and property damage insurance of the type and in limits required to be furnished to the Awarding Authority by the Contractor.

4. The Contractor agrees that no claim for services rendered or materials furnished by the Contractor to the Subcontractor shall be valid unless written notice thereof is given by the Contractor to the Subcontractor during the first ten (10) days of the calendar month following that in which the claim originated.

5. This agreement is contingent upon the execution of a general Contract between the Contractor and the Awarding Authority for the complete work.
IN WITNESS WHEREOF, the parties hereto have executed this agreement the day and year first above-written.

SEAL ATTEST

__________________________  ____________________________

(Name of Subcontractor)

By: __________________________

SEAL ATTEST

__________________________  ____________________________

(Name of Contractor)

By: __________________________

__________________________

(City and State)
BID PACKAGE

PART III

GENERAL CONDITIONS OF THE CONTRACT

General Conditions of the Contract
Appendix A: -- Equal Employment Opportunity, Non-Discrimination and Affirmative Action Program
Appendix B: -- Goals for Participation by Minority Business Enterprises and Women Business Enterprises
Appendix C: -- Commonly Used Forms
  Procedure for Payment to Contractors
  Daily Time and Material Report for Change Orders
  Notice of Intent
  Request and Agreement for a Change in the Plans, Specifications and/or Contract (UMA Form 5)
  Instructions Regarding Change Orders and Contract Modifications (DCAM Form 13)
  Contractor's Weekly Workforce Report
  Minorities/Women in Contractor's Weekly Workforce Report
  Weekly Payroll Report Form and Statement of Compliance
  Quarterly Projected Workforce Table
  Certification of Payment by Contractor to MBE/WBE and Instructions
  Certificate of Completion by Minority/Women Business Enterprise
  Form for Transfer of Title (Work Not Incorporated, UMA Form 16)
  Certificate of Agency Use and Occupancy – E-1
  Certificate of Final Inspection, Release and Acceptance – E-2
  Form ST-5C

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UNIVERSITY OF MASSACHUSETTS AMHERST
STANDARD VERTICAL CONSTRUCTION CONTRACT
For Projects over $100,000 Subject to M.G.L. c. 149, s. 44A-F

GENERAL CONDITIONS OF THE CONTRACT

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Instructions Regarding Change Orders and Contract Modifications (DCAM Form 13)
Daily Time and Material Report for Change Orders
Request and Agreement for a Change in the Plans,
Specifications and/or Contract (DCAM Form 5)
Notice of Intent
Contractor’s Weekly Workforce Report
Minorities/Women in Contractor’s Weekly Workforce Report
Weekly Payroll Report Form and Statement of Compliance
Quarterly Projected Workforce Table
Certification of Payment by Contractor to MBE/WBE and Instructions
Certificate of Completion by Minority/Women Business Enterprise
Form for Transfer of Title (Work Not Incorporated, DCAM Form 16)
Certificate of Agency Use and Occupancy -E-1
Certificate of Final Inspection, Release and Acceptance - E-2
ARTICLE I: DEFINITION OF TERMS

The following words shall have the following meanings as used in this Contract:

**Advertisement:** The Advertisement or Notice Inviting Bids or Proposals for the Work identified in Article 6 of the Owner - Contractor Agreement.

**Approval:** (or Approved): An approval in writing signed by the authorized signatory of the Awarding Authority.

**Architect:** The architect identified as the Designer in Article 1 of the Owner - Contractor Agreement.

**As directed (As permitted, as required, as determined or words of like effect):** The direction, permission, requirement or determination of the Designer or the Awarding Authority. Similarly, approved, acceptable, satisfactory or words of like import shall mean approved by or acceptable or satisfactory to the Designer, except as may be otherwise determined by the Awarding Authority.

**Awarding Authority:** The public agency awarding and administering this Contract identified as the Awarding Authority in the Owner - Contractor Agreement. Where the Awarding Authority is an agency of the Commonwealth, references to the Awarding Authority shall also include the Commonwealth and its agencies.

**Building Code:** All applicable rules and regulations to which the Awarding Authority is subject and which are contained or referenced in the code authorized by M.G.L. c. 143, s. 93 et seq., including all amendments thereto.

**Certificate of Agency Use and Occupancy:** A certificate signed by the Designer and the Awarding Authority pursuant to the requirements of Article VI of these General Conditions of the Contract, indicating that the Awarding Authority has determined that (1) the Work has been completed in accordance with the Contract Documents, except for Punch List items, (2) certificates of inspection, testing and/or approval (including a certificate of occupancy under the Building Code), operating permits for any mechanical apparatus which may be required to permit full use and occupancy of the Work by its intended users (which in a Subcontractor’s case may include the Contractor) have been delivered to the Awarding Authority, (3) any applicable written warranties, operating instructions and related materials have been delivered to the Awarding Authority, and (4) the Work may be used for its intended purpose without substantial inconvenience or interference.

**Change Order:** (1) A written order not requiring the consent of the Contractor, signed by the Project Manager and designated as a Change Order, directing the Contractor to make changes in the Work within the general scope of the Contract, or (2) any written or oral order from the Project Manager that causes any change in the Work, provided that the Contractor has given the Awarding Authority written notice stating the date, circumstances, and source of the order and that the Contractor regards the order as a Change Order.

**Contract:** The Contract formed by the Contract Documents as defined in Article 6 of the Owner - Contractor Agreement.

**Contract Documents:** The documents listed in Article 6 of the Owner - Contractor Agreement.
**Contract Modification:** Any alteration of the Contract Documents accomplished by a written agreement properly executed by the parties to this Contract.

**Contract Price:** The Contract Price stated in Article 3 of the Owner - Contractor Agreement which is the total sum owed to the Contractor for all of the Work.

**Days:** Represents calendar days, excluding weekend and holidays, unless otherwise specified.

**DCAM:** The Division of Capital Asset Management and Maintenance of the Commonwealth of Massachusetts.

**Designer:** The architect or engineer identified as the Designer in Article 1 of the Owner - Contractor Agreement, subject to the provisions of Article III, Section 1 of these General Conditions of the Contract.

**N/A**

**Dispute Review Board:** A panel of three experienced impartial reviewers organized and agreed upon by the Owner and Contractor. The Board members are provided with plans and specifications, become familiar with project procedures and participants and meet on the job site regularly to encourage the resolution of disputes at the job level and renders non-binding recommendations on the resolution of the dispute.

**Engineer:** The Designer, except that the term "Resident Engineer" shall have the meaning otherwise specified herein.

**Drawings:** The Drawings are the graphic and pictorial portions of the Contract Documents, wherever located and whenever issued, showing the design, location and dimensions of the Work, generally including Plans, elevations, sections, details, schedules, and diagrams.

**Final Acceptance:** The written determination by the Designer and by the Awarding Authority that the Work has been 100% completed, except for the Contractor's indemnification obligations, warranty obligations, obligations to continue to maintain insurance coverage for the time periods provided in the Contract Documents, and any other obligations which are intended to survive Final Acceptance and/or the termination of the Contract.

**General Bid:** The completed bid form submitted by the Contractor in accordance with the requirements of M.G.L. c. 149.

**Laws:** All applicable statutes, regulations, ordinances, codes, laws, orders, decrees, approvals, certificates and requirements of governmental and quasi-governmental authorities.

**Neutral:** An impartial third party not having an interest in the Owner, the Designer, the Contractor or the Project.

**Notice to Proceed:** The written notice provided by the Awarding Authority to the Contractor which authorizes the Contractor to commence the Work as of a date specified therein, from which date the time of completion specified in Article 2 of the Owner - Contractor Agreement is measured.

**Or equal (or words of like import):** Equal in the opinion of the Awarding Authority determined pursuant to the provisions of M.G.L. c.30, s. 39M and the provisions of these General Conditions of the Contract.
Owner: The University of Massachusetts Amherst, or other instrumentality that will own the Work, including but not limited to the following: UMBA and the Commonwealth.

Plan(s): Drawing(s).

Product Data: Product Data are illustrations, standard schedules, performance charts, instructions, brochures, diagrams and other information furnished by the Contractor or its Subcontractors and suppliers to illustrate materials or equipment for some portion of the Work. Product data also include any such information or instructions produced by the manufacturer or distributor of such materials or equipment and made readily available by said manufacturer or distributor.

Progress Schedule: The progress schedule Approved by the Designer and the Awarding Authority in accordance with Article VI of these General Conditions of the Contract.

Project: The Project is the total construction of which the Work performed under the Contract Documents may be the whole or a part and which may include construction by the Owner or by separate contractors.

Project Manager: The Awarding Authority’s representative assigned to the Project.

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Punch List: A list of items determined by the Awarding Authority to be minor incomplete or unsatisfactory work items that do not materially impair the usefulness of the Work for its intended purpose.

Resident Engineer: The on-Site representative of the Awarding Authority.

Samples: Samples are physical examples that illustrate materials, equipment, or workmanship and establish standards by which the Work will be judged.

Schedule of Values: The schedule Approved by the Awarding Authority pursuant to Article VIII of these General Conditions of the Contract which allocates the Contract Price to the various portions of the Work and is used as a basis for payments to the Contractor.

Shop Drawings: Drawings, diagrams, details, schedules, and other data specially prepared for the Work by the Contractor or a Subcontractor, Sub-subcontractor, manufacturer, supplier, or distributor to illustrate a portion of the Work.

Site: The land and, if any, building(s) or space within any such building(s) on which or in which the Contractor is to perform the Work.

Specifications: The Specifications are that portion of the Contract Documents consisting of the written requirements for materials, equipment, construction systems, standards, and workmanship for the Work and performance of related services.

Subcontractor: Person or entity with whom the Contractor contracts in order to perform the Work, except as otherwise specifically provided or required herein or by Law.

Substantial Completion: For work subject to M.G.L. c. 30 s. 39K, "substantial completion" shall occur when (1) the Contractor fully completes the Work or substantially completes the Work so that the value of the Work remaining to be done is, in the estimate of the Awarding Authority, less than one percent of the original contract price, or (2) the Contractor substantially completes the work and the Awarding Authority takes possession for occupancy, whichever
occurs first. For work subject to M.G.L. c. 30 s. 39G "substantial completion" shall mean either that the work required by the Contract has been fully completed, completed except for work having a Contract Price of less than one percent of the then adjusted total Contract Price, or substantially all of the Work has been completed and opened to public use except for minor incomplete or unsatisfactory work items that do not materially impair the usefulness of the Work.

**Superintendent:** The licensed construction supervisor who is an employee of the Contractor designated to be in full-time attendance at the Site throughout the prosecution and progress of the Work and who shall have complete authority to act for the Contractor.

**User Agency:** The department, county, commission, board, agency or other instrumentality of the Commonwealth of Massachusetts or political subdivision thereof which operates or which will operate the facility at which the Work is undertaken or which comprises the completed Work.

**Work:** The Work defined in Article 1 of the Owner - Contractor Agreement, Article II, Section 2 of these General Conditions of the Contract and otherwise in the Contract Documents.

**Working Hours:** 7:00 a.m. to 5:00 p.m., but not more than eight hours per day, Monday through Friday, unless otherwise specified by applicable Laws.

All terms that this Contract defines may be used with or without initial capital letters. Other terms, abbreviations and references are defined as they appear herein. Words and abbreviations that are not defined in the Contract Documents but which have recognized technical or trade meanings are used in accordance with those meanings. For additional definitions of terms, abbreviations and references refer to the *Supplementary General Conditions, or Specifications.*

**ARTICLE II: EXECUTION OF THE CONTRACT, SCOPE OF WORK, INTERPRETATION OF CONTRACT DOCUMENTS**

1. **Execution.**
   The execution of the Owner – Contractor Agreement by the Contractor is a representation that the Contractor has visited the Site, has become familiar with local conditions under which the Work is to be performed and has correlated personal observations with requirements of the Contract Documents.

2. **Scope of Work.**
   The Work consists of the Work identified in the Contract Documents. The Work comprises the completed construction required by the Contract Documents and includes all labor, tools, materials, supplies, equipment, permits, approvals, paperwork, calculations, submittals, and certificates necessary to develop, construct and complete the Work in accordance with all Laws, and all construction and other services required to be supervised, overseen, performed or furnished by Contractor or that the Contract Documents require the Contractor to cause to be
supervised, overseen, performed or furnished. The Contractor shall provide and perform for the Contract Price all of the duties and obligations set forth in the Contract Documents.

3. Interpretation.
   A. The Plans and Specifications and other Contract Documents are to be considered together and are intended to be mutually complementary, so that any work shown on the Plans though not specified in the Specifications, and any work specified in the Specifications though not shown on the Plans, is to be executed by the Contractor as a part of this Contract.
   B. All things that in the opinion of the Designer may be reasonably inferred from the Plans, Specifications and other Contract Documents are to be executed by the Contractor. The Designer shall determine whether the detail Plans conform to the general Plans and Contract Documents, except as may be otherwise determined by the Awarding Authority.
   C. The tables of contents, titles, headings and marginal notes or sub-scripts contained herein are solely to facilitate references, are not intended to be construed as provisions of the Contract, and in no way affect the interpretation of the provisions to which they refer.
   D. Where reference is made in the Contract Documents to publications, standards, or codes issued by associations or societies, such reference shall be interpreted to mean the current edition of such publications, standards, or codes, including revisions in effect on the date of the Advertisement, notwithstanding any reference to a particular date. The foregoing sentence shall not apply to the dates, if any, specified with respect to insurance policy endorsement forms.
   E. In case of any conflict among the Contract Documents, unless the context clearly otherwise requires, the Contract Documents shall be construed according to the following priorities:
      First Priority: Contract Modifications
      Second Priority: Owner - Contractor Agreement
      Third Priority: General Conditions of the Contract
      Fourth Priority: Drawings and Specifications – the most stringent shall apply

4. Distribution of Work.
The distribution of the Work is intended to be described under the appropriate trades and, except for filed sub-bid work, may be redistributed, except as directed herein, provided that such redistribution shall cause no controversy among the trades and no delay in the progress of the Work.

The Contract Price constitutes full compensation to the Contractor for everything to be performed and furnished in connection with the Work and for all damages arising out of the performance of the Work and/or the action of the elements, and constitutes the maximum compensation regardless of any difficulty incurred by the Contractor in connection with the Work or in consequence of any suspension or discontinuance of the Work.
ARTICLE III: CONTROL OF WORK / ADMINISTRATION OF THE CONTRACT

1. **Designer.**
Notwithstanding anything to the contrary expressed or implied in this Contract, any of the powers, rights, and duties of the Designer may be exercised by the Awarding Authority, provided that the Awarding Authority shall be under no obligation to do so. The Awarding Authority may rely on the Designer for the performance and exercise of its rights and obligations hereunder and shall be presumed to so rely on the Designer in the absence of an explicit written assumption by the Awarding Authority of any such rights and obligations, except that any Approval required to be obtained from the Awarding Authority hereunder shall not be valid without the signature of the Awarding Authority. The Awarding Authority may explicitly overrule in writing any action, determination or decision of the Designer should the Awarding Authority choose to do so, except to the extent that the same would violate applicable law. Subject to the foregoing, the Designer shall be responsible for the general administration of the Contract and shall perform the duties and exercise the rights herein conferred on the Designer. Except as otherwise specifically provided herein, the Designer shall decide all questions which may arise as to the conduct, quantity, quality, equality, acceptability, fitness, and rate of progress of the several kinds of work and materials to be performed and furnished under this Contract, and shall decide all questions which may arise as to the interpretation of the Plans and Specifications and as to the fulfillment of this Contract on the part of the Contractor. In the case of the death, resignation, inability or refusal of the Designer to act, or the termination of his or her or its employment, the Awarding Authority may appoint another person to act as Designer for the purposes of this Contract. The Awarding Authority shall give written notice to the Contractor of any such appointment.

2. **Right of Access to Work.**
The Awarding Authority, the User Agency and the Designer (and persons designated by them) may for any purpose enter upon the Work, the Site, and premises used by the Contractor, and the Contractor shall provide safe facilities therefore. Other contractors of the Awarding Authority may also enter upon the same for the purposes which may be required by their contracts or work. Any differences or conflicts which may arise between the Contractor and other contractors of the Awarding Authority with respect to their work shall be initially resolved by the Designer.

3. **Inspection No Waiver.**
No inspection by the Awarding Authority or the Designer or employees or agents of either of them, and no order, measurement, certificate, approval, payment order, payment, acceptance or any other action or inaction of any of them, shall operate as a waiver by the Awarding Authority of any provision of this Contract.
ARTICLE IV: GENERAL PERFORMANCE OBLIGATIONS OF THE CONTRACTOR

The Contractor shall complete for the Contract Price all of the Work in a proper, thorough, and workmanlike manner in accordance with the Contract Documents. Without limiting the foregoing and without limiting the Contractor’s obligations under any other provision of the Contract Documents, the Contractor shall for the Contract Price perform the following general obligations:

   A. Before commencing the Work, the Contractor shall carefully study the Contract Documents and carefully compare all Specifications, Plans, Drawings, figures, dimensions, lines, marks, scales, directions of the Designer, and any other information provided by the Awarding Authority and shall at once report to the Designer any questions, errors, inconsistencies, or omissions.
   B. Before commencing the Work, the Contractor shall take field measurements and verify field conditions and shall carefully compare such field measurements and conditions and other information known to the Contractor with the Contract Documents and shall at once report to the Designer any questions, errors, inconsistencies, or omissions.

2. Supervision and Construction Procedures; Coordination; Cutting, and Patching.
   A. The Contractor shall supervise and direct the Work, using the Contractor’s best skill and attention. The Contractor shall be solely responsible for, and shall have control over, construction means, methods, techniques, sequences and procedures, and shall be responsible for coordinating all portions of the Work under the Contract.
   B. The Contractor shall be responsible for the proper fitting of all Work and the coordination of the operations of all trades, Subcontractors, and material men engaged upon the Work. The Contractor shall guarantee to each of its Subcontractors all dimensions which they may require for the fitting of their work to all surrounding work.
   C. All necessary cutting, coring, drilling, grouting, and patching required to fit together the several parts of the Work shall be done by the Contractor, except as may be specifically noted otherwise under any particular filed sub-bid section of the Specifications.
   D. The Contractor shall be responsible to the Awarding Authority for the acts and omissions of the Contractor's employees, agents and Subcontractors, and their agents and respective contractors employees, and other persons performing portions of the Work or supplying materials therefore.
   E. The Contractor shall be responsible for the inspection of portions of the Work already performed under this Contract to determine that such portions are in proper condition to receive subsequent Work.
   F. The Contractor shall employ a registered land surveyor to perform any engineering required for establishing grades, lines, levels, dimensions, layouts, and reference points for the trades. The Contractor shall be responsible for maintaining benchmarks and other survey marks and shall replace any benchmarks or survey marks that may have become disturbed or destroyed. The Contractor shall verify the materials shown on the Drawings before laying out the Work and shall be responsible for any error resulting from its failure to exercise this precaution.
G. Unless otherwise required by the Supplementary General Conditions or the Plans and Specifications, or directed in writing by the Designer, Work shall be performed during regular Working Hours. However, if the Contractor desires to carry on the Work outside of regular Working Hours or on Saturdays, Sundays, or Massachusetts or federal holidays then the Contractor shall allow ample time to allow satisfactory arrangements to be made for inspecting Work in progress and shall bear the costs of such inspection. The Awarding Authority shall bill the Contractor directly for such costs.

H. Work performed outside of regular Working Hours without the consent or knowledge of the Designer and/or the Awarding Authority shall be subject to additional inspection and testing as directed by the Designer. The cost of this inspection and testing shall be borne by the Contractor whether the Work is found to be acceptable or not. The Awarding Authority at its election shall be entitled either to issue a credit Change Order to cover such cost or to withhold such cost from any further payments due the Contractor and/or to receive a payment from the Contractor of the amount of such cost.

3. Superintendent.

A. The Contractor shall employ a Superintendent whose appointment shall be subject to the Approval of the Awarding Authority. The Superintendent shall be in attendance at the Site full-time during the performance of the Work. The Superintendent shall represent the Contractor. Communications given to and from the Superintendent shall be deemed given to and from the Contractor. Important communications shall be confirmed in writing. Other communications shall be similarly confirmed upon written request in each case. The Superintendent shall attend each job meeting. The Superintendent shall be responsible for coordinating all of the Work of the Contractor and the Subcontractors.

B. The Superintendent shall be a competent employee regularly employed by the Contractor. The Superintendent shall be licensed in accordance with the Building Code and shall have satisfactorily performed similar duties on previous construction projects similar in type, complexity and scale to the Project. The Superintendent's resume shall be submitted to the Awarding Authority prior to commencement of construction together with such other information as the Awarding Authority may reasonably require in order to determine whether or not to Approve of his or her appointment. Any change in the Superintendent shall require the prior consent of the Awarding Authority. The Contractor shall establish an emergency telephone line by which the Awarding Authority, the Designer, or their respective agents may contact the Superintendent during non-working hours.

4. Labor.

A. The Contractor shall employ only competent workers. The Contractor shall enforce strict discipline and good order among the Contractor's employees and other persons carrying out the Work. The Contractor shall certify and insure that all employees to be employed at the worksite will have successfully completed a course in construction safety and health approved by the United States Occupational Safety and Health Administration that is at least 10 hours in duration at the time the employee begins work and the Contractor and each of its subcontractors and others working on the Project shall furnish documentation of successful completion of said course by employees working with the first certified payroll report for each employee. The
Contractor shall not permit employment of unfit persons or persons not skilled in tasks assigned to them. Whenever the Designer shall notify the Contractor in writing that any worker is, in the Designer's opinion, incompetent, unfaithful, disorderly, or otherwise unsatisfactory, such employee shall be discharged from the Work and shall not again be employed on the Project except with the consent of the Designer.

B. The Contractor shall employ a sufficient number of workers to carry on the Work with all proper speed in accordance with Laws, the requirements of the Contract Documents, and the Progress Schedule.

C. The Contractor shall procure materials from such sources and shall manage its own forces and the forces of its Subcontractors and any sub-subcontractors in such a manner as will result in harmonious labor relations on the Project Site. If union and nonunion workers are employed to perform any part of the Work, the Contractor shall establish and maintain separate entrances to the Site for the use of union and nonunion workers. The Contractor shall cause persons to be employed in the Work who will work in harmony with others so employed. Should the Work be stopped or materially delayed in the Awarding Authority's reasonable judgment due to a labor dispute, the Awarding Authority shall have the right to require the Contractor to employ substitutes acceptable to the Awarding Authority.


A. The Contractor at its sole cost shall take out and pay for all approvals, permits, certificates and licenses required by Laws, pay all charges and fees, and pay for (or cause the appropriate Subcontractor to pay for) all utilities required for the proper execution of the Work.

B. The Contractor shall comply with all Laws and shall give all notices required thereby.

C. Except as otherwise specified in this Contract, it is not the Contractor's responsibility to ascertain that the Contract Documents are in accordance with applicable Laws. However, if the Contractor observes that portions of the Contract Documents are at variance with the requirements of Laws, the Contractor shall promptly notify the Designer and Awarding Authority in writing, and necessary changes shall be accomplished by an appropriate Contract Modification.

D. If the Contractor performs Work knowing it to be contrary to Laws without giving such notice to the Designer and Awarding Authority, the Contractor shall bear full responsibility for such Work and all costs attributable thereto, including, without limitation, corrections to the Work.

6. Lines, Marks etc.
The Contractor shall furnish batter boards and stakes and shall cause to be placed and maintained thereon so as to be easily read, such lines, marks and directions relating to the Work as the Designer shall from time to time direct. The Designer shall establish base lines and benchmarks on the Drawings for the locations of the Work but all other lines and grades shall be determined by the Contractor.
7. **Excavation.**
The Contractor shall prevent by sheeting and shoring or bracing, if necessary, any caving or bulging of the sides of any excavation made by the Contractor, leaving sheeting and shoring in place, or if any is removed, filling solid the spaces left thereby.

8. **Dewatering/Hoisting/Staging.**
The Contractor shall provide pumping, drainage, and disposal of all water and other flows so that no puddle, nuisance, or damage will be caused by water or flooding. The Contractor shall provide all hoisting equipment and machinery required for the proper execution of the Work. The Contractor shall provide all exterior and interior staging required to be over eight feet in height, except as may be otherwise provided in the Contract Documents.

9. **Corrections to the Work; Inspection No Bar to Subsequent Corrections.**
The Designer's inspection of the Work shall not relieve the Contractor of its responsibilities to fulfill the Contract obligations. Defective work may be rejected by the Designer whether or not such work and/or materials have been previously overlooked or misjudged by the Designer and accepted for payment. If the Work or any part thereof shall be found defective at any time before the Final Acceptance of the whole Work, the Contractor shall forthwith cease the performance of any defective work in progress and, whether or not such work is still in progress, shall forthwith correct such defect in a manner satisfactory to the Designer. If any material brought upon the Site for use in the Work, or selected for the same, shall be rejected by the Designer as unsuitable or not in conformity with the Contract Documents, or as damaged by casualty or deteriorated due to improper storage at the Site or to any other factor, the Contractor shall forthwith remove such materials from the Site. The Contractor shall pay for the cost of making good all work or property of other contractors or of the Owner destroyed or damaged by such removal or replacement; repair any injury, defect, omission or mistake in the Work as soon as it is discovered; finish and immediately make good any defect, omission or mistake in the Work; and complete and leave the Work in perfect condition.

10. **Sanitary Facilities.**
Except as otherwise specified in the Supplementary General Conditions or Specifications, the Contractor shall provide and maintain sanitary facilities for all persons employed on the Work, beginning with the first worker at the Site. Said facilities shall meet the following requirements unless otherwise specified in the Supplementary General Conditions or Specifications.

   A. There shall be no fewer facilities than the number required by applicable Laws;
   B. Facilities shall be kept in a clean sanitary condition at all times and shall be adequately screened to be inaccessible to flies.

(Note: If existing sanitary facilities at the Site are to be used by the Contractor, this requirement will be modified accordingly in the Supplementary General Conditions or Specifications.)
11. **Contract Documents and Samples at the Site.**
A reasonable number of sets of Contract Documents, as defined by the Awarding Authority, will be furnished to the Contractor by the Awarding Authority immediately after signing of the Contract, one of which shall be maintained at the Site for reference by authorized representatives of the Awarding Authority. The Contractor shall maintain at the Site for the use and information of the Awarding Authority one record copy of the Drawings, Specifications, Addenda, Change Orders, Approved Shop Drawings, Product Data, Samples, updated Progress Schedule, and all other submittals, all in good order and marked currently to record changes and selections made during construction. These shall be available to the Designer and the Awarding Authority and shall be delivered to the Designer for submittal to the Awarding Authority upon completion of the Work.

12. **Telephones.**
The Contractor shall provide and maintain separate individual telephone service and pay for all calls relating to the Work. Service and equipment shall meet the requirements, if any, of the Supplementary General Conditions and Specifications and shall include provisions for incoming and outgoing calls: (1) in the Contractor’s field office for the use of its authorized agents and (2) in the Resident Engineer's office for the use of the Designer and authorized agents of the Owner.
13. **Health, Safety, and Accident Prevention**

A. In performing the Work, the Contractor shall:

1. Ensure that no laborer or mechanic shall be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to his/her health and/or safety as determined under construction safety and health standards promulgated by the U.S. Secretary of Labor by regulation;

2. Protect the lives, health, and safety of other persons; and

3. Prevent damage to property, materials, supplies, and equipment.

B. For these purposes, the Contractor shall:

1. Comply with 84 Stat. 1590, the "Occupational Safety and Health Act of 1970" (OSHA) and with regulations and standards issued by the U.S. Secretary of Labor at 29 CFR Part 1926; and

2. Include the terms of this Section 14 in every subcontract so that such terms will be binding on each subcontractor.

3. Designate by notice to the Awarding Authority a responsible member of its organization at the Site whose duties shall include ensuring safety, implementation of Contractor’s Safety Plan referenced below and preventing accidents.

C. The Contractor shall maintain an accurate record of exposure data on all accidents incident to the Work resulting in death, traumatic injury, occupational disease, or damage to property, materials, supplies, or equipment, and shall report this data in the manner prescribed by 29 CFR Part 1904. Without limiting the foregoing, the Contractor shall submit to the Awarding Authority without delay verbal and written reports of all accidents involving bodily injury or property damage arising in connection with the Work.

D. In any emergency affecting the safety of persons or property the Contractor shall immediately act in the exercise of reasonable judgment to prevent threatened damage, injury, or loss. The Contractor shall immediately notify the Awarding Authority of such emergency.

E. The Contractor shall be responsible for its Subcontractors’ compliance with the provisions of this Section 14.

F. Before commencing any portion of the Work the Contractor shall submit a written Project-specific plan for implementing this Section 14. The plan shall include an analysis of the significant hazards to life, limb and property inherent in the performance of the Work and a plan for controlling these hazards.

G. Without limiting the foregoing provisions of this Section 14, the Contractor shall comply with all health and safety Laws applicable to the Work. Without limitation,

1. If the Contractor uses, stores or encounters toxic or hazardous substances it shall comply with M.G.L. c. 111F, s. 2, the "Right to Know" law and regulations promulgated by the Department of Public Health, 105 CMR 670, the Department of Environmental Protection, 310 CMR 33, and the Department of Labor and Workforce Development, 441 CMR 21; and shall post a Workplace Notice obtainable from the Department of Labor and Workforce Development.

2. The Contractor shall comply with the Federal Resource Conservation and Recovery Act, the Federal Comprehensive Environmental Response, Compensation and Liability Act, M.G.L. c. 21C, M.G. L. c. 21E, and any other Laws affecting toxic or
hazardous materials, solid, special or hazardous waste (collectively "Hazardous Materials Laws"). Should the Contractor discover unforeseen materials subject to Hazardous Materials Laws at the Site, the Contractor shall immediately comply with any and all requirements for dealing with such materials and notify all required governmental authorities and the Awarding Authority of such discovery.

(3) The Contractor shall be responsible for the location of all utilities in connection with the Work. Without limiting the foregoing, the Contractor shall comply with Dig-Safe Laws. Dig-Safe is the Utility Underground Plant Damage Prevention System, 331 Montvale Road, Woburn, MA, 01801, 1-888-344-7233. The Contractor shall notify Dig-Safe of contemplated excavation, demolition, or explosive work in public or private ways, and in any utility company right of way or easement, by calling 811 or online at http://www.digsafe.com.

(4) The Contractor shall comply with M.G.L. c. 149, s. 129A, relative to shoring and bracing of trenches.

H. Without limiting the Contractor’s responsibilities described above, the Contractor shall take all reasonable precautions for the safety of, and the prevention of injury or damage to (1) all agents and employees and contractors on the Work and all other persons who may be affected thereby including the general public, (2) all the Work and all materials and equipment to be incorporated therein, whether in storage on or off the Site, under the care custody or control of the Contractor or any of its Subcontractors or any contractors directly or indirectly contracting through any of them, and (3) other property at the Site or adjacent thereto, including but not limited to trees, shrubs, lawns, walks, pavements, roadways, structures and utilities not designated for removal, relocation or replacement in the course of the Work. The Contractor shall promptly remedy all damage or loss to any such property caused in whole or in part by the Contractor, any Subcontractor, or anyone directly or indirectly contracted or employed by any of them or by anyone for whose acts any of them may be liable. Without limiting the foregoing, the Contractor shall:

(1) post and maintain adequate danger signs and other warnings against hazards;
(2) promulgate safety regulations and give appropriate notices to the Awarding Authority and users of adjacent utilities and property;
(3) insure the adequate strength and safety of all scaffolding, staging and hoisting equipment, temporary shoring, bracing and tying;
(4) protect adjoining private or public property;
(5) provide barricades, temporary fences, and covered walkways required by prudent construction practices, Laws and/or the Contract Documents;
(6) furnish approved hard hats and other personal protective equipment, furnish approved first aid supplies, furnish the name of the first aid attendant, and maintain a posted list of emergency facilities;
(7) provide proper means of access to property where the existing access is cut off by the Contractor;
(8) maintain from the beginning of any darkness or twilight through the whole of every night sufficient lights on or near any obstruction so as to guard and protect travelers from injury from such obstruction;
(9) maintain adequate security at the Site so as not to expose the Work and surrounding property to vandalism or malicious mischief;

(10) provide adequate fire protection procedures during the use of cutting torches, welding equipment, plumbers' torches and other flame and spark producing apparatus;

(11) take prompt action to correct any dangerous or hazardous conditions.

I. The Contractor shall not use or store explosives in the performance of the Work unless the Contractor first obtains the Awarding Authority's prior written specific Approval. If the Awarding Authority Approves the use or storage of explosives during the performance of the Work, the Contractor shall first comply with all Laws and obtain all permits, approvals, and certificates required in connection with the same and shall exercise best efforts, including but not limited to the employment and supervision of properly qualified personnel, to prevent damage, injuries, and accidents involving said explosives.

J. The Contractor shall not permit cutting or welding in or immediately adjacent to existing property of the Owner, Awarding Authority or of anyone else without the Awarding Authority's prior Approval in each instance.


A. The Contractor shall not permit the accumulation of interior or exterior debris. The Contractor shall keep the Work area clean at all times. Without limitation, garbage shall be removed daily.

B. The Contractor shall properly classify and remove debris and waste from the Site and transport and dispose of it, all in accordance with Laws, employing a qualified and properly licensed transporter, at any landfill, disposal or recycling facility licensed under applicable Laws, including without limitation, hazardous materials laws. The Contractor shall make all arrangements and give and obtain all notices, communications, documentation, permits, certificates, and approvals necessary for said disposal from the owner or officials in charge of such landfills, disposal or recycling facilities. The Contractor shall bear all fees and costs in connection with such classification, removal, transportation, disposal and storage. The Contractor shall not permit any storage of debris or waste except in accordance with Laws.

C. The Contractor shall not permit any open fire on the Site.

D. Chemical Waste: Chemical waste shall be stored in corrosion resistant containers, removed from the Site, and disposed of not less frequently than monthly unless more frequently required by Laws, including without limitation hazardous materials laws, or by the Supplementary General Conditions or Specifications. Disposal of chemical waste shall be performed in accordance with requirements of the U.S. Environmental Protection Agency (EPA) and the Massachusetts Department of Environmental Protection (DEP). Fueling and lubricating of vehicles and equipment shall be conducted in a manner that affords the maximum protection against spills and evaporation. Lubricants shall be disposed of in accordance with procedures meeting all applicable Laws. The Contractor shall immediately notify the Designer of any hazardous materials release large enough to require reporting under applicable Laws. The Contractor shall be responsible for immediately cleaning up in accordance with Laws any oil or hazardous materials releases resulting from its operations. Any costs incurred in cleaning up any such releases shall be borne by the Contractor.
15. **Weather Protection (M.G.L. c. 149, s. 44G and 44F(1)).**

The Contractor shall furnish and install "weather protection," which means temporary protection of that Work adversely affected by moisture, wind and cold. Weather protection shall be achieved by covering, enclosing and/or heating working areas such that a minimum temperature of 40 degrees Fahrenheit is maintained at the working surface during the months of November through March in order to permit construction to be carried on during such period in accordance with the Progress Schedule. After the building or portion thereof is completely enclosed by either permanent construction or substantial temporary materials having a resistance comparable to the specified permanent construction, the Contractor shall provide heat therein of not less than 55 degrees F. nor more than 75 degrees F. The foregoing provisions do not supersede any specific requirements for methods of construction, curing of materials and the like. Such weather protection shall be consistent with the Progress Schedule, shall permit the continuous progress of the Work necessary to maintain an orderly and efficient sequence of construction operations, shall include one thermometer for every 2,000 square feet of floor space or fraction thereof, shall be subject to the Approval of the Awarding Authority, and shall meet such additional requirements as may be set forth in the Supplementary General Conditions or the Specifications.

16. **Furnishings and Equipment.**

When, in the opinion of the Designer, any portion of the Work is in a reasonable condition to receive fittings, furniture, or other property of the Owner not covered by this Contract, the Contractor shall allow the Awarding Authority to bring such fittings, furniture, and/or other property into such portions of the Work and shall provide all reasonable facilities and protection thereof. No such occupancy shall be construed as interfering with the provisions relating to time of completion, or as constituting an acceptance of the whole or any part of the Work. Any furniture or fittings so installed shall be placed in the Work at the risk of the Awarding Authority except that the Contractor shall be liable for damages or losses to such furniture or fittings to the extent such damages or losses arise in whole or in part from the negligence or intentional misconduct of Contractor, Subcontractors, their agents and/or employees, or anyone for whose acts Contractor is responsible.

17. **Form for Sub-contract.**

The Contractor when subcontracting with sub-bidders filed pursuant to M.G.L. c. 149, s.44F shall use the form for sub-Contract in M.G.L. c. 149, s. 44F(4) (c). The Contractor shall not interpret paragraph 3 of the statutory form of Subcontract to require such sub-bidders to provide insurance with limits higher than the limits that are required by Article XIV of these General Conditions of the Contract assuming that the term “Contractor” refers to the sub-bidder and that the term “Contract Price” refers to the sub-bidder’s price stated in paragraph 1 of the statutory form of Subcontract.

18. **Sales Tax Exemption and Other Taxes.**

All building materials and supplies as well as the rental charges for construction vehicles, equipment and machinery rented exclusively for use on the Site, or while being used exclusively for the transportation of materials for the Work are entitled to an exemption from sales taxes under M.G.L. c. 64H, s. 6(f). The Contractor shall take all action required to obtain the benefit of
such sales tax exemption under the University of Massachusetts Amherst Form ST-5C Contractor’s Sales Tax Exemption, Purchase Certificate, E 043-167-352. The Contractor shall bear the cost of any sales taxes that Contractor incurs in connection with the Work and the Awarding Authority shall not reimburse the Contractor for any such taxes. A copy of the Form ST-5C is provided with this contract.

19. Final Cleaning.  
At the completion of the Work, the Contractor shall remove all waste materials, rubbish, tools, equipment, machinery and surplus materials, and professionally clean all sight-exposed surfaces so that the Work is clean and ready for occupancy. Subsequent to installation of User Agency furniture, telephones, and equipment, the Contractor shall provide such additional cleaning as may be necessary to remove any soil resulting from installation of such furniture, telephones and equipment.

Subject to such additional requirements as may be provided in the Supplementary General Conditions or Specifications, the Contractor shall compile 3 complete and identical binders of operating and maintenance data for the entire Work. The Contractor shall submit record maintenance data to the Designer for approval, shall submit approved maintenance data to the Awarding Authority, and shall instruct and train the User Agency’s personnel in proper inspection and maintenance procedures.
21. **Closeout Procedures.**
The Contractor shall take all actions and submit all items required for the issuance of the Certificate of Agency Use and Occupancy and Final Acceptance as specified in the Contract Documents.

22. **Risk of Loss.**
The Contractor shall bear all risk of loss to the Work during the term of the Contract except for any portion of the Work as to which the Certificate of Agency Use and Occupancy has been issued pursuant to Article VI of these General Conditions of the Contract. Nothing herein shall limit the Contractor's responsibilities under Article IX or XV of these General Conditions of the Contract.

23. **LEED Requirements**
Contractor understands that, pursuant to Executive Order No. 484, all new construction and renovation projects over 20,000 square feet must, at a minimum, meet a Massachusetts LEED Plus building standard, and that smaller projects must meet the minimum energy performance standards for advanced buildings established by the Commonwealth of Massachusetts Sustainable Design Roundtable. Furthermore, Contractor understands that the Massachusetts LEED silver standard or a higher LEED standard applies to all projects overseen by the University of Massachusetts Amherst, as well as all projects built on state land for use by state agencies. Contractor must document compliance with this executive order and Project LEED certification standards as described in the project specifications.

**ARTICLE V: MATERIALS AND EQUIPMENT**

1. **Materials Generally.**
   A. Unless otherwise specifically provided in the Contract Documents, the Contractor shall provide and pay for materials, equipment, tools, construction equipment and machinery, water, heat, utilities, transportation, and other facilities and services necessary for proper execution and completion of the Work, whether temporary or permanent and whether or not incorporated or to be incorporated in the Work.
   B. Materials and equipment to be installed as part of the Work (both or either of which are hereinafter referred to as "materials") shall be new, unused, of recent manufacture, assembled, and used in accordance with the best construction practices. The Contractor shall inform himself as to, and shall comply with, the provisions of M.G.L. c. 7, s. 23A, as amended, and shall abide by the same and all applicable rules, regulations and orders made thereunder in relation to the purchase of supplies and materials in the execution of the Work, including the provisions of M.G.L. c.7, s. 22, paragraph 17 which provides that there be "a preference in the purchase of supplies and materials, other considerations being equal, in favor, first, of supplies and materials manufactured and sold within the Commonwealth, and, second, of supplies and materials manufactured and sold elsewhere within the United States."
2. Shop Drawings, Product Data, and Samples.

A. The Contractor shall furnish to the Designer all samples of the materials to be used in the execution of the Work as required by the Contract Documents. The Contractor shall furnish to the Designer in a timely manner all coordination Drawings, shop details, Shop Drawings, and setting diagrams which may be necessary for acquiring and installing materials. These shall be reviewed as required by the Designer. A minimum of six (6) copies shall be submitted for final approval, one of which shall be returned to the Contractor, one to the Resident Engineer, one to the Awarding Authority and one filed with the Designer. The inspection and approval by the Designer of Shop Drawings, etc. shall be general and shall in no way relieve the Contractor from responsibility for proper fitting, coordinating, construction, and construction sequencing. The Contractor shall furnish to the Designer such information and vouchers relative to the Work, the materials therefore, and the persons employed thereon, as the Designer shall from time to time request.

B. Shop Drawings, Product Data, Samples, and similar submittals are not Contract Documents. The purpose of their submission is to demonstrate for those portions of the Work for which submittals are required the way the Contractor proposes to conform to the information given and the design concept expressed in the Contract Documents.

C. The Contractor shall review, approve, and submit to the Designer, Shop Drawings, Product Data, Samples and similar submittals required by the Contract Documents with reasonable promptness and in such sequence as to cause no delay in the Work or in the activities of the Awarding Authority or of separate contractors. Submittals made by the Contractor which are not required by the Contract Documents or which do not comply with the Contract Documents may be returned without action. The Contractor’s attention is directed to the provisions of Section 4 of this Article V and to the Specifications.

D. The Contractor shall prepare and keep current for the Designer’s approval a schedule of submittals which is coordinated with the Progress Schedule and allows the Designer reasonable time to review submittals.

E. The Contractor shall perform no portion of the Work requiring submittal and review of Shop Drawings, Product Data, Samples or similar submittals until the respective submittal has been approved by the Designer. Such Work shall be in accordance with Approved submittals.

F. By submitting Shop Drawings, Product Data, Samples and similar submittals, the Contractor represents that the Contractor has determined and verified materials, field measurements, and field construction criteria related thereto and has checked and coordinated the information contained within such submittals with the requirements of the Work and of the Contract Documents.

G. The Contractor shall not be relieved of responsibility for deviations from requirements of the Contract Documents by the Designer’s approval of Shop Drawings, Product Data, Samples or similar submittals unless the Contractor has specifically informed the Designer in writing of such deviation at the time of submittal and the Awarding Authority has given explicit written approval to the specific deviation. The Contractor shall not be relieved of responsibility for errors or omissions in Shop Drawings, Product Data, Samples, or similar submittals by the Designer’s or the Awarding Authority’s actions.
H. The Contractor shall direct specific attention, in writing or on resubmitted Shop Drawings, Product Data, Samples or similar submittals, to revisions other than those requested by the Designer on previous submittals.

I. Informational submittals upon which the Designer is not expected to take responsive action may be so identified in the Contract Documents.

J. When professional certification of performance criteria of materials, systems or equipment is required by the Contract Documents, such certification must be stamped by a registered Massachusetts professional in the discipline required. The Designer shall be entitled to rely upon the accuracy and completeness of such calculations and certifications.

K. Materials furnished or used or employed under the Contract must be equal in quality to the samples furnished and be satisfactory to the Designer.

3. Tests.

A. Any material to be used in the Work may be tested or inspected at any time by the Designer with the prior Approval of the Awarding Authority and may be rejected if it fails to comply with specified tests. The Awarding Authority shall pay for all testing of specified material. If the Contractor requests permission to use a material that was not specified, then the Contractor shall pay for such testing. The cost of testing of materials that fail the testing criteria shall be borne by the Contractor.

B. The Contractor shall notify the Designer and the Awarding Authority of the proposed sources of materials in time to permit all required testing and inspection before the material is needed for incorporation into the Work. The Contractor shall have no claim arising from Contractor's failure to designate the proposed source or to order the material in time for adequate testing and inspection. Necessary arrangements shall be made to permit the Designer to make factory, shop or other inspection of materials or equipment ordered for the Work in process of manufacture or fabrication, or in storage elsewhere than the Site.

4. "Or Equal" Submissions.

A. Where products or materials are prescribed by manufacturer name, trade name, or catalog reference, the words "or Approved equal" shall be understood to follow. An item shall be considered equal to the item so named or described if in the opinion of the Awarding Authority (a) it is at least equal in quality, durability, appearance, strength and design, (b) it performs at least equally the function imposed in the general design for the Work, and (c) it conforms substantially, even with deviations, to the detailed requirements for the items as indicated by the Specifications. Any structural or mechanical changes made necessary to accommodate products or materials substituted as an "or equal" shall be at the expense of the Contractor. "Approved equal" shall mean an item with respect to which the Awarding Authority shall have issued a written statement to the Contractor to the effect that the item is, in the Awarding Authority's opinion, equal within the meaning of this paragraph to that prescribed in the Contract Documents.

B. The Contractor shall be responsible for providing the Designer with any information and test results that the Designer reasonably requires to determine whether or not a material is equal to a material named or described in the Contract Documents.
C. Whenever the Contractor submits a material for approval as a substitute for a material named or described in the Contract Documents, such submission shall be made at least one hundred twenty (120) days prior to the date the materials will be used in the Work. In no event shall the Contractor maintain a claim for delays based upon the Designer's review of such substituted materials if the Contractor has failed to comply with the one hundred twenty (120) day submission requirement.

D. The Contractor shall save the written calculations, pricing information, and other data that the Contractor used to calculate the General Bid (the "Bid Pricing Materials") for at least six years after the Awarding Authority makes Final Payment under this Contract. No increase in the Contract Price shall be allowed for any material later found to have been improperly rejected as not being equal unless the Contractor can show persuasive evidence that the rejection increased the Contractor's costs over those provided for in the Bid Pricing Materials, net of all savings the Contractor obtained by substituting other "or-equal" items. Without limiting the foregoing, if the Awarding Authority rejects a proposed substitution on the basis that the item is not equal and if after the Contractor complies with the appeal procedures required by law, DCAM regulation, and by the Contract Documents, the appropriate authority finds that the proposed substitution was equal, the Contract Price may be increased only to the extent that (1) the item that the Contract Documents specifically require costs more than the item later approved as equal, (2) the Bid Pricing Materials prove that the Contractor calculated its bid using the cost of the item later found as equal, (3) any increase is reduced by any cost that the Contractor would have incurred for structural or mechanical changes necessary to accommodate the substitute item, (4) the Contractor shall not be entitled to any adjustment for overhead and profit, (5) any increase must exceed the aggregate amount that the Contractor saved using products or materials that the Awarding Authority approved as equal under this Contract. In calculating the Contractor’s aggregate saving under the preceding clause (5), the Contractor shall provide the Awarding Authority with the Bid Pricing Materials and a calculation based on the Bid Pricing Materials that compare the price (stated in the Bid Pricing Materials) of each item replaced with an "or equal" item, with the cost of the approved equal item, specifically describes all costs that Contractor would have incurred making structural or mechanical changes to include within the Work the item later found to have been improperly rejected and copies of all plans, specifications, shop Drawings, and other design documents that the Awarding Authority deems necessary or desirable.

5. Delivery and Storage of Materials; Inspection.

A. Materials and equipment shall be progressively delivered to the Site so that there will be neither delay in the progress of the Work nor an undue accumulation of materials that are not to be used within a reasonable time and so that their security, quality, and fitness of the materials for the Work is preserved.

B. Materials stored off Site shall be insured and stored at the expense of the Contractor so as to guarantee the preservation of their security, quality and fitness for the Work. Without derogating from the Contractor's responsibilities in the previous sentence, when necessary to avoid deterioration or damage, material (on or off Site) shall be placed on wooden platforms or other hard clean surfaces and not on the ground and shall be properly protected.
C. Expenses for inspection of material by the Designer and/or the Awarding Authority personnel including travel, quarters, and subsistence shall be borne by the Contractor requesting the inspection of material stored outside the Commonwealth of Massachusetts as part of the Contract Price. The policy of the Awarding Authority precludes the payment for material stored outside the boundaries of Massachusetts except in extremely limited circumstances with the express written consent of the Awarding Authority. If the Contractor requests an inspection of material stored outside the Commonwealth of Massachusetts, the Awarding Authority will initially pay for all expenses of inspecting the material incurred by the Designer and/or Awarding Authority’s personnel including travel, quarters, and subsistence. The Awarding Authority will then give Contractor an invoice for those costs and the Contractor shall submit a credit Change Order for the amount of those expenses.

D. Stored materials either at the Site or at some other location agreed upon in writing shall be so located as to facilitate prompt inspection and even though approved before storage, may again be inspected prior to their use in the Work.

E. All storage sites shall be restored to their original condition by the Contractor at the Contractor’s expense.

F. The Contractor shall take charge of and be liable for any loss of or injury to the materials for his use delivered to or in the vicinity of the place where the Work is being done, whether furnished by the Owner or otherwise; the Contractor shall notify the Designer as soon as any such materials are so delivered, allow them to be examined by the Designer, and furnish workers to assist therewith.

6. **Defective, Damaged, or Deteriorated Materials and Rejection Thereof.**
The Designer may reject materials if the Designer reasonably determines that such materials do not conform to the Contract Documents in any manner, including but not limited to materials that have become damaged or deteriorated from improper storage whether or not such materials have previously been accepted. The Contractor at its own expense shall remove rejected materials from the Work. No rejected material, the defects of which have been subsequently corrected, shall be used except with the written permission of the Designer. Should the Contractor fail to remove rejected material within a reasonable time, the Designer and/or Awarding Authority may, in addition to any other available remedies, remove and/or replace the rejected material, and to deduct the cost of such removal and/or replacement from any moneys due to or to become due the Contractor. No extra time shall be allowed for completion of Work by reason of such rejection. The inspection of the Work shall not relieve the Contractor of any of its obligations herein prescribed, and any defective Work shall be corrected. Work not conforming to the Contract Documents may be rejected notwithstanding that such Work and materials have been previously overlooked or misjudged by the Designer and accepted for payment. If the Work or any part thereof shall be found defective at any time before Final Acceptance of the whole Work, the Contractor shall forthwith make good such defect in a manner satisfactory to the Designer. Nothing in the Contract shall be construed as vesting in the Contractor any property rights in the materials used after they have been attached or affixed to the Work or the Site; but all such materials shall upon being so attached or affixed become a property of the Owner.
ARTICLE VI: PROSECUTION AND PROGRESS

1. **Beginning, Progress Schedule, and Completion of Work.**
   
   A. The Contract time shall commence upon the date specified in the Notice to Proceed. The Contractor shall begin Work at the Site within ten days of said date unless otherwise ordered in writing by the Awarding Authority.

   B. Within ten days after the Work has commenced, the Contractor shall submit to the Designer and to the Awarding Authority, a progress schedule, detailed and computer generated for the term of the Contract as required by the Contract Documents, showing in detail his proposed progress for the construction of the various parts of the Work and the proposed times for receiving required materials. Upon Approval by the Awarding Authority, said schedule shall constitute the Progress Schedule. The Contractor shall at the end of each month, or more often if required, furnish to the Designer and to the Awarding Authority a schedule meeting the requirements of the Specifications showing the actual progress of the parts of the Work in comparison with the Progress Schedule.

   C. Time is of the essence of this Contract. The Work shall be completed within the time specified in Article 2 of the Owner - Contractor Agreement. Should the Contractor require additional time to complete the Work, the Contractor shall document the reasons therefore and submit a written request for an extension of time within 20 days of the occurrence of the event alleged to be the cause of the delay, as provided in this Article and in Article VII of these General Conditions of the Contract. Failure to submit said written request within the time required by the preceding sentence shall preclude the Contractor from subsequently claiming any time extension due to said delay.

   D. If, in the opinion of the Designer or the Awarding Authority, the Contractor fails to comply with the Progress Schedule, the Awarding Authority may give the Contractor a notice specifying the time limits and performance standards that the Contractor is failing to meet whereupon (1) the Contractor shall, if the notice requires, discontinue all or any portion of the Work (which discontinuance shall neither terminate the Contract nor give the Contractor any claim for an increase in the Contract Price, damages, or an extension of any completion deadlines); or (2) at Contractor's sole cost increase the work force, equipment and plant, or any of them, employed on the whole or any part of the Work, to the extent required by such notice, and employ the same from day to day until the completion of the Work or such part thereof, or until the failure regarding the rate of progress, in the opinion of the Designer or the Awarding Authority, shall have been sufficiently corrected.

   E. If, in the opinion of the Awarding Authority, the Contractor fails to comply with the Progress Schedule, and whether or not the Awarding Authority shall have given the Contractor a notice described in D above, the Awarding Authority may (but shall not be required to) give the Contractor notice of such failure and five days to cure the same. Unless the Contractor shall within that five days take all necessary steps to do so (including, if the Awarding Authority requires, increasing its forces, equipment and plant) and continue to do so until in the opinion of the Awarding Authority the failure is corrected, the Awarding Authority may at the Contractor's expense and without terminating this Contract take exclusive or joint possession of all or a portion of the Site and employ and direct the labors of existing or such additional forces, equipment and plant as may in the Designer's or Awarding Authority's opinion be necessary to
insure the completion of the Work or such part thereof within the time specified in the Contract Documents or at the earliest possible date thereafter. The Awarding Authority may exercise its rights under this Article at any time and from time to time without waiving any of its rights under this Contract, at law or in equity, including, without limitation, the right to deem this Contract terminated or to order the Contractor to discontinue the Work at any time thereafter. The Contractor shall continue to perform the remaining Work under this Contract even if the Awarding Authority elects to have another contractor perform a portion of the Work under this Article.

F. The Awarding Authority shall deduct the cost of any actions the Awarding Authority takes under this Article from any amount then due or which might have become due to the Contractor under this Contract had the Contractor performed as required. On demand, the Contractor shall pay the Awarding Authority any amount by which the cost of completing all or any portion of the Work exceeds the amount attributable to that Work under the Contract Documents. The Awarding Authority's sole goal will be to complete the Work that it elects to complete within the time limits stated in the Contract or at the earliest possible date thereafter. Consequently, the Awarding Authority shall have no obligation to obtain competitive bids or the lowest cost for completing the Work or any part thereof. The Awarding Authority's election to complete all or part of the Work shall not release the Contractor from any liability for failure to complete the Work as the Contract Documents require, and shall not entitle the Contractor to a claim for an increase in the Contract Price or an extension of the time for completing the Work. If the cost that the Awarding Authority incurs in completing all or any portion of the Work is less than the amount that the Contract Documents attribute to that Work, the Awarding Authority will pay or credit the difference to the Contractor, less any other costs and expenses that the Awarding Authority incurs, including the cost of supervision, and the Designer’s and attorneys' fees and costs.

2. Failure to Complete Work on Time - Liquidated Damages.

A. If liquidated damages are specified in the Owner - Contractor Agreement, the Awarding Authority has determined that its damages as a result of Contractor's failure to complete the Work to the point at which it qualifies for the issuance of a Certificate of Agency Use and Occupancy will be difficult or impracticable to ascertain. Accordingly, if the Work is not completed to such a point by the date specified in this Contract, the Contractor shall pay to the Awarding Authority the sum designated as liquidated damages in the Contract for each and every calendar day that the Contractor is in default in completing the Work to such point. Such moneys shall be paid as liquidated damages, not as a penalty, to cover losses and expenses to the Awarding Authority and/or the User Agency resulting solely from the fact that the Work is not completed on time.

B. Similarly, if the Contract states that by a specified date a designated portion of the Work shall be prosecuted to the point at which it qualifies for the issuance of a Certificate of Agency Use and Occupancy, and if such portion has not been prosecuted to such point by said date, the Contractor shall pay to the Awarding Authority the sum designated in the Contract for each calendar day that the Contractor is in default in completing such portion of the Work to such point. Such moneys shall also be paid as liquidated damages not as a penalty, to cover
losses and expenses to the Owner resulting solely from the fact that the Work is not completed on time.

C. The Awarding Authority may recover such liquidated damages by deducting the amount thereof from any moneys due or that might become due the Contractor, and if such moneys shall be insufficient to cover the liquidated damages, then the Contractor or the Surety shall pay to the Awarding Authority the amount due.

D. Permitting the Contractor to continue and finish the Work or any portion of it after the time fixed in the Contract for its completion shall not be deemed as a waiver of any of the Owner's rights hereunder, at law or in equity.

E. Liquidated damages or a portion thereof may be waived by the Awarding Authority if the Contractor submits evidence satisfactory to the Awarding Authority that the delay was caused solely by conditions beyond the control of the Contractor and that the Awarding Authority has not suffered any damages as a result of said delay.

F. Failure by the Awarding Authority to specify a sum as liquidated damages in the Owner - Contractor Agreement, or the insertion of "N/A" or "none" in the space provided therein for liquidated damages, shall not be deemed a waiver of the Awarding Authority's right to recover actual damages arising from the Contractor's failure to complete the Work on time.

G. During the period when the Awarding Authority is assessing any cost associated with the failure to meet the substantial completion end date, the University of Massachusetts Amherst may create a Unilateral Change Order for an extension of dates to allow for any contractual obligations it has in association with this UMA project. This Unilateral Change Order should not in any way be construed by the contractor to be an extension to the actual contract substantial completion date.

3. Delays; Statutory Provisions (M.G.L. c. 30, s. 390).

A. Notwithstanding any provision of this Contract to the contrary, except as otherwise provided by law as set forth in paragraph B below, the Contractor shall not be entitled to increase the Contract Price or to receive damages on account of any hindrances or delays, avoidable or unavoidable; but if any delay is caused in the opinion of the Designer by the Awarding Authority, the Contractor shall be entitled to an extension of time. The length of the extension shall be sufficient in the opinion of the Designer for the Contractor to complete the Work. Although no delay shall increase the Contract Price, the Awarding Authority may require that any change in the date by which the Contractor must complete all or any part of the Work be processed on a standard Change Order form.

B. If a suspension, delay, interruption or failure to act of the Awarding Authority increases the cost of performance to any Subcontractor, that Subcontractor shall have the same rights against the Contractor with respect to such increase as the Contractor shall have against the Awarding Authority by virtue of (a) and (b) of M.G.L. c. 30, s. 390 set forth below, but nothing in provisions (a) and (b) shall alter any other rights which the Contractor or the subcontractor may have against each other. As used in the statutory language of (a) and (b) below, "contract" means this Contract, "general contractor" means the Contractor and "awarding authority" means the Awarding Authority:

"(a) The awarding authority may order the general contractor in writing to suspend, delay, or interrupt all or any part of the work for such period of time as it may determine to be
appropriate for the convenience of the awarding authority; provided, however, that if there is a suspension, delay or interruption for fifteen days or more or due to a failure of the awarding authority to act within the time specified in this contract, the awarding authority shall make an adjustment in the contract price for any increase in the cost of performance of this contract but shall not include any profit to the general contractor on such increase; and provided further, that the awarding authority shall not make any adjustment in the contract price under this provision for any suspension, delay, interruption or failure to act to the extent that such is due to any cause for which this contract provides for an equitable adjustment of the contract price under any other contract provisions.

(b) The general contractor must submit the amount of a claim under provision (a) to the awarding authority in writing as soon as practicable after the end of the suspension, delay, interruption or failure to act and, in any event, not later than the date of final payment under this contract and except for costs due to a suspension order, the awarding authority shall not approve any costs in the claim incurred more than twenty days before the general contractor notified the awarding authority in writing of the act or failure to act involved in the claim."

4. Use and Occupancy Prior to Final Acceptance.
   A. The Contractor agrees to the use and occupancy of the Project or any portion thereof before Final Acceptance of the Work by the Awarding Authority.
   B. The Awarding Authority and the User Agency will cooperate with the Contractor with respect to the completion of the Work by taking such reasonable steps as may be possible to avoid interference with the Contractor’s Work provided that they do not interfere with the proper functioning of the facility.
   C. The Contractor shall not be responsible for wear and tear or damage resulting solely from temporary occupancy.
   D. Use and occupancy of any part of the Work prior to Final Acceptance by the Awarding Authority shall not relieve the Contractor from maintaining the required payment and performance bonds and insurance (to the extent that insurance is required to be maintained after Substantial Completion) required by this Contract.

   A. When the Work, or portion thereof which the Awarding Authority agrees to accept separately has reached the state of Substantial Completion as shown on Approved payment request, the Contractor shall develop, with the participation of the Designer and the Awarding Authority, the Punch List identifying those items of unfinished or unacceptable Work that remain to be performed or corrected under the Contract.
   B. Before the Work shall be deemed completed to the point where it is ready for the issuance of a Certificate of Agency Use and Occupancy, the Contractor shall:
      (1) Provide Contractor’s proposed Punch List containing a statement of the reason for each item listed thereon;
      (2) Advise the Awarding Authority of proposed changes in insurance in accordance with the provisions of this Contract, and provide to the Awarding Authority evidence of Contractor’s Completed Operations insurance coverage to the extent required by the Contract Documents;
(3) Execute and submit a notarized warranty on a form provided by the Awarding Authority meeting the requirements of Article IX of these General Conditions of the Contract, to commence upon the date of the issuance of the Certificate of Agency Use and Occupancy for the Work or the designated portion thereof, unless otherwise provided in the Certificate of Agency Use and Occupancy;
(4) Submit signed special warranties and warranties of longer than one year as required by the Contract Documents;
(5) Submit signed maintenance agreements for all portions of the Work specified to receive maintenance after the issuance of the Certificate of Agency Use and Occupancy;
(6) Submit all preliminary record Drawings the Awarding Authority and Designer written acknowledgements from appropriate User and documents and framed data in the forms required by the Contract Documents;
(7) Complete all items required to be completed by the Department of Public Safety and obtain a Certificate of Occupancy from the Department of Public Safety (or, if the Awarding Authority is a municipality, the building department having jurisdiction) and similar releases which permit the User Agency and the Awarding Authority full and unrestricted use of the areas claimed to be ready for occupancy;
(8) Deliver specified maintenance stocks of materials, required spare parts, and all special tools furnished by manufacturers to persons designated by the Awarding Authority and obtain written receipts for same;
(9) Make final changes of lock cylinders or cores and advise the Awarding Authority of the change of project security responsibility;
(10) Complete start-up of systems and instruct User Agency personnel on proper operation and routine maintenance of all systems and equipment; obtain and submit to Agency personnel that start-up and instruction have been completed;
(11) Remove all remaining temporary facilities that are no longer needed, surplus materials, and debris; (the Contractor shall not remove construction offices and trailers without the prior Approval of the Awarding Authority);
(12) Submit final utility meter readings and similar information and advise the User Agency and the Awarding Authority of the change of responsibility for utility charges and payments upon the issuance of the Certificate of Agency Use and Occupancy;
(13) Complete final clean-up of all Work, restoration of damaged finishes, and replacement of all damaged and broken glass not listed on the Contractor's Punch List.
(14) Complete such other items as may be called for in the Supplementary General Conditions, if any, or in the Specifications.

C. After completing the items specified in subsection A above, the Contractor shall make a written request for the Designer’s inspection for a Certificate of Agency Use and Occupancy in accordance with the Contract Documents. The Designer shall review the submittals and the Work and shall either 1) have a state building official sign a Certificate of Agency Use and Occupancy or 2) notify the Contractor of incomplete and/or incorrect Work that must be completed and corrected prior to the issuance of the Certificate of Agency Use and Occupancy. The Designer shall notify the Contractor of any additions to the Punch List. In connection with
the execution of the Certificate of Agency Use and Occupancy the Designer shall assign dollar values to each item on the Punch List. Failure to include any incomplete or defective item on the Punch List shall not relieve the Contractor of the obligation to complete all Work in accordance with the Contract Documents.


A. Prerequisites for Final Acceptance. After the issuance of a Certificate of Agency Use and Occupancy for the entire Work, and after the Contractor has completed all of the Work required by this Contract, including Change Orders and Punch List Items, the Contractor shall submit the following completed items to the Awarding Authority together with such additional items as may be specified in the Contract Documents:

1. A completed Final Application for Payment showing a final accounting of all changes in the Work, on the form provided by the Awarding Authority.
2. Certification and satisfactory evidence that all taxes, fees, and similar obligations have been paid.
3. Consent of the Surety to Final Payment executed by applicable bonding companies.
4. Certified copy of the Punch List stating that the Contractor has completed or corrected every item listed.
5. Evidence of Contractor’s continuing Completed Operations Insurance coverage to the extent required by the Contract Documents.
6. All final record Drawings and documents in the forms specified by the Contract Documents.
7. A notarized certification that all purchases made under the tax exemption certificate were legitimate and entitled to exemption.
8. Written certifications from the Department of Public Safety (or if the Awarding Authority is a municipality, the building department having jurisdiction) and the Designer to the effect that: a) the Work has been inspected for compliance with the Contract Documents and has satisfied the Department of Public Safety; b) all equipment and systems included in the Work have been tested in the presence of the Designer and are operational and satisfactory; c) the Work is completed and ready for final inspection.
9. Such other items as may be required by the Contract Documents.

B. Reinspection; Final Acceptance. After notification from the Contractor that all remaining contract exceptions, omissions and incompletion have been completed (with the exception of Contractor’s continuing warranty, insurance, indemnification, and such other obligations as are intended by the terms of the Contract Documents to extend beyond the date of Final Acceptance), the Awarding Authority and the Designer shall inspect the Work to verify the completion of the same. If the Work is satisfactory, the Awarding Authority shall prepare a Certificate of Final Acceptance or shall notify Contractor of items which remain to be completed prior to Final Acceptance.
7. **One-Year Warranty Repair List and Inspection.**

Approximately 30 days prior to the expiration of the comprehensive one-year warranty period, the Contractor shall schedule an appointment with the Awarding Authority for a re-inspection of the Work with the Awarding Authority, and shall thereafter inspect the work at the time scheduled. Based on this inspection and on prior inspections, the Awarding Authority shall issue a "Warranty Repair List" of items to be corrected by the Contractor. The Contractor shall make the repairs and/or replacements listed within 30 days of the issuance of the Warranty Repair List unless otherwise agreed by the Awarding Authority in writing.

**ARTICLE VII: CHANGES IN THE WORK**

1. **Change Orders Generally.**
   
   A. No changes in the Work shall be made in absence of a Change Order defined in Article I of these General Conditions of the Contract, directing the Contractor to perform such changes. A request for a change in the provisions of this Contract may be submitted to the Awarding Authority by the Contractor, Designer, Project Manager, Resident Engineer or User Agency. The request must be made in writing and in accordance with the provisions of this Contract, Laws, and the procedures of the Awarding Authority.
   
   B. A Change Order may be issued by the Awarding Authority for changes in the Work within the scope of the Contract, including but not limited to, changes in: (1) the Plans and Specifications; (2) the method or manner of performance of the Work; (3) the Owner-furnished facilities, equipment, materials, services or Site; (4) the schedule for performance of the Work.
   
   C. The Contractor shall immediately perform any Change Order work that is ordered by the Awarding Authority.
   
   D. Whenever a Change Order is issued and said Change Order will cause a change in the Contractor’s cost, the Contractor or the Awarding Authority may request an equitable adjustment in the Contract Price. A request for such an adjustment shall be in writing and shall be submitted by the party making such claim to the other party before commencement of the pertinent work or within 10 days, thereafter.
   
   E. The Awarding Authority and the Contractor shall negotiate in good faith an agreement on an equitable adjustment in the Contract Price, and/or time if appropriate, before commencement of the pertinent work or as soon thereafter as is possible. In the absence of an agreement for an equitable adjustment, the Awarding Authority shall unilaterally determine the costs attributable to the change and provide the Contractor with a written notice to that effect. The Contractor may appeal the decision of the Awarding Authority within thirty days of receipt of said notice, to the chief executive official of the Awarding Authority or his designee, and the Contractor shall have the right to such further appeal as is provided in M.G.L. c.30, s. 39Q set forth in Section 4.D of this Article VII. However, if the Contractor shall exercise its rights to appeal the decision of the Awarding Authority as aforesaid, the Contractor shall be required to engage in the mandatory mediation procedures set forth in Section 5 of this Article VII.
   
   F. During the negotiation of an equitable adjustment in the Contract Price, the Contractor shall, if requested, provide the Awarding Authority with all cost and pricing data used by him in computing the amount of the equitable adjustment, and the Contractor shall certify that the
pricing data used was accurate, complete and current. If the Awarding Authority subsequently
determines that the data submitted by the Contractor was incomplete, incorrect or not current,
the Awarding Authority may exclude such data from consideration under the equitable
adjustment request.

2. **Methods of Computing Equitable Adjustments.**

   A. Equitable adjustments in the Contract Price shall be determined according to one of the
   following methods, or a combination thereof, as determined by the Awarding Authority: (1)
   fixed price basis, provided that the fixed price shall be inclusive of items (a) through (e) below
   and shall be computed in accordance with those provisions; (2) estimated lump sum basis to be
   adjusted in accordance with Contract unit prices or other agreed upon unit prices provided that
   the unit prices shall be inclusive of all costs related to such equitable adjustment; (3) time and
   materials basis to be subsequently adjusted on the basis of actual costs (but subject to a
   predetermined "not to exceed limit") calculated as follows:

   (a) the direct cost (or credit) for labor at the minimum wage rates established for this
   Contract pursuant to M.G.L. c. 149, s 26-27H, and the direct cost for material and use of
   equipment;

   (b) plus (or minus) the cost of Workmen’s Compensation Insurance, Liability
   Insurance, Federal Social Security and Massachusetts Unemployment Compensation, or as
   an alternative the Contractor may elect to use a flat 30% of the total labor rate computed
   in accordance with subparagraph (a) above;

   (c) plus an allowance equal to 20% of the amount of (a) above for overhead,
   superintendence and profit; (In the case of Item 1 work, which is the work of the
   Contractor and all his non-filed Subcontractors, said 20% allowance shall be paid to the
   Contractor and said non-filed Subcontractors shall agree upon the distribution of this
   amount as a matter of contract between them. In the case of Item 2 work, which is work
   performed by a Subcontractor filed pursuant to M.G.L. c. 149, s. 44F, said 20% allowance
   shall be paid to the filed Subcontractor, it being understood that this provision does not
   apply to other Subcontractors including sub-Subcontractors listed under paragraph E of the
   form for sub-Bid);

   (d) plus, for work performed by a Subcontractor filed pursuant to M.G.L. c. 149, s.
   44F, an additional allowance equal to 7% of the sum of (a) through (c) above as full
   compensation to the Contractor for processing forms and assuming full responsibility for
   the faithful performance of such work by said filed Subcontractor(s);

   (e) plus (or minus) the actual direct additional premium costs and expenses incurred
   as a result of collective bargaining agreements or other agreements between organized
   labor and employers, and plus (or minus) the actual direct premium cost of payment and
   performance bonds required of Contractor and filed Subcontractors for this Contract.

   B. If the net change is an addition to the Contract Price, it shall include the Contractor’s
   overhead, superintendence and profit. On any change that involves a net credit, no allowance
   for overhead, superintendence and profits shall be included. For any change that does not
   include labor performed or materials installed in the project, there will be no markup for the
   Contractor’s overhead, superintendence, and profit, even though there may be a net increase
in the Contract Price. Charges for small tools known as “tools of the trade” are not to be computed in the amount of any change in the Contract Price.

C. Statutory Contract adjustments made under the provisions of M.G.L. c. 149, s.44F shall not be considered Change Orders and shall not entitle the Contractor to any adjustments for overhead, profit, and superintendence, although the Awarding Authority may require that such Contract adjustments be processed on standard Change Order and equitable adjustment forms.

The Contractor agrees to perform all Work as directed by the Awarding Authority, and if the Project Manager determines that certain Work that the Contractor believes to be or to warrant a Change Order under this Article does not represent a change in the Work, the Contractor shall perform said Work. The Contractor shall be deemed to have concurred with the Project Manager's determination as aforesaid unless the Contractor shall perform Work under protest in compliance with the following sub-paragraphs (1) and (2) below:

(1) If the Contractor claims compensation for a change in the Work that is not deemed by the Project Manager to be a change or to warrant additional compensation as claimed by the Contractor, the Contractor shall on or before the first working day following the commencement of any such work or the sustaining of any such damage submit to the Designer, Resident Engineer and the Awarding Authority a written statement of the nature of such work or claim. The Contractor shall not be entitled to additional compensation for any work performed or damage sustained for which written notice is not given within the time limit specified in the preceding sentence, even though similar in character to work or damage with respect to which notice is timely given.

(2) On or before the second working day after the commencement of such work or the sustaining of such damage, and daily thereafter, the Contractor shall file to the extent possible with the Resident Engineer, the Designer, and the Awarding Authority, itemized statements of the details and costs of such work performed or damage sustained. The Contractor shall use the DCAM Daily Time and Materials Report found in DCAM Form 13 to record all labor and material used. If the Contractor shall fail to make such statements to the extent possible, then the Contractor shall not be entitled to additional compensation for any such work or damages.


A. Criminal Penalties: The Contractor’s attention is directed to M.G.L. c. 30, s. 39I which provides criminal penalties for unauthorized deviations from the Plans and Specifications, and to M.G.L. c. 30, s. 39J and M.G.L. c. 7, s. 42E-42l. The Contractor’s attention is also directed to M.G.L. 266, s. 67B which provides criminal penalties for false claims by Contractor under this Contract:

"Whoever makes or presents to any employee, department, agency or public instrumentality of the commonwealth, or of any political subdivision thereof, any claim upon or against any department, agency, or public instrumentality of the commonwealth, or any political subdivision thereof, knowing such claim to be false, fictitious, or fraudulent, shall be punished by a fine of not more than ten thousand dollars or by imprisonment in the state prison for not
more than five years, or in the house of correction for not more than two and one-half years, or both."

B. Differing Site Conditions (M.G.L. c. 30, s. 39N): "If, during the progress of the work, the contractor or the awarding authority discovers that the actual subsurface or latent physical conditions encountered at the Site differ substantially or materially from those shown on the plans or indicated in the contract documents either the contractor or the contracting authority may request an equitable adjustment in the contract price of the contract applying to work affected by the differing Site conditions. A request for such an adjustment shall be in writing and shall be delivered by the party making such claim to the other party as soon as possible after such conditions are discovered. Upon receipt of such a claim from a contractor, or upon its own initiative, the contracting authority shall make an investigation of such physical conditions, and, if they differ substantially or materially from those shown on the plans or indicated in the contract documents or from those ordinarily encountered and generally recognized as inherent in work of the character provided for in the plans and contract documents and are of such a nature as to cause an increase or decrease in the cost of performance of the work or a change in the construction methods required for the performance of the work which results in an increase or decrease in the cost of the work, the contracting authority shall make an equitable adjustment in the contract price and the contract shall be modified in writing accordingly."

C. Timely Decision By Awarding Authority (M.G.L. c. 30, s. 39P): "Every contract subject to section thirty-nine M of this chapter or section forty-four A of chapter one hundred forty-nine which requires the awarding authority, any official, its architect or engineer to make a decision on interpretation of the specifications, approval of equipment, material or any other approval, or progress of the work, shall require that the decision be made promptly and, in any event, no later than thirty days after the written submission for decision; but if such decision requires extended investigation and study, the awarding authority, the official, architect or engineer shall, within thirty days after the receipt of the submission, give the party making the submission written notice of the reasons why the decision cannot be made within the thirty day period and the date by which the decision will be made."

D. Change Order / Contract Interpretation Appeal Procedure (M.G.L. c. 30, s. 39Q): The following provisions apply to every contract awarded by any state agency as defined by M.G.L. c. 7, s. 39A for the construction, reconstruction, alteration, remodeling, repair or demolition of any capital facility as defined by the aforesaid section 39A:

"(a) Disputes regarding changes in and interpretations of the terms or scope of the contract and denials of or failures to act upon claims for payment for extra work or materials shall be resolved according to the following procedures, which shall constitute the exclusive method for resolving such disputes. Written notice of the matter in dispute shall be submitted promptly by the claimant to the chief executive official of the state agency which awarded the contract or his designee. No person or business entity having a contract with a state agency shall delay, suspend, or curtail performance under that contract as a result of any dispute subject to this section. Any disputed order, decision or action by the agency or its authorized representative shall be fully performed or complied with pending resolution of the dispute."
"(b) Within thirty days of submission of the dispute to the chief executive official of the state agency or his designee, he shall issue a written decision stating the reasons therefore, and shall notify the parties of their right of appeal under this section. If the official or his designee is unable to issue a decision within thirty days, he shall notify the parties to the dispute in writing of the reasons why a decision cannot be issued within thirty days and of the date by which the decision shall issue. Failure to issue a decision within the thirty-day period or within the additional time period specified in such written notice shall be deemed to constitute a denial of the claim and shall authorize resort to the appeal procedure described below. The decision of the chief executive official or his/her designee shall be final and conclusive unless an appeal is taken as provided below.

"(c) Within twenty-one calendar days of the receipt of a written decision or of the failure to issue a decision as stated in the preceding subparagraph, any aggrieved party may file a notice of claim for an adjudicatory hearing with the division of hearing officers or the aggrieved party may file an action directly in a court of competent jurisdiction and shall serve copies thereof upon all other parties in the form and manner prescribed by the rules governing the conduct of adjudicatory proceedings of the division of hearing officers. In the event an aggrieved party exercises his option to file an action directly in court as provided in the previous sentence, the twenty-one day period shall not apply to such filing and the period of filing such action shall be the same period otherwise applicable for filing a civil action in superior court. The appeal shall be referred to a hearing officer experienced in construction law and shall be prosecuted in accordance with the formal rules of procedure for the conduct of adjudicatory hearings of the division of hearing officers, except as provided below. The hearing officer shall issue a final decision as expeditiously as possible, but in no event more than one hundred and twenty calendar days after conclusion of the adjudicatory hearing, unless the decision is delayed by a request for extension of time for filing post-hearing briefs or other submissions assented to by all parties. Whenever, because an extension of time has been granted, the hearing officer is unable to issue a decision within one hundred and twenty days, s/he shall notify all parties of the reasons for the delay and the date when the decision will issue. Failure to issue a decision within the one hundred and twenty-day period or within the additional period specified in such written notice shall give the petitioner the right to pursue any legal remedies available to him without further delay.

"(d) When the amount in dispute is less than ten thousand dollars, a contractor who is party to the dispute may elect to submit the appeal to a hearing officer experienced in construction law for expedited hearing in accordance with the informal rules of practice and procedure of the division of hearing officers. An expedited hearing under this subparagraph shall be available at the sole option of the contractor. The hearing officer shall issue a decision no later than sixty days following the conclusion of any hearing conducted pursuant to this subparagraph. The hearing officer’s decision shall be final and conclusive, and shall not be set aside except in cases of fraud."

5. Mandatory Mediation.
In the case of every dispute where the dollar amount in dispute (or the estimated dollar value of the extension of time in dispute) is $50,000 or more and the Contractor appeals the decision of the chief executive officer of the Awarding Authority or his designee described in Section 4.B above, the Awarding Authority and the Contractor shall engage in good faith in a non-binding
mediation process, which process shall be concluded within sixty days from the date that the Contractor files an appeal from said decision as provided in Section 4.B above. In the case of such disputes where the dollar amount in dispute (or the estimated dollar value of the extension of time in dispute) is $500,000 or more, the parties shall, if the mediation process fails, submit the dispute to a third-party Neutral or Dispute Review Board which shall within sixty days render a non-binding advisory opinion. Unless the parties have previously agreed in writing to a process for submitting disputes to mediation or a Dispute Review Board, the Awarding Authority shall determine in its reasonable discretion the procedures to be followed and shall give the Contractor notice of the same in writing within 7 days of the date that the Awarding Authority receives notice of the Contractor's appeal from the decision of the chief executive officer of the Awarding Authority or his designee. The cost of the services of any mediator selected by one party to this Contract shall be borne by the party making the selection. The cost of the services of any mediator selected jointly by the parties to this Contract or jointly by mediators selected by the parties to this Contract shall be borne equally by the Contractor and the Awarding Authority.

ARTICLE VIII: PAYMENT PROVISIONS

1. Schedule of Values.
Before the first application for payment the Contractor shall submit to the Designer and the Awarding Authority a schedule of values allocated to various portions of the Work in sufficient detail to reflect the various major components of each trade (with filed Subcontractors as well as MBE/WBE noted), including quantities when requested, aggregating the total Contract Price and divided so as to facilitate payments for work under each section of the Specifications. The schedule shall be prepared in such form and supported by such data to substantiate its accuracy as the Designer or the Awarding Authority may require. Each item in the schedule shall include its proper share of overhead and profit. When Approved by the Designer and the Awarding Authority, it shall constitute the Schedule of Values and shall be used only as a basis for the Contractor's requests for payments.

2. Payment Liabilities of Contractor.
   A. The Contractor shall pay to the Owner all expenses, losses and damages, as determined by the Awarding Authority or the Designer, incurred in consequence of any default, defect, omission or mistake of the Contractor or his employees or Subcontractors or the making good thereof.
   B. If the Work (or a portion thereof) is not completed to Substantial Completion and the Contractor has not satisfied the requirements for the issuance of a Certificate of Agency Use and Occupancy by the date specified in Article 2 of the Owner - Contractor Agreement, the Contractor shall pay to the Owner liquidated damages as provided in Article VI, Section 2 of these General Conditions of the Contract.
3. **Retention of Moneys by Awarding Authority.**

   A. The Awarding Authority may keep any moneys which would otherwise be payable at any time hereunder, and apply the same, or so much as may be necessary therefore, to (1) the Owner’s expenditures for the Contractor’s account, (2) to secure the Awarding Authority’s remedies against the Contractor for the Contractor’s breach of its obligations under this Contract or the breach of any person performing any part of the Work and (3) the payment of any expenses, losses or damages incurred by the Awarding Authority or any agency of the Commonwealth as a result of the failure of the Contractor to perform its obligations hereunder. The Awarding Authority may retain, until all claims are settled, such moneys as the Awarding Authority estimates to be the fair value of the Awarding Authority’s claims against the Contractor, and of all claims for labor performed or furnished and for materials used or employed in or in connection with the Work and for the rental of vehicles, appliances and equipment employed and for the employment of substitute contractors and labor in connection with the Work filed in accordance with M.G.L. c. 30, s. 39A and s. 39F. The Awarding Authority may make such settlements and apply thereto any moneys retained under this Contract.

   B. The Contractor shall each week examine all claims so filed, and if the same are in any respect incorrect or do not correctly show the amount due from the Contractor to the claimant for such labor and materials, the Contractor shall forthwith file with the Awarding Authority a separate written statement of all inaccuracies in each claim and of the correct amount due from the Contractor to each claimant therefore, and shall immediately file a statement of all payments thereafter made to such claimants. Each such statement shall be sworn to and contain a detailed breakdown required by M.G.L. c. 30 s. 39F(d) and (e). Unless such statements are so filed by the Contractor the amount shown by the claims filed shall at the option of the Awarding Authority be conclusively deemed to be the accurate amount due from the Contractor therefore in all accounting with the Awarding Authority. If the moneys retained under this Contract are insufficient to pay the sums found by the Awarding Authority to be due under the claims for labor and materials filed as aforesaid, the Awarding Authority may, at its discretion, pay the same, and the Contractor shall repay to the Awarding Authority all sums paid out. The Awarding Authority may also at its discretion use any moneys retained, due or to become due under this Contract, for the purpose of paying for both labor and materials used or employed in the Work for which claims have not been filed with the Awarding Authority.

   C. No moneys retained under the provisions of this Article shall be held to be statutory security for the payment of claims filed in accordance with the provisions of M.G.L. c. 149, s. 29, as amended, for which security is provided by bond.

4. **Applications for Payment.**

   A. The Contractor shall, once in each month for the preceding months, on the day of the month corresponding to the day of the month specified in the Notice to Proceed referenced in Article 2 of the Owner - Contractor Agreement, on forms provided and in the manner prescribed by the Awarding Authority, submit to the Awarding Authority a statement showing the total amount of Work done to the time of such estimate and the value thereof as approved by the Resident Engineer and the Designer. It shall be the sole responsibility of the Contractor to deliver or cause to be delivered to the Resident Engineer (the "designee" as
provided by M.G.L. c. 30, s. 39K), said periodic estimate in proper form, approved as provided above and arithmetically correct. All periodic estimates shall contain such certifications and other evidence supporting the Contractor's right to payment as the Awarding Authority may require, including without limitation, lien waivers and other evidence, on such forms as the Awarding Authority may require, establishing that title to the equipment or materials is unencumbered and has been transferred to the Owner. If there is no Resident Engineer assigned to the Contract, the Designer shall be the designee. If there is neither a Resident Engineer nor a Designer the designee shall be a person designated by the Awarding Authority at the project field office or alternatively the home office of the Awarding Authority. The Contractor shall include in such periodic estimate only such materials as are incorporated in the Work, except as provided in paragraph C below. The Awarding Authority shall retain five percent of such estimated value as part security for the completion of the Work and shall pay to the Contractor while carrying on the Work the balance not retained as aforesaid, subject to the Approval of the Awarding Authority after deducting therefrom all previous payments and all sums to be kept under the provisions of this Contract.

B. Each periodic estimate shall constitute the Contractor's representation that (1) the payment then requested to be disbursed has been incurred by the Contractor on account of the Work and is justly due to Subcontractors or, to the Contractor in the case of other Work performed by the Contractor on account thereof, (2) the materials, supplies and equipment for which Application for Payment is being submitted have been installed or incorporated into the Work or have been stored at the Site or at such off Site storage locations as the Awarding Authority shall have Approved, (3) the materials, supplies and equipment are insured in accordance with the provisions of this Contract, (4) the materials, supplies and equipment are owned by the Owner and are not subject to any liens or encumbrances, (5) the Work which is the subject of such periodic estimate has been performed in accordance with the Contract Documents and (6) that all due and payable bills with respect to the Work have been paid to date or shall be paid from the proceeds of such periodic estimate. The Contractor's attention is directed to the criminal penalties for false claims referenced in paragraph A above.

C. The Contractor may include in a periodic estimate the value of materials or equipment delivered at the Site (or at some location agreed to in writing) only upon delivery to the Awarding Authority of: (1) an acceptable transfer of title on the form provided by the Awarding Authority; (2) written certification by the Contractor (or applicable subcontractor) on the form provided by the Awarding Authority that the Contractor (or the Subcontractor which executed the transfer of title) is the lawful owner and that the materials or equipment are free from all encumbrances, accompanied by receipted invoices or other acceptable proof of prior payment for such materials; (3) a stored materials insurance binder that covers the materials for which payment is requested, that names the Owner as an insured party should the stored materials be subjected to any casualty, loss, or theft prior to their inclusion in the Work. The material(s) or equipment must, in the judgment of the Designer (1) meet the requirements of the Contract, including prior shop drawing, product data, and sample approval, (2) be ready for use, and (3) be properly stored by the Contractor and be adequately protected until incorporated into the Work. See also Article V.5.C of these General Conditions of the Contract concerning the cost of inspections.

D. The Awarding Authority may make changes in any periodic estimate submitted by the Contractor in accordance with M.G.L. c.30, s. 39K (see below) and the payment due shall be
computed in accordance with the changes so made. The provisions of said section 39K shall
govern payments on which the Awarding Authority has made changes.

E. No certificate for payment and no progress payment shall constitute acceptance of Work
that is not in accordance with the Contract Documents.

F. The Contractor and all Subcontractors furnishing labor on this Contract agree to furnish
certified payroll reports, at no additional expense to the Awarding Authority. The Awarding
Authority may at all reasonable times audit such reports.

5. Periodic Payments (M.G.L. c. 30, s. 39K).
The Awarding Authority shall make payment to the Contractor in accordance with M.G.L. c. 30, s.
39K, which provides as follows:

"Within fifteen days (30 days in the case of the commonwealth, including local housing
authorities) after receipt from the contractor, at the place designated by the awarding
authority if such a place is so designated, of a periodic estimate requesting payment of the
amount due for the preceding month, the awarding authority will make a periodic payment
to the contractor for the work performed during the preceding month and for the materials
not incorporated in the work but delivered and suitably stored at the site (or at some
location agreed upon in writing) to which the contractor has title or to which a
subcontractor has title and has authorized the contractor to transfer title to the awarding
authority upon certification by the contractor that he is the lawful owner and that the
materials are free from all encumbrances, but less (1) a retention based on its estimate of
the fair value of its claims against the contractor and less (2) a retention for direct
payments to subcontractors based on demands for same in accordance with the provisions
of section thirty-nine F, and less (3) a retention not exceeding five percent of the approved
amount of the periodic payment. After the receipt of a periodic estimate requesting final
payment and within sixty-five days after (a) the contractor fully completes the work or
substantially completes the work so that the value of the work remaining to be done is, in
the estimate of the awarding authority, less than one percent of the original contract price,
or (b) the contractor substantially completes the work and the awarding authority takes
possession for occupancy, whichever occurs first, the awarding authority shall pay the
contractor the entire balance due on the Contract less (1) a retention based on its estimate
of the fair value of its claims against the contractor and of the cost of completing the
incomplete and unsatisfactory items of work and less (2) a retention for direct payments to
subcontractors based on demands for same in accordance with the provisions of section
thirty-nine F, or based on the record of payments by the contractor to the subcontractors
under this contract if such record of payment indicates that the contractor has not paid
subcontractors as provided in section thirty-nine F. If the awarding authority fails to make
payment as herein provided, there shall be added to each such payment daily interest at
the rate of three percentage points above the rediscout rate than charged by the Federal
Reserve Bank of Boston commencing on the first day after said payment is due and
continuing until the payment is delivered or mailed to the contractor; provided, that no
interest shall be due, in any event, on the amount due on a periodic estimate for final
payment until fifteen days(twenty-four days in the case of the commonwealth) after receipt
of such period estimate from the contractor, at the place designated by the awarding
authority if such a place is so designated. The contractor agrees to pay to each subcontractor a portion of any such interest paid in accordance with the amount due each subcontractor.

The awarding authority may make changes in any periodic estimate submitted by the contractor and the payment due on said periodic estimate shall be computed in accordance with the change so made, but such changes or any requirement for a corrected periodic estimate shall not affect the due date for the periodic payment or the date for the commencement of interest charges on the amount of the periodic payment computed in accordance with the changes made, as provided herein; provided, that the awarding authority may, within seven days after receipt, return to the contractor for correction, any periodic estimate which is not in the required form or which contains computations not arithmetically correct and, in that event, the date of receipt of such periodic estimate shall be the date of receipt of the corrected periodic estimate in proper form and with arithmetically correct computations. The date of receipt of a periodic estimate received on a Saturday shall be the first working day thereafter. The provisions of section thirty-nine G shall not apply to any contract for the construction, reconstruction, alteration, remodeling, repair or demolition of any public building to which this section applies.

All periodic estimates shall be submitted to the awarding authority, or to its designee as set forth in writing to the contractor, and the date of receipt by the awarding authority or its designee shall be marked on the estimate. All periodic estimates shall contain a separate item for each filed subtrade and each sub-subtrade listed in sub-bid form as required by specifications and column listing the amount paid to each filed subcontractor as of the date of the periodic estimate is filed. The person making payment for the awarding authority shall add the daily interest provided for herein to each payment for each day beyond the due date of receipt marked on the estimate.

A certificate of the architect to the effect that the contractor has fully or substantially completed the work shall, subject to the provisions of section thirty-nine J, be conclusive for the purposes of this section.

Notwithstanding the provisions of this section, at any time after the value of the work remaining to be done is, in the estimation of the awarding authority, less than 1 per cent of the adjusted contract price, or the awarding authority has determined that the contractor has substantially completed the work and the awarding authority has taken possession for occupancy, the awarding authority may send to the general contractor by certified mail, return receipt requested, a complete and final list of all incomplete and unsatisfactory work items, including, for each item on the list, a good faith estimate of the fair and reasonable cost of completing such item. The general contractor shall then complete all such work items within 30 days of receipt of such list or before the contract completion date, whichever is later. If the general contractor fails to complete all incomplete and unsatisfactory work items within 45 days after receipt of such items furnished by the awarding authority or before the contract completion date, whichever is later, subsequent to an additional 14 days' written notice to the general contractor by certified mail, return
receipt requested, the awarding authority may terminate the contract and complete the incomplete and unsatisfactory work items and charge the cost of same to the general contractor and such termination shall be without prejudice to any other rights or remedies the awarding authority may have under the contract. The awarding authority shall note any such termination in the evaluation form to be filed by the awarding authority pursuant to the provisions of section 44D of chapter 149."

6. Payment of Subcontractors (M.G.L. c. 30, s. 39F).
The Contractor shall make payments to Subcontractors in accordance with M.G.L. c.30, s. 39F which is quoted in this section below. For the purposes of this Contract, the word "forthwith" appearing in paragraph (1)(a) of the quoted provision shall be deemed to mean "within five (5) business days."

"1(a) Forthwith after the general contractor receives payment on account of a periodic estimate, the general Contractor shall pay to each subcontractor the amount paid for the labor performed and the materials furnished by that subcontractor, less any amount specified in any court proceedings barring such payment and also less any amount claimed due from the subcontractor by the general contractor.

(b) Not later than the sixty-fifth day after each subcontractor substantially completes his work in accordance with the Plans and Specifications, the entire balance due under the subcontract less amounts retained by the awarding authority as the estimated cost of completing the incomplete and unsatisfactory items of work, shall be due the subcontractor; and the awarding authority shall pay that amount to the general contractor. The general contractor shall forthwith pay to the subcontractor the full amount received from the awarding authority less any amount specified in any court proceedings barring such payment and also less any amount claimed due from the subcontractor by the general contractor.

(c) Each payment made by the awarding authority to the general contractor pursuant to subparagraphs (a) and (b) of this paragraph for the labor performed and the materials furnished by a subcontractor shall be made to the general contractor for the account of that subcontractor; and the awarding authority shall take reasonable steps to compel the general contractor to make each such payment to each such subcontractor. If the awarding authority has received a demand for direct payment from a subcontractor for any amount which has already been included in a payment to the general contractor or which is to be included in a payment to the general contractor for payment to the subcontractor as provided in subparagraphs (1) and (2) the awarding authority shall act upon the demand as provided in this section.

(d) If, within seventy days after the subcontractor has substantially completed the subcontract work, the subcontractor has not received from the general contractor the balance due under the subcontract including any amount due for extra labor and materials furnished to the general contractor, less any amount retained by the awarding authority as the estimated cost of completing the incomplete and unsatisfactory items of work, the subcontractor may demand direct payment of that balance from the awarding authority. The demand shall be by a sworn statement delivered to or sent by certified mail to the awarding authority, and a copy shall be delivered to or sent by certified mail to the general contractor at the same time. The reply shall contain a detailed breakdown of the balance due under the subcontract and also a statement of
the status of completion of the subcontract work. Any demand made after substantial
completion of the subcontract work shall be valid even if delivered or mailed prior to the
seventieth day after the subcontractor has substantially completed the subcontract work.
Within ten days after the subcontractor has delivered or so mailed the demand to the awarding
authority and delivered or so mailed a copy to the general contractor, the general contractor
may reply to the demand. The reply shall be by a sworn statement to or sent by certified mail to
the awarding authority and a copy shall be delivered to or sent by certified mail to the
subcontractor at the same time. The reply shall contain a detailed breakdown of the balance
due under the subcontract including any amount due for extra labor and materials furnished to
the general contractor and of the amount due for each claim made by the general contractor
against the subcontractor.

(e) Within fifteen days after receipt of the demand by the awarding authority, but in no event
prior to the seventieth day after substantial completion of the subcontract work, the awarding
authority shall make direct payment to the subcontractor of the balance due under the
subcontract including any amount due for extra labor and materials furnished to the general
contractor, less any amount (i) retained by the awarding authority as the estimated cost of
completing the incomplete or unsatisfactory items of work, (ii) specified in any court
proceedings barring such payment, or (iii) disputed by the general contractor in the sworn reply;
provided that the awarding authority shall not deduct from a direct payment any amount as
provided in part (iii) if the reply is not sworn to, or for which the sworn reply does not contain
the detailed breakdown required by subparagraph (d). The awarding authority shall make
further direct payments to the subcontractor forthwith after the removal of the basis for
deduction from direct payments made as provided in parts (i) and (ii) of this subparagraph.

(f) The awarding authority shall forthwith deposit the amount deducted from a direct
payment as provided in part (iii) of subparagraph (5) in an interest-bearing joint account in the
names of the general contractor and the subcontractor in a bank in Massachusetts selected by
the awarding authority or agreed upon by the general contractor and the subcontractor and
shall notify the general contractor and the subcontractor of the date of the deposit and the bank
receiving the deposit. The bank shall pay the amount in the account, including accrued interest,
as provided in an agreement between the general contractor and the subcontractor or as
determined by decree of a court of competent jurisdiction.

(g) All direct payments and all deductions from demands for direct payments deposited in an
interest bearing account or accounts in a bank pursuant to subparagraph (6) shall be made out
of amounts payable to the general contractor at the time of receipt of a demand for direct
payment from a subcontractor and out of amounts which later become payable to the General
contractor and in the order of receipt of such demands from subcontractors. All direct payments
shall discharge the obligation of the awarding authority to the general contractor to the extent
of such payment.

(h) The awarding authority shall deduct from payments to a General contractor amounts
which, together with the deposits in interest bearing accounts pursuant to subparagraph (6) are
sufficient to satisfy all unpaid balances of demands for direct payment received from
subcontractors. All such amounts shall be earmarked for such direct payments, and the
subcontractors shall have a right in such deductions prior to any claims against such amounts by
creditors of the general contractor.
(i) If the subcontractor does not receive payment as provided in subparagraph (1) or if the
general contractor does not submit a periodic estimate for the value of the labor or materials
performed or furnished by the subcontractor and the subcontractor does not receive payment
for same when due less the deductions provided for in subparagraph (1), the subcontractor may
demand direct payment by following the procedure in subparagraph (4) and the general
contractor may file a sworn reply as provided in that same subparagraph. A demand made after
the first day of the month following that for which the subcontractor performed or furnished the
labor and materials for which the subcontractor seeks payment shall be valid even if delivered
or mailed prior to the time payment was due on a periodic estimate from the general
contractor. Thereafter the awarding authority shall proceed as provided in subparagraph (e), (f),
(g) and (h)."

(2) Any assignment by a subcontractor of the rights under this section to a surety company
furnishing a bond under the provisions of section twenty-nine of chapter one hundred forty-nine
shall be invalid. The assignment and subrogation rights of the surety to amounts included in a
demand for direct payment which are in the possession of the awarding authority or which are
on deposit pursuant to subparagraph (6) shall be subordinate to the rights of all subcontractors
who are entitled to be paid under this section and who have not been paid in full.

(3) "subcontractor" as used in this section (I) for contracts awarded as provided in sections
forty-four A to forty-four L, inclusive, of chapter one hundred forty-nine shall mean a person
who files a sub-bid and received a subcontract as a result of that filed sub-bid or who is
approved by the awarding authority in writing as a person performing labor or both performing
labor and furnishing materials pursuant to a contract with the general contractor, (ii) for
contracts awarded as provided in paragraph (1) of section thirty-nine M of chapter thirty shall
mean a person approved by the awarding authority in writing as a person performing labor or
both performing labor and furnishing materials pursuant to a contract with the general
contractor, and (iii) for contracts with the Commonwealth not awarded as provided in sections
forty-four A to forty-four L, inclusive, of chapter one hundred forty-nine shall also mean a person
contracting with the general contractor to supply materials used or employed in a public works
project for a price in excess of five thousand dollars.

(4) A general contractor or a subcontractor shall enforce a claim to any portion of the
amount of a demand for direct payment deposit as provided in subparagraph (6) by a petition in
equity in the superior court against the other and the bank shall not be a necessary party. A
subcontractor shall enforce a claim for direct payment or a right to require a deposit as provided
in subparagraph (6) by a petition in equity in the superior court against the awarding authority
and the general contractor shall not be a necessary party. Upon motion of any party the court
shall advance for speedy trial any petition filed as provided in this paragraph. Sections fifty-nine
and fifty-nine B of chapter two hundred thirty-one shall apply to such petitions. The court shall
enter an interlocutory decree upon which execution shall issue for any part of a claim found due
pursuant to sections fifty-nine and fifty-nine B and, upon motion of any party, shall advance for
speedy trial the petition to collect the remainder of the claim. Any party aggrieved by such
interlocutory decree shall have the right to appeal therefrom as from a final decree. The court
shall not consolidate for trial the petition of any subcontractor with the petition of one or more
subcontractors or the same general Contract unless the court finds that a substantial portion of
the evidence of the same events during the course of construction (other than the fact that the
claims sought to be consolidated arise under the same general contract) is applicable to the
petitions sought to be consolidated and that such consolidation will prevent unnecessary duplication of evidence. A decree in any such proceeding shall not include interest on the disputed amount deposited in excess of the interest earned for the period of any such deposit. No person except a subcontractor filing a demand for direct payment for which no funds due the general contractor are available for direct payment shall have a right to file a petition in court of equity against the awarding authority claiming a demand for direct payment is premature and such subcontractor must file the petition before the awarding authority has made a direct payment to the subcontractor and has made a deposit of the disputed portion as provided in part (iii) of subparagraph (5) and in subparagraph (6).

(5) In any petition to collect any claim for which a subcontractor has filed a demand for direct payment the court shall, upon motion of the general contractor, reduce by the amount of any deposit of a disputed amount by the awarding authority as provided in part (iii) of subparagraph (5) and in subparagraph (6) any amount held under a trustee writ or pursuant to a restraining order or injunction.”

7. Contracts for Public Works Governed by M.G.L. c. 30, s. 39G:
The following statutory provision applies only to contracts for public works governed by M.G.L. c. 30, s. 39G: “Upon substantial completion of the work required by a contract with the commonwealth, or any agency or political subdivision thereof, for the construction, reconstruction, alteration, remodeling, repair or improvement of public ways, including bridges and other highway structures, sewers and, water mains, airports and other public works, the contractor shall present in writing to the awarding authority its certification that the work has been substantially completed. Within twenty-one days thereafter, the awarding authority shall present to the contractor either a written declaration that the work has been substantially completed or an itemized list of incomplete or unsatisfactory work items required by the contract sufficient to demonstrate that the work has not been substantially completed. The awarding authority may include with such list a notice setting forth a reasonable time, which shall not in any event be prior to the contract completion date, within which the contractor must achieve substantial completion of the work. In the event that the awarding authority fails to respond, by presentation of a written declaration or itemized list as aforesaid, to the contractor’s certification within the twenty-one day period, the contractor’s certification shall take effect as the awarding authority’s declaration that the work has been substantially completed.

Within sixty-five days after the effective date of a declaration of a substantial completion, the awarding authority shall prepare and forthwith send to the contractor for acceptance a substantial completion estimate for the quantity and price of the work done and all but one percent retainage on that work, including quantity, price and all but one percent retainage for the undisputed part of each work item and extra work item in dispute but excluding the disputed part thereof, less the estimated cost of completing all incomplete and unsatisfactory work items and less the total periodic payments made to date for the work. The awarding authority also shall deduct from the substantial completion estimate an amount equal to the sum of all demands for direct payments filed by subcontractors and not yet paid to subcontractors or deposit d in joint accounts pursuant to section thirty-nine F, but no contract subject to said section thirty-nine F shall contain any other provision authorizing the awarding authority to deduct any amount by virtue of claims asserted against the Contract by subcontractors, material suppliers or others.

If the awarding authority fails to prepare and send to the contractor any substantial completion estimate required by this section on or before the date herein above set forth, the awarding authority shall pay to the contractor interest on the amount which would have been due to the
contractor pursuant to such substantial completion estimate at the rate of three percentage points above the rediscount rate then charged by the Federal Reserve Bank of Boston from such date to the date on which the awarding authority sends that substantial completion estimate to the contractor for acceptance or to the date of payment therefor, whichever occurs first. The awarding authority shall include the amount of such interest in the substantial completion estimate.

Within fifteen days after the effective date of the declaration of substantial completion, the awarding authority shall send to the contractor by certified mail, return receipt requested, a complete list of all incomplete or unsatisfactory work items, and, unless delayed by causes beyond his control, the contractor shall complete all such work items within forty-five days after the receipt of such list or before the then contract completion date, whichever is later. If the contractor fails to complete such work within such time, the awarding authority may, subsequent to seven days’ written notice to the contractor by certified mail, return receipt requested, terminate the contract and complete the incomplete or unsatisfactory work items and charge the cost of same to the contractor.

Within thirty days after receipt by the awarding authority of a notice from the contractor stating that all of the work required by the contract has been completed, the awarding authority shall prepare and forthwith send to the contractor for acceptance a final estimate for the quantity and price of the work done and all retainage on that work less all payments made to date, unless the awarding authority’s inspection shows that work items required by the contract remain incomplete or unsatisfactory, or that documentation required by the contract has not been completed. If the awarding authority fails to prepare and send to the contractor the final estimate within thirty days after receipt of notice of completion, the awarding authority shall pay to the contractor interest on the amount which would have been due to the contractor pursuant to such final estimate at the rate hereinabove provided from the thirtieth day after such completion until the date on which the awarding authority sends the final estimate to the contractor for acceptance or the date of payment therefore, whichever occurs first, provided that the awarding authority’s inspection shows that no work items required by the contract remain incomplete or unsatisfactory. Interest shall not be paid hereunder on amounts for which interest is required to be paid in connection with the substantial completion estimate as hereinabove provided. The awarding authority shall include the amount of the interest required to be paid hereunder in the final estimate.

The awarding authority shall pay the amount due pursuant to any substantial completion or final estimate within thirty-five days after receipt of written acceptance for such estimate from the contractor and shall pay interest on the amount due pursuant to such estimate at the rate hereinabove provided from that thirty-fifth day to the date of payment. Within 15 days, 30 days in the case of the commonwealth, after receipt from the contractor, at the place designated by the awarding authority, if such place is designated, of a periodic estimate requesting payment of the amount due for the preceding periodic estimate period, the awarding authority shall make a periodic payment to the contractor for the work performed during the preceding periodic estimate period and for the materials not incorporated in the work but delivered and suitably stored at the site, or at some location agreed upon in writing, to which the contractor
has title or to which a subcontractor has title and has authorized the contractor to transfer title to the awarding authority, upon certification by the contractor that he is the lawful owner and that the materials are free from all encumbrances. The awarding authority shall include with each such payment interest on the amount due pursuant to such periodic estimate at the rate herein above provided from the due date. In the case of periodic payments, the contracting authority may deduct from its payment a retention based on its estimate of the fair value of its claims against the contractor, a retention for direct payments to subcontractors based on demands for same in accordance with the provisions of section thirty-nine F, and a retention to secure satisfactory performance of the contractual work not exceeding five per cent of the approved amount of any periodic payment, and the same right to retention shall apply to bonded subcontractors entitled to direct payment under section thirty-nine F of chapter thirty; provided, that a five per cent value of all items that are planted in the ground shall be deducted from the periodic payments until final acceptance.

No periodic, substantial completion or final estimate or acceptance or payment thereof shall bar a contractor from reserving all rights to dispute the quantity and amount of, or the failure of the awarding authority to approve a quantity and amount of all or part of any work item or extra work item.

Substantial completion, for the purposes of this section, shall mean either that the work required by the contract has been completed except for work having a contract price of less than one percent of the then adjusted total contract price, or substantially all of the work has been completed and opened to public use except for minor incomplete or unsatisfactory work items that do not materially impair the usefulness of the work required by the contract”

8. **Final Payment; Release of Claims by Contractor.**

Upon Final Acceptance of the Work the Contractor shall be entitled to payment of the balance of the Contract Price. Final payment shall be as provided in this Article above and in accordance with any process set forth in the Supplementary General Conditions. The Contractor agrees to execute a Certificate of Final Inspection, Release (with Contractor’s own exceptions listed thereon) and Acceptance as a condition precedent to Final Payment. The acceptance by the Contractor of the Final Payment made as aforesaid, or the execution of the Certificate of Final Acceptance by the Contractor, shall constitute a release of the Owner, the Awarding Authority, the Designer, and every member and agent of any of them, from all claims of and liability to the Contractor for anything done or furnished for or relating to the Work, or for any act or neglect of the Owner, the Designer, or of any person relating to or affecting the Work, except the claim against the Owner or the Designer for the remainder, if any there be, of the amounts set forth by the Contractor in the Certificate of Final Inspection, Release and Acceptance. Final Acceptance shall not relieve Contractor of the requirements of Articles IX, XIV, and XV of these General Conditions of the Contract, or of other provisions of this Contract, to the extent that the same are intended to survive Final Acceptance.

**ARTICLE IX. GUARANTEES AND WARRANTIES**

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1. **General Warranty.**
If at any time during the period of one (1) year from the date of the issuance of the Certificate of Agency Use and Occupancy by the Awarding Authority or the date of Final Acceptance, whichever occurs first, any part of such Work shall in the reasonable opinion of the Awarding Authority be defective or require replacing or repairing, or damage to other property of the Owner is caused by any defect in the Work, the Awarding Authority shall notify the Contractor in writing to make the required repairs or replacements and repair such damage. If the Contractor shall neglect to commence such repairs or replacements to the satisfaction to the Awarding Authority within ten (10) days from the date of the giving of such notice, then the Awarding Authority may employ other persons to make the same. The Contractor agrees, upon demand, to pay to the Awarding Authority all amounts which it expends for such repairs, replacements, and/or damages. During this one-year guarantee period any corrective work shall be performed under all the applicable terms of this Contract, and if Change Orders are issued in accordance with the terms of this Contract, the Contractor shall be entitled to compensation for special insurance, as required. This one-year guarantee shall not limit any express guaranty or warranty provided elsewhere in the Contract.

2. **Special Guarantees and Warranties.**
   A. The Contractor's obligation to correct Work as set forth in paragraph 1 above is in addition to, and not in substitution of, such guarantees or warranties as may be required in the various sections of the Specifications.
   B. Guarantees and warranties required in the various sections of the Specifications must be delivered to the Designer before final payment to the Contractor may be made, or in the case of guarantees and warranties which originate with a subcontractor’s section of the Work, before final payment for the amount of that subtrade or for the phase of Work to which the guarantee or warranty relates.
   C. The failure to deliver a required guarantee or warranty shall constitute a failure to fully complete the Work in accordance with the Contract Documents.

**ARTICLE X: MISCELLANEOUS LEGAL REQUIREMENTS.**

1. **Contractor to be Informed.**
The Contractor shall inform itself of all existing and future Laws in any manner affecting those engaged or employed in the Work, or the materials used or employed in the Work, or in any way affecting the conduct of the Work, and of all orders and decrees of bodies or tribunals having any applicable jurisdiction or authority over the Work.

2. **Compliance with all Laws.**
The Contractor shall cause all persons employed in the performance of the Work to comply with, all existing and future Laws, including but not limited to those set forth below:
   A. **Corporate Disclosures.** The Contractor, if a foreign corporation, shall comply with M.G.L. c. 181, s. 3 and s. 5, and M.G.L. c. 30, s.39L.
A ¾. Employment Eligibility Verification. The Contractor shall comply with Federal Department of Homeland Security Requirements in hiring any and all “Employees” to be employed in the Project who are required to be listed in the certified payroll reports for the Project. Such compliance shall include, but not be limited to the faithful completion of the Federal Department of Homeland Security Form I-9 process by the Contractor for each of its Employees. The Contractor shall execute a Certificate of Compliance with Employment Eligibility Verification Requirements (I-9 Certificate) with the execution of its Contract. The Contractor shall require each of its subcontractors and sub subcontractors to execute and provide to Contractor an I-9 Certificate with the execution of each subcontract, and Contractor shall immediately provide a copy to Awarding Authority. Contractor acknowledges that the weekly workforce report form contained in the contract documents, which must be submitted by the Contractor on a weekly basis, contains a statement that the Form I-9 process was faithfully completed for all employees listed on the weekly certified payroll report. By the signature of the Contractor’s Authorized Signatory on the I-9 Certificate, the Contractor certifies under the pains and penalties of perjury that the Contractor shall not knowingly use undocumented workers in connection with the performance of this contract; that pursuant to federal requirements, the Contractor shall verify the immigration status of all workers assigned to the contract without engaging in unlawful discrimination; and that the Contractor shall not knowingly or recklessly alter, falsify, or accept altered or falsified documents from any such worker. The Contractor understands and agrees that breach of any of these terms during the period of a contract may be regarded as a material breach, subjecting the Contractor to sanctions, including but not limited to monetary penalties, withholding of payments, contract suspension or termination.

B. Veterans Preference. In the employment of mechanics and apprentices, teamsters, chauffeurs, and laborers in the performance of Work in the Commonwealth, preference shall first be given to citizens of the Commonwealth who have been residents of the Commonwealth for at least six months at the commencement of their employment and who are veterans as defined M.G.L. c. 4, s. 7 (34), and who are qualified to perform the work to which the employment relates; and secondly, to citizens of the Commonwealth generally who have been residents of the Commonwealth for at least six months at the commencement of their employment, and if they cannot be obtained in sufficient numbers, then to citizens of the United States.

C. Prevailing Wages. The Contractor shall comply with M.G.L. c. 149, s. 26-7H. The prevailing wage schedule is found in Exhibit A to the Instructions to Bidders, listing the prevailing minimum wage rates that must be paid to all workers employed in the Work. The Awarding Authority is not responsible for any errors, omissions, or misprints in the said schedule. Such Schedule shall continue to be the minimum rate wages payable to workers employed in the Work throughout the term of this Contract, subject to the exceptions provided in M.G.L c.149, s. 27 yearly review of wage rates. The Contractor shall not have any claim for extra compensation from the Owner if the actual wages paid to workers employed in the Work exceeds the rates listed on the schedule or as otherwise provided by law. The Contractor shall cause a copy of said Schedule to be kept in a conspicuous place at the Site during the term of the Contract. If reserve police officers are employed by the Contractor, they shall be paid the prevailing wage of regular police officers. (See M.G.L c.149, s. 34B).

D. Payroll Records and Statement of Compliance. The Contractor shall comply and shall cause its Subcontractors to comply with Massachusetts General Law c. 149, s. 27B, which requires that a true and accurate record be kept of all persons employed on the a project for
which the prevailing wage rates have been provided. The Contractor and all Subcontractors
shall keep these records and preserve them for a period of three years from the date of
completion of the Contract. Such records shall be open to inspection by any authorized
representative of the Owner at any reasonable time, and as often as may be necessary. The
Contractor shall, and shall cause its subcontractors to, submit weekly copies of their weekly
payroll records to the Awarding Authority. In addition, the Contractor and each Subcontractor
shall furnish to the Executive Department of Labor within fifteen days after completion of its
portion of the Work a signed statement in the form required by the Awarding Authority.

E. Vehicle operators. If the Director of the Department of Labor and Workforce Development
has established a Schedule of wage rates to be paid to the operators of trucks, vehicles or
equipment for the Work, the Contractor shall be obligated to pay such operators at least the
minimum wage rate contained on such Schedule. (See M.G.L. c.149, s. 26-27H).

F. Eight-Hour Day. The Contractor shall comply with M.G.L. c. 149, s. 30, 34 and 34A which
provide that no laborer, workman, mechanic, foreman or inspector working within the
Commonwealth in the employ of the Contractor, subcontractor or other person doing or
contracting to do the whole or part of the Work shall be required or permitted to work more
than eight hours in any one day or more than forty-eight hours in any one week, or more than
six days in any one week, except in cases of extraordinary emergency.

G. Timely Payment of Wages. The Contractor shall comply with, and shall cause its
Subcontractors to comply with M.G.L. c. 149, s. 148 which requires the weekly or biweekly
payment of employees within six days of the end of the pay period during which wages were
earned if employed for five or six days of a calendar week, and within other periods of time
under certain circumstances as set forth therein.

H. Lodging, etc. The Contractor shall comply with, and shall cause its Subcontractors to
comply with, M.G.L. c. 149, s. 25 which provides that every employee under this Contract shall
lodge, board and trade where and with whom he elects, and neither the Contractor nor his
agents or employees shall, either directly or indirectly, require as a condition of the
employment of any person that the employee shall lodge, board or trade at a particular place
or with a particular person.

I. Truck Rates. The use by the Contractor of trucks or other motor vehicles hired from
either common or contract motor carriers in the course of performance of this Contract is
subject to such minimum rates and charges, and rules and regulations as may from time to time
be promulgated by the Department of Public Utilities of the Commonwealth of Massachusetts
or other agency of the State of Federal government which may be authorized by law to set
rates or otherwise regulate the use of such vehicles. The Contractor expressly assumes the risk
of any additional expense, inclusive of fuel charges for use of common or contract motor carrier
and trucks owned that may arise by reason of any change in such minimum rates and charges,
and rules and regulations, and shall be entitled to no additional compensation or
reimbursement by reason thereof.

J. Anti-Boycott Covenant (Executive Order #130). The Contractor warrants, represents
and agrees that during the time this Contract is in effect, neither it nor any affiliated company,
as hereafter defined, participates in or cooperates with an international boycott, as defined in
Section 999(b)(3) and (4) of the Internal Revenue Code of 1954, as amended, or engages in
conduct declared to be unlawful by M.G.L. c. 151E, s. 2. If there shall be a breach in the
warranty, representation or agreement contained in this paragraph, then without limiting such other rights as it may have the Awarding Authority shall be entitled to rescind this contract. As used herein, an affiliated company shall be any business entity of which at least 51% of the ownership interests are directly or indirectly owned by the Contractor or by a person or persons or business entity or entities directly or indirectly owning at least 51% of the Ownership interests of the Contractor; or which directly or indirectly owns at least 51% of the Ownership interests of the Contractor.

K. Contractor's Agreements with Suppliers--Anti-Boycott Provisions.

(1) The Contractor shall not purchase or rent any materials, equipment, machinery, vehicles, or supplies for or in connection with the Work from any person or entity who does not sign, under pains and penalties of perjury, a certificate that recites: "The undersigned warrants, represents and agrees that during the time its agreement with {insert contractor's name} is in effect for materials, supplies or equipment to be used in connection with the {insert the name of the Awarding Authority} Project No. {insert project number}, neither the undersigned or any affiliated company, as hereafter defined, participates in or cooperates with an international boycott, as defined in Section 999(b)(3) and (4) of the Internal Revenue Code of 1954, as amended, or engages in conduct declared to be unlawful by Section 2 of Chapter 151E of the Massachusetts General Laws. As used herein, an affiliated company shall be any business entity of which at least 51% of the ownership interests are directly or indirectly owned by the undersigned or by a person or persons or business entity or entities directly or indirectly owning at least 51% of the ownership interests of the undersigned; or which directly or indirectly owns at least 51% of the ownership interests of the undersigned."

(2) The Awarding Authority shall not be obligated to pay the Contractor for the cost of any materials, supplies, or equipment purchased or rented from any individual or entity from whom the Contractor has not previously obtained and delivered to the Awarding Authority the certificate that the previous paragraph requires. The Contractor will immediately terminate its contract with any supplier who breaches the warranty, representation and agreement contained in the previous paragraph.

(3) The Contractor shall include in the Contractor's agreement with any person or entity from whom the Contractor intends to purchase or rent any materials, equipment, machinery, vehicles or supplies for or in connection with the Work, (a) a notice that this Contract obligates the Contractor to terminate the supply contract upon discovery of such breach of the sworn certificate delivered under subparagraph (1) and such termination shall be without liability to the Contractor or the Awarding Authority and (b) a provision which states: "The Governor or his designee, the secretary of administration and finance, and the state auditor or his designee shall have the right at reasonable times and upon reasonable notice to examine the books, records and other compilations of the undersigned vendor which pertain to the performance and requirements of this agreement to provide materials of any nature to the undersigned contractor in connection with State Project No. {insert project number}."

L. Access to Contractor's Records (Executive Order #195). The Governor or his designee, the secretary of administration and finance, and the state auditor or his designee shall have the right at reasonable times and upon reasonable notice to examine the books, records and other
compilations of data of the Contractor which pertain to the performance and requirements of this Contract.

M. Northern Ireland - M.G.L. c. 7 § 22C. Pursuant to G.L. c. 7 s. 22C for state agencies, state authorities, the House of Representatives or the state Senate, the Contractor certifies that it does not employ ten or more employees in an office or other facility in Northern Ireland and if the Contractor employs ten or more employees in an office or other facility located in Northern Ireland the Contractor certifies that it does not discriminate in employment, compensation, or the terms, conditions and privileges of employment on account of religious or political belief; and it promotes religious tolerance within the work place, and the eradication of any manifestations of religious and other illegal discrimination; and the Contractor is not engaged in the manufacture, distribution or sale of firearms, munitions, including rubber or plastic bullets, tear gas, armored vehicles or military aircraft for use or deployment in any activity in Northern Ireland.

ARTICLE XI: CONTRACTOR'S ACCOUNTING METHOD REQUIREMENTS (M.G.L. c. 30, s. 39R)

1. Definitions.
The words defined herein shall have the meaning stated below whenever they appear in this Article XI:

— "Contractor" means any person, corporation, partnership, joint venture, sole proprietorship, or other entity awarded a Contract pursuant to M.G.L. c. 30, s. 39M, M.G.L. c. 149, s. 44A-J, and M.G.L. c. 7, s. 30B-P.

— "Contract" means any Contract awarded or executed pursuant to M.G.L. c. 30, s. 39M, M.G.L. c. 149, s.44A-J, and M.G.L. c. 7, s. 30B-P, which is for an amount or estimated amount greater than one hundred thousand dollars.

— "Independent Certified Public Account" means a person duly registered in good standing and entitled to practice as a certified public accountant under the laws of the place of his/her residence or principal office and who is in fact independent. In determining whether an accountant is independent with aspect to a particular person, appropriate consideration should be given to all relationships between the accountant and that person or any affiliate thereof. Determination of an accountant's independence shall not be confined to the relationships existing in connection with the filing of reports with the awarding authority.

— "Records" means books of original entry, accounts, checks, bank statements and all other banking documents, correspondence, memoranda, invoices, computer printouts, tapes, discs, papers and other documents or transcribed information of any type, whether expressed in ordinary or machine language.

— "Audit", when used in regard to financial statements, means an examination of records by an independent certified public accountant in accordance with generally accepted accounting principles and auditing standards for the purpose of expressing a certified opinion thereon, or, in the alternative, a qualified opinion or a declination to express an opinion for stated reasons or other person or persons primarily responsible for the financial and operational policies and practices of the Contractor.
Accounting terms, unless otherwise defined herein, shall have a meaning in accordance with generally accepted accounting principles and auditing standards.

2. **Record Keeping.**
   
   A. The Contractor shall make, and keep for at least six years after final payment, books, records, and accounts that in reasonable detail accurately and fairly reflect the transactions and dispositions of the Contractor.
   
   B. Until the expiration of six years after final payment, the Inspector General, DCAM, and the Awarding Authority shall have the right to examine any books, documents, papers or records of the Contractor and Subcontractors that directly pertain to, and involve transactions relating to the Contractor and Subcontractors.
   
   C. The Contractor shall describe any change in the method of maintaining records or recording transactions which materially affects any statements filed with the Awarding Authority including the date of the change and reasons therefore, and shall accompany said description with a letter from the Contractor’s independent certified public accountant approving or otherwise commenting on the changes.
   
   D. The Contractor represents that it has, prior to the execution of the Contract, filed a statement of management on internal accounting controls as set forth in Section 3 below.
   
   E. The Contractor represents that it has, prior to the execution of the Contract, filed an audited financial statement for the most recent completed fiscal year as set forth in section 4 below and will continue to file such statement annually during the term of the Contract.

3. **Statement of Management Controls.**
   
   A. The Contractor shall file with the Awarding Authority a statement of management as to whether the system of internal accounting controls of the Contractor and its subsidiaries reasonably assures that:
      
      (1) transactions are executed in accordance with management's general and specific authorization;
      
      (2) transactions are recorded as necessary to: (a) to permit preparation of financial statements in conformity with generally accepted accounting principles, and (b) to maintain accountability for assets;
      
      (3) access to assets is permitted only in accordance with management's general or specific authorization; and
      
      (4) the recorded accountability for assets is compared with the existing assets at reasonable intervals and appropriate action was taken with respect to any difference.
      
   B. The Contractor shall file with the Awarding Authority a statement prepared and signed by an independent certified public accountant, stating that the accountant has examined the statement of management on internal accounting controls, and expressing an opinion as to:
      
      (1) whether the representations of management in response to subparagraph 3 above are consistent with the results of management's evaluation of the system of internal accounting controls; and
(2) whether such representations of management are reasonable with respect to transactions and assets in amounts which would be material when measured in relation to the applicant's financial statement.

4. **Annual Financial Statement.**

   **A.** Every Contractor awarded a contract shall annually file with DCAM during the term of the Contract a financial statement prepared by an independent certified public accountant on the basis of an audit by such accountant. The final statement filed shall include the date of final payment. All statements shall be accompanied by an accountant's report.

   **B.** The office of Inspector General and DCAM shall have the right to enforce the provisions of this Article. A Contractor's failure to satisfy any of the requirements of this section may be grounds for debarment pursuant to M.G.L. c. 149, s. 44C.

5. **Bid Pricing Materials.**

   The Contractor shall save the written calculations, pricing information, and other data that the Contractor used to calculate the bid that induced the Awarding Authority to enter into this Contract (the "Bid Pricing Materials") for at least six years after the Awarding Authority makes final payment under this Contract.
ARTICLE XII: EQUAL EMPLOYMENT OPPORTUNITY, NON-DISCRIMINATION AND AFFIRMATIVE ACTION PROGRAM.

This Contract includes the provisions of the Awarding Authority's "Equal Employment Opportunity, Non-Discrimination, and Affirmative Action Program" attached as Appendix A to these General Conditions of the Contract and incorporated herein by reference.

ARTICLE XIII: GOALS FOR PARTICIPATION BY MINORITY BUSINESS ENTERPRISES AND WOMEN BUSINESS ENTERPRISES

This Contract includes the provisions of the Awarding Authority's program relating to Goals for Participation by Minority Business Enterprises and Women Business Enterprises attached as Appendix B to these General Conditions of the Contract and incorporated herein by reference.

ARTICLE XIV: INSURANCE REQUIREMENTS

1. Insurance Generally.
   A. The Contractor shall take out and maintain the insurance coverage listed in this Article with respect to the operations as well as the completed operations of this Contract. This insurance shall be provided at the Contractor's expense and shall be in full force and effect for the full term of the Contract or for such longer period as this Article requires.
   B. All policies shall be written on an occurrence basis and be issued by companies authorized to write that type of insurance under the laws of the Commonwealth and rated in Best's Insurance Guide (or any successor thereto or replacement thereof) as having a general policy holder rating of "A" or better and a financial rating of at least "9" or otherwise acceptable to the Awarding Authority.
   C. Contractor shall submit three originals of each certificate of insurance, acceptable to the Awarding Authority, simultaneously with the execution of this Contract. Certificates shall show the Awarding Authority and the Owner as an additional insured as to all policies of liability insurance and shall state that Contractor has paid all premiums and that none of the coverage shall be cancelled, terminated, or materially modified unless and until 30 days prior notice is given in writing to the Awarding Authority. The awarding authority is the University of Massachusetts, and the owner is the University of Massachusetts Amherst or other instrumentality that will own the work including but not limited to the following: UMBA and the Commonwealth. Contractor shall submit updated certificates prior to the expiration of any of the policies referenced in the certificates so that the Awarding Authority shall at all time possess certificates indicating current coverage. Certificates shall indicate that the contractual liability coverage, and Contractor's Protective Liability coverage is in force. Certificates shall include specific acknowledgment that the following coverage are included in the policies:
   - Contractual liability
   - Contractor's protective
   - Owner as additional insured by form CG2010 (11/85 ed.) to the general liability
   - Owner as additional insured to automobile liability, umbrella liability, and pollution liability
   - General Liability is endorsed with CG2404, Waiver of Subrogation, in favor of the Owner
— Builder’s Risk or Installation Floater includes Owner, Contractor and subcontractors of any tier as named insured. Builder’s Risk or Installation floater is on an All Risk basis including earthquake and flood.

D. The Contractor shall file one certified copy of all policies with the Awarding Authority within sixty days after Contract award. If the Awarding Authority or the Owner is damaged by the Contractor’s failure to maintain such insurance and to comply with the terms of this Article, then the Contractor shall be responsible for all costs and damages to the Owner attributable thereto.

E. Termination, cancellation, or material modification of any insurance required by this Contract, whether by the insurer or the insured, shall not be valid unless written notice thereof is given to the Awarding Authority at least thirty days prior to the effective date thereof, which shall be expressed in said notice.

2. Contractor’s Commercial General Liability.

A. The Contractor shall provide the following minimum general liability coverage with respect to the operations performed by Contractor and any employee, subcontractor, or supplier, unless a higher coverage is specified in Exhibit A to the Owner - Contractor Agreement, in which case the Contractor shall provide the additional coverage:

- Bodily Injury & $1,000,000 each occurrence
- Property Damage $2,000,000 general aggregate, per project
- Products & Completed Operations $1,000,000 annual aggregate
- Personal & Advertising Injury $1,000,000 each occurrence
- Medical Expenses $10,000

B. This policy shall include coverage relating to explosion, collapse, and underground property damage.

C. This policy shall include contractual liability coverage.

D. The completed operations coverage shall be maintained for a period of three (3) years after Substantial Completion.

E. If the Work includes work to be performed within 50 feet of a railroad, any exclusion for liability assumed under contract for work within 50 feet of a railroad shall be deleted.

F. This policy shall include endorsement CG2010 (10/85 edition), Owner as Additional Insured and CG2404 (11/85 edition) Waiver of Subrogation in Favor of Owner.


A. The Contractor shall provide the following minimum coverage with respect to the operations of any employee, including coverage for owned, non-owned, and hired vehicles, unless a higher coverage is specified in Exhibit A to the Owner - Contractor Agreement, in which case the Contractor shall provide the additional coverage:

- Combined Single Limit $1,000,000

B. The policy shall include a CA9948 Pollution Endorsement and shall name the Owner as an Additional Insured.
4. **Pollution Liability.**
The Contractor shall provide coverage for bodily injury and property damage resulting from liability arising out of pollution related exposures such as asbestos abatement, lead paint abatement, tank removal, removal of contaminated soil, etc. The Awarding Authority and the Owner shall be named as an additional insured and coverage must be on an occurrence basis. The amount of coverage shall be $1,000,000 per occurrence and $3,000,000 in the aggregate unless a higher amount is specified in Exhibit A to the Owner - Contractor Agreement, in which case the Contractor shall provide the additional coverage.

5. **Worker's Compensation.**
   - **A.** The Contractor shall provide the following coverage in accordance with M.G.L. c.149 §34A and c.152 as amended, unless a higher coverage is specified in Exhibit B to the Owner - Contractor Agreement, in which case the Contractor shall provide the higher coverage:
     - Worker's Compensation: Provide Statutory Minimum
     - Part One: $500,000 each accident
     - Employer's Liability: $500,000 disease per employee
     - Part Two: $500,000 disease policy aggregate
   - **B.** If specified in Exhibit A to the Owner - Contractor Agreement the policy must be endorsed to cover United States Longshoremens & Harborworkers Act (USLHW), Maritime Liability for $1,000,000/$1,000,000, or Federal Employer's Liability Act liability.

6. **Builder's Risk/ Installation Floater/Stored Materials.**
   - **A.** The Contractor shall provide coverage against loss or damage on all Work included in this Contract in an amount equal to the Contract Price. Such coverage shall be written on an all risks basis or equivalent form and shall include, without limitation, insurance against perils of fire (with extended coverage) and physical loss or damage including, without duplication of coverage, theft, vandalism, malicious mischief, collapse, earthquake, flood (if the project is not in an "A" or a "V" flood Zone), windstorm, false work, testing and startup, temporary buildings and debris removal including demolition occasioned by enforcement of any applicable legal requirements, and shall cover reasonable compensation for Architect's and Contractor's services and expenses required as a result of such insured loss. This policy and/or installation floater shall indicate if Stored Materials coverage is provided as required below.
   - **B.** When Work will be completed on existing buildings owned by the Owner, the Contractor shall provide an installation floater, in the full amount of the Contract Price. Such coverage shall be written on an all risks basis or equivalent form and shall include, without limitation, insurance against perils of fire (with extended coverage) and physical loss or damage including, without duplication of coverage, theft, vandalism, malicious mischief, collapse, earthquake, flood (if the project is not in an "A" or a "V" flood Zone), windstorm, false work, testing and startup, temporary buildings and debris removal including demolition occasioned by enforcement of any applicable legal requirements, and shall cover reasonable compensation for Architect's and Contractor's services and expenses required as a result of such insured loss. This policy and/or installation floater shall indicate if Stored Materials coverage is provided as required below.
C. The Contractor shall maintain insurance on delivered and/or stored material designated to be incorporated in the Work against fire, theft or other hazards. Any loss or damage of whatever nature to such material while stored at some approved off Site location shall be forthwith replaced by the Contractor at no expense to the Awarding Authority.

D. The policy or policies shall specifically state that they are for the benefit of and payable to the Awarding Authority, Owner, the Contractor, and all persons furnishing labor or labor and materials for the Contract Work, as their interests may appear. The policy or policies shall list the Awarding Authority, Owner, the Contractor, and Subcontractors of any tier as named insured.

E. Coverage shall include any costs for work performed by the Designer or any consultant as the result of a loss experienced during the term of this Contract.

F. Coverage shall include temporary occupancy and waiver of subrogation and shall waive all rights of recovery by subrogation against the University of Massachusetts Building Authority, the University, and the Commonwealth of Massachusetts.

7. Umbrella Coverage.
The Contractor shall provide Umbrella Coverage in form at least as broad as primary coverage required by Sections 2, 3 and 5 of this Article in the following amount unless a higher amount is specified in Exhibit A to the Owner - Contractor Agreement, in which case the Contractor shall provide the higher amount:

<table>
<thead>
<tr>
<th>Contract Price</th>
<th>Umbrella Coverage</th>
</tr>
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<tbody>
<tr>
<td>Under $1,000,000</td>
<td>$2,000,000</td>
</tr>
<tr>
<td>$1,000,000 -- $5,000,000</td>
<td>$5,000,000</td>
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<tr>
<td>$5,000,001 -- $10,000,000</td>
<td>$10,000,000</td>
</tr>
<tr>
<td>$10,000,001 and over</td>
<td>$25,000,000</td>
</tr>
</tbody>
</table>

8. Additional types of Insurance.
The Contractor shall provide such other types of insurance as may be required by Exhibit A to the Owner - Contractor Agreement.

ARTICLE XV: INDEMNIFICATION

1. Generally.
To the fullest extent permitted by law, the Contractor shall indemnify, defend (with counsel subject to the supervision of the Attorney General of the Commonwealth of Massachusetts as required by M.G.L. c. 12, s. 3) and hold harmless the Owner, Awarding Authority and Designer and their officers, agents, divisions, agencies, employees, representatives, successors and assigns from and against all claims, damages, losses and expenses, including but not limited to court costs and attorneys’ fees, arising out of or resulting from the performance of the Work, including but not limited to those arising or resulting from:

- labor performed or furnished and/or materials used or employed in the performance of the Work;
- violations by Contractor, any Subcontractor, or by any person directly or indirectly employed or used by any of them in the performance of the Work or anyone for whose acts any of them may be liable (Contractor, subcontractor and all such persons herein collectively
called "Contractor's Personnel") of any Laws;
— violations of any provision of this Contract by any of Contractor's Personnel;
— injuries to any persons or damage to any property in connection with the Work;
— any act, omission, or neglect of Contractor's Personnel.

The Contractor shall be obligated as provided above, regardless of whether or not such claims, damages, losses and/or expenses, are caused in whole or in part by the actions or inactions of a party indemnified hereunder. In any and all claims by Contractor's Personnel against parties indemnified hereunder, the Contractor's indemnification obligation set forth above shall not be limited in any way by any limitation on the amount or type of damages, compensation or benefits payable by or for the Contractor or any subcontractor under workers' or workmen's compensation acts, disability benefit acts or other employee benefit acts. Such obligation shall not be construed to negate, abridge, or otherwise reduce any other right or obligation of indemnity which would otherwise exist as to any party or person described in this Article XV.

2. Designer's Actions.
The obligations of the Contractor under Section 1 above shall not extend to the liability of the Designer, its agents or employees, arising out of (i) the preparation or approval of maps, drawings, opinions, reports, surveys Change Orders, designs or specifications, or (ii) the giving of or the failure to give directions or instructions by the Designer, its agents to employees provided such giving or failure to give is the primary cause of the injury or damage.

The provisions of this Article XV are intended to survive Final Acceptance and/or any termination of this Contract.

ARTICLE XVI: PERFORMANCE AND PAYMENT BONDS

1. Contractor Bonds.
   A. The Contractor shall provide performance and payment (labor and materials) bonds in the form provided by the Awarding Authority, executed by a surety licensed by the Commonwealth of Massachusetts Division of Insurance. Each such bond shall be in the amount of the Contract Price.
   B. If at any time prior to final payment to the Contractor, the Surety:
      — is adjudged bankrupt or has made a general assignment for the benefit of its creditors;
      — has liquidated all assets and/or has made a general assignment for the benefit of its creditors;
      — is placed in receivership;
      — otherwise petitions a state or federal court for protection from its creditors; or
      — allows its license to do business in Massachusetts to lapse or be revoked;
then the Contractor shall, within 21 days of any such action listed above, provide the Awarding Authority with new performance and payment bonds as described in Paragraph A above. Such bonds shall be provided solely at the Contractor's expense.

2. **Subcontractor Bonds.**
   
   **A.** If the Contractor provided in its General Bid that any or all filed subcontractors shall provide the Contractor with payment and performance bonds for the full amount of their respective Subcontracts, then the costs for said bonds shall be the responsibility of the Contractor.
   
   **B.** If the Contractor provided in its General Bid that filed Subcontractors shall provide bonds, and subsequently waives the requirement, the Contractor shall give the Awarding Authority a written certification that the Contractor understands that if the filed Subcontractor defaults or is terminated, the Contractor shall have full responsibility for all costs and expenses related to said default or termination but shall be entitled to a credit adjustment to the Contract Price in an amount equal to the bond premium Contractor would have paid had Contractor required the filed Subcontractor to provide such bonds.

**ARTICLE XVII: TERMINATION OF CONTRACT**

1. **Termination for Cause.**
   
   **A.** The Awarding Authority may without prejudice to any other right or remedy deem this Contract terminated for cause if any of the following defaults shall occur and not be cured within three (3) days after the giving of notice thereof by the Awarding Authority to the Contractor and any surety that has given bonds in connection with this Contract:

   1. The Contractor has filed a petition, or a petition has been filed against the Contractor with its consent, under any federal or state law concerning bankruptcy, reorganization, insolvency or relief from creditors, or if such a petition is filed against the Contractor without its consent and is not dismissed within sixty (60) days; or if the Contractor is generally not paying its debts as they become due; or if the Contractor becomes insolvent; or if the Contractor consents to the appointment of a receiver, trustee, liquidate, custodian or the like of the Contractor or of all or any substantial portion of its assets and such appointment or possession is not terminated within sixty (60) days; or if the Contractor makes an assignment for the benefit of creditors;
   
   2. The Contractor refuses or fails, except in cases for which extension of time is provided under this Contract's express terms, to supply enough properly skilled workers or proper materials to perform its obligations under this Contract, or the Designer has determined that the rate of progress required for the timely completion of the Work is not being met;
   
   3. The Contractor fails to make prompt payment to Subcontractors or for materials, equipment, or labor;
   
   4. All or a part of the Work has been abandoned;
   
   5. The Contractor has sublet or assigned all or any portion of the Work, the Contract, or claims thereunder, without the prior written consent of the Owner, except as expressly permitted in this Contract;
(6) The Contractor has failed to comply with Laws;
(7) The Contractor fails to maintain, or provide to the Awarding Authority evidence of
the insurance or bonds required by this Contract, or
(8) The Contractor has failed to prosecute the Work or any portion thereof to the
standards required under this Contract or has otherwise breached any material provision
of this Contract.

B. The Awarding Authority shall give the Contractor and any surety notice of such
termination for cause, but the giving of notice of such termination shall not be a condition
precedent or subsequent to the termination’s effectiveness. In the event of such termination,
and without limiting any other available remedies, the Awarding Authority may, at its option:

(1) hold the Contractor and its sureties liable in damages for a breach of Contract;
(2) notify the Contractor to discontinue all work, or any part thereof, and the Contractor
shall discontinue all work, or any part thereof, as the Owner may designate;
(3) complete the Work, or any part thereof, and charge the expense of completing the
Work or part thereof, to the Contractor;
(4) require the surety or sureties to complete the Work and perform all of the
Contractor’s obligations under this Contract.

If the Awarding Authority elects to complete all or any portion of the Work as specified in (3)
above, it may take possession of all materials, equipment, tools, machinery, implements at or
near the Site owned by the Contractor and finish the Work at the Contractor’s expense by
whatever means the Awarding Authority may deem expedient; and the Contractor shall
cooperate at its expense in the orderly transfer of the same to a new contractor or to the
Awarding Authority as directed by the Awarding Authority. In such case the Awarding Authority
shall not make any further payments to the Contractor until the Work is completely finished. The
Owner shall not be liable for any depreciation, loss or damage to said materials, machinery,
implements or tools during said use and the Contractor shall be solely responsible for their
removal from the Site after the Owner has no further use for them. Unless so removed within
fifteen days after notice to the Contractor to do so, they may be sold at public auction, after
publication of notice thereof at least twice in any newspaper published in the county where the
Work is being performed, and the proceeds credited to the Contractor’s account; or they may,
at the option of the Awarding Authority, be stored at the Contractor’s expense subject to a lien
for the storage charges.

C. Damages and expenses incurred under paragraph B above shall include, but not be limited
to, costs for the Designer’s extra services and Project Representative services required, in the
opinion of the Awarding Authority, to successfully inspect and administer the construction
contract through final completion of the Work.

D. Expenses charged under paragraph B above may be deducted and paid by the Awarding
Authority out of any money then due or to become due to the Contractor under this Contract.

E. All sums damages, and expenses incurred by the Owner to complete the Work shall be
charged to the Contractor. In case the damages and expenses charged are less than the sum that
would have been payable under this Contract if the same had been completed by the Contractor,
the Contractor shall be entitled to receive the difference. In case such expenses shall exceed the
said sum, the Contractor shall pay the amount of the excess to the Owner.
2. **Termination For Convenience.**

   A. The Awarding Authority may terminate this Contract for convenience even though the Contractor is not in default by giving notice to the Contractor specifying in said notice the date of termination.

   B. In case of such termination without cause, the Contractor shall be paid:

      1. all sums due and owing under this Contract through the date of termination, including any retainage withheld to the date of termination, less any amount which the Awarding Authority determines is necessary to correct or complete the Work performed to the date of termination; plus

      2. a reasonable sum to cover the expenses which Contractor would not have incurred but for the early termination of the Contract, such as demobilization of the work force, restocking charges, termination fees payable to Subcontractors.

   C. The payment provided in paragraph B above shall be considered to fully compensate the Contractor for all claims and expenses and those of any consultants, Subcontractors, and suppliers, directly or indirectly attributable to the termination, including any claims for lost profits.

3. **Contractor's Duties Upon Termination For Convenience.**

   Upon termination of this Contract for convenience as provided in Section 2 of this Article, the Contractor shall: (1) stop the Work; (2) stop placing orders and Subcontracts in connection with this Contract; (3) cancel all existing orders and Subcontracts; (4) surrender the Site to the Awarding Authority in a safe condition; (5) transfer to the Awarding Authority all materials, supplies, work in process, appliances, facilities, equipment and machinery of this Contract, and all plans, Drawings, specifications and other information and documents used in connection with this Contract.

**ARTICLE XVIII: MISCELLANEOUS PROVISIONS**

1. **No Assignment by Contractor.**

   The Contractor shall not assign by power of attorney or otherwise, or sublet or subcontract, the Work or any part thereof, without the previous written consent of the Awarding Authority and shall not, either legally or equitably, assign any of the moneys payable under this Contract, or Contractor's claims hereunder, unless with the like consent of the Awarding Authority, whether said assignment is made before, at the time of, or after the execution of the Contract. The Contractor shall remain responsible for satisfactory performance of all Work sublet or assigned. Consent of the Awarding Authority shall not be deemed to constitute a representation or waiver of any right hereunder by the Awarding Authority as to the qualifications or the responsibility of the Contractor or Subcontractor(s).

2. **Non-Appropriation.**

   If the Awarding Authority is unable to obtain an appropriation of funds sufficient to discharge its obligations under this Agreement for any fiscal year during the term of this Agreement, the Awarding Authority shall not be obligated to make any further payments, and this Agreement
may be terminated immediately by either the Awarding Authority or the Contractor, provided
that the Awarding Authority shall make payment to the Contractor for obligations incurred
during the period for which funding was included in an annual or supplemental appropriation.
Delay by the General Court in enacting an annual or supplemental appropriation bill shall not
be grounds for termination of this Agreement pursuant to this Section, unless such annual or
 supplemental appropriation bill as enacted and signed by the Governor contains insufficient
 funding for obligations pursuant to this Agreement.

3. **Claims by Others Not Valid.**
No person other than the Contractor shall acquire any interest in this Contract or claim against
the Awarding Authority or Owner hereunder, and no claim by any other person shall be valid
except as provided in M.G.L. c. 30, s. 39F of the General Laws.

4. **No Personal Liability of Public Officials.**
No public official, employee, or agent of the Awarding Authority or Owner shall have any
personal liability for the obligations of the Awarding Authority or Owner set forth in this
Contract.

5. **Severability.**
The provisions of this Contract are severable, and if any of these provisions shall be held
unconstitutional or unenforceable by any court of competent jurisdiction, the decision of such court
shall not affect or impair any of the other provisions of this Contract.

6. **Choice of Laws.**
This Contract shall be governed by the laws of the Commonwealth of Massachusetts for all
purposes, without regard to its laws on choice of law. All proceedings under this Contract or
related to the Project shall be brought in the courts of the Commonwealth of Massachusetts.

7. **Standard Forms.**
Unless directed otherwise in writing by the Awarding Authority, Contractor shall use the
standard forms in use by the Awarding Authority and/or Division of Capital Asset Management
and Maintenance appearing in Appendix C to these General Conditions of the Contract.

8. **No Waiver of Subsequent Breach.**
No waiver of any breach or obligation of this Contract shall constitute a waiver of any other or
subsequent breach or obligation.

9. **Remedies Cumulative.**
All remedies of the Awarding Authority provided in this Contract shall be construed as
cumulative and may be exercised simultaneously or in any order as determined by the
Awarding Authority in its sole discretion. The Awarding Authority shall also be entitled as of
right to specific performance and equitable relief including the right to an injunction against any
breach of any of the provisions of this Contract.
Notices to the Contractor shall be deemed given when hand delivered to the Contractor's temporary field office at or near the Site, or when deposited in the U.S. mail addressed to the Contractor at the Contractor's address specified in the Owner - Contractor Agreement, or when delivered by courier to either location. Unless otherwise specified in writing by the Awarding Authority, notices and deliveries to the Awarding Authority shall be effective only when delivered to the Awarding Authority at the address specified in the Owner - Contractor Agreement and date-stamped at the reception desk or for which a receipt has been signed by the agent or employee designated by the Awarding Authority to receive official notices.
APPENDIX A to General Conditions of the Contract

The following provisions form Article XII of the General Conditions of the Contract where the University of Massachusetts Amherst is the Awarding Authority.

EQUAL EMPLOYMENT OPPORTUNITY, NON-DISCRIMINATION AND AFFIRMATIVE ACTION PROGRAM.

1. Compliance Generally.
For purpose of this Article, "minority" refers to Asians, Blacks, Western Hemisphere Hispanics, Native Americans, and Cape Verdeans; "Commission" refers to the Massachusetts Commission Against Discrimination. During the performance of this Contract, the Contractor and all of its Subcontractors (hereinafter collectively referred to as the Contractor) shall comply with all applicable equal employment opportunity, non-discrimination and affirmative action requirements, including but not limited to the following:

   A. The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religious creed, national origin, age, handicap, sexual orientation, or sex. The aforesaid provision shall include, but not be limited to, the following: employment upgrading, demotion or transfer; recruitment advertising; recruitment layoff; termination; rates of pay or other forms of compensation; conditions or privileges of employment; and selection for apprenticeship. The Contractor shall comply with the provisions of M.G.L. c. 151B and all other applicable anti-discrimination and equal opportunity laws.
   B. The Contractor shall comply with the provisions of Executive Order 478, entitled Order Regarding Nondiscrimination, Diversity, Equal Opportunity and Affirmative Action, which prohibits unlawful discrimination based on race, color, age, gender, ethnicity, sexual orientation, religion, creed, ancestry, national origin, disability, veteran’s status (including Vietnam-era veterans), or background. Executive Order 478 is herein incorporated by reference and made a part of this Contract.

Pursuant to Executive Order 478 the Contractor and any subcontractors may not engage in discriminatory employment practices; and the Contractor must certify that it is in compliance with all applicable federal and state laws, rules, and regulations governing fair labor and employment practices; and commit to purchasing supplies and services from certified minority or women-owned businesses, small businesses, or businesses owned by socially or economically disadvantaged persons or persons with disabilities. These provisions shall be enforced through the contracting agency, the Operational Services Division, and/or the Massachusetts Commission Against Discrimination. Any breach shall be regarded as a material breach of Contract that may subject Contractor to appropriate sanctions. The Contractor shall comply with the provisions of Executive Order No. 246 entitled Revoking and Superseding Executive Orders Numbers 143 and 150, with respect to affirmative action programs for handicapped individuals, which is herein incorporated by reference and made a part of this Contract.
C. In connection with the performance of the Work, the Contractor shall undertake in good faith affirmative action measures designed to eliminate any discriminatory barriers in the terms and conditions of employment on the grounds of race, color, religious creed, national origin, age, sexual orientation, or sex, and to eliminate and remedy any effects of such discrimination in the past. Such affirmative action shall entail positive and aggressive measures to ensure equal opportunity in the areas of hiring, upgrading, demotion or transfer, recruitment, layoff or termination, rate of compensation, and in-service or apprenticeship training programs. This affirmative action shall include all action required to guarantee equal employment opportunity for all persons, regardless of race, color, religious creed, national origin, age, sexual orientation, or sex. A purpose of this provision is to ensure to the fullest extent possible an adequate supply of skilled tradesmen for future public construction projects.

D. If the Contractor shall use any subcontractor on any work performed under this Contract, the Contractor shall take affirmative steps to negotiate with qualified minority and women subcontractors. These affirmative steps shall cover both pre-bid and post-bid periods. It shall include notification to the State Office of Minority and Women Business Assistance or its designee, while bids are in preparation, of all products, work or services for which the Contractor intends to negotiate bids. In all solicitations either by competitive bidding or negotiation made by the Contractor either for work to be performed under a subcontract or for the procurement of materials or equipment, each potential subcontractor or supplier shall be notified in writing by the Contractor of the Contractor's obligations under this Contract relative to non-discrimination and affirmative action.

E. As part of its obligation of remedial action under this Article, the Contractor shall maintain on this project not less than the percent ratio set forth in the Owner - Contractor Agreement of minority employee worker hours to total worker hours in each job category including but not limited to bricklayers, carpenters, cement masons, electricians, ironworkers, operating engineers, and those "classes of work" enumerated in M.G. L. c. 149, s. 44F.

F. In the hiring of minority journeypersons, apprentices, trainees and advanced trainees, the Contractor shall rely on referrals from a multi-employer affirmative action program approved by the Commission, traditional referral methods utilized by the construction industry, and referrals from agencies, not more than three in number at any one time, designated by the Liaison Committee or the Awarding Authority.

3. Liaison Committee, Reports and Records.

A. At the option of the Awarding Authority, there may be established for the term of this Contract a body to be known as the Liaison Committee. The Liaison Committee shall be composed of one representative each from the Awarding Authority, the Commission and such other representatives as may be designated by the Commission in conjunction with the Awarding Authority. The Contractor (or his agent, if any, designated by him as the on-Site equal employment opportunity officer) shall recognize the Liaison Committee as an affirmative action body, and shall establish a continuing working relationship with the Liaison Committee, consulting with the Liaison Committee on all matters related to minority recruitment, referral, employment and training.

B. The Contractor shall prepare projected staffing tables on a quarterly basis. These shall be broken down into projections, by week, of workers required in each trade. Copies shall be
furnished one week in advance of the commencement of the period covered, and also when updated, to the Awarding Authority and Liaison Committee. The Contractor shall prepare weekly reports in a form approved by the Awarding Authority of hours worked in each trade by each employee, identified as minority or non-minority. Copies of these shall be provided at the end of each such week to the Awarding Authority and to the Liaison Committee.

C. Records of employment referral orders, prepared by the Contractor, shall be made available to the Awarding Authority and to the Liaison Committee on request.

D. A designee of the Awarding Authority and a designee of the Liaison Committee shall each have right to access to the Site.

E. The Contractor shall comply with the provisions of M.G.L. c. 151B as amended, of the Massachusetts General Laws, both of which are herein incorporated by reference and made a part of this Contract.

F. The Contractor shall provide all information and reports required by the Awarding Authority or the Commission on forms and in accordance with instructions issued by either of them and will permit access to its facilities and any books, records, accounts and other sources of information which may be determined by the Awarding Authority or the Commission to affect the employment of personnel. This provision shall apply only to information pertinent to the Owner 's supplementary affirmative action Contract requirements. Where information required is in the exclusive possession of another who fails or refuses to furnish this information, the Contractor shall so certify to the Awarding Authority or the Commission as appropriate and shall set forth what efforts he has made to obtain the information.


A. Whenever the Awarding Authority, the Commission, or the Liaison Committee believes the Contractor or any Subcontractor may not be operating in compliance with the terms of this Article, the Commission shall directly, or through its designated agent, conduct an appropriate investigation, and may confer with the parties, to determine if such Contractor is operating in compliance with the terms of this Article. If the Commission or its agent finds the Contractor or any Subcontractor not in compliance, it may make a preliminary report on non-compliance, and notify such Contractor in writing of such steps as will in the judgment of the Commission or its agent bring such Contractor into compliance. In the event that such Contractor fails or refuses to fully perform such steps, the Commission may make a final report of non-compliance, and recommend to the Awarding Authority the imposition of one or more of the sanctions listed below. If, however, the Commission believes the Contractor or any Subcontractor has taken or is taking every possible measure to achieve compliance, it shall not make a final report of non-compliance. Within fourteen days of the receipt of the recommendations of the Commission, the Awarding Authority shall move to impose one or more of the following sanctions, as it may deem appropriate to attain full and effective enforcement:

(1) The recovery by the Awarding Authority from the Contractor of 1/100 of 1% of the Contract award price or $1,000 whichever sum is greater, in the nature of liquidated damages or, if a Subcontractor is in non-compliance, the recovery by the Awarding Authority from the Contractor, to be assessed by the Contractor as a back charge against the subcontractor, of 1/10 of 1% of the sub-Contract Price, or $400 whichever
sum is greater, in the nature of liquidated damages, for each week that such party fails or refuses to comply;

(2) The suspension of any payment or part thereof due under the Contract until such time as the Contractor or any subcontractor is able to demonstrate his compliance with the terms of the Contract;

(3) The termination, or cancellation, of the Contract, in whole or in part, unless the Contractor or any Subcontractor is able to demonstrate, as approved by the Awarding Authority, within a specified time his compliance with the terms of the contract;

(4) The denial to the Contractor or any subcontractor of the right to participate in any future contracts awarded by the Awarding Authority for a period of up to three years.

B. If at any time after the imposition of one or more of the above sanctions a Contractor is able to demonstrate that it is in compliance with this Article, the Contractor may request the Awarding Authority, in consultation with the Commission, to suspend the sanctions conditionally, pending a final determination by the Commission as to whether the Contractor is in compliance. Upon final determination of the Commission, the Awarding Authority, based on the recommendation of the Commission, shall either lift the sanctions or impose them again.

C. Sanctions recommended by the Commission and enumerated under Section 4 above shall not be imposed by the Awarding Authority except after an adjudicatory proceeding, as that term is used M.G.L. c. 30A, has been conducted. No investigation by the Commission or its agent shall be initiated without prior notice to the Contractor.

D. Notwithstanding the provisions of 4A-4C above, if the Awarding Authority determines after investigation that the Contractor or any Subcontractor is not in compliance with the terms of this Article, it may suspend any payment or portion thereof due under the Contract until the contractor demonstrates to the satisfaction of the Awarding Authority compliance with the terms of this Article. This temporary suspension of payments by the Awarding Authority is separate from the sanctions set forth in Section 4A-4C of this Article above, which are determined by MCAD and recommend to the Awarding Authority. Payment may be suspended only after the Contractor and any other interested party shall have been given the opportunity to present evidence in support of its position at an informal hearing held by the Awarding Authority, and the Awarding Authority has concluded upon review of all the evidence that such penalty is justified. Payment shall not be suspended if the Awarding Authority finds that the Contractor made its best efforts to comply with this Article, or that some other justifiable reason exists for waiving the provisions of this Article in whole or in part.
APPENDIX B to General Conditions of the Contract

The following provisions form Article XIII of the General Conditions of the Contract where the University of Massachusetts Amherst is the Awarding Authority.

GOALS FOR PARTICIPATION BY MINORITY BUSINESS ENTERPRISES AND WOMEN BUSINESS ENTERPRISES (EXECUTIVE ORDER 390, M.G.L. c. 7, s. 40N)

1. Goals.
   A. The goals for minority business enterprise and woman business enterprise participation established for this Contract are as set forth in the Owner - Contractor Agreement.
   B. The Contractor and all Subcontractors, sub-subcontractors, and materials suppliers shall comply with all of the terms and conditions of this Article, which include the provisions pertaining to M/WBE participation set forth in the Owner - Contractor Agreement in order to meet the M/WBE participation goals established for this Contract.

2. M/WBE Participation Credit.
   A. If the Contractor is itself an MBE or WBE, M/WBE participation credit shall be given in an amount equal to the entire Contract Price. If the Contractor is not an MBE or WBE, then M/WBE participation credit will be given for the value of the Work that is actually performed by each MBE or WBE subcontractor or sub-subcontractor.
   B. If the Contractor is a joint venture with one or more M/WBE joint ventures’, M/WBE participation credit shall be given to the joint venture as follows:
      (1) If the joint venture is certified by SOMBWA as an MBE or WBE, M/WBE participation credit shall be given in an amount equal to the entire Contract Price.
      (2) If the joint venture is not certified as an MBE or WBE by SOMWBA, M/WBE participation credit shall be given to the joint venture for the value of the Work that is performed by the M/WBE joint ventures’, and for the value of the Work that is actually performed by each MBE or WBE subcontractor or sub-subcontractor.
   C. If an M/WBE supplies but does not install equipment or materials, M/WBE participation credit shall be given only if the M/WBE supplier is regularly engaged in sales of equipment or supplies to the construction industry from an established place of business. M/WBE participation credit shall be given the full amount of the purchase order only if the M/WBE supplier manufactures the goods or substantially alters them before resale. In all other cases, M/WBE participation credit shall be given for 10% of the purchase order.
   D. MBE participation credit shall be given for the work performed by MBEs only, and WBE participation credit shall be given for the work performed by WBEs only. MBE participation may not be substituted for WBE participation, nor may WBE participation be substituted for MBE participation.
3. **Establishing M/WBE Status.**
   
   **A.** A minority owned business shall be considered an MBE only if it has been certified as a minority business enterprise by the State Office of Minority and Women Business Assistance (“SOMWBA”).
   
   **B.** A woman owned business shall be considered a WBE only if it has been certified as a woman business enterprise by SOMWBA.
   
   **C.** Certification as a disadvantaged business enterprise (“DBE”), certification as an M/WBE by any agency other than SOMWBA, or submission of an application to SOMWBA for certification as an M/WBE shall not confer M/WBE status on a firm for the purposes of this Contract.

4. **Subcontracts With M/WBEs.**
   
   Within thirty (30) days after the award of this Contract, the Contractor shall (i) execute a subcontract with each M/WBE Subcontractor which has executed a Letter of Intent Approved by the Awarding Authority, (ii) cause its Subcontractors to execute a sub-subcontract with each M/WBE sub-subcontractor, and (iii) furnish the Awarding Authority with a signed copy of each such subcontract and sub-subcontract.

5. **Performance of Contract Work by M/WBEs.**
   
   **A.** The Contractor shall not perform with its own organization or subcontract or assign to any other firm work designated to be performed by any W/MBE in the Letters of Intent or Schedule of M/WBE Participation without the prior Approval of the Awarding Authority, nor shall any M/WBE assign or subcontract to any other firm, or permit any other firm to perform any of its M/WBE Work without the prior Approval of the Awarding Authority. Any such unapproved assignment, subcontracting, sub-subcontracting, or performances of M/WBE Work by others shall be a change in the M/WBE Work for the purposes of this Contract. The Awarding Authority WILL NOT APPLY TO THE M/WBE PARTICIPATION GOAL(S) ANY SUMS ATTRIBUTABLE TO SUCH UNAPPROVED ASSIGNMENTS, SUB-CONTRACTS, SUB-SUBCONTRACTS, OR PERFORMANCE OF M/WBE WORK BY OTHERS.
   
   **B.** The Contractor shall be responsible for monitoring the performance of M/WBE Work to ensure that each scheduled M/WBE performs its own M/WBE Work with its own workforce.
   
   **C.** The Contractor and each M/WBE shall provide the Awarding Authority with all information and documentation that the Awarding Authority determines is necessary to ascertain whether or not an M/WBE has performed its own M/WBE Work. At the discretion of the Awarding Authority, failure to submit such documentation to the Awarding Authority shall establish conclusively for the purpose of giving M/WBE participation credit under this Contract that such M/WBE did not perform such work.

6. **Notification of Changes in M/WBE Work.**
   
   **A.** If at any time during the performance of the Contract the Contractor determines or has reason to believe that a scheduled M/WMBE is unable or unwilling to perform its M/WBE Work, or that there has been or will be a change in any M/WMBE Work, or that the Contractor will be unable to meet the M/WBE participation goal(s) for this Contract for any reason, the
Contractor shall immediately notify the Awarding Authority Contract Compliance Office in writing of such circumstances.

B. Any notice of a change in M/WBE Work pursuant to subparagraph “A” above shall include a revised Schedule of M/WBE Participation, and additional or amended Letters of Intent and subcontracts, as the case may be.

7. Actions Required If There is a Reduction in M/WBE Participation.

A. In the event there is a change or reduction in any M/WBE Work which will result in the Contractor failing to meet the M/WBE participation goal(s) for this Contract, other than a reduction in M/WBE Work resulting from a Change Order initiated by the Awarding Authority, then the Contractor shall immediately undertake a diligent, good faith effort to make up the shortfall in M/WBE participation as follows:

(1) The Contractor shall identify all items of the Work remaining to be performed under the Contract that may be made available for subcontracting to W/MBEs. The Contractor shall send a list of such items of work to the Awarding Authority, together with a list of the remaining items of the Work that was not made available to M/WBEs and the reason for not making such work available for subcontracting to M/WBEs.

(2) The Contractor shall send written notices soliciting proposals to perform the items of the Work that may be made available for subcontracting to W/MBEs to all W/MBEs qualified to perform such work. The Contractor shall advise the Awarding Authority of (i) each W/MBE solicited, and (ii) each W/MBE listed in the SOMWBA directory under the applicable trade category who was not solicited and the reasons therefor. The Contractor shall also advise the Awarding Authority of the dates notices were mailed and provide a copy of the written notice(s) sent.

(3) The Contractor shall make reasonable efforts to follow up the written notices sent to M/WBEs with telephone calls or personal visits in order to determine with certainty whether the M/WBEs were interested in performing the work. Phone logs or other documentation must be submitted to the Awarding Authority evidencing this effort.

(4) The Contractor shall make reasonable efforts to assist M/WBEs that need assistance in obtaining insurance, bonds, or lines of credit in order to perform work under the Contract, and shall provide the Awarding Authority with evidence that such efforts were made.

(5) The Contractor shall provide the Awarding Authority with a statement of the response received from each M/WBE solicited, including the reason for rejecting any M/WBE who submitted a proposal.

(6) The Contractor shall take any additional measures reasonably requested by the Awarding Authority to meet the M/WBE participation goal(s) established for this Contract, including, without limitation, placing advertisements in appropriate media and trade association publications announcing the Contractor’s interest in obtaining proposals from M/WBEs, and/or sending written notification to M/WBE economic development assistance agencies, trade groups and other organizations notifying them of the project and of the work available to be subcontracted by the Contractor to M/WBEs.

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B. If the Contractor is unable to meet the M/WBE participation goals for this Contract after complying fully with each of the requirements of paragraph “A” above, and the Contractor is otherwise in full compliance with the terms of this Article, the Awarding Authority may reduce the M/WBE participation goals for this Contract to the extent that such goals cannot be achieved.

8. **Suspension of Payment and/or Performance for Noncompliance.**

A. If at any time during the performance of this Contract, the Awarding Authority determines or has reason to believe that (1) there has been a change or reduction in any M/WBE Work which will result in the Contractor failing to meet the M/WBE participation goal(s) for this Contract, other than a reduction in M/WBE Work resulting from a change in the Contract work ordered by the Awarding Authority, and (2) the Contractor has failed to comply fully with all of the terms and conditions of paragraphs 1 through 7 above, the Awarding Authority may:

1. suspend payment to the Contractor of an amount equal to the value of the work which was to have been performed by an M/WBE pursuant to the Contractor’s Schedule of M/WBE Participation but which was not so performed, in order to ensure that sufficient Contract funds will be available if liquidated damages are assessed pursuant to paragraph 9, and/or
2. suspend the Contractor's performance of this Contract in whole or in part.

B. The Awarding Authority shall give the Contractor prompt written notice of any action taken pursuant to paragraph A above and shall give the Contractor and any other interested party, including any M/WBEs, an opportunity to present evidence to the Awarding Authority that the Contractor is in compliance with the requirements of this Article, or that there is some justifiable reason for waiving the requirements of this Article in whole or in part. The Awarding Authority may invite SOMWBA and the Massachusetts Commission Against Discrimination to participate in any proceedings undertaken pursuant to this paragraph.

C. Upon a showing that the Contractor is in full compliance with the requirements of this Article, or that the Contractor has met or will meet the M/WBE participation goals for this Contract, the Awarding Authority shall release any funds withheld pursuant to clause A(1) above, and lift any suspension of the Contractor’s performance under clause A(2) above.

9. **Liquidated Damages; Termination.**

A. If payment by the Awarding Authority or performance by the Contractor is suspended by the Awarding Authority as provided in paragraph 8 above, the Awarding Authority shall have the following rights and remedies if the Contractor thereafter fails to take all action necessary to bring the Contractor into full compliance with the requirements of this Article, or if full compliance is no longer possible because the default of the Contractor is no longer susceptible to cure, if the Contractor fails to take such other action as may be required by the Awarding Authority to meet the M/WBE participation goals set forth in this Contract:

1. the Awarding Authority may terminate this Contract, and/or
2. the Awarding Authority may retain from final payment to the Contractor, as liquidated damages, an amount equal to the difference between (x) the total of the M/WBE participation goals set forth in this Contract, and (y) the amount of M/WBE
participation credit earned by the Contractor for M/WBE Work performed under this Contract as determined by the Awarding Authority, the parties agreeing that the damages for failure to meet the M/WBE participation goals are difficult to determine and that the foregoing amount to be retained by the Awarding Authority represents the parties’ best estimate of such damages. Any liquidated damages will be assessed separately for MBE and WBE participation.

B. Before exercising its rights and remedies hereunder, the Awarding Authority may, but the Awarding Authority shall not be obligated to, give the Contractor and any other interested party another opportunity to present evidence to the Awarding Authority that the Contractor is in compliance with the requirements of this Article or that there is some justifiable reason for waiving the requirements of this Article in whole or in part. The Awarding Authority may invite SOMWBA and the Massachusetts Commission Against Discrimination to participate in any proceedings undertaken hereunder.

10. Reporting Requirements.
The Contractor shall submit to the Awarding Authority all information or documentation that is necessary in the judgment of the Awarding Authority to ascertain whether or not the Contractor has complied with any of the provisions of this Article.

11. Awarding Authority’s Right to Waive Provisions of this Article in Whole or In Part.
The Awarding Authority reserves the right to waive any provision or requirement of this Article if the Awarding Authority determines that such waiver is justified and in the public interest. No such waiver shall be effective unless in writing and signed by a representative of the Awarding Authority’s Compliance/Procurement Office or the office of its General Counsel. No other action or inaction by the Awarding Authority shall be construed as a waiver of any provision of this Article.
APPENDIX C to the General Conditions of the Contract

INDEX OF COMMONLY-USED FORMS

(Forms used during bidding are located in Attachment B to the Instructions to Bidders)

Procedure for Payment to Contractors
Daily Time and Material Report for Change Orders
Notice of Intent
Request and Agreement for a Change in the Plans,
   Specifications and/or Contract (UMA Form 5)
Instructions Regarding Change Orders and Contract Modifications (UMA Form 13)
Contractor's Weekly Workforce Report
Minorities/Women in Contractor's Weekly Workforce Report
Weekly Payroll Report Form and Statement of Compliance
Quarterly Projected Workforce Table
Certification of Payment by Contractor to MBE/WBE and Instructions
Certificate of Completion by Minority/Women Business Enterprise
Form for Transfer of Title (Work Not Incorporated, UMA Form 16)
Certificate of Agency Use and Occupancy -E-1
Certificate of Final Inspection, Release and Acceptance - E-2
Form ST-5C

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THE COMMONWEALTH OF MASSACHUSETTS
THE UNIVERSITY OF MASSACHUSETTS AMHERST
FACILITIES PLANNING

Physical Plant Building, 360 Campus Center Way, Amherst, MA 01003

PROCEDURE FOR PAYMENTS TO CONTRACTORS

I. APPLICATION AND DISTRIBUTION
This bulletin is effective on all construction projects Chapter 149 and Chapter 30 subject to the control of the University of Massachusetts Amherst Facilities Planning hereinafter referred to as the “Division”, as provided by Chapter 7 G.L. Section 39A through 43G as amended.

This form is available to all General Contractors: Sub-contractors, Designers, Resident Engineers, and on request to any party of interest.

This form constitutes a method of contractual procedure noted in the General Conditions of the Contract and is not a rule or regulation as defined by the STATE ADMINISTRATIVE PROCEDURE ACT, M.G.L. c. 30a, S. 5.

No deviation from the procedure set forth in this form may be made without the express authorization of the University of Massachusetts Amherst (“UMASS”).

II. STATUTORY REFERENCES, DEFINITIONS, ETC. M.G.L. c. 30, s. 39K
Non-Building Contracts); University of Massachusetts Amherst Standard Vertical Construction Contract as amended. All General Contractors, Sub-Contractors, Designers, and Resident Engineers, University of Massachusetts Amherst Project Managers should thoroughly familiarize themselves with said contract.

III. PREPARATION AND PROCESSING OR PERIODIC PAYMENT
Periodic payment requests shall be submitted monthly, for the preceding month, corresponding to the date of the contract. Submission in this manner stagger the receipt of invoices in the University of Massachusetts Amherst office and expedites processing contractor payments. All invoices must include:

1. The Contractor’s Name
2. The UMA Contract Number
3. The UMA Project Number
4. The Project Name
5. The Purchase Order Number
6. Must clearly state that the invoice/requisition is exactly that, not a statement
7. Invoice Number or Requisition Number
8. Invoice Date
9. Period for which the work was completed
10. Schedule of Values
11. Approved Original Signatures
12. Notary
The General Contractor and his sub-contractors, the Designer and the Resident Engineer(s) and University of Massachusetts Amherst Project Manager(s) shall approve prior to the date of submission for each periodic payment request as to the percentage value of work completed.

All questions as to the value of the work performed and as to payment for materials not incorporated into the work should be resolved in advance of the submission of the formal request for periodic payment. It is suggested that a job meeting/conference is the most effective way of resolving any questions of matters of dispute. The General Contractor shall submit to the Resident Engineer (or in the absence of a Resident Engineer, the University of Massachusetts Amherst – Project Manager (PM)) for the Resident Engineer’s approval, well in advance of the submission of the first periodic estimate, a breakdown of the various items of work corresponding to the sections of the specification making up the lump sum for item 1, Work of the General Contractor; and each section under Item 2, Sub-bids, of the contract. In addition, the General Contractor; and each sub-contractor shall furnish the Resident Engineer with two (2) copies of any necessary sub-breakdowns of each section and such other detailed information as required by the Resident Engineer to evaluate properly the percentage of the work performed. The Resident Engineer shall submit one copy to the Division, as approved by the Resident Engineer upon request.

The General Contractor shall prepare its formal request for periodic payment on the standard AIA form G702-1992, Application and Certificate for payment or other periodic payment form approved by the Awarding Authority.

The General Contractor shall prepare sufficient copies of the request for periodic payment for submission to the University of Massachusetts Amherst Project Manager. To be distributed by the Awarding Authority as follows:

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<thead>
<tr>
<th>Copy</th>
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<tr>
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<td>Copy 4:</td>
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<td>Copy 5:</td>
<td>Contractor</td>
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<tr>
<td>Copy 6,7:</td>
<td>Required on Federally Aided projects only</td>
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IV. CERTIFICATION
The General Contractor shall sign all copies of the invoice/requisition and present same to the University of Massachusetts Amherst Project Manager certifying the value of the work performed. In the event of any dispute as to the formal request for periodic payment, the Resident Engineer and/or the Designer shall in the absence of their certification on the AIA form attach to each copy a qualified certification and a recommendation as to the dollar value of the item or items in dispute to be-retained by Awarding Authority in accordance with Chapter 30, Section 39K. In the signatory space write “See attached Letter”. Neither the Resident Engineer nor the Designer shall alter the AIA Form submitted with the formal request for payment in any manner. If the Division concurs with the Engineer and/or Designer’s recommendation, adjustment(s) shall be made to the AIA form by the Division. Attention of the General Contractor is directed to the statement to the effect that payments to all sub-contractors have been made in accordance with the provision of M.G.L. c. 30, s39F which statement must be signed under penalty of perjury on each copy by the General Contractor.
V. PROCESSING FOR PERIODIC PAYMENTS
It shall be the sole responsibility of the General Contractor to choose the delivery of the request for periodic payment in proper form and arithmetically correct to the Resident Engineer (the designee provided in M.G.L., c. 30, s 39K). In the event there is no Resident Engineer assigned to the contract the Designer shall be the designee. If there be neither a Resident Engineer nor a Designer, the designee shall be the University of Massachusetts Amherst Project Manager or alternatively the home office of the Division of Facilities Planning, University of Massachusetts Amherst, Physical Plant Building, 360 Campus Center Way, Amherst, MA 01003. Payment shall be due and payable within thirty (30) days after receipt by the designee. Request for periodic payment not in the required form containing arithmetical computations which are not correct will within seven (7) days be returned to the contractor and the prescribed period for payment shall commence upon the date which the corrected periodic estimate is received at the University of Massachusetts Amherst, Division of Facilities Planning. Attention is directed to the provision of M.G.L. c. 30, s. 39K which provides that the awarding authority may make changes in any periodic estimate submitted by the contractor.

VI. INQUIRY AS TO PERIODIC REQUESTS FOR PAYMENT – PAYMENT FLOW
All inquiries as to the value of the work performed, certified and due to the General Contractor, its Sub-Contractors and suppliers shall be directed to the Resident Engineer or University of Massachusetts Amherst Project Manager.

This invoice is public information and shall be requested via Public Records Requests to the business office of the Division.

VII. SPECIAL INSTRUCTION TO EMPLOYEES, PROJECT MANAGERS, RESIDENT ENGINEERS & DESIGNERS
The Resident Engineer, Project Managers and the Designer shall give their immediate attention to the certification of requests for periodic payments to contractors and under no circumstances are these requests to be delayed. The Resident Engineer, Project Managers and the Designer shall rigidly adhere to the instructions contained in this Bulletin and immediately expedite certification in order that the period payment requests may be delivered by the Contractor to Facilities Planning without delay. The Resident Engineer, Project Managers and the Designer shall process the payment expeditiously.
DAILY TIME AND MATERIAL REPORT FOR ALL CHANGE ORDER WORK OR WORK DONE UNDER PROTEST

UMA Project Number: ___________ Project Number: ___________ Date: ___________

Project Title: ____________________________

Contractor: _____________________________ Change Order No.: ___________

Or work under protest: ___________

Sheet _____ of _______________

Was any contract work performed today other than Change Order concerned (Y/N)? ___________

If Yes, list on Daily Progress Report.

Labor – Change Order or Alleged Extra Work Done Under Protest

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</table>

165
Submitted by Superintendent: ____________________________________________________________

Subcontractors:

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

Resident Engineer/University of Massachusetts Project Manager (note any discrepancy in above Report):

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

Resident Engineer/ University of Massachusetts Project Manager _____________________________

The signature of the Resident Engineer/Project Manager is for verification of labor listed above and does not constitute acknowledgement that such labor is for extra work or that additional monies are due for such work.

1. Materials Used (Describe fully)

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

2. Misc. Equipment, Etc. (Describe fully)

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

_________________________________________________________________________________

Submitted by Superintendent: ____________________________________________________________
Subcontractors:

Resident Engineer/University of Massachusetts Amherst Project Manager (note any discrepancy in above Report):

Resident Engineer/ University of Massachusetts Amherst Project Manager _______________________________

The signature of the Resident Engineer/Project Manager is for verification of materials listed above and does not constitute acknowledgement that such material is for extra work or that additional monies are due for such work.

Send one copy with Daily Report Each Day

Other copy to accompany Green Sheets to Designer when Change Order is completed
University of Massachusetts Amherst, Facilities Planning

Contract Modification/Authorization to Proceed

(For Change Authorization in the Contract Plans and/or Specifications)

Date: ____________________

UMA Number: ____________________ Project Number: ____________________

Project Name: ________________________________________________________

Contractor: ____________________ Contract Start Date: ____________ Contract Award: $__________

NOI Request No. _____________ Change Order No: _____________ Requestor: ________________

Nature of Request:

G.C. PCO No. ____________

Date:

Reason for Request:

Designer’s CCR No. ____________

Date:

This change in work is to be performed according to ARTICLE VII of the General Conditions of the Contract. Change Orders will be in accordance with the contract and Form 13:

_____ Predetermined “LUMP SUM” total: $_______________00
____  (if checked) Additional Verification Backup Data Must Be Provided with Formal Change Order, See Attached

____ Lump Sum “NOT TO EXCEED”: $________________.00

(Maximum price based on contract unit prices or negotiated agreed unit prices)

____ “TIME AND MATERIALS” Not to Exceed: $________________.00

(Computed in accordance with Article VII of the General conditions)

______________________________
Resident Engineer     Date

______________________________
Project Manager       Date

______________________________
Director              Date

APPROVAL OF THIS NOTICE OF INTENT DOES NOT ADDRESS REQUESTS FOR ADDITIONAL TIME, EXTENSIONS OF CONTRACT TIME WILL BE ADDRESSED UPON SUBMITTAL OF THE OFFICIAL CHANGE ORDER. RECEIPT OF THIS REQUEST TO BE ACKNOWLEDGED IN WRITING TO UNIVERSITY OF MASSACHUSETTS AMHERST, FACILITIES PLANNING.

CERTIFICATION OF SUFFICIENT FUNDS BY: ___________________________  SPEED CODE: _______

COPY: Project Manager, Resident Engineer,
DIVISION OF CAPITAL ASSET MANAGEMENT
DCAM CHANGE REQUEST NO. __________
THE COMMONWEALTH OF MASSACHUSETTS EXECUTIVE OFFICE FOR ADMINISTRATION & FINANCE
REQUEST AND AGREEMENT FOR A CHANGE IN THE PLANS AND/OR SPECIFICATIONS AND/OR CONTRACT
All signatures are affixed under the penalties of perjury.

Project No. ________________________ Contract No. ______________ Title ______________________

Location ____________________________

I. REQUEST
(a) Requested by ____________________________ of ____________________________
(b) Requestor’s description of change ____________________________________________

II. GENERAL CONTRACTOR’S PROPOSAL REQUEST NO. ______________________

For all costs involved in this change including extensions of time herein requested the undersigned general contractor proposes to perform the work described above in accordance with the provisions of Article VII of the contract and certifies that the attached cost data is accurate, complete and current and mathematically correct.

Payment shall be made on the basis of:
(a) Predetermined lump sum total of (add) (deduct) ____________________________
(b) Lump Sum not to exceed (add) (deduct) ____________________________
(max price based on contract unit prices or negotiated agreed unit prices)
(c) Time and Materials Basis not to exceed (add) (deduct) ____________________________
(Computed in accordance with Article VII of the contract) (Require authorization of Commissioner)

Place X beside selected proposal method and strike out either (add) or (deduct) whichever does not apply. Attach detailed estimates and break-down for above in accordance with change order instructions. A claim for work performed under protest shall be submitted per (c) above.

An extension of contract time of _________ calendar days is requested.

Contractor ____________________________ by ____________________________
Firm Name ____________________________ Authorized Signature ____________________________ Date __________

III. APPROVAL RECOMMENDED BY:

The Designer and the Resident Engineer must attach their respective letters of recommendation with responses to questions listed in Form 13, change order instructions. Adverse or altered recommendation must be delineated on the letters.

<table>
<thead>
<tr>
<th>Resident Engineer</th>
<th>Date</th>
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<tbody>
<tr>
<td>Project Engineer</td>
<td>Date</td>
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<tr>
<td>Project Manager</td>
<td>Date</td>
</tr>
<tr>
<td>Deputy Director</td>
<td>Date</td>
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</tbody>
</table>

IV. APPROVED BY THE OFFICE
(a) Operating Agency Letter (attached) ______ (not req’d) ______
(b) For the amount requested/or corrected to $ ____________________________
© Extended as requested/or corrected to ______ Calendar Days.
(d) This change is in the best interest of the Commonwealth and constitutes an equitable adjustment to the contract in compliance with Art. VII of the contract.

Authorized Signature ____________________________ Date __________
Upon signature by the Office, this request becomes a formal change order for Immediate distribution.

Contract Completion Date
Extended to ________ Date __________
If applicable to Phase ________ of Contract
Office Change Order Approval # __________

Designer ____________________________ Date __________
Do Not Fill in This Block
Contract Award $ ____________________________
Previous Addition $ ____________________________
Previous Net Total $ ____________________________
This Change $ ____________________________
Total To Date $ ____________________________

DCAM FORM #5
4/10/02
OFFICE COPY ______ COMPTROLLER ______ PROJECT ENGINEER ______ DESIGNER ______
INSTRUCTIONS REGARDING CHANGE ORDERS
AND
CONTRACT MODIFICATIONS

SECTION 1. STATUTORY AND CONTRACTUAL PROVISIONS

1.01. This instruction form supplements Article VII of the University of Massachusetts Amherst General Conditions of the Contract but is not intended to supersede or modify any of the provisions contained therein. It is available for general distribution and is applicable to all projects under the jurisdiction of the University of Massachusetts Amherst.

The Statutory authorities for a change in the plans, specifications and/or contract are provided in Mass. G.L. Chapter 7, Section 42E-421 and in Massachusetts G.L. Chapter 30, section 39, 39J, 39N, 39P, 39Q (Refer to Article VII of the General Conditions of the Contract). All parties must keep themselves informed of any amendments affecting said statutes.

NO CHANGES (ADDITIONS, SUBSTITUTIONS OR ELIMINATIONS) IN THE PLANS, SPECIFICATIONS OR CONTRACT SHALL BE COMMENCED UNTIL RECEIPT BY THE CONTRACTOR OF: (a) AN APPROVED BY THE UNIVERSITY OF MASSACHUSETTS AMHERST PURCHASE ORDER.

All requests for changes increasing the contract price must be submitted on the UMA Form 5, prior to the final acceptance of the project. The Contractor waives all rights against the University of Massachusetts Amherst if it fails to comply with this requirement. The University of Massachusetts Amherst shall be under no obligation to process a request for change after final acceptance of the project.

The term “request for change” is used throughout these procedures and applies to every request to revise the contract requirements.

The request for change must be made in writing, and in accordance with the provisions of the Contract, the General laws, rules, regulations and other procedures of the University of Massachusetts Amherst.
1.02. GENERAL, PURPOSE
The purpose of these procedures is to properly authorize necessary changes, provide satisfactory
documentation supporting the nature and cost of each change, and all the change order work to be
accomplished in a timely and efficient manner.

It is the intention of the University of Massachusetts Amherst and the applicable statutory provision that
whenever possible the parties should agree upon an equitable adjustment in the contract price before
commencement of the pertinent work.

All parties shall negotiate in a professional manner and agree upon the particulars associated with the
change in the work, thereby facilitating an approved change order.

It is the responsibility of the Contractor to substantiate clearly the costs associated with all changes.

If the Contractor refuses to provide the project manager, within ten (10) days of proposed requests for
change, cost estimates for a proposed change in the work, the project manager may unilaterally
determine the reasonable cost for the change, and the Contractor must proceed with the work based
upon the project manager’s established cost.

SECTION 2. SUBMISSION AND DISPOSITION OF THE UNIVERSITY OF MASSACHUSETTS AMHERST
NOTICE OF INTENT (“NOI”)

2.01 AUTHORIZED REQUESTORS:
   a) General Contractor, including Sub-Contractor
   b) Designer
   c) University of Massachusetts Amherst Project Manager, Assistant Directors or Director of
      Facilities Planning

2.02 THE REQUESTOR SHALL:
   a) Initially discuss the proposed request for change with all interested parties.
   b) If the Designer or the University of Massachusetts Amherst is the requestor, forward to the
      contractor a written request for proposal.
   c) If the Contractor is the requestor see Section 2.03, below.

2.03 THE CONTRACTOR SHALL:
   If the Contractor is the requestor or if it receives a request for change it shall:
   a) Submit a written request for a Notice of Intent (NOI) indicating the proposed change in the
      work and the proposed method of compensation, as set forth in Article VII of the General
      Conditions of the Contract and in Section II of the UMA Form 5. The written request shall
      include a cost breakdown with the requested change as outlined in Article VII of the General
      Conditions of the Contract. The breakdown of all filed sub-contractors shall be separated
      from the General Contractor’s breakdown and both are required to be on properly
      identifiable letterhead stationary and signed showing (a) quantities and costs utilizing unit
      pricing, (b) the classification and hours of labor, fringe benefits and the complete
      breakdown showing unit cost of material and equipment, and (c) any other allowable costs
      as set forth in Article VII. See also Section 5, below.
b) The written request for NOI and accompanying documentation shall be addressed to the Division of Facilities Planning and sent to the Project Manager. One copy shall be addressed to the Designer, and one to the Resident Engineer (if applicable).

c) Each written request for an NOI must include all costs associated with the request for change.

d) The General Contractor shall review all cost breakdowns being submitted by its suppliers and subcontractors and check them to insure the information being submitted is accurate and mathematically correct.

2.04 THE RESIDENT ENGINEER/UNIVERSITY OF MASSACHUSETTS PM (IF NO RESIDENT ENGINEER) SHALL:

a) Note the receipt of written request for NOI in the record of NOIs/Change Orders, diary, and daily report.

b) Inform the Designer, the Project Manger (if applicable) and the Project Engineer of the request for NOI.

c) Review both quantities and prices of labor and materials and recommend corrections of changes. Check to make sure the required breakdowns are attached from all subcontractors on properly identifiable letterhead.

d) If any request is inaccurate, incomplete, contains insufficient credits due to the University of Massachusetts Amherst or is otherwise unacceptable, the Resident Engineer shall note the return of a request for an NOI in the record of NOIs/Change Orders, diary, daily report and return the request to the Contractor with a dated cover letter detailing the reasons for return.

2.05 THE DESIGNER SHALL:

Immediately evaluate the requested change and the Contractor’s request for an NOI and proposal and transmit the Designer’s recommendation and those of the Resident Engineer by written memorandum or telephone, if the situation warrants, to the University of Massachusetts Project Manger or Project Engineer.

2.05.1 THE UNIVERSITY OF MASSACHUSETTS AMHERST PROJECT MANAGER (PM) SHALL

If the University of Massachusetts Amherst PM agrees with the request for changes and the Contractor’s proposal it shall promptly issue and NOI using the University of Massachusetts NOI form and forward the NOI to the Contractor, with copies to the Designer and the Resident Engineer. It is mandatory that, upon receipt of said NOI, the Contractor proceed with the order of work.

If the University of Massachusetts Amherst PM does not agree with the request for change or the Contractor’s proposal it shall notify the requestor and all other parties in writing.
SECTION 3. SUBMISSION AND DISPOSITION OF UNIVERSITY OF MASSACHUSETTS AMHERST FORM 5
(UMA FORM 5)

3.01 THE CONTRACTOR SHALL:
   a) Complete applicable portions of Section I of Form 5 (one (1) original green sheet unless otherwise instructed by the Awarding Authority).
   b) If there is sufficient room in the space provided under section I (b) of the Form 5, attach to the form a statement giving reasons for, location of, and a general description of the proposed change including a reference to the plans and specifications, if possible.
   c) Submit proposed method of compensation, as set forth in Article VII of the General Conditions of the Contract and in Section II of the Form 5. Submit a cost breakdown with the requested change as outlined in Article VII of the General conditions of the Contract. The breakdown of all filed sub-contractors shall be separated from the General Contractor’s breakdown and both are required to be on properly identifiable letterhead stationary, and signed showing (a) quantities and costs utilizing unit pricing, (b) the classification and hours of labor, fringe benefits and the complete breakdown showing unit cost of material and equipment, and (c) any other allowable costs as set forth in Article VII. See also Section 5, below. Upon completion of the work, changes initially authorized by the NOI on a “(c) Time and Materials basis” must be adjusted by the University of Massachusetts Daily Time and Material Report Forms.
   d) If additional time is requested, furnish an explanation with breakdown. Extensions of time shall not be granted on a retroactive basis because of changes.
   e) Each change must be all-inclusive as to all costs and all time extensions.
   f) The General Contractor shall review all cost breakdowns being submitted by its suppliers and subcontractors and check them to insure the information being submitted is accurate and mathematically correct.
   g) Deliver one (1) Form 5, complete in accordance with these procedures to the University of Massachusetts Project Manager.

3.02 THE RESIDENT ENGINEER/UNIVERSITY OF MASSACHUSETTS PM (IF NO RESIDENT ENGINEER) SHALL:
   a) Note the receipt of Form 5 in the record of NOIs/Change Orders, diary, and daily report.
   b) Inform the Designer, the University of Massachusetts Project Manager (if applicable) and the Project Engineer of the receipt of Form 5.
   c) Review the From 5, accompanying backup documentation and other relevant materials and determine whether the requested change is or is not covered under the contract.
   d) Review both quantities and prices of labor and materials and recommend corrections or changes. Check to make sure the required breakdowns are attached from all subcontractors on properly identifiable letterhead.
   e) If any request is inaccurate, incomplete, contains insufficient credits due to the University of Massachusetts or is otherwise unacceptable, the Resident Engineer shall note the return of the Form 5 in the record of NOIs/Change Orders, diary, daily report and return the Form 5 to the General Contractor for correction, unsigned by the Resident Engineer, and detail the reasons for returning the Form 5.
   f) Maintain accurate records indicating particulars involving additional work, credit due, substitutions, delays, work stoppage, and other conditions associated with any potential or actual request for a change, NOI or Change Order.

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g) If the Resident Engineer recommends approval of the Form 5, the Resident Engineer shall sign Section III of the Form 5 and attach a written statement addressing each of the eight (8) questions listed in the following section, Section 3.03.

h) If the Resident Engineer does not recommend approval of the request, he or she shall attach a detailed letter setting forth the reasons for disapproval. Forward the four (4) originals of Form 5 and two (2) copies, without the Resident Engineer’s signature on the form, along with the letter detailing the reason for disapproval to the Designer.

3.03 THE DESIGNER SHALL:

a) Review the Form 5, accompanying backup documentation and other relevant materials and determine whether the requested change is or is not covered under the contract.

b) If the Designer recommends approval of the Form 5, complete applicable portion of Section III of Form 5 and attach its letter of recommendation which must include responses to each of the following eight (8) statements.
   1) If such change request involves any substitution or elimination of materials, fixtures or equipment, state the reasons why such components were included in the first instance and the reason for substitution or elimination, and if the change request is of any other nature, the reasons for such change, giving justification therefore. The designer shall state why all changes are necessary.
   2) If the change involves additional work, state why work was not covered by the plans and specifications. Plan and specification references shall be stated.
   3) Review the contract documents and determine if all applicable credits due the Commonwealth/University of Massachusetts Amherst are included and if salvageable.
   4) A statement of concurrence that the description of the work in Section 1 (h) of Form 5 is accurate.
   5) The Designer has examined the Contractor’s Proposal and finds the cost to be reasonable and mathematically correct. Indicate which quantities and/or costs appear unreasonable or excessive.
   6) If applicable make a recommendation on the Contractor’s request for additional time.
   7) If the work was performed under protest, pertinent correspondence shall be attached to the original Form 5.
   8) References to date and amount of any NOI(s) or any previously approved not-to-exceed Form 5(s) issued, applicable to the change.

c) If recommending approval, forward the four (4) original green sheets plus the (2) copies of the Form 5, all with original signatures to the University of Massachusetts Amherst along with the Designer’s recommendation.

d) If the Designer disapproves the request, the Designer shall within seven (7) calendar days attach a detailed letter setting forth its reasons for disapproval. Forward the four (4) originals of Form 5 and two (2) copies without the Designer’s signature on the form along with its letter detailing its reason for disapproval to the University of Massachusetts Amherst.

3.04 UNIVERSITY OF MASSACHUSETTS AMHERST PM SHALL:
a) Notify all parties if funds are insufficient to cover the change and return to the Contractor, through the Resident Engineer (if applicable), any request that is incomplete without proper details or recommendations.  

b) The Form 5 shall be logged and given a change request number. The numbering will be in numerical sequence.  

c) If the Form 5 is approved, the University of Massachusetts Amherst PM shall issue a Purchase Order to the General Contractor.  

d) If the University of Massachusetts PM disapproves the request, it shall notify the Contractor, the Resident Engineer and the Designer in writing. In such an event the Contractor may within 30 days from receipt of notice, appeal such action to the Director of Facilities Planning (see G.L. chapter 7, section 42G). Failure to appeal within 30 days shall preclude any further claim of the Contractor for a contract adjustment. The Director of Facilities Planning shall be considered the chief executive officer referred to in G.L. Chapter 30, Section 39Q (1) (a).  

e) Further change order appeal proceedings shall be governed by the provisions of G.L. Chapter, section 39Q, and by the terms of the Contract including Article VII, Section 5 relating to mandatory mediation procedures.

SECTION 4. AUTHORITY TO APPROVE REQUESTS FOR CHANGE

4.01 THE DIRECTOR OF FACILITIES PLANNING’S APPROVAL SHALL BE REQUIRED WHENEVER  

a) The cumulative cost of previously approved NOIs and approved Form 5s exceeds five percent of the original contract award price; or  

b) The estimate for the work on the NOI or Form 5 exceeds $5,000.

4.02 WITH THE PRIOR WRITTEN APPROVAL OF THEIR ASSISTANT DIRECTOR FOR FACILITIES PLANNING, THE UNIVERSITY OF MASSACHUSETTS AMHERST PM SHALL APPROVE CHANGE ORDERS FOR THE UNIVERSITY OF MASSACHUSETTS AMHERST WHEN:  

a) The cumulative cost of previously approved NOIs and approved Form 5s is less than five percent of the original contract award price; or  

b) The estimate for the NOI or Form 5 is less than $5,000.

SECTION 5. MISCELLANEOUS DIRECTIONF FOR COMPUTING COSTS FOR CHANGES IN WORK

5.01 SHIPPING, STORAGE AND HANDLING COSTS AND MATERIALS AND EQUIPMENT INVOLVED IN A CHANGE IN WORK MAY BE INCLUDED IN THE COSTS FOR CHANGE, IF ITEMIZED AND ACCOMPANIED BY COPIES OF PAID INVOICES.


5.03 MAJOR ITEMS OF EQUIPMENT, SPECIALIZED TOOLS, AND ORDINARY MATERIALS AND EQUIPMENT USED OR CONSUMED ON THE CHANGE ORDER WORK, WHETHER RENTED OR
OWNED BY THE CONTRACTOR, ME BE INCLUDED IN THE COST OF THE CHANGE PROVIDED CURRENT RENTAL RATES AND MATERIAL COSTS, SUPPORTED BY PAID INVOICES, ARE SUBMITTED AS BACKUP TO THE CHANGE WHEN ITEMIZED.

5.04 THE UNIVERSITY OF MASSACHUSETTS PM MAY APPROVE LUMP SUM CHANGE ORDER REQUESTS ON CHANGES COSTING $1,000 OR LESS, WITHOUT REQUIRING THE CONTRACTOR TO PROVIDES A BREAKDOWN FOR THE COSTS INCURRED ON THE CHANGE. THE UNIVERSITY OF MASSACHUSETTS PM RESERVES THE RIGHT TO REQUIRE COST BREAKDOWN AND INVOICES FROM THE CONTRACTOR ON ALL CHANGES. BREAKDOWNS ARE REQUIRED FOR ALL UNIT PRICE CHANGES (COST PER ITEM) AND TIME AND MATERIAL CHANGE ORDERS REGARDLESS OF THE COST.

5.05 CONTRACTORS SHALL MEET THE FOLLOWING GUIDELINES WHEN SUBMITTING COST BREAKDOWNS FOR LABOR:
   a) The Contractor must designate the name of trade, and the number of hours times the base journeyman rate. The foreman rate should only used and pro-rated as provided for in the union rules.
   b) Insurance and payroll taxes shall be identified as a percentage, applied to the total labor rate. The University of Massachusetts allows 30% to be used for insurance and taxes. Any increase in this percentage must be supported by a written breakdown of all insurance and taxes applied to each particular trade. No overhead and profit is allowed on insurance and taxes. (see General Conditions, Article VII, section 2).
   c) Hourly benefit amounts such as health, welfare, and pensions must be identified separately.
   d) When overtime work is involved, insurance charges and benefits are based on straight time only.
   e) If travel is involved, it should be submitted as provided by the union regulations, this, in most cases, is based on mileage. No overhead and profit will be paid on travel.
   f) Whenever a subcontractor is involved, a complete and separate breakdown must be submitted by the subcontractor for its portion of work. Non filed subcontractors should not include overhead and profit on their breakdown.
   g) All breakdowns should be legible, submitted on letterhead and signed by an authorized representative of the Contractor. This applies to all Subcontractors and General Contractors.
   h) Credits should always include a bond reduction

5.06 GENERAL CONTRACTOR’S BOND PREMIUM SHALL BE INCLUDED AT THE FOLLOWING RATES. IF A CONTRACTOR’S BOND RATE DIFFERS FROM THIS LIST VERIFICATION FROM THE BOND CARRIER MUST BE SUBMITTED SHOWING THE ACTUAL RATE.

<table>
<thead>
<tr>
<th>Contract Price</th>
<th>Rates per Thousand</th>
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<tbody>
<tr>
<td>a) Contracts up to $500,000</td>
<td>$14.40</td>
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<tr>
<td>b) $500,000 to $2,500,000</td>
<td>$ 8.70</td>
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<tr>
<td>c) $2,500,000 to $5,000,000</td>
<td>$ 6.90</td>
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<td>d) $5,000,000 to $7,000,000</td>
<td>$ 6.30</td>
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<td>e) $7,500,000 and up</td>
<td>$ 5.76</td>
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5.08 IF A CONTRACTOR DESIRES TO BE COMPENSATED AS AUTHORIZED WORK PROGRESSES, IT SHALL, AFTER RECEIPT OF AN NOI, IMMEDIATELY SUBMIT A UMA FORM 5 AS OUTLINED IN PARAGRAPH 3.01.
CONTRACTOR’S WEEKLY WORKFORCE REPORT

UNIVERSITY OF MASSACHUSETTS AMHERST

UMA No. ________________  Project Number ________________

Project Name ____________________________________________

Project Location
                                                                                           ____________________________________________
                                                                                           ____________________________

Name of General Contractor
                                                                                           ____________________________________________

Minority Goal % __________

Name of Contractor Filing Report ____________________________________________

Address ____________________________________ Women Goal % __________

Week Ending ________________  Report No. ____________________________  Date Work

Began ______________________

NOTE:  Min. = Minority  Wom. = Women  □ Check here if this is a final report  Date

work completed ____________
<table>
<thead>
<tr>
<th>Job Category</th>
<th>Number of Employees</th>
<th>Number of Employees Who Are</th>
<th>Total Weekly Workforce Hours</th>
<th>Total Weekly Workforce Hours</th>
<th>Weekly % Workforce Hours</th>
<th>Total Workforce Hours To Date</th>
<th>Total Workforce Hours To Date</th>
<th>% of Workforce Hours To Date</th>
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**TOTALS:**

**UMA No.** ______________  **Project Name** ________________________________  **General Contractor** ______________________________

Mail to: University of Massachusetts, Amherst  The undersigned hereby certifies under pains and penalties of perjury that the above
Facilities Planning/Contract Manager  information is true and accurate.
Physical Plant Building
360 Campus Center Way  Authorized Signature ________________________ Date ____________________
Amherst, MA 01003

Print Name ______________________ Telephone No. ____________________

Title __________________________ Fax No. ____________________

Contractor’s Weekly Workforce Report - Revised 10/01

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MINORITIES/WOMEN IN CONTRACTOR’S WEEKLY WORKFORCE REPORT

THE UNIVERSITY OF MASSACHUSETTS AMHERST

UMA No. ___________________________ Project No. ___________________________

Project Name _____________________________________________________________

Name of General Contractor ________________________________________________

Project Location __________________________________________________________

Name of Contractor Filing Report ____________________________________________

Address _________________________________________________________________

Week Ending _________________________  Report No. _________________________

<table>
<thead>
<tr>
<th>JOB CATEGORY</th>
<th>NAME OF EMPLOYEE</th>
<th>MINORITY GROUP</th>
<th>GENDER</th>
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In contract Article XII, “Minority” refers to: Asian-Americans, Blacks, Western Hemisphere Hispanics, Native Americans, and Cape Verdeans

Minorities/Women in Contractor’s Weekly Workforce Report - Revised 10/01
**WEEKLY PAYROLL REPORT FORM**

THE UNIVERSITY OF MASSACHUSETTS AMHERST

UMA Project No. ____________________________ Project No. ____________________________

Project Name ____________________________

Project Location ____________________________

Name of General Contractor ____________________________

☐ Check here if this is a final report

Name of Contractor Filing Report ____________________________

Address ____________________________

Week Ending ____________________________ Report No. __________ Date Work Began ____________________________ Date work completed ____________________________

<table>
<thead>
<tr>
<th>Employee Name &amp; Address</th>
<th>Work Classification</th>
<th>Hours Worked</th>
<th>(A) Total Hours</th>
<th>(B) Hourly Base Wage</th>
<th>(C) Health &amp; Welfare</th>
<th>(D) Pension</th>
<th>(E) Supp. Unemp.</th>
<th>(F) [B+C+D+E] Hourly Total Wage (prev. wage)</th>
<th>(G) [A*F] Weekly Total Amount</th>
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**NOTE:** Every contractor and subcontractor is required to submit a copy of their weekly payroll records to University of Massachusetts Amherst. **Handwritten payroll records will not be accepted.** An excel format Weekly payroll report form can be found on the Procurement website:

http://www.umass.edu/procurement/constructionprojects.htm

The undersigned states under the pains & penalties of perjury that the above provided and attached information is a true and accurate record of each person employed on the project and the hours worked and wages paid to each such employee, including payments to the referenced benefits. M.G.L. c. 149 §27B.

Authorized signature ____________________________

Print Name ____________________________ Print Title ____________________________

Mail to: University of Massachusetts Amherst

Procurement Manager/Administrative Services

Physical Plant Building

360 Campus Center Way

Amherst, MA 01003
Awarding Authority: University of Massachusetts Amherst

Contract Number: UMA17-18

City/Town: AMHERST

Description of Work: Fine Arts Center, Room 125 Rand Theater Rigging System Works

Job Location: UMASS Amherst

Information about Prevailing Wage Schedules for Awarding Authorities and Contractors

- This wage schedule applies only to the specific project referenced at the top of this page and uniquely identified by the “Wage Request Number” on all pages of this schedule.
- An Awarding Authority must request an updated wage schedule from the Department of Labor Standards (“DLS”) if it has not opened bids or selected a contractor within 90 days of the date of issuance of the wage schedule. For CM AT RISK projects (bid pursuant to G.L. c.149A), the earlier of: (a) the execution date of the GMP Amendment, or (b) the bid for the first construction scope of work must be within 90-days of the wage schedule issuance date.
- The wage schedule shall be incorporated in any advertisement or call for bids for the project as required by M.G.L. c. 149, § 27. The wage schedule shall be made a part of the contract awarded for the project. The wage schedule must be posted in a conspicuous place at the work site for the life of the project in accordance with M.G.L. c. 149 § 27. The wages listed on the wage schedule must be paid to employees performing construction work on the project whether they are employed by the prime contractor, a filed sub-bidder, or any sub-contractor.
- All apprentices working on the project are required to be registered with the Massachusetts Department of Labor Standards, Division of Apprentice Standards (DLS/DAS). Apprentice must keep his/her apprentice identification card on his/her person during all work hours on the project. An apprentice registered with DAS may be paid the lower apprentice wage rate at the applicable step as provided on the prevailing wage schedule. Any apprentice not registered with DLS/DAS regardless of whether or not they are registered with any other federal, state, local, or private agency must be paid the journeyworker's rate for the trade.
- The wage rates will remain in effect for the duration of the project, except in the case of multi-year public construction projects. For construction projects lasting longer than one year, awarding authorities must request an updated wage schedule. Awarding authorities are required to request these updates no later than two weeks before the anniversary of the date the contract was executed by the awarding authority and the general contractor. For multi-year CM AT RISK projects, awarding authority must request an annual update no later than two weeks before the anniversary date, determined as the earlier of: (a) the execution date of the GMP Amendment, or (b) the execution date of the first amendment to permit procurement of construction services. Contractors are required to obtain the wage schedules from awarding authorities, and to pay no less than these rates to covered workers. The annual update requirement is not applicable to 27F “rental of equipment” contracts.
- Every contractor or subcontractor which performs construction work on the project is required to submit weekly payroll reports and a Statement of Compliance directly to the awarding authority by mail or email and keep them on file for three years. Each weekly payroll report must contain: the employee’s name, address, occupational classification, hours worked, and wages paid. Do not submit weekly payroll reports to DLS. A sample of a payroll reporting form may be obtained at http://www.mass.gov/dols/pw.
- Contractors with questions about the wage rates or classifications included on the wage schedule have an affirmative obligation to inquire with DLS at (617) 626-6953.
- Employees not receiving the prevailing wage rate set forth on the wage schedule may report the violation to the Fair Labor Division of the office of the Attorney General at (617) 727-3465.
- Failure of a contractor or subcontractor to pay the prevailing wage rates listed on the wage schedule to all employees who perform construction work on the project is a violation of the law and subjects the contractor or subcontractor to civil and
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### Classification

**For apprentice rates see "Apprentice- LABORER"**

**BATCH/CEMENT PLANT - ON SITE**

*OPERATING ENGINEERS LOCAL 98*

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**For apprentice rates see "Apprentice- OPERATING ENGINEERS"**

**BLOCK PAVER, RAMMER / CURB SETTER**

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**BLOCK PAVER, RAMMER / CURB SETTER (HEAVY & HIGHWAY)**

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**BOILER MAKER**

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**Apprentice - BOILERMAKER - Local 29**

**Effective Date - 01/01/2017**

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**Apprentice to Journeyworker Ratio: 1:5**

**BRICK/STONE/ARTIFICIAL MASONRY (INCL. MASONRY WATERPROOFING)**

*BRICKLAYER LOCAL 3 (SPRINGFIELD/PITTSFIELD)*

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### Notes:

**Apprentice to Journeyworker Ratio:** 1:5

### BULLDOZER/POWER SHOVEL/TREE SHREDDER /CLAM SHELL OPERATING

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**Notes:**

**1:** 1-5/2: 6-8/3:9-11/Steps: 6 mos (600 hrs)/rates by step

### Apprentice to Journeyworker Ratio:**

**CEMENT MASONRY/PLASTERING**

**BRICKLAYERS LOCAL 3 (SPRINGFIELD/PITTSFIELD)**

| Issue Date: 03/07/2017 | Wage Request Number: 20170307-020 | Page 5 of 28 |
### Classification

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### CEMENT MASONRY/PLASTERING - Springfield/Pittsfield

#### Apprentice - **CEMENT MASONRY/PLASTERING - Springfield/Pittsfield**

**Effective Date:** 01/01/2017

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**Notes:**

Steps 3,4 are 500 hrs. All other steps are 1,000 hrs.

**Apprentice to Journeyworker Ratio:** 1:3

### Chain Saw Operator

**Laborers - Zone 3 (Building & Site)**

**12/05/2016**

- $29.83 Base Wage
- $7.60 Health
- $12.50 Pension
- $49.93 Total Rate

For apprentice rates see "Apprentice- Laborer".

### Compressor Operator

**Operating Engineers Local 98**

**12/01/2016**

- $33.15 Base Wage
- $10.58 Health
- $12.38 Pension
- $56.11 Total Rate

**06/01/2017**

- $33.76 Base Wage
- $10.58 Health
- $12.65 Pension
- $56.99 Total Rate

**12/01/2017**

- $34.36 Base Wage
- $10.58 Health
- $12.92 Pension
- $57.86 Total Rate

**06/01/2018**

- $34.97 Base Wage
- $10.58 Health
- $13.19 Pension
- $58.74 Total Rate

**12/01/2018**

- $35.57 Base Wage
- $10.58 Health
- $13.46 Pension
- $59.61 Total Rate

**06/01/2019**

- $36.08 Base Wage
- $10.58 Health
- $13.73 Pension
- $60.39 Total Rate

**12/01/2019**

- $36.68 Base Wage
- $10.58 Health
- $14.00 Pension
- $61.26 Total Rate

For apprentice rates see "Apprentice- Operating Engineers".

### Crane Operator

**Operating Engineers Local 98**

**12/01/2016**

- $37.18 Base Wage
- $10.58 Health
- $12.38 Pension
- $60.14 Total Rate

**06/01/2017**

- $37.79 Base Wage
- $10.58 Health
- $12.65 Pension
- $61.02 Total Rate

**12/01/2017**

- $38.39 Base Wage
- $10.58 Health
- $12.92 Pension
- $61.89 Total Rate

**06/01/2018**

- $39.00 Base Wage
- $10.58 Health
- $13.19 Pension
- $62.77 Total Rate

**12/01/2018**

- $39.60 Base Wage
- $10.58 Health
- $13.46 Pension
- $63.64 Total Rate

**06/01/2019**

- $40.11 Base Wage
- $10.58 Health
- $13.73 Pension
- $64.42 Total Rate

**12/01/2019**

- $40.71 Base Wage
- $10.58 Health
- $14.00 Pension
- $65.29 Total Rate

For apprentice rates see "Apprentice- Operating Engineers".

### Deleader (Bridge)

**Painters Local 35 - Zone 3**

**01/01/2017**

- $51.41 Base Wage
- $7.85 Health
- $16.10 Pension
- $75.36 Total Rate

**Issue Date:** 03/07/2017

**Wage Request Number:** 20170307-020
### Apprentice - PAINTER Local 35 - BRIDGES/TANKS

**Effective Date:** 01/01/2017

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**Notes:**
Steps are 750 hrs.

Apprentice to Journeyworker Ratio: 1:1

**DEMO: ADZEMAN**
LABORERS - ZONE 3 (BUILDING & SITE)

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For apprentice rates see "Apprentice- LABORER"

**DEMO: BACKHOE/LOADER/HAMMER OPERATOR**
LABORERS - ZONE 3 (BUILDING & SITE)

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For apprentice rates see "Apprentice- LABORER"

**DEMO: BURNERS**
LABORERS - ZONE 3 (BUILDING & SITE)

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### Apprentice - ELECTRICIAN - Local 7

**Effective Date:** 01/01/2017

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**Notes:** Pre-5/31/11 Begins at Step 3 $39.72/4$41.75/5$46.38/6$48.60
Steps 1-2 are 1000 hrs; Steps 3-6 are 1500 hrs.

- **Apprentice to Journeyworker Ratio:** 2:3

### ELEVATOR CONSTRUCTOR

**Classification:** ELEVATOR CONSTRUCTORS LOCAL 41

**Effective Date:** 01/01/2017

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**Notes:** Steps 1-2 are 6 mos.; Steps 3-5 are 1 year

- **Apprentice to Journeyworker Ratio:** 1:1

### ELEVATOR CONSTRUCTOR HELPER

**Classification:** ELEVATOR CONSTRUCTORS LOCAL 41

**Effective Date:** 01/01/2017

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### FENCE & GUARD RAIL ERECTOR (HEAVY & HIGHWAY)

**Classification:** LABORERS - ZONE 3 (HEAVY & HIGHWAY)

**Effective Date:** 12/01/2016

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**Notes:** For apprentice rates see "Apprentice- LABORER (Heavy and Highway)"

### FIELD ENG.INST./ROD-BLDG,SITE,HVY/HWY

**Classification:** OPERATING ENGINEERS LOCAL 98

**Effective Date:** 06/01/1999

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**Notes:** For apprentice rates see "Apprentice- ELECTRICIAN"

### FIELD ENG.SURVEY CHIEF-BLDG,SITE,HVY/HWY

**Classification:** OPERATING ENGINEERS LOCAL 98

**Effective Date:** 06/01/1999

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### FIRE ALARM INSTALLER

**Classification:** ELECTRICIANS LOCAL 7

**Effective Date:** 01/01/2017

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**Notes:** For apprentice rates see "Apprentice- ELECTRICIAN"

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**Issue Date:** 03/07/2017  **Wage Request Number:** 20170307-020  **Page 9 of 28**
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Notes: Steps 1-2 are 1000 hrs.; Steps 3-4 are 2000 hrs.

Apprentice to Journeyworker Ratio: 1:6

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Issue Date: 03/07/2017  Wage Request Number: 20170307-020  Page 10 of 28
### Classification

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**Notes:**
- Steps are 750 hrs.

**Apprentice to Journeyworker Ratio: 1:1**

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For apprentice rates see "Apprentice- OPERATING ENGINEERS"

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**Issue Date:** 03/07/2017  **Wage Request Number:** 20170307-020  **Page 11 of 28**
### GLAZIER - Local 1333

#### Effective Date - 06/01/2016

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#### Notes:
- **Apprentice to Journeyworker Ratio**: 1:3

### Apprentice Rates for Various Classes

#### GRADER/TRENCHING MACHINE/DERRICK

**OPERATING ENGINEERS LOCAL 98**

- **Effective Dates and Rates**
  - 12/01/2016: $33.68, Health: $10.58, Pension: $12.38, Supplemental Unemployment: $0.00, Total Rate: $56.64
  - 06/01/2017: $34.29, Health: $10.58, Pension: $12.65, Supplemental Unemployment: $0.00, Total Rate: $57.52
  - 12/01/2017: $34.89, Health: $10.58, Pension: $12.92, Supplemental Unemployment: $0.00, Total Rate: $58.39

- **For apprentice rates see "Apprentice- OPERATING ENGINEERS"**

#### HVAC (DUCTWORK)

**SHEETMETAL WORKERS LOCAL 63**

- **Effective Dates and Rates**
  - 01/01/2017: $32.24, Health: $10.64, Pension: $15.49, Supplemental Unemployment: $1.75, Total Rate: $60.12

- **For apprentice rates see "Apprentice- SHEET METAL WORKER"**

#### HVAC (ELECTRICAL CONTROLS)

**ELECTRICIANS LOCAL 7**

- **Effective Dates and Rates**
  - 01/01/2017: $39.51, Health: $9.35, Pension: $10.84, Supplemental Unemployment: $0.00, Total Rate: $59.70

- **For apprentice rates see "Apprentice- ELECTRICIAN"**

#### HVAC (TESTING AND BALANCING - AIR)

**SHEETMETAL WORKERS LOCAL 63**

- **Effective Dates and Rates**
  - 01/01/2017: $32.24, Health: $10.64, Pension: $15.49, Supplemental Unemployment: $1.75, Total Rate: $60.12

- **For apprentice rates see "Apprentice- SHEET METAL WORKER"**

#### HVAC (TESTING AND BALANCING -WATER)

**PLUMBERS & PIPEFITTERS LOCAL 104**

- **Effective Dates and Rates**
  - 09/17/2016: $38.76, Health: $8.45, Pension: $15.05, Supplemental Unemployment: $0.00, Total Rate: $62.26
  - 03/17/2017: $39.26, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $63.06
  - 09/17/2017: $40.01, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $63.81
  - 03/17/2018: $40.76, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $64.56
  - 09/17/2018: $41.51, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $65.31
  - 03/17/2019: $42.26, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $66.06

- **For apprentice rates see "Apprentice- PIPEFITTER" or "PLUMBER/PIPEFITTER"**

#### HVAC MECHANIC

**PLUMBERS & PIPEFITTERS LOCAL 104**

- **Effective Dates and Rates**
  - 09/17/2016: $38.76, Health: $8.45, Pension: $15.05, Supplemental Unemployment: $0.00, Total Rate: $62.26
  - 03/17/2017: $39.26, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $63.06
  - 09/17/2017: $40.01, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $63.81
  - 03/17/2018: $40.76, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $64.56
  - 09/17/2018: $41.51, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $65.31
  - 03/17/2019: $42.26, Health: $8.50, Pension: $15.30, Supplemental Unemployment: $0.00, Total Rate: $66.06

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**Issue Date:** 03/07/2017  
**Wage Request Number:** 20170307-020
### HYDRAULIC DRILLS (HEAVY & HIGHWAY)

**LABORERS - ZONE 3 (HEAVY & HIGHWAY)**

For apprentice rates see "Apprentice- PIPEFITTER" or "PLUMBER/PIPEFITTER"

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### INSULATOR (PIPES & TANKS)

**HEAT & FROST INSULATORS LOCAL 6 (SPRINGFIELD)**

For apprentice rates see "Apprentice- LABORER (Heavy and Highway)

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### Apprentice - ASBESTOS INSULATOR (Pipes & Tanks) - Local 6 Springfield

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<tr>
<td>3</td>
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**Notes:**

Steps are 1 year

**Apprentice to Journeyworker Ratio:** 1:4

### IRONWORKER/WELDER

**IRONWORKERS LOCAL 7 (SPRINGFIELD AREA)**

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### Apprentice - IRONWORKER - Local 7 Springfield

**Effective Date:** 09/16/2016

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**Effective Date:** 03/16/2017

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**Notes:**

- Structural 1:6; Ornamental 1:4
- Apprentice to Journeyworker Ratio: 1:6

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### JACKHAMMER & PAVING BREAKER OPERATOR

**LABORERS - ZONE 3 (BUILDING & SITE)**

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<th>Apprentice Base Wage</th>
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For apprentice rates see "Apprentice- LABORER"

---

### LABORER

**LABORERS - ZONE 3 (BUILDING & SITE)**

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### Apprentice - LABORER - Zone 3 Building & Site

**Effective Date:** 12/05/2016

<table>
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<th>Step</th>
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**Notes:**

- Apprentice to Journeyworker Ratio: 1:5

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### LABORER (HEAVY & HIGHWAY)

**LABORERS - ZONE 3 (HEAVY & HIGHWAY)**

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**Issue Date:** 03/07/2017  
**Wage Request Number:** 20170307-020  
**Page 14 of 28**
## Apprentice - LABORER (Heavy & Highway) - Zone 3

### Effective Date
12/01/2016

### Table

<table>
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<tr>
<th>Step</th>
<th>percent</th>
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<th>Health</th>
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### Notes:
- **Apprentice to Journeyworker Ratio:** 1:5

### LABORER: CARPENTER TENDER
LABORERS - ZONE 3 (BUILDING & SITE)

12/05/2016 $29.58 $7.60 $12.50 $0.00 $49.68

For apprentice rates see "Apprentice- LABORER"

### LABORER: CEMENT FINISHER TENDER
LABORERS - ZONE 3 (BUILDING & SITE)

12/05/2016 $29.83 $7.60 $12.50 $0.00 $49.93

For apprentice rates see "Apprentice- LABORER"

### LABORER: HAZARDOUS WASTE/ASBESTOS REMOVER
LABORERS - ZONE 3 (BUILDING & SITE)

12/05/2015 $29.68 $7.60 $12.50 $0.00 $49.78

For apprentice rates see "Apprentice- LABORER"

### LABORER: MASON TENDER
LABORERS - ZONE 3 (BUILDING & SITE)

12/05/2016 $30.58 $7.60 $12.50 $0.00 $50.68

For apprentice rates see "Apprentice- LABORER"

### LABORER: MASON TENDER (HEAVY & HIGHWAY)
LABORERS - ZONE 3 (HEAVY & HIGHWAY)

12/01/2016 $29.75 $7.60 $10.62 $0.00 $47.97

For apprentice rates see "Apprentice- LABORER (Heavy and Highway)"

### LABORER: MULTI-TRADE TENDER
LABORERS - ZONE 3 (BUILDING & SITE)

12/05/2016 $29.58 $7.60 $12.50 $0.00 $49.68

For apprentice rates see "Apprentice- LABORER"

### LABORER: TREE REMOVER
LABORERS - ZONE 3 (BUILDING & SITE)

12/05/2016 $29.58 $7.60 $12.50 $0.00 $49.68

This classification applies to all tree work associated with the removal of standing trees, trimming and removal of branches and limbs when the work is not done for a utility company for the purpose of operation, maintenance or repair of utility company equipment. For apprentice rates see "Apprentice- LABORER"

### LASER BEAM OPERATOR
LABORERS - ZONE 3 (BUILDING & SITE)

12/05/2016 $29.83 $7.60 $12.50 $0.00 $49.93

For apprentice rates see "Apprentice- LABORER"

### LASER BEAM OPERATOR (HEAVY & HIGHWAY)
LABORERS - ZONE 3 (HEAVY & HIGHWAY)

12/01/2016 $29.75 $7.60 $10.62 $0.00 $47.97

For apprentice rates see "Apprentice- LABORER (Heavy and Highway)"

### MARBLE & TILE FINISHERS
BRICKLAYERS LOCAL 3 (SPR/PITT) - MARBLE & TILE

02/27/2017 $32.67 $10.75 $17.05 $0.00 $60.47
## Classification

### Apprentice - MARBLE-TILE-TERRAZZO FINISHER-Local 3 Marble/Tile (Spr/Pitt)

**Effective Date**: 02/27/2017

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**Notes:**

- Apprentice to Journeyworker Ratio: 1:5

### MARBLE MASONS, TILELAYERS & TERRAZZO MECH - Local 3 Marble/Tile (Spr/Pitt)

**Effective Date**: 02/27/2017

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**Notes:**

- Apprentice to Journeyworker Ratio: 1:5

### MECH. SWEEPER OPERATOR (ON CONST. SITES)

**Effective Date**: 12/01/2016

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**Notes:**

- For apprentice rates see "Apprentice- OPERATING ENGINEERS"

### MECHANIC/WELDER/BOOM TRUCK

**Effective Date**: 12/01/2016

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**Notes:**

- For apprentice rates see "Apprentice- OPERATING ENGINEERS"
### Classification

**MALLWRIGHT (Zone 3)**

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**Apprentice - MILLWRIGHT - Local 1121 Zone 3**

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**Notes:**

- Steps are 2,000 hours
- Apprentice to Journeyworker Ratio: 1:5

### Other Categories

**MORTAR MIXER LABORERS - ZONE 3 (BUILDING & SITE)**

For apprentice rates see "Apprentice- LABORER"

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**OILER OPERATING ENGINEERS LOCAL 98**

For apprentice rates see "Apprentice- OPERATING ENGINEERS"

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**OTHER POWER DRIVEN EQUIPMENT - CLASS VI OPERATING ENGINEERS LOCAL 98**

For apprentice rates see "Apprentice- OPERATING ENGINEERS"

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**PAINTER (BRIDGES/TANKS) PAINTERS LOCAL 35 - ZONE 3**

For apprentice rates see "Apprentice- OPERATING ENGINEERS"

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### PAINTER Local 35 - BRIDGES/TANKS

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**Notes:**
- Steps are 750 hrs.

**Apprentice to Journeyworker Ratio:** 1:1

* PAINTER (SPRAY OR SANDBLAST, NEW)

* If 30% or more of surfaces to be painted are new construction, NEW paint rate shall be used.

### PAINTER Local 35 Zone 3 - Spray/Sandblast - New

**Effective Date:** 01/01/2017

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**Notes:**
- Steps are 750 hrs.

**Apprentice to Journeyworker Ratio:** 1:1

* PAINTER (SPRAY OR SANDBLAST, REPAINT)

### PAINTER Local 35 - ZONE 3

**Issue Date:** 03/07/2017

Wage Request Number: 20170307-020

Page 18 of 28
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**Notes:**
- Steps are 750 hrs.

**Apprentice to Journeyworker Ratio: 1:1**

PAINTER / TAPER (BRUSH, NEW) *
- 01/01/2017
- 01/01/2017 $33.28 $7.85 $12.30 $0.00 $53.43

* If 30% or more of surfaces to be painted are new construction, NEW paint rate shall be used. PAINTERS LOCAL 35 - ZONE 3

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**Notes:**
- Steps are 750 hrs.

**Apprentice to Journeyworker Ratio: 1:1**

PAINTER / TAPER (BRUSH, REPAINT) 01/01/2017 $30.60 $7.85 $12.30 $0.00 $50.75

PAINTERS LOCAL 35 - ZONE 3

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**Issue Date:** 03/07/2017  **Wage Request Number:** 20170307-020  **Page 19 of 28**
## Apprentice - PAINTER Local 35 Zone 3 - BRUSH REPAINT

### Effective Date: 01/01/2017

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**Notes:**
- Steps are 750 hrs.
- Apprentice to Journeyworker Ratio: 1:1

## PAINTER TRAFFIC MARKINGS (HEAVY/HIGHWAY)

**Laborers - Zone 3 (Heavy & Highway)**

For apprentice rates see "Apprentice - LABORER (Heavy and Highway)"

### Effective Date: 12/01/2016

| Wage | $29.50 | $7.60 | $10.62 | $0.00 | $47.72 |

## PANEL & PICKUP TRUCKS DRIVER

**Teamsters Joint Council No. 10 Zone B**

For apprentice rates see "Apprentice - PANEL & PICKUP TRUCKS DRIVER"

### Effective Date: 12/01/2012

| Wage | $30.28 | $9.07 | $8.00 | $0.00 | $47.35 |

## PIER AND DOCK CONSTRUCTOR (UNDERRPINNING AND DECK)

**Pile Driver Local 36 (Zone 3)**

For apprentice rates see "Apprentice - PILE DRIVER"

### Effective Date: 08/31/2015

| Wage | $39.00 | $9.80 | $18.17 | $0.00 | $66.97 |

## PILE DRIVER

**Pile Driver Local 36 (Zone 3)**

### Effective Date: 08/31/2015

| Wage | $39.00 | $9.80 | $18.17 | $0.00 | $66.97 |

## Apprentice - PILE DRIVER - Local 36 Zone 3

### Effective Date: 08/31/2015

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**Notes:**
- Apprentice wages shall be no less than the following Steps;
  - (Same as set in Zone 1)
  - $50.05/25$4.25/35$8.46/45$60.56/55$62.66/65$66.87/75$66.87
- Apprentice to Journeyworker Ratio: 1:3

## PIPELAYER

**Laborers - Zone 3 (Building & Site)**

For apprentice rates see "Apprentice - LABORER"

### Effective Date: 12/05/2016

| Wage | $29.83 | $7.60 | $12.50 | $0.00 | $49.93 |

## PIPELAYER (HEAVY & HIGHWAY)

**Laborers - Zone 3 (Heavy & Highway)**

For apprentice rates see "Apprentice - LABORER (Heavy and Highway)"

### Effective Date: 12/01/2016

| Wage | $29.75 | $7.60 | $10.62 | $0.00 | $47.97 |
### Apprentice - PLUMBER/PIPEFITTER - Local 104

#### Effective Date - 09/17/2016

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**Notes:** **1:1,2:5,3:9,4:12**

**Apprentice to Journeyworker Ratio:**

For apprentice rates see "Apprentice- PIPEFITTER" or "PLUMBER/PIPEFITTER"
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### Apprentice - Carpenter (Residential Wood Frame) - 108 Hampden Hampshire

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**Effective Date -** 04/01/2017

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**Notes:**

**1:** 1-5, **2:** 6-8, **3:** 9-11

### Apprentices to Journeyworker Ratio:

**RIDE-ON MOTORIZED BUGGY OPERATOR**

*Laborers - Zone 3 (Building & Site)*

**Effective Date -** 12/05/2016

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For apprentice rates see "Apprentice- Laborer"*

**ROLLER OPERATOR**

*Operating Engineers Local 98*

**Effective Date -** 12/01/2016

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For apprentice rates see "Apprentice- Operating Engineers"*

**ROOFER (Coal tar pitch)**

*Roofers Local 248*

**Effective Date -** 10/16/2016

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For apprentice rates see "Apprentice- Roofer"*

**ROOFER (Inc. Roofer waterproofing & Rooffer Damproofing)**

*Roofers Local 248*

**Effective Date -** 10/16/2016

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For apprentice rates see "Apprentice- Roofer"*
### Apprentice - ROOFER - Local 248

**Effective Date:** 10/16/2016

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**Notes:**
- Steps are 750 hrs.
- Roofer (Tear Off): 1:1; Same as above

### Apprentice to Journeyworker Ratio: 1:3

#### ROOFER SLATE / TILE / PRECAST CONCRETE

10/16/2016 $32.25 $9.41 $13.25 $0.00 $54.91

**For apprentice rates see "Apprentice - ROOFER"**

#### SCRAPER

OPERATING ENGINEERS LOCAL 98

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**For apprentice rates see "Apprentice - OPERATING ENGINEERS"**

#### SELF-POWERED ROLLERS AND COMPACTORS (TAMPERS)

OPERATING ENGINEERS LOCAL 98

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**For apprentice rates see "Apprentice- OPERATING ENGINEERS"**

#### SELF-PROPELLED POWER BROOM

OPERATING ENGINEERS LOCAL 98

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**For apprentice rates see "Apprentice- OPERATING ENGINEERS"**

#### SHEETMETAL WORKER

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### Notes:
- Apprentice to Journeyworker Ratio: 1:3

## PAINTERS LOCAL 35 - ZONE 3

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### Notes:
- Steps are 4 mos.
- Apprentice to Journeyworker Ratio: 1:1

## TEAMSTERS JOINT COUNCIL NO. 10 ZONE B

### SPECIALIZED EARTH MOVING EQUIP < 35 TONS

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**Issue Date:** 03/07/2017  **Wage Request Number:** 20170307-020  **Page 25 of 28**
## Classification

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### Apprentice - SPRINKLER FITTER - Local 669

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### Notes:

- Apprentice to Journeyworker Ratio: 1:1

### Telecommunication Technician - ELECTRICIANS LOCAL 7

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**Issue Date:** 03/07/2017  
**Wage Request Number:** 20170307-020  
**Page 26 of 28**
### Classification

**Telecommunication Technician - Local 7**

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**Notes:**
- Steps are 800 hours
- Apprentice to Journeyworker Ratio: 1:1

### Terrazzo Finishers

**Bricklayers Local 3 (Spr/Pitt) - Marble & Tile**

**Apprentice - Marble-Tile-Terrazzo Finisher - Local 3 Marble/Tile (Spr/Pitt)**

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**Notes:**
- Apprentice to Journeyworker Ratio: 1:5
- For apprentice rates see "Apprentice- Laborer"

### Test Boring Driller

**Laborers - Foundation and Marine**

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**For apprentice rates see "Apprentice- Laborer"**

### Test Boring Driller Helper

**Laborers - Foundation and Marine**

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**For apprentice rates see "Apprentice- Laborer"**

### Test Boring Laborer

**Laborers - Foundation and Marine**

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**For apprentice rates see "Apprentice- Laborer"**

### Tractors

**Operating Engineers Local 98**

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<td>12/01/2016</td>
<td>$33.02</td>
<td>$10.91</td>
<td>$10.89</td>
<td>$0.00</td>
<td>$54.82</td>
</tr>
<tr>
<td>TEAMSTERS JOINT COUNCIL NO. 10 ZONE B</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TUNNEL WORK - COMPRESSED AIR LABORERS (COMPRESSED AIR)</td>
<td>12/01/2016</td>
<td>$48.58</td>
<td>$7.60</td>
<td>$14.75</td>
<td>$0.00</td>
<td>$70.93</td>
</tr>
<tr>
<td>For apprentice rates see <em>Apprentice- LABORER</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TUNNEL WORK - COMPRESSED AIR (HAZ. WASTE) LABORERS (COMPRESSED AIR)</td>
<td>12/01/2016</td>
<td>$50.58</td>
<td>$7.60</td>
<td>$14.75</td>
<td>$0.00</td>
<td>$72.93</td>
</tr>
<tr>
<td>For apprentice rates see <em>Apprentice- LABORER</em></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TUNNEL WORK - FREE AIR LABORERS (FREE AIR TUNNEL)</td>
<td>12/01/2016</td>
<td>$40.65</td>
<td>$7.60</td>
<td>$14.75</td>
<td>$0.00</td>
<td>$63.00</td>
</tr>
<tr>
<td>For apprentice rates see <em>Apprentice- LABORER</em></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TUNNEL WORK - FREE AIR (HAZ. WASTE) LABORERS (FREE AIR TUNNEL)</td>
<td>12/01/2016</td>
<td>$42.65</td>
<td>$7.60</td>
<td>$14.75</td>
<td>$0.00</td>
<td>$65.00</td>
</tr>
<tr>
<td>For apprentice rates see <em>Apprentice- LABORER</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>VAC-HAUL</td>
<td>12/01/2016</td>
<td>$32.44</td>
<td>$10.91</td>
<td>$10.89</td>
<td>$0.00</td>
<td>$54.24</td>
</tr>
<tr>
<td>TEAMSTERS JOINT COUNCIL NO. 10 ZONE B</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WAGON DRILL OPERATOR LABORERS - ZONE 3 (BUILDING &amp; SITE)</td>
<td>12/05/2016</td>
<td>$29.83</td>
<td>$7.60</td>
<td>$12.50</td>
<td>$0.00</td>
<td>$49.93</td>
</tr>
<tr>
<td>For apprentice rates see <em>Apprentice- LABORER</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WAGON DRILL OPERATOR (HEAVY &amp; HIGHWAY) LABORERS - ZONE 3 (HEAVY &amp; HIGHWAY)</td>
<td>12/01/2016</td>
<td>$29.75</td>
<td>$7.60</td>
<td>$10.62</td>
<td>$0.00</td>
<td>$47.97</td>
</tr>
<tr>
<td>For apprentice rates see <em>Apprentice- LABORER</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WATER METER INSTALLER</td>
<td>09/17/2016</td>
<td>$38.76</td>
<td>$8.45</td>
<td>$15.05</td>
<td>$0.00</td>
<td>$62.26</td>
</tr>
<tr>
<td>PLUMBERS &amp; PIPEFITTERS LOCAL 104</td>
<td>03/17/2017</td>
<td>$39.26</td>
<td>$8.50</td>
<td>$15.30</td>
<td>$0.00</td>
<td>$63.06</td>
</tr>
<tr>
<td></td>
<td>09/17/2017</td>
<td>$40.01</td>
<td>$8.50</td>
<td>$15.30</td>
<td>$0.00</td>
<td>$63.81</td>
</tr>
<tr>
<td></td>
<td>03/17/2018</td>
<td>$40.76</td>
<td>$8.50</td>
<td>$15.30</td>
<td>$0.00</td>
<td>$64.56</td>
</tr>
<tr>
<td></td>
<td>09/17/2018</td>
<td>$41.51</td>
<td>$8.50</td>
<td>$15.30</td>
<td>$0.00</td>
<td>$65.31</td>
</tr>
<tr>
<td></td>
<td>03/17/2019</td>
<td>$42.26</td>
<td>$8.50</td>
<td>$15.30</td>
<td>$0.00</td>
<td>$66.06</td>
</tr>
<tr>
<td>For apprentice rates see <em>Apprentice- PLUMBER/PIPEFITTER</em> or <em>PLUMBER/GASFITTER</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Additional Apprentice Information:

Minimum wage rates for apprentices employed on public works projects are listed above as a percentage of the pre-determined hourly wage rate established by the Commissioner under the provisions of the M.G.L. c. 149, ss. 26-27D. Apprentice ratios are established by the Division of Apprenticeship Training pursuant to M.G.L. c. 23, ss. 11E-11L.

All apprentices must be registered with the Division of Apprenticeship Training in accordance with M.G.L. c. 23, ss. 11E-11L.

All steps are six months (1000 hours.)

Ratios are expressed in allowable number of apprentices to journeymen or fraction thereof, unless otherwise specified.

** Multiple ratios are listed in the comment field.

*** APP to JM; 1:1, 2:2, 3:3, 4:4, 5:5, 6:6, 7:7, 8:8, 9:9, 10:10, 11:11, 12:12, 13:13, 14:14, etc.

**** APP to JM; 1:1, 1:2, 2:3, 3:5, 4:6, 5:7, 6:8, 6:9, 7:10, 8:10, 8:11, 8:12, 9:13, 10:13, 10:14, etc.
WEEKLY PAYROLL RECORDS REPORT
& STATEMENT OF COMPLIANCE

In accordance with Massachusetts General Law c149, section 27B, a true and accurate record must be kept of all persons employed on the public works construction project for which the enclosed rates have been provided. The Weekly Payroll Report Form includes all the information required to be kept by law. Every contractor or subcontractor is required to keep these records and preserve them for a period of three years from the date of completion of the project.

In addition, every contractor and subcontractor is required to submit a copy of their weekly payroll records to the awarding authority. This is required to be done on a weekly basis. Once collected, the awarding authority is also required to preserve those records for three years.

In addition, each such contractor, subcontractor or public body shall furnish to the Executive Office of Labor within fifteen days after completion of its portion of the work a statement, executed by the contractor, subcontractor or public body who supervises the payment of wages, in the following form:
STATEMENT OF COMPLIANCE

I, ____________________________________________
,______________________________________________

(Name of signatory party) (Title)

do hereby state:

That I pay or supervise the payment of the persons employed by

__________________________________________ on the ____________________________________________

(Contractor, subcontractor or public body) (Building or project)

and that all mechanics and apprentices, teamsters, chauffeurs and laborers employed on said project have been paid in accordance with wages determined under the provisions of sections twenty-six and twenty-seven of chapter one hundred and forty nine of the General Laws.

Signature ________________________________

Title ____________________________________
QUARTERLY PROJECTED WORKFORCE TABLE
UNIVERSITY OF MASSACHUSETTS AMHERST

UMA Number __________ Project No. __________ Project Name ______________________________

Name of Contractor ________________________________________________________________

Address _________________________________________________________________________

Telephone No ___________________ Fax ________________________________

Scope of Work _____________________ Trades Utilized ________________________________

Estimate of Total Hours to Complete Work of Project ________________________________

Estimate of Total Hours of Work Remaining on Project ________________________________

Total Contract Dollar Value $ __________________________

Quarter: Beginning ___________________ Ending ________________________________
<table>
<thead>
<tr>
<th>Trade Categories</th>
<th>Projected Total Hours By All Personnel</th>
<th>Projected Total of all Minority Hours</th>
<th>Projected Total of all Women Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>MONTH-</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Laborers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Trades</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MONTH-</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Laborers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Trades</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MONTH-</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Laborers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Trades</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Authorized Signature ___________________________ Title ___________________________ Date _____________________

Note: A revised table must be submitted if any changes on projection occur.
**CERTIFICATE OF PAYMENT**

**BY CONTRACTOR/DESIGNER TO MINORITY & WOMEN BUSINESS ENTERPRISES**

**UNIVERSITY OF MASSACHUSETT AMHERST**

**TO:** University of Massachusetts Amherst
Facilities Planning
360 Campus Center Way
Amherst, MA 01003

**Reporting**

Facilities Planning
Period______________

**Physical Plant Building**
Contract Date

____________________

_____Design Contract
_____Construction Contract

**RE:** UMA No.______________________________
Project No.

____________________

Project Name______________________________

---

The undersigned hereby certifies under the pains and penalties of perjury that the contractor/designer named below has made the following payments to the named Minority and Women Business Enterprises for work performed on the above project:

<table>
<thead>
<tr>
<th>MBE/WBE Firm Name</th>
<th>Work Performed</th>
<th>Subcontract Amount</th>
<th>Payments This Quarter</th>
<th>Cumulative Payments</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ MBE</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ WBE</td>
<td></td>
<td>$</td>
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<tr>
<td>☐ MBE</td>
<td></td>
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<tr>
<td>☐ WBE</td>
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<td>☐ MBE</td>
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<td>☐ WBE</td>
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<tr>
<td>☐ MBE</td>
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</tr>
<tr>
<td>☐ WBE</td>
<td></td>
<td>$</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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187
<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

Date Submitted: __________________________

Name of General Contractor or Design Firm

Telephone No.: __________________________

Authorized Signature

Fax No.: __________________________

Print Name and Title

* MBE and WBE payment reports are required for each quarter of the fiscal year for each of your University of Massachusetts Amherst projects. Reports are to cover the following three month periods: 1st quarter, July 1st – September 30th; 2nd quarter, October 1st – December 31st; 3rd quarter, January 1st – March 31st; 4th quarter, April 1st – June 30th. Reports must be submitted within 10 business days of your receipt of this form.

NOTICE: Intentionally submitting false information in this document may subject the contractor/designer to criminal prosecution and/or debarment from public contracting.
INSTRUCTIONS FOR COMPLETING CERTIFICATE OF PAYMENT BY CONTRACTOR/DESIGNER TO MINORITY & WOMEN BUSINESS ENTERPRISES

As part of its effort to ensure reliable, up-to-date information concerning the actual payments made to certified MBE and WBE subcontractors on all University of Massachusetts Amherst projects, the Compliance Office has prepared these instructions to assist you in completing the enclosed form. PLEASE READ THESE INSTRUCTIONS CAREFULLY. UNIVERSITY OF MASSACHUSETTS AMHERST WILL RETURN ANY CERTIFICATION OF PAYMENT THAT IS INCOMPLETE OR INACCURATE.

PLEASE NOTE: IF THIS PROJECT IS COMPLETE, ON HOLD, OR YOUR FIRM PREVIOUSLY SUBMITTED A FINAL CERTIFICATION OF M/WBE PAYMENT FOR THIS PROJECT, PLEASE SO INDICATE ON THE FORM AND RETURN IT TO UNIVERSITY OF MASSACHUSETTS AMHERST, FACILITIES PLANNING.

PLEASE INCLUDE THE FOLLOWING INFORMATION IN THE DESIGNATED SECTIONS OF THE FORM:

M/WBE NAME: Include the MBEs and WBEs listed on the project’s approved Schedule For Participation and any additional M/WBEs that worked on the project. Please note that any change in MBE and/or WBE participation used to meet the project M/WBE goals must be pre-approved by the Director of Facilities Planning responsible for this project and a Revised M/WBE Schedule of Participation will be required. Contact the University of Massachusetts Amherst, Facilities Planning Project Manager immediately if you anticipate or have had any changes in M/WBE participation on this project.

WORK PERFORMED: Include a brief description of the work performed by each subcontractor listed. The description should match the M/WBE Letter of Intent and approved Schedule of Participation. M/WBEs must be SOMWAACertified in the category of work performed on this project for firms used to meet the project M/WBE goals.

SUBCONTRACT AMOUNT: Include the contract or subcontract amounts listed on the M/WBE Letters of Intent and approved Schedule of Participation. If the value of a MBE/WBE contract or subcontract has decreased or increased for any reason, you must contact the University of Massachusetts Amherst, Facilities Planning Project Manager responsible for this project immediately. If additional M/WBE firms not listed on the Schedule for Participation worked on this project list the amount of their subcontracts.

PAYMENTS THIS QUARTER: Include the amount you paid the M/WBE subcontractor, either directly or indirectly, for work performed on this project during the three month period covered by this Certification of Payment. If the amount paid was zero, please indicate that. Do not include payments from previous periods or estimated future payments in this column. Please note that you may be required to submit copies of cancelled checks to verify the amounts reported for firms used to meet the project’s M/WBE goals.

CUMULATIVE PAYMENTS: Include the total amount you paid the M/WBE subcontractor, either directly or indirectly, for work performed on this project for all quarters to date. This amount should equal all payments made during the period covered by this Certificate of Payment as well as all payments from previous periods. The University of Massachusetts Amherst, Facilities Planning Project Manager will check the total amount reported this quarter against any payments previously reported. To ensure accurate reporting, please review the prior Certifications of Payments you submitted for this project.
Where necessary, correct any earlier mathematical or reporting errors and submit revised Certifications of Payment.

IF YOU HAVE ANY QUESTIONS CONTACT THE UNIVERSITY OF MASSACHUSETTS AMHERST, FACILITIES PLANNING PROJECT MANAGER.

Certification of Payment Revised 10/01
CERTIFICATE OF COMPLETION

BY MINORITY/WOMEN BUSINESS ENTERPRISE
UNIVERSITY OF MASSACHUSETTS AMHERST

UMA Number__________________ Project Number ____________________________
Project Location________________________________________________________

Project Name
______________________________________________________________________

Name of MBE/WBE Firm__________________________
Address___________________________________________________________________

Name of General Contractor________________________
Address___________________________________________________________________

DESCRIPTION OF WORK (AS SHOWN IN LETTER OF INTENT)

DESCRIPTION OF ACTIVITY
(Note “Labor Only,” “Material Only,”
“Material and Labor,” “Complete”)
______________________________________________________________________
______________________________________________________________________

Original Subcontract Amount
$__________________________

Adjusted Subcontract Amount (Change Orders, etc.)
$__________________________

Total Payments Received to Date From Prime Contractor
$__________________________

Total Amount/Balance Due From Prime Contractor
$__________________________
If the completed activity is different from that listed on the Letter of Intent, please explain:

__________________________________________________________________________________

__________________________________________________________________________________

__________________________________________________________________________________

(If more space is needed, continue on back of sheet)

The individuals signing below hereby certify under the pains and penalties of perjury that all work listed on the Contract Letter of Intent (or approved changes thereto as explained above) was completed by the MBE/WBE firm on _________________________, 20____ and the above amounts listed for these services are true and accurate.

FOR CONTRACTOR

Authorized Signature________________________  Authorized Signature________________________

Print Name _________________________________  Print Name _________________________________

Title______________________________  Title______________________________

Date_________ Telephone No._________  Date_________ Telephone No._________

NOTE: To be submitted to the University of Massachusetts Amherst within ten (10) days after completion of work by MBE/WBE.

Facilities Planning

Physical Plant Building

360 Campus Center Way

Amherst, MA  01003

Certificate of Completion – Revised 10/01
FORM FOR TRANSFER OF TITLE (UMA FORM 16)

Name of Contractor or Subcontractor having ownership

Business Address

Date

KNOW ALL MEN BY THESE PRESENTS

That we, _______________________________ , of _______________________________

(City)
in the County of _______________________________ and the Commonwealth of
Massachusetts, in consideration of One Dollar ($1.00) and other good and valuable consideration
paid by the University of Massachusetts Amherst and receipt thereof is hereby acknowledged, do
hereby grant, sell, transfer, and deliver unto the said University of Massachusetts Amherst, clear
title to, and beneficial ownership of, the following goods and chattels, namely:
as per attached bills, belonging to us, now on the job site in _________________________,
(location) Massachusetts, or at ________________________ which location has been agreed to in writing.

To have and to hold all and singular the said goods and chattels to the University of
Massachusetts Amherst and to its own use and behoof forever.

And we hereby covenant and represent under pains and penalties of perjury that we are the
lawful owner of the said goods and chattels and that they are free from all liens and
encumbrances. And the undersigned individual executing this document on behalf of the
transferor represents and warrants that he or she is legally authorized to execute this document
on behalf of said transferor.

In Witness whereof we, the said _______________________________ hereunto set

(Contractor or Subcontractor's Firm Name)

our hand and seal this ____ day of _____________ in the year two thousand and _____.

193
(Contractor or Subcontractor's Name)
By: ____________________________________________

Title: __________________________________________

hereunto duly authorized

UNIVERSITY OF MASSACHUSETTS AMHERST, ss

Then appeared the said _____________________________ to me known or proven to be the

________________________ of ___________________________ and

acknowledged the foregoing to be his free act and deed and the free act and deed of

________________________ , before me.

___________________________________________

Notary Public
My Commission Expires: _____________________

The General Contractor hereby certifies under penalties of perjury that the goods and chattels
transferred above meet the requirements of the Plans and Specifications and will shortly be
needed for the Work; that the General Contractor can and will adequately protect them in
accordance with the Contract Documents until they are incorporated in the Work; that said goods
and chattels are insured as required by the Contract Documents; that acceptance of these goods
and chattels by the University of Massachusetts Amherst shall not constitute a waiver of any
claim arising out of the construction contract between the parties, nor of any claims for breach of
warranty, express or implied, or otherwise, arising out of this sale; that it is understood that the
University of Massachusetts Amherst reserves the right to give notice of any of the aforesaid
breaches at any time subsequent to said sale when said breach first appears to the University of
Massachusetts Amherst.

In Witness whereof we, the said _____________________________ hereunto set

 (Contractor's Firm Name)

our hand and seal this ___ day of _____________ in the year two thousand and _____.

__________________________________________  ________________________________
(Contractor's Name)                        (Name of Surety Company)

By: ____________________________________________  __________________________________

(Authorized Signature for Surety)
Title: 

hereunto duly authorized

I hereby certify, under the penalties of perjury, that the articles or services listed have been received and are in keeping with the specifications, or are to be received in accordance with customary trade practices, and are in good order except as otherwise noted. Payment is hereby authorized and is properly chargeable to the designated appropriation.

____________________________________  ________________________________
(Architect) (Engineer)                  (Date)                          Resident Engineer/Project Manager  (Date)
UNIVERSITY OF MASSACHUSETTS AMHERST

FACILITIES PLANNING

Physical Plant Building, 360 Campus Center Way,
Amherst, MA 01003

E-I CERTIFICATE OF

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FROM AWARDING AUTHORITY: University of Massachusetts Amherst

TO: General Contractor:

RE: UMA No.
    Project No.
    Title:
    Location:
AUTHORITY: M.G.L. c. 30, s. 39K; Article VI General Conditions of Contract

Pursuant to the authority noted above you are notified that the University of Massachusetts Amherst is satisfied that the portion of the above noted project, as hereinafter enumerated, is ready for Use and/or Occupancy. (Identify portions to be used and/or occupied.)

The University of Massachusetts Amherst, through its undersigned representatives, hereby accepts from the Contractor, subject to Contract stipulations, said portion of the project effective as of Midnight the ______ day of _____________ 20____. The Contractor is relieved of responsibility for performing further work or supplying further materials, equipment or items, with the exception of the attached. (Append a complete list of all incomplete or unsatisfactory items of contract work which in the opinion of the University of Massachusetts Amherst are attributable to the fault, negligence or oversight of the Contractor, his subcontractor, material suppliers, agents, servants or employees.)

The use of any portion of the project or the occupancy of any building or portion thereof by the University of Massachusetts Amherst shall not constitute a final acceptance of any work not performed in accordance with the Contract, nor relieve the Contractor of liability to perform any work required by the Contract or of liabilities with respect to any warranties, guarantees, indemnifications, insurance, or other items that are required by the Contract to survive the issuance of this certificate.

The undersigned recommend the issuance of this Certificate of Agency Use and Occupancy.

UMass Amherst Project. Manager:

______________________________  __________
Signature                        Date

By: ________________________________  __________
E-2 FINAL ACCEPTANCE

CERTIFICATE OF FINAL INSPECTION, RELEASE AND ACCEPTANCE

UMA. State Project No. <>, Project No. <>

Title: 

Location: <>

Contractor: <>

This is to certify that a complete inspection of the above entitled project was made on <> by the undersigned and the entire work was completed in accordance with the plans and specifications. The undersigned recommends acceptance of the project.

<table>
<thead>
<tr>
<th>Designer</th>
<th>Authorized Signature</th>
<th>Title</th>
<th>Date</th>
</tr>
</thead>
</table>

CERTIFICATE OF RELEASE

The undersigned hereby certifies that all work has been completed in accordance with the Plans, Specifications and Contract Documents and that all Change Orders have been supported pursuant to Articles VII and VIII of the General Conditions of the Contract.

1. Contract Award Price: $<> Adjusted Contract Price: $<>

2. Authorized Additions: $<> Paid to Date: $<> 
   Authorized Deductions: $<> Balance Due: $<> 

3. The undersigned further certifies that in addition to the amount set forth above, there are outstanding and unsettled the following the Change Orders as submitted according to UMass Form 13.

<table>
<thead>
<tr>
<th>Request No. &lt;&gt;</th>
<th>Date: &lt;&gt;</th>
<th>Amount: $ &lt;&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request No. &lt;&gt;</td>
<td>Date: &lt;&gt;</td>
<td>Amount: $ &lt;&gt;</td>
</tr>
<tr>
<td>Request No. &lt;&gt;</td>
<td>Date: &lt;&gt;</td>
<td>Amount: $ &lt;&gt;</td>
</tr>
</tbody>
</table>

4. Subject to satisfactory disposition of Change Orders listed in Item 3 above, the undersigned releases the University of Massachusetts Amherst from all further claims for wages or payments to subcontractors or suppliers except: (list on attached sheet).

by: ________________________________

Contractor

Authorized Signature: ________________________________

The above entitled project is accepted as of ________________________________

Date
Form ST-5C
Contractor's Sales Tax Exempt
Purchase Certificate

Part A. To be completed by governmental body, agency or IRC Section 501(c)(3) certified exempt organization

Exempt number
E 043 - 167 - 352

Contract number

Name of exempt organization
University of Massachusetts

Authorizing signature
John O'Mara
Date
Director of Procurement

Part B. To be completed by purchasing contractor or subcontractor claiming exemption under MGL Ch. 64H, sec. 6(d), (e), (f) or (tt)

Purchaser (☐ contractor ☐ subcontractor)

Address

Date
Vendor registration number (if applicable)

Contract/subcontract number
Contract/subcontract date
Estimated date of completion

Part C. To be completed by purchasing contractor or subcontractor claiming exemption. See instructions. I claim the exemption corresponding to the box checked below, and certify as follows (check appropriate box below):

1. ☐ Exemption under MGL Ch. 64H, sec. 6(d) or (e): Contractor as Agent of Exempt Entity. I certify that the purchaser is a contractor or subcontractor engaged in the performance of a contract for the construction, reconstruction, alteration, remodeling or repair of a governmental body or agency for a governmental body or agency for a certified IRC Section 501(c)(3) exempt organization or other project described in MGL Ch. 64H, sec. 6(d). To the best of my knowledge and belief, the described quantities of materials and supplies noted on the reverse side are exempt from the sales/use tax under the provisions of MGL Ch. 64 H, sec. 6(d) or (e) as they are purchased by a purchaser acting as an agent for either a governmental body or agency for a governmental body or agency for a certified IRC Section 501(c)(3) exempt organization.

☐ Governmental body or agency described in MGL Ch. 64H, sec. 6(d) (local public school, city/town government, state agency, etc.). Attach Form ST-2, Certificate of Exemption. If Form ST-2 is not available, enter agency's exemption number.

☐ Tax exempt organization (under IRC Section 501(c)(3)) as described in MGL Ch. 64H, sec. 6(e) (parochial school, Scout troop, PTO, etc.). Attach Form ST-2, Certificate of Exemption. If Form ST-2 is not available, enter agency's exemption number.

To the best of my knowledge and belief, the quantities of tangible personal property noted on the reverse side are exempt from the sales/use tax under the provisions of MGL Ch. 64 H, sec. 6(e) or (e) as they are purchased by a purchaser acting as an agent for either a governmental body or agency for a governmental body or agency for a governmental body or agency for a certified IRC Section 501(c)(3) exempt organization or other project described in MGL Ch. 64H, sec. 6(e).

2. ☐ Exemption under MGL Ch. 64H, sec. 6(f): Building Materials and Supplies. I certify that the purchaser is a contractor or subcontractor engaged in the performance of a contract for the construction, reconstruction, alteration, remodeling or repair of a governmental body or agency or for a certified IRC Section 501(c)(3) exempt organization or other project described in MGL Ch. 64H, sec. 6(f). To the best of my knowledge and belief, the described quantities of building materials and supplies noted on the reverse side are exempt from the sales/use tax under the provisions of MGL Ch. 64 H, sec. 6(f), and the described quantities of these materials and supplies are being purchased for use exclusively in the above contract.

3. ☐ Exemption under MGL Ch. 64H, sec. 6(tt): Consulting/Operating Contractor as Agent of Governmental Entity. I certify that the purchaser is a consulting or operating contractor or subcontractor as defined in MGL Ch. 64H, sec. 6(tt) and that the purchaser is authorized and acting as an agent of, and providing "qualified services," as defined in MGL Ch. 64H, sec. 6(tt), to a governmental body or agency described in MGL Ch. 64H, sec. 6(tt). Attach Form ST-2. If Form ST-2 is not available, enter agency's exemption number. To the best of my knowledge and belief, the quantities of tangible personal property noted on the reverse side are exempt from the sales/use tax under the provisions of MGL Ch. 64 H, sec. 6(tt). The purchaser has been authorized under the above contract by a governmental body.

Regardless of the exemption claimed, I will maintain adequate records to show the disposition of all property purchased under this certificate. I understand that I am fully liable for the payment of any sales/use tax due in the event that the property purchased under this certificate is used in a non-exempt manner.

Signed under the penalties of perjury.

Signature
Title

Location and description of project and description of kind and quantity of property or receipts/invoices must be attached or noted on the back of this form. This form is approved by the Commissioner of Revenue and may be reproduced.
BID PACKAGE

PART IV

SUPPLEMENTARY GENERAL CONDITIONS

AND

SPECIFICATIONS
THE UNIVERSITY OF MASSACHUSETTS
Design and Construction Management

SPECIFICATIONS FOR
UMA 17-18
Project #A001800
FAC, Room 125 Rand Theater Rigging System

DATE: March 3, 2017

SCHEU CONSULTING SERVICES, INC
Designer
Peter Scheu, ASTC

END OF SEALS
UNIVERSITY OF MASSACHUSETTS
DESIGN AND CONSTRUCTION MANAGEMENT

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SECTION 011000

SUMMARY

PART 1 - GENERAL

1.1 GENERAL PROVISIONS

A. Attention is directed to the CONTRACT AND GENERAL CONDITIONS and all Sections within DIVISION 01 - GENERAL REQUIREMENTS which are hereby made a part of this Section of the Specifications.

B. Equality of material, article, assembly or system other than those named or described in this Section shall be determined in accordance with the provisions of Article V of the CONTRACT AND GENERAL CONDITIONS.

1.2 REQUIREMENTS INCLUDED

A. Work under this Contract.
B. Examination of Site and Documents.
C. Contract Method.
D. Work Sequence.
E. Supervision of Work.
F. General Contractor’s Use of Premises.
G. Coordination.
H. Field Engineering.
I. Reference Standards.
J. Preconstruction Conference.
K. Project Meetings.
L. Permits, Inspection, and Testing Required by Governing Authorities.
M. Cutting, Coring, Patching, Unless Otherwise Indicated.
N. Debris Removal.
O. Field Measurements.
P. Emergency Procedures.
Q. Safety Regulations.
R. OSHA Safety and Health Course Documentation.
S. Damage Responsibility.
T. Owner Furnished Products.
U. Owner Occupancy.
V. Asbestos and Hazardous Materials Discovery.
W. Special Requirements.
X. List of Drawings.
1.3 WORK UNDER THIS CONTRACT

A. The work to be done under this contract consists of executing and completing all work required for UMA 17-18, FAC, ROOM 125 RAND THEATER RIGGING SYSTEM, PROJECT NO. A001800, UNIVERSITY OF MASSACHUSETTS AMHERST

1. General Information

a. The project consists of removal and replacement of select existing stage rigging components and equipment, including furnishing and installing new equipment, inspecting and adjustments of existing equipment to remain, Owner training, Operation and Maintenance Manuals, and Warranties as described in compliance with these Project Documents and Contract.

b. The General Contractor must be currently certified by the Division of Capital Asset management and Maintenance (DCAMM) for General Building Construction.
   1) The General Contractor shall certify in writing that he/she has successfully performed on at least three renovation projects of equivalent size and complexity.
   2) It is the Bidder’s responsibility to obtain the necessary forms from DCAMM and make application to DCAMM in sufficient time prior to the bid opening for DCAMM to evaluate the application and issue a Certificate of Eligibility.
   3) The General Contractor’s Update Statement is not a public record as defined by M.G.L., Chapter 4 Section 7, and will not be open to public inspection.

B. The work will include all operations necessary to deliver the Project and ancillary on and off site amenities in a fully installed and operable condition including all associated work and obtaining all necessary licenses, permits, inspections, and certificates.

C. The scope of work, without limiting the generality thereof, includes all labor, materials, equipment and services required to perform the work described fully in the Drawings and Specifications and includes, but is not limited to the following major work:

1. General: Provide all items and work necessary for complete, safe, fully functional systems as specified, including:
   
a. Tools, scaffolding, equipment, labor and supervision, even though they may not be specifically enumerated.
   
b. Verification of dimensions and conditions at the job site.
   
c. Coordination of the work of this section with structural steel, sprinkler systems, HVAC systems, roof drains, conduit, and other such systems whether under this contract or performed under a separate, prime contract, or as existing systems to remain.
   
d. Notification to the Designer of any conditions, measurements, quantities, or other data, as required for proper execution, fit and completion of all work, and for safe and proper operating clearances.
e. Shipment of equipment to job site and secured, contractor provided, storage of all non-fixed equipment.

f. Installation and completion, in accordance with these Specifications, related Drawings, the Equipment Manufacturer's recommendations, established trade criteria, and all applicable code requirements.

g. Inspection, demonstration, and necessary adjustment of the completed installation by the Stage Rigging Contractor's installation personnel.

h. Preparation and submission of complete record drawings, operation and maintenance manuals, data, certificates and product and installation warranties.

i. A one year inspection by the Stage Rigging Contractor (including repairs and adjustments), and a three-year warranty as specified herein.

D. Work will include all site removal and new equipment installation for the Rand Theatre Stage Rigging project including electrical work as required. The General Contractor will provide a schedule for completion of the project to the Owner within the required construction period.

1.4 EXAMINATION OF SITE AND DOCUMENTS

A. A pre-bid conference will be held at the job site on the date and at the time indicated in the Invitation to Bid.

B. Bidders shall visit the site during the pre-bid conference, at the time specified in the advertisement and the bid documents. By written bidder request and with written prior approval of the UMA Project Manager, bidders may visit on a non-holiday weekday acceptable to UMA Project Manager, between the hours of 9:00 AM and 3:00 PM to visually inspect the location of the work and existing conditions that may affect new work. Any non-advertised bidder requests approved by the UMA Project Manager will not be guided or chaperoned by the Designer nor UMA Project Manager.

C. The bidders are expected to examine and to be thoroughly familiar with all contract documents and with the conditions under which the work is to be carried out. UMA will not be responsible for errors, omissions, and/or charges for extra work arising from the General Contractors or Subcontractors failure to familiarize themselves with the contract documents. The General Contractor and Subcontractor acknowledge that they are familiar with the conditions and requirements of the contract documents where they require, in any part of the work a given result to be produced, and that the contract documents are adequate and will produce the required results.

D. Contact: The Designer will not be physically present at the pre-bid conference. The pre-bid conference will include the designer by conference call. The pre-bid conference will include a meeting for project overview and then tour of the project site. The pre-bid conference and tour will be the only time available for viewing the site; any further questions preceding the submission of the bid shall be directed to both: Peter Royer by email: procurement@admin.umass.edu and to the UMA Project Manager: Cleve Carrens at ccarrens@facil.umass.edu
E. No questions from Bidders will be accepted within 5 days of the Bid opening. Bidder Questions affecting the scope or price of work will be answered in the form of an addendum which will be posted to the Procurement website: http://www.umass.edu/procurement/constructionprojects.htm. The UMA Project Manager reserves the right NOT to provide answers to bidder questions if the UMA Project Manager ascertains the answer and be easily deduced by reading the Contract Documents or is irrelevant to the Price or Scope of Work. Any information provided by other than the designated contact persons identified above should be disregarded in the preparation of Bids.

1.5 CONTRACT METHOD

A. Work under this contract shall be lump sum price, for the scopes of work as described in these specifications and shown on the Drawings.

1.6 WORK SEQUENCE

A. The Work will be conducted in the following sequence of demolition/construction:
   1. Removal of selected existing equipment
   2. Inspection and adjustments to existing equipment
   3. Installation of new equipment and inspection thereof
   4. Final inspection, Owner training, and provision of O&M, As-Built, and closeout documentation

1.7 SUPERVISION OF WORK

A. The General Contractor shall be held directly responsible for the correct installation of all work performed under this Contract. The General Contractor must make good repair, without expense to the Commonwealth, of any part of the new work, or existing work to remain, which may become inoperative on account of leaving the work unprotected or unsupervised during construction of the system or which may break or give out in any manner by reason of poor workmanship, defective materials or any lack of space to allow for expansion and contraction of the work during the General Contractor's warranty period, from the date of final acceptance of the work by the University of Massachusetts Amherst (UMA).

B. The General Contractor shall furnish a competent Massachusetts licensed superintendent satisfactory to the UMA Project Manager and to the Designer. The licensed superintendent shall supervise all work under this contract and who shall remain on duty (full-time) at the site throughout the Contract period while work is in progress.
   1. Submit the name and resume of the superintendent for approval to the UMA Project Manager. Include experience with projects of equal size and complexity.
1.8 GENERAL CONTRACTOR’S USE OF PREMISES

A. Use of the Site: Limit use of the premises to work in areas indicated within this project’s scope of work limits. Coordinate work of all Subcontractors required outside the work limits. Confine operations to areas within contract limits indicated. Do not disturb portions of the site beyond the areas in which the Work is indicated.

1. Owner Occupancy: Allow for Owner occupancy and use by the public (if applicable).
2. Driveways and Entrances: Keep driveways and entrances serving the premises clear and available to the Owner, the Owner’s employees, and emergency vehicles at all times. Do not use these areas for parking or storage of materials. Schedule deliveries to minimize space and time requirements for storage of materials and equipment on-site.
3. Areas outside the Construction Limits or Immediate Work Area: The Contractor is responsible for clean-up of all debris, dirt and sediment resulting from the construction work.

B. Schedule and perform work to afford minimum of interruption to normal and continuous operation of utility systems. The General Contractor shall submit to UMA and the Designer for approval, proposed schedule for performing work; including construction of new utilities, re-routing of existing utilities and final connection of new work to existing work. Schedule shall indicate shutdown time required for each operation.

1. Work includes checking all safety devices to verify that they have come back on-line after interruption. This requirement will not be waived.

C. The General Contractor shall schedule as per Section 015000 - Temporary Facilities and Controls, the shutting down or interrupting any utilities, services or facilities which may affect the operation of the building outside the area of work or other buildings, services or facilities of the UMA.

D. Coordinate with UMA and the Designer, work in connection with adjacent driveways, walks, or other facilities which would prevent access thereto or interrupt, restrict, or otherwise infringe upon the Operating Agency’s use thereof.

E. The General Contractor shall be aware of the sensitivity of the neighborhood organizations to noise, dust, debris, vibration, and site maintenance and take appropriate precautions to avoid conflict.

F. Damage to existing work, if caused by the General Contractor’s operations under this Contract, shall be repaired at the General Contractor’s expense.

1. An existing conditions survey shall be conducted, with the UMA Project Manager, and UMA representatives, at which existing conditions will be videotaped by the General Contractor. A copy of the videotape will be provided to the UMA Project Manager.

G. The General Contractor can gain access to the premises during the hours specified below. In addition the General Contractor and his personnel will limit themselves only within the working premises during working hours. If work needs to be scheduled during times other than those listed below, General Contractor shall inform the UMA Project Manager one week prior to work.
1. Deliveries: 7:00 AM to 3:00 PM.
2. General Access: 7:00 AM to 4:00 PM

H. Confine operations at the site to areas permitted by:
   1. Laws
   2. Ordinances
   3. Permits
   4. Contract Documents
   5. Owner’s Regulations

I. If required by UMA or the UMA Project Manager, workers will be required to wear identifying name badges. In secure areas, submit names of workers for clearing by the UMA Project Manager.

J. General Contractor shall supervise the use of the site related to construction and be responsible for correcting any damage identified by the UMA Project Manager to the UMA Project Manager’s satisfaction.

   1. An existing conditions survey shall be conducted, with the UMA Project Manager, and UMA representatives, at which existing conditions will be videotaped by the General Contractor. A copy of the videotape will be provided to the UMA Project Manager.

K. All available existing utilities adjacent to the construction site will be available for use during construction unless indicated otherwise. Temporary connections to these utilities, all metering, transformers, removal, usage, and their associated costs will be the responsibility of the appropriate Subcontractor.

   1. Utilities Available for use During Construction: as exists in its current state and capacity.

L. The General Contractor shall verify that Subcontractors have visited the site and included all costs associated with the location of the project, and any restriction or limitations the location of the project may pose.

M. The Subcontractors shall at all times conduct their operations in a courteous, professional manner while on the project or in the vicinity of the project. Harassment, offensive language or behavior will not be permitted on the site.

N. The University of Massachusetts, Amherst can neither accept nor assume responsibility for the security of the Contractor's material or equipment which is lost, stolen or vandalized. The Contractor is advised to exert caution in placement and storage of his equipment and material.

O. Parking: Parking spaces on Campus are very limited and the University will not provide designated parking lot spaces near the construction site for the Contractor’s use. The Contractor shall contact Parking Services (545-0065) to determine the location of the nearest available parking spaces. The Contractor will be required to pay all fees for parking and include such in his/her bid amount. The Contractor shall state his/her parking and staging area requirements during the Pre-construction Meeting. The area(s) for materials storage will then be agreed to between the Contractor and the UMA Project Manager. The limits of material storage will be
delineated by the Contractor with construction fencing and enforced throughout the Contract. Refer to Section 015000 - Temporary Facilities and Controls for additional requirements.

P. Areas not to be used for storage include the areas under the “drip line” of trees, planting beds, and sidewalks. Install temporary fencing around the drip line of trees and protect vegetation from construction damage. Restoration of the delineated parking and storage area shall be as described in Section 017700 – Contract Closeout. Trailers or storage piles shall not be located over utility lines or their access points.

Q. Radios, tape players, “boom boxes”, or other audio entertainment equipment, including personal entertainment devices, shall not be allowed on the project site.

R. The University of Massachusetts prohibits tobacco use everywhere on campus, inside buildings and throughout the grounds. This policy applies to everyone and anyone on campus, including students, staff, faculty, contractors, and visitors. For the purpose of this policy, “tobacco” refers to any and all tobacco products, whether inhaled or ingested, as well as electronic cigarettes.
   1. The use of tobacco is prohibited in all buildings and vehicles owned or leased by UMass Amherst, regardless of location.
   2. The use of tobacco is prohibited on all University grounds and in any outdoor area controlled by the University. This includes all University land, parking lots and parking ramps, athletic fields, tennis courts, and recreational areas.
   3. The use of tobacco is prohibited inside any vehicle located on University grounds.
   4. When any person enters the grounds of the University, any smoking material shall be extinguished and disposed of in an appropriate receptacle at the perimeter of the grounds of the University.

S. The Contractor shall not allow the use of intoxicating beverages or non-prescription controlled substance drugs upon or about the work site.

T. The Contractor shall provide and maintain in good serviceable condition at all times, warning signs and non-combustible barriers, forms and fire resistive tarps or plastic, each of which shall be approved by the University, shall be suitable for the purpose, and shall be installed adjacent to each work area, for complete enclosure and/or isolation of all excavations, wells, pits, manholes, shafts, overhead areas, etc., which are associated with the work under the contract. Barriers shall be a secure fence, guardrail, cover, or similar assembly designed and erected to provide protection for concrete, protection from the weather, and to prevent accidental access. Barrier tape and/or sawhorses shall not be used as a means of such access protection.

1.9 COORDINATION

A. The General Contractor shall be responsible for the proper fitting of all the work and for the coordination of the operations of all Subcontractors or material and persons engaged upon the work. The General Contractor shall do, or cause his agents to do, all cutting, fitting, adjusting, and repair necessary in order to make the several parts of the work come together properly.

   1. Examine Contract Documents in advance of start of construction and identify in writing questions, irregularities or interference to the UMA Project manager in writing. Failure to identify and address such issues in advance becomes the sole responsibility of the
General Contractor. A conflict that would cause the reduction of the normal ceiling height of any occupied space is considered to be an interference.

B. Execute the work in an orderly and careful manner with due regard to the occupants of the facility, the public, the employees, and the normal function of the facility.

C. The work sequence shall follow planning and schedule established by the General Contractor as approved by the Designer and the UMA Project Manager. The work upon the site of the project shall commence promptly and be executed with full simultaneous progress. Work operations which require the interruption of utilities, service, and access shall be scheduled so as to involve minimum disruption and inconvenience, and to be expedited so as to insure minimum duration of any periods of disruption or inconvenience.

D. The General Contractor shall review the tolerances established in the specifications for each type of work and as established by Subcontractor organizations. The General Contractor shall coordinate the various Subcontractors and resolve any conflicts that may exist between Subcontractor tolerances without additional cost to UMA. The General Contractor shall provide any chipping, leveling, shoring or surveys to ensure that the various materials align as detailed by the Designer and as necessary for smooth transitions not noticeable in the finished work.

1.10 REFERENCE STANDARDS

A. For products specified by association or trade standards, comply with requirements for the standard, except where more rigid requirements are specified or are required by codes. Refer to Section 014200 - REFERENCES.

B. Where reference is made in the Contractual Documents to Publications and Standards issued by Associations or Societies, the intent shall be understood to specify the current edition of such Publications or Standards (including tentative revision) in effect on the date of the contract advertisement notwithstanding any reference to a particular date.

1.11 PRE-CONSTRUCTION CONFERENCE

A. In accordance with Article V of the CONTRACT AND GENERAL CONDITIONS, a pre-construction conference to review the work will be conducted by the UMA Project Manager.

B. Representatives of the following shall be required to attend this conference:

1. UMA
2. Designer
3. General Contractor
4. All Subcontractors

C. The General Contractor shall have a responsible representative at the pre construction conference to be called by the UMA Project Manager following the award of the contract, as well as representatives of field or office forces and major Subcontractors. All such representatives shall have authority to act for their respective firms. The pre-construction
conference is to be held within five days of Notice to Proceed, or as otherwise determined by the UMA Project Manager.

D. Contact List: The Contractor shall provide to the Designer and UMA Project Manager a list containing the following:
1. Contractor’s name, address, office and cell phone number, fax number, e-mail address and after hours emergency phone number.
2. Contractor’s Superintendent name, email address and cell phone number.
3. Each Sub-Contractor’s name, email address, address, office and cell phone number, fax number and description of the products or services they will provide to the project.
4. 

E. Agenda: Discuss items of significance that affect progress, including the following:
1. Tentative construction schedule.
2. Phasing.
3. Critical work sequencing.
4. Designation of responsible personnel. The Contractor shall identify a contractor safety representative to interface with the University Construction Safety Officer (CSO). This person may also fill other roles within the contractor’s project area e.g. project manager, superintendent, foreman, etc.
5. Procedures for processing field decisions and Change Orders.
6. Procedures for processing Applications for Payment.
8. Submittal procedures.
9. Preparation of Record Documents.
10. Use of the premises.
11. Safety. The UMA CSO will attend the pre-construction meeting for the purpose of orienting the contractor to policies specific to the University, discuss the contractor’s site specific safety plan, as well as to emphasize recognized safety practices expected on campus. The Contractor Safety Representative is responsible to ensuring this information is disseminated to all contractor/subcontractor employees. If the UMA CSO is unable to attend, the UMA CSO may send a designee to cover this portion of the meeting or the UMA CSO and UMA Project Manager will schedule a separate time when this review may be completed.
12. Responsibility for temporary facilities and controls.
14. Office, work, and storage areas.
15. Equipment deliveries and priorities.
16. First aid.
18. Progress cleaning.
19. Working hours.
20. Emergency phone numbers.
21. Payment procedures and Schedule of Values.
22. Material deliveries.

F. Reporting: Minutes of the meeting shall be prepared by the Designer or designated representative and shall be distributed to each party present. The General Contractor shall be responsible for distributing the minutes to all Filed-Sub Contractor
1.12 PROJECT MEETINGS

A. Project meetings shall be held on a weekly or bi-weekly basis and as required subject to the discretion of the UMA Project Manager.

B. Attendees: In addition to the UMA Project Manager and Designer, each contractor, subcontractor, supplier, and other entity concerned with current progress or involved in planning, coordination, or performance of future activities shall be represented at these meetings. All participants at the conference shall be familiar with Project. Only the Designer with the approval of the UMA Project Manager or the UMA Project Manager will have authorization to instruct, direct, request, or change any item, portion, of work, sequence of work, material item, or performance thereof of the General Contractor or any subcontractor, or authorized to conclude matters relating to the Work.

C. The Designer may participate by video or conference call on occasion.

D. Agenda: Review and correct or approve minutes of previous progress meeting. Review other items of significance that could affect progress. Include topics for discussion as appropriate to status of Project.
   1. Contractor's Construction Schedule: Review progress since the last meeting. Determine whether each activity is on time, ahead of schedule, or behind schedule, in relation to Contractor's Construction Schedule. Determine how construction behind schedule will be expedited; secure commitments from parties involved to do so. Discuss whether schedule revisions are required to ensure that current and subsequent activities will be completed within the Contract Time.
   2. Review present and future needs of each entity present, including the following:
      a. Interface requirements.
      b. Sequence of operations.
      c. Status of submittals.
      d. Deliveries.
      e. Off-site fabrication.
      f. Access.
      g. Site utilization.
      h. Temporary facilities and controls.
      i. Manpower.
      j. Hazards and risks.
      k. Progress cleaning.
      l. Quality and work standards.
      m. Change Orders.
      n. Documentation of information for payment requests.

E. As a prerequisite for monthly payments, ordering schedules, shop drawing submitted schedules, and coordination meeting schedules shall be prepared and maintained by the General Contractor and shall be revised and updated on a monthly basis, and a copy shall be submitted to the UMA Project Manager and Designer.

F. In order to expedite construction progress on this project, the General Contractor shall order all materials immediately after the approval of shop drawings and shall obtain a fixed date of delivery to the project site for all materials ordered which shall not impede or otherwise interfere with construction progress. The General Contractor shall present a list and written
proof of all materials and equipment ordered (through purchase orders). Such list shall be presented at the meetings and shall be continuously updated.

G. Scheduling shall be discussed with all concerned parties, and methods shall be presented by the General Contractor, which shall reflect construction completion not being deferred or foreshortened. Identify critical long-lead items and other special scheduling requirements. The project schedule is to include time for submission of shop drawing submittals, time for review, and allowance for resubmittal and review.

H. Project meetings shall be chaired by UMA Project Manager.

I. Minutes of the project meetings shall be prepared by the Designer or UMA Project Manager and shall be distributed to all present. The meeting minutes shall be the only official meeting record. Minutes shall enumerate each topic item, and each topic shall be updated at each progress meeting. Actions to be taken for each topic shall be recorded, along with identification of the party responsible for each action item. Items shall not be removed from the Minutes until all issues with each item have been resolved.

1.13 PERMITS, INSPECTION, AND TESTING REQUIRED BY GOVERNING AUTHORITIES

A. If the Contract Documents, laws, ordinances, rules, regulations or orders of any public authority having any jurisdiction require any portion of the Work to be inspected, tested, or approved, the General Contractor shall give the Designer, the UMA Project Manager or his/her designated representative, and such Authority timely notice (5 business days minimum) of its readiness so the Designer may observe such inspecting, testing, or approval.

B. Prior to the start of construction, the General Contractor shall complete the application to the applicable Building Code enforcement authority for a Building Permit. Such Permit shall be displayed in a conspicuous location at the project site. The building permit fee shall be paid by the Contractor.

C. Unless otherwise specified under the Sections of the Specifications, the General Contractor shall pay such proper and legal fees to public officers and others as may be necessary for the due and faithful performance of the work and which may arise incidental to the fulfilling of this Contract. As such, all fees, charges, and assessments in connection with the above shall be paid by the General Contractor.

D. The General Contractor shall maintain at the site, for the duration of construction operations, at least one (1) up-to-date copy of all relevant codes and standards listed in the Contract Documents or determined to be applicable to the work. One (1) copy of such codes shall be for the exclusive use of UMA and the Designer and its Consultants, and shall be kept in the General Contractor’s site office.

E. The General Contractor shall furnish and install all information required by the building official and shall secure the general building permit for the work promptly on award of the Contract. The General Contractor shall conform to all conditions and requirements of the permit and code enforcement authority. The General Contractor shall provide names and license numbers of its responsible representatives to complete the application for permit, and shall receive the permit and promptly distribute copies to UMA and the Designer.
General Contractor and specialized Subcontractors as applicable shall identify all permits (other than general building permit) required from Authorities having jurisdiction over the Project for the construction and occupancy of the work. The General Contractor shall prepare the necessary applications and submit required plans and documents to obtain such permits in a timely manner, and shall furnish the required information to the Building Official and obtain the required permits as early as practicable after award of the Contract.

1. The General Contractor shall display all permit cards as required by the Authorities, and shall deliver legible photocopies of all permits to UMA’s Project Manager and the Designer promptly upon their receipt.

2. The General Contractor shall arrange for all inspections, testing and approvals required for all permits, and shall notify the Designer and UMA’s Resident Engineer of such inspections at least three (3) business days in advance (longer if so required in the various Sections of the Specifications), so they may arrange to observe.

3. The General Contractor shall comply with all conditions and provide all notices required by all permits.

4. The General Contractor shall perform and/or arrange for and pay all testing and inspections required by the Governing Codes and Authorities, other than those provided by UMA, and shall notify the Designer and UMA’s Resident Engineer of such inspections at least three (3) business days in advance of all such testing or inspection, so they may arrange to observe.

5. Where Inspecting Authorities require corrective work for conformance with applicable Codes and Authorities, the General Contractor shall promptly comply with such requirements, except in cases where such requirements clearly exceed the requirements of the Contract Documents, in which case the General Contractor shall proceed in accordance with the procedures for modifications or changes in the work established in the Contract Documents, as amended.

G. Prior to the start of construction, the General Contractor shall complete applicable applications, permits, and notifications to the MADEP, such as the Demolition/Construction form BWP AQ-06, and the asbestos notification form ANF-001, and pay the required fees. These forms must be submitted at least 10 working days in advance of any regulated activity on the site. Demolition permits must be submitted for any work involving demolition, new construction and renovation. The University EHS office must be provided copies of any and all notifications.

H. Building permits are required for the installation of office trailers. Trailers must be securely anchored to prevent displacement due to wind.

I. Metal dumpsters of 6 cubic yard aggregate capacity or more, and containing combustible materials, must have a Local Fire Department Permit issued for each location. If the containers are delivered and removed on the same day, no permit is required (527 CMR 34.03).

J. Storage of more than 2500 cubic feet gross volume of combustible or flammable materials in a building will require a permit from the Local Fire Department.

K. Use and storage of more than 10 gal or 42 lbs of Liquefied Propane Gas (LPG) containers on site must be approved by and a permit must be secured through the local Fire Department.

L. Any work involving existing fire protection systems or related equipment (fire alarm, sprinkler, fixed extinguishing system) will require the Contractor to obtain a permit from the local Fire
Department. Any work that affects Fire Protection Systems shall require the Contractor to notify the U.M.A. Environmental Health and Safety Department. Any work which disables part or all of a fire protections system for more than 8 hours shall submit an impairment plan to the UMA Project Manager, and EH&S.

M. The Contractor is required to obtain trenching permits from UMA EH&S for any excavations or trenches that are greater than 36 inches in depth three working days prior to start of work.

N. The General Contractor shall be required to keep a copy of the State Building Code (with latest amendments) at the job site at all times.

O. Any construction sites disturbing greater than one acre require a notice of intent to the EPA, and will require a written stormwater pollution prevention plan. A Notice of Termination must then be filed when sediment controls are no longer required.

1.14 CUTTING, CORING, AND PATCHING, UNLESS OTHERWISE INDICATED

A. The General Contractor shall coordinate all cutting, coring, fitting and patching of the work that may be required to make its several parts come together properly and fit it to receive or be received by work of the Subcontractors shown on the Drawings and Specifications. The Subcontractor shall perform all cutting, coring or patching.

B. The General Contractor shall coordinate that the work of the Subcontractor is not endangered by any cutting, coring, excavating, or otherwise altering of the work and shall not allow the cutting or altering the work of any Subcontractor except with the written consent of the Designer.

C. Submit a written request to the UMA Project Manager at least three (3) business days in advance of executing any cutting or alteration which affects:

1. Work of UMA or separate Contractor.
2. Structural value or integrity of any element of the Project.
3. Integrity or effectiveness of weather-exposed or moisture-resistant elements or systems.
4. Efficiency, operational life, maintenance, or safety of operational elements.
5. Visual qualities of sight-exposed elements.
6. Request shall include:
   a. Identification of the Project.
   b. Description of affected work.
   c. The necessity for cutting, alteration, or excavation.
   d. Effect on work of UMA or any separate General Contractor, or on structural or weatherproof integrity of Project.
   e. Description of proposed work:
   f. Alternatives to cutting and patching.
   g. Cost proposal, when applicable.
   h. Written permission of any separate General Contractor whose work will be affected.
7. Should conditions of Work or the schedule indicate a change of products from original installation, General Contractor shall submit request for substitution.
8. Submit written notice to Designer and UMA Project Manager designating date and time the work will be uncovered a minimum of three business days in advance.
D. Performance:

1. Execute cutting and patching by methods which will prevent damage to other work, and will provide proper surfaces to receive installation of repairs.
   a. In general, where mechanical cutting is required, cut work with sawing and grinding tools, not with hammering and chopping tools. Core drill openings through concrete work.
   b. Prior to cutting and structural steel or concrete work, contact Designer and UMA Project Manager in writing. Do not cut any structural steel and concrete work until approval has been granted by the Designer and the UMA Project Manager.

2. Employ original installer or fabricator to perform cutting and patching for:
   a. Weather-exposed or moisture-resistant elements.
   b. Sight-exposed finished surfaces.

3. Execute fitting and adjustment of products to provide a finished installation to comply with specified products, functions, tolerances, and finishes.

4. Restore work which has been cut or removed; install new products matching existing to provide completed Work in accordance with requirements of Contract Documents.

5. Fit work airtight to pipes, sleeves, ducts, conduit, and other penetrations through surfaces.

6. Patch with seams which are durable and as invisible as possible. Flash and seal all penetration of exterior work. Comply with specified tolerances for the work.

7. Restore exposed finishes of patched areas; and, where necessary extend finish restoration onto retained work adjoining, in a manner which will eliminate evidence of patching.
   a. Where patch occurs in a smooth painted surface, extend final paint coat over the entire unbroken surface containing the patch.

8. Refinish entire surfaces as necessary to provide an even finish to match adjacent finishes:
   a. For continuous surfaces, refinish to nearest intersection.
   b. For an assembly, refinish entire unit.

E. Existing Utilities Services:

1. Interruptions to critical existing utility services will not be allowed except as scheduled per Section 015000 - Temporary Facilities and Controls.
   a. Sanitary sewer, storm drainage, and water changeovers as affecting existing services shall be done with no disruptions of existing services and scheduling of such work will require approval in writing by the UMA.
   b. All relocation of existing electrical, telephone, and gas services that are utility company owned shall be performed by the respective utility company, and the cost of any charges for such work shall be paid by the General Contractor. All utility installations and relocation shall be the responsibility of the General Contractor. Coordination of all of the aforesaid work is the responsibility of the General Contractor.

2. The General Contractor shall locate and record on Drawings all existing utilities along the course of the work by such means as the UMA Project Manager may approve, and shall preserve such marked locations until the work has progressed to the point where the encountered utility is fully exposed and protected as required. It shall be the General Contractor’s responsibility to notify the proper authorities and/or utility company before interfering therewith.

3. Existing utilities that are indicated or whose locations are made known to the General Contractor shall be protected from damage during the work and, if damaged by the General Contractor, it shall be repaired by the General Contractor at his/her own expense.
4. All exposed conduits, wires, and/or cables shall be provided with sufficient protection and support to prevent failure, fraying, or damage due to backfilling or other construction operations.

5. The General Contractor shall not obstruct access to existing active utility system manholes and catch basins which continue to serve facilities other than the project construction site. The General Contractor shall exercise measures as necessary to prevent the placement of impediments that limit continuous access by authorized utility company or UMA maintenance personnel and shall be required to reimburse the utility company or UMA for any expense incurred as a result of need to remove any such impediments to access.

1.15 DEBRIS REMOVAL

A. The General Contractor shall coordinate the removal of all demolition and construction waste by the Subcontractor from the job site on a daily basis.

B. Debris shall be legally disposed of in a D.E.P. approved disposal site. The site to be used shall be submitted to and approved by the UMA Project Manager prior to the start of construction. All required dumping permits shall be obtained prior to start of construction. General Contractor shall submit receipts from the disposal site(s) as evidence of legal disposal. The Subcontractor shall pay the cost of any charges for debris removal.

C. The General Contractor shall bear responsibility for maintaining the building and site clean and free of debris, leaving all work in clean and proper condition satisfactory to UMA Project Manager. The General Contractor shall ensure that each of the Subcontractors clean up during and immediately upon completion of their work. Clean up includes the following tasks:

1. Remove all rubbish, waste, tools, equipment, appurtenances caused by and used in the execution of work.

D. Prevent the accumulation of debris at the construction site, storage areas, parking areas, and along access roads and haul routes.

E. Provide containers for deposit of debris and schedule periodic collection and disposal of debris.

F. Prohibit overloading of trucks to prevent spillage on access and haul routes.

G. The General Contractor shall be responsible for proper disposal of all construction debris leaving the site.

1.16 FIELD MEASUREMENTS

A. Although care has been taken to ensure their accuracy, the dimensions shown for existing items and structures are not guaranteed. It is the responsibility of the General Contractor to verify these dimensions in the field before fabricating any construction component. No claims for extra payment due to incorrect dimensions will be considered by the Commonwealth.
1.17 EMERGENCY PROCEDURES

A. The Contractor shall thoroughly familiarize himself (review with U.M.A. Project Manager, E.H. & S., and Public Safety) with U.M.A. Emergency Procedures and inform all subcontractors of same. Note that on campus:

B. Dialing “911” may reach Amherst Police or UMass Police depending on the phone used. Therefore, always identify your location as being as UMass Amherst including the project/building address and/or names of adjacent roads and or buildings.

C. Dialing 5-2121 on a campus phone or 413-545-2121 on an outside phone reaches the UMass Police (General Business). UMass Police can facilitate obtaining necessary services for the emergency.

D. Emergencies: In the event of an emergency on-site, telephone for emergency services (ambulance, fire department or police assistance)

E. Telephone for Emergency Service (See 1.20A above)

F. Call 911 or 545-2121 and inform them if confined space rescue equipment is required or if hazardous material is involved.

G. If live steam, electricity, or other utilities need to be shut off, call the U.M.A. Physical Plant switchboard (545-0600) and ask them to contact the appropriate shop.

H. If live steam, electricity, or other utilities need to be shut off, call the U.M.A. Physical Plant switchboard (545-0600) and ask them to contact the appropriate shop.

I. Make the scene safe.

J. Render First-Aid if possible.

K. Preserve evidence.

L. Call the UMA Project Manager.

M. Call the UMA Project Manager and UMA EH&S (413-545-2682) for significant incidents/injuries beyond first aid, including situations that have the potential to cause significant personal injury or damage to UMass property. All spills of hazardous materials regardless of quantity shall be reported to EH&S. The University EHS office is responsible for notifying MADEP if appropriate, and any necessary outside responders, unless the contractor has specified their own responder.

N. Contact the appropriate outside agencies as required by law, including OSHA for fatalities or injuries requiring hospitalization of three or more individuals (by Contractor). All regulatory notifications required for environmental events shall be made by UMA EH&S. Contractors shall report any incident involving a radiographic source to UMA EH&S, the Mass Dept of Public Health (DPH) and The US Nuclear Regulatory Commission (NRC). Ensure the UMA EHS office is contacted as well for any of these circumstances.
1.18 SAFETY REGULATIONS

A. This project is subject to compliance with Public Law 91 596 "Occupational Safety and Health Act" latest edition (OSHA 29 CFR 1926), with respect to all rules and regulations pertaining to construction, including Volume 36, numbers 75 and 105, of the Federal Register, as amended, and as published by the U.S. Department of Labor.

B. Submit the name of the General Contractor's safety officer to the UMA Project Manager. Submit copies of safety reports to the UMA Project Manager monthly.

C. Each Contractor/subcontractor will be responsible to submit a written Safety Program, prior to starting construction, outlining measures they take to cover their operations and protect their employees. Construction Projects will also submit a Site Specific Safety Plan specific to their operations at the University and which address their plan of action for identified and potential environmental, health and safety issues that may arise prior to start of construction. Maintain a written hazard communication program in accordance with OSHA 29CFR 1910.1200. Keep MATERIAL SAFETY DATA SHEETS (MSDS) on site and upon request provide MSDS sheets for materials used in the construction.

D. All accident reports are to be transmitted to the Resident Engineer within 24 hours of occurrence.

E. The Contractor shall immediately notify UMA EH&S if an OSHA, DEP or EPA regulator visits the site.

F. UMA and EH&S personnel shall have the authority to exercise on-site compliance audits on the construction site. Deficiencies discovered during site inspections and visits will be relayed to the contractor’s company safety representative and the UMA Project Manager. The contractor will communicate back to the UMA Project Manager and Environmental Health and Safety on the course of corrective action to be taken and the timeline for completion. If during such an audit, in his or her professional opinion, there exists an imminent danger or serious violation of established environment, health and safety standards that could lead to death or serious physical harm, damage to university property or the environment, the University representative has the right to request the immediate halt of such operations.

G. Hazardous Waste Generation: Any work generating Hazardous or so-called Universal Wastes will comply with all requirements of 310 CMR 30.000. The proper storage, use and disposal of any hazardous chemicals or substances brought on site by the Contractor are the responsibility of Contractor. The University will not be responsible for any hazardous materials left on site, the cost to remove these materials will be the Contractor’s responsibility. All hazardous wastes generated as a result of demolition and remodeling shall be contained, collected, segregated, labeled per all applicable federal EPA, Massachusetts DEP, and Federal DOT regulations or other applicable local, state or federal hazardous waste regulations, pending the appropriate disposition. Contractor shall provide for properly packaging hazardous waste, preparing the proper shipping papers, identifying a permitted disposal site, and contacting EH&S at least 24 hours prior to shipment of the waste. EH&S will review the hazardous waste shipment and sign the paperwork. EH&S must keep the “Generator” copies of the manifest on file in the EH&S office.
H. The contractor must inform EH&S if they intend to store any type of oil in 55 gallons or larger quantities so that such storage can be included in the UMass SPCC plan, this includes oil for equipment, form oil, cutting oil, diesel, gasoline, etc. Spills of any oil outside to soil, water or ambient air shall be reported to EH&S. Oil is also considered to be a hazardous waste in the state of MA when it is disposed. All waste oil must be managed in accordance with the hazardous waste section of this document.

I. Non Destructive Testing: The Contractor shall notify the U.M.A. Project Manager and the Environmental Health and Safety Department 3 days prior to the use of a radiography or x-ray equipment. The Contractor shall demonstrate safety procedures acceptable to the University and also provide sufficient personnel to maintain the safety zone perimeter as required by code. UMA EHS must be contacted to review all radiography to be performed on campus property before it takes place. In the event of a failed source, it is the contractor’s responsibility to recover a damaged radiography source, moisture density gauge or other radioactive source used in the construction industry and to decontaminate any soil, equipment or other university property contaminated by a failed source.

J. All Hot Works, including cutting, welding, brazing, etc., requires a permit from the UMA Environmental Health and Safety Dept. (EH&S), located at Draper Hall., (545 2682). A Hot Works permit is not required for work performed outside (unless it is in a temporary enclosure such as a tent). Contractor must provide a minimum of one operable fire extinguisher approved by a recognized testing laboratory and rated for the intended purpose near each Hot Work operation. At least one employee of the contractor shall remain on the site for one hour after the hot work has ceased to ensure against the outbreak of fire.

K. Use of Liquefied Propane Gas (LPG) and containers on site must be approved by and a permit must be secured through the local Fire Department.
   2. Contractor must provide a minimum of one operable 20 BC rated fire extinguisher approved by a recognized testing laboratory near each LPG operation.

L. Use of torches or other flame producing devices for the removal of paint from buildings, or the application or removal of roofing materials must conform with the State Fire Marshal's regulations (527 CMR 10.24).
   1. Permit must be secured through the local Fire Department and UMA EH&S.
   2. An approved and operable fire extinguisher must be kept in the work area.
   3. At least one (1) workman must remain at the work area for (1) hour after the use of the torch or flame producing device has ceased.

M. Contractors performing work in buildings that will cause smoke or dust particles to become airborne must first check for the existence and location of heat or smoke detectors and other types of fire protection system equipment which may be affected by the work. The contractor shall request isolation or deactivation of such equipment through the UMA Project Manager. Such isolation, deactivation and notification shall occur prior to commencing work. Upon completion of the work, the contractor shall request reactivation of such equipment through the Project Manager. UMA EH&S may require that smoke detectors be bagged on a daily basis if smoke or dust particles may affect them. In this event bags must be removed at the end of the day. Notify the U.M.A, Environmental Health and Safety Fire Prevention officer prior to isolation or deactivation of such equipment.
N. All construction will comply strictly with the Massachusetts State Building Code Article 30 (780 CMR 30): Required fencing, sidewalk sheds, storage of flammables, portable fire extinguishers, fire standpipe operation and rubbish removal will be enforced by Environmental Health & Safety.

O. Confined Space Requirements:
1. Permit Required Confined Spaces, (PRCS). If work under this Contract specifically or incidentally requires this Contractor or any of his Sub-Contractors to enter spaces that are meeting the definition provided in 29 CFR 1926 Subpart AA (1926.1200-1926.1213) of a “Permit Required Confined Spaces”, it shall be the responsibility of the Contractor entering the space to have in place a Permit Required Confined Space Entry Program that meets OSHA 29CFR 29 CFR 1926 Subpart AA (1926.1200-1926.1213) requirements. No entry shall be made without the permit. UMass requires that confined spaces encountered in construction projects be evaluated and entered in accordance with 29 CFR 1926 Subpart AA (1926.1200-1926.1213) UMA will provide information known about the space to the controlling contractor per 1926.1203(h). No entry will be made into a UMA Utility Manhole without first coordinating with the applicable UMA Utility Department.
2. The Facilities & Campus Services Solution Center must be notified each time prior to personnel entering and each time after personnel exit a utility manhole or tunnel.
3. It is also the responsibility that any work performed under this contract in PRCS’s be performed in strict compliance with the contractor’s own PRCS/OSHA Policy.
4. At the conclusion of any work in a PRCS, the General Contractor shall debrief the Project Manager and provide copies of the documentation required under the Contractor’s PRCS Policy.
5. If University personnel must enter the PRCS along with a contractor, a separate UMass Permit will be used for UMass Personnel, however, resources such as monitoring equipment, retrieval systems, and attendants may be shared.
6. Emergency Response\ rescue - All emergencies are to be reported in order to 1) the UMass Police at 413-545-3111. UMass Police will then notify the Amherst Fire Department (who will deploy their Technical Rescue Team if needed), 2) Environmental Health & Safety and 3) the Facilities & Campus Services Solution Center, and 4) the University Department administering the contract (usually Design & Construction Management Project Manager).

P. Contractors intending to use a device labeled as a CLASS 3 or 4 laser, in the services required under the contract, shall notify the University Representative at least two (2) working days prior to the intended date of use. Utilization of such a device shall meet the Commonwealth of Massachusetts Regulations, under 105 CMR 121.000, entitled RULES AND REGULATIONS RELATIVE TO THE USE OF LASER SYSTEMS, DEVICES OR EQUIPMENT TO CONTROL THE HAZARD OF LASER RAYS OR BEAMS.

1.19 OSHA SAFETY AND HEALTH COURSE DOCUMENTATION

A. OSHA Safety and Health Course Documentation Records: Chapter 306 of the Massachusetts Acts of 2004 requires that everyone employed at the jobsite must complete a minimum 10-hour long course in construction safety and health approved by the U.S. Occupational Safety and Health Administration (OSHA) prior to working at the jobsite. Compliance is required of General Contractors’ and Subcontractors’ on-site employees at all levels whether stationed in the trailer or working in the field. Unless the Massachusetts Attorney General’s office indicates
otherwise, this requirement does not apply to home-office employees visiting the site or to suppliers’ employees who are making deliveries.

B. Documentation records shall be initially compiled by the General Contractor and Subcontractors as part of their certified payrolls, and the General Contractor shall create and maintain a copy of the documentation on site at all times. On-site documentation shall be filed in alphabetical order and immediately available to UMA’s Project Manager and OSHA inspectors. Fines imposed for non-compliance shall be promptly paid by the General Contractor at no additional expense to UMA. Delays in the progress of the Work caused by such non-compliance will not be acceptable as the basis for an extension of contract time or change order request.

1.20 DAMAGE RESPONSIBILITY

A. The General Contractor shall repair, at no cost to UMA, any damage to building elements, site appurtenances, landscaping, utilities, etc. caused during demolition operation and work of this Contract.

1.21 OWNER FURNISHED PRODUCTS

A. Products indicated “N.I.C.” (Not in Contract), or “E. O.” (Equipment by Owner), or “O.F.O.I.” (Owner Furnished Owner Installed), or other similar acronyms as defined in the contract documents will be furnished and installed by the Owner. Coordination and provision of service lines for such products shall be included under these Construction Contract Documents, if indicated. Final connections from service lines to equipment will be by the Owner, unless otherwise indicated

1.22 UMA OCCUPANCY

A. Beneficial Use and Occupancy: Refer to requirements in Section 017700 - CONTRACT CLOSEOUT, Par. 1.6.

B. Use and Occupancy: When the project is Substantially Complete (with all work affecting health, safety, and function totally completed, and with less than one percent (<1%) of the contract value remaining) and ready for Use and Occupancy as determined by the Designer, the UMA Project Manager and the Operating Agency, then the UMA will take control of their building area(s) and be responsible for operating costs and security.

1.23 ASBESTOS AND HAZARDOUS MATERIALS DISCOVERY

A. If unanticipated asbestos-containing materials or other Hazardous Materials not included in Contract are discovered at any time during the course of work, the General Contractor shall cease work in the affected areas only and continue work in other areas, at the same time notify UMA, UMA EH&S and the Designer of such discovery. Do not proceed with work in such affected areas until written instructions are received. If removal is required, payment will be made in accordance with the contract unit prices bid for each respective material. In the
absence of unit prices, costs shall be negotiated or otherwise established prior to commencement of removal, in accordance with provisions of the Contract.

B. The UMA Project Manager and UMA EHS will work with the Contractor to initiate removal or encapsulation of the asbestos. An extension of the completion date may be granted equal to the time lost. Proper notification must be made to the MADEP through the ANF-001 form, and the UMA EH&S.

1.24 SPECIAL REQUIREMENTS

A. The General Contractor shall prepare a Health and Safety Plan that addresses protection of employee and public health and safety. The minimum contents of the Plan are specified in Section 013300 – SUBMITTAL REQUIREMENTS.

B. The General Contractor shall be solely responsible for implementing the procedures specified in the Plan.

C. The General Contractor shall make available complete sets of personal protective equipment and clothing to UMA for use during site observations/inspections by UMA and the Designer. These shall be supplied and maintained at no cost to UMA and the Designer, and shall be returned to the General Contractor upon the completion of work, except for disposable protective clothing.

   1. The General Contractor shall provide a repository for collection and disposal of health and safety materials. Collection and disposal of contaminated disposable supplies shall be at no additional cost.

1.25 LIST OF DRAWINGS

A. No Drawings are published for bidding as part of this Project.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION
SECTION 013100

PROJECT MANAGEMENT AND COORDINATION

PART 1 - GENERAL

1.1 GENERAL PROVISIONS

A. Attention is directed to the CONTRACT AND GENERAL CONDITIONS and all Sections within DIVISION 01 - GENERAL REQUIREMENTS which are hereby made a part of this Section of the Specifications.

1.2 SUMMARY

A. Without limitations, coordination will include Critical Path Method Scheduling (CPM), coordination of submittals, coordination of all elements of the Work, and coordination of contract closeout.

B. Description:

1. Coordinate scheduling, submittals, and work of the various Subcontractors and elements of the Work to assure efficient and orderly sequence of installation of construction elements, with provisions for accommodating items to be installed later.

2. Coordinate sequence of the Work to accommodate UMA Partial (Beneficial) Occupancy.

C. Meetings:

1. In addition to progress meetings, hold coordination meetings and pre-installation conferences with personnel and Subcontractors to assure coordination of the Work.

D. Coordination of Submittals:

1. Schedule and coordinate submittals.

2. Coordinate work of various Subcontractors having interdependent responsibilities for installing, connecting to, and placing in service such equipment.

3. Coordinate requests for substitutions to assure compatibility of space, of operating elements, and effect on work of other Subcontractors.

E. Conduct conferences among Subcontractors and other concerned parties, as necessary to:

1. Maintain coordination and schedules.

2. Resolve matters in dispute.

F. Participate in all project meetings:

1. Report progress of all mechanical and electrical work.

2. Recommend needed changes in schedules.
3. Transmit minutes of meetings to mechanical and electrical Subcontractors, as appropriate.

G. Temporary Utilities:

1. Coordinate installation, operation, and maintenance, to verify compliance with project requirements and with Contract Documents.

H. Shop Drawings, Product Data and Samples:

1. Prior to submittal, review for compliance with Contract Documents.
   a. Check field dimensions and clearance dimensions.
   b. Check relation to available space.
   c. Review the effect of any changes on the work of other contracts or other Subcontractors.
   d. Check anchor bolt settings.
   e. Check compatibility with equipment and work of other Subcontractors.
   f. Check motor voltages and control characteristics.
   g. Coordinate controls and interlocks:
      1) Voltages.
      2) Wiring of pneumatic and control diagrams.
   h. Coordinate wiring and control diagrams.

I. Verify that Subcontractors maintain accurate Record Documents.

J. Substitutions and Changes:

1. Review proposals and requests.
   a. Check for compliance with Contract Documents.
   b. Verify compatibility with work and equipment of other Subcontractors.
2. Recommend action to General Contractor.
3. Test materials, assemblies and/or fabrications that are submitted as substitutions, when necessary to assure that they meet contractual design standards.

K. Inspection and acceptance of equipment:

1. Prior to inspection, check that equipment is clean, repainted as required, tested and operational.
2. Assist inspector; prepare list of items to be completed or corrected.
3. Should acceptance and operation of equipment constitute the beginning of the guarantee period, prepare, and transmit written notice to the General Contractor, for his/her transmittal to the Designer and the UMA Project Manager for concurrence.

L. Assemble As-built documents from Subcontractors, transfer Subcontractors’ As-built documentation to electronic format, and transmit to Designer. All information shall be submitted on electronic media (CD). Drawings should be on AutoDesk AutoCAD ver. 2000 or later, word documents in .pdf format, baseline and subsequently approved schedules in Primavera format, schedule of values in Excel format, and approved shop drawing submittals scanned in showing model numbers, capacities, and all relevant information that can be
automatically propagated to the UMA CAMIS system. (Refer to Section 017700 – CONTRACT CLOSEOUT for additional formatting requirements).

1. As-built documents will be compiled on compact disks and will include, without limitation, the following:
   a. All Drawings, including title sheet, code analysis, geotechnical, civil, structural, architectural, fire protection, plumbing, mechanical, electrical, security, data/telecommunications.
   b. All Specifications in .pdf format with addenda.
   c. Shop drawings and product cuts, scanned in; approved sheets only.
   d. Project schedules, baseline and all updates.

M. Oversee and provide training for the systems to be commissioned.

1. Verify that the UMA’s operating personnel are trained in each particular commissioned equipment’s operation and maintenance.

2. Obtain a written sign-off, from the responsible UMA’s personnel that certify they are capable to operate and maintain the particular commissioned equipment such that their health and safety are not compromised.

3. Verify that all training requirements meet the specified training within the particular specification divisions and the requirements of this specification section.

4. Verify that training is provided only from certified instructors. The instructors shall be certified and approved by the particular equipment manufacturer. In the absence of manufacturer’s certification, the trainer shall have a minimum of ten years experience in the installation, operation, and repair of the particular equipment.

N. Verify that O & M documentation is complete and approved by the Designer and the UMA Project Manager prior to transmittal to the UMA.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION
SECTION 013300

SUBMITTAL REQUIREMENTS

PART 1 - GENERAL

1.1 GENERAL PROVISIONS

A. Attention is directed to the CONTRACT AND GENERAL CONDITIONS and all Sections within DIVISION 01 - GENERAL REQUIREMENTS which are hereby made a part of this Section of the Specifications.

1.2 REQUIREMENTS INCLUDED

A. Shop drawings, products data, samples, submittal logs (shop drawings and samples, RFI, NOI, PCO, CO and SK drawings), weather protection (if applicable) and schedule of values.

1.3 SHOP DRAWINGS, PRODUCTS DATA, AND SAMPLES

A. General:

1. Review and submit to the Designer and where outlined below to the UMA Project Manager, shop drawings, project data and samples required by Specifications Sections in hard and electronic copies.

2. No submissions made by FAX will be accepted.

3. The General Contractor, within the time frame stated at or before the Pre-Construction Meeting, shall prepare and submit for the Designer and the UMA Project Manager’s approval, a Schedule of Shop Drawings, Product Data and Samples required to be submitted for the Work. The schedule shall indicate, by Subcontractor, the date by which final approval of each item must be obtained, and shall be revised as required by conditions of the Work, subject to the UMA Project Manager’s approval. The Schedule of Shop Drawings, Product Data and Samples shall correspond with the construction schedule so that the submissions relate to the time when the products and/or systems will be required on the site. Neither the Designer nor the UMA Project Manager will approve a schedule that calls for out-of-sequence submittals.

B. Shop Drawings:

1. Original drawings shall be prepared by General Contractor, Subcontractor, Supplier or Distributor, which illustrate some portion of the Work, showing fabrication, layout, setting, or erection of details.
   a. Shop drawings shall be prepared by a qualified detailer.
   b. Details shall be identified by reference to sheet and detail numbers indicated on Contract Drawings.
   c. Maximum sheet size shall be 30-inch by 42-inch.
d. Submit with the required number of opaque prints specified and electronic media herein.

C. Product Data:

1. Manufacturers' catalog sheets, brochures, diagrams, schedules, performance charts, illustrations, and other standard descriptive data. Provide manufacturer's catalogue sheet, specification for each product and other pertinent data as required under the individual specification.
   a. Modify product data submittals to delete information which is not applicable to the project.
   b. Supplement standard information to provide additional information applicable to the project.
   c. Clearly mark each copy to identify pertinent materials, products, or models.
   d. Show dimensions and clearances required.
   e. Show performance characteristics and capacities.
   f. Show wiring diagrams and controls.

2. All such data shall be specific and identification of material or equipment submitted shall be clearly made in ink. Data of general nature will not be accepted.

3. Product Data shall be accompanied by transmittal notice. The General Contractor's stamp of approval shall appear on the printed information itself.

4. Submit the information listed above in both hard and electronic format.

D. Samples:

1. Physical samples shall illustrate materials, equipment, or workmanship, and shall establish standards by which work is judged. After review and approval, samples may be used in construction of project if not retained for comparison
   a. Office samples of sufficient size and quantity shall clearly illustrate:
      1) Functional characteristics of product or material, with integrally related parts and attachment devices.
      2) Full range of color samples (including standard and premium ranges).
      3) After review and approval by Designer and the UMA Project Manager, samples may be used in construction of project if not retained for comparison.
   b. Field Samples and Mock-ups
      1) Erect at project site at locations acceptable to the Designer and the UMA Project Manager.
      2) Construct each sample of mock-up complete, including work of all Subcontractors required in finished work. Samples shall be incorporated into a larger mock-up with varied products and Subcontractors if required.

2. Unless otherwise specified in the individual Section, the General Contractor shall submit two labeled specimens of each Sample.

3. Samples shall be of adequate size to permit proper evaluation of material. Where variations in color or in other characteristics are to be expected, samples shall show the maximum range of variation. Materials exceeding the variation of the approved samples will not be approved on the Work.

4. Samples which can be conveniently mailed shall be sent directly to the Designer, accompanied by transmittal notice. On the transmittal notice the General Contractor shall stamp his approval of Samples submitted.
5. All other Samples shall be delivered at the field office of the UMA Resident Engineer with Sample identification tag attached and properly filled in. Transmittal notice of Samples so delivered with the General Contractor's stamp of approval, shall be mailed concurrently to the Designer and the UMA Project Manager to confirm their receipt thereof.

6. If Sample is rejected by the Designer, a new Sample shall be resubmitted in the manner specified herein above. This procedure shall be repeated until the Sample is approved in writing by the Designer.

7. Samples will not be returned unless return is requested at the time of submission. The right is reserved to require submission of Samples whether or not specified in the Specifications, at no additional cost to the Commonwealth.

E. Mock-ups: Erect at project site at location acceptable to Designer and the UMA Project Manager, a mock-up complete, including work of all Subcontractors required in finished work.

1.4 GENERAL CONTRACTOR'S RESPONSIBILITIES:

A. Review shop drawings, Product Data and Samples prior to submission. Verify:

1. Field measurements.
2. Field construction criteria.
3. Catalog numbers and similar data.
4. Conformance with Specifications.
5. Integration with adjoining work.
6. Delivery schedule.
7. Is the product an equal to the product specified or a substitution? If either of these occur a comparison sheet must be submitted comparing the proposed product to the product specified.

B. All shop drawings prepared by Subcontractors shall be processed through the General Contractor. The General Contractor shall check all the shop drawings for conformity with the Contract Documents and particularly for field measurements and proper fit with adjoining work prior to submitting same to the Designer for approval. Certification shall appear on each shop drawing stating that the General Contractor has made his/her check. Format and content of the General Contractor’s certification stamp shall be subject to approval by the UMA Project Manager and the Designer and shall include, but not be limited to:

1. The Term "By Others" shall not be used on shop drawings, the General Contractor shall state by whom related items are to be furnished and/or installed.
2. The Designer reserves the right to reject and return to the General Contractor, without examination, any shop drawings which have not been previously checked and certified as outlined above, which carry the term "by other" or such vague reference, which are difficult to read, which have arrived by FAX or which in any way are obviously not in conformity with Contract Requirements.
3. Shop drawings shall show materials, design, dimensions, connections and other details necessary to ensure that they accurately interpret the Contract Documents and shall also show adjoining work in such detail as required to provide proper connection with same.
4. The Designer will check and approve shop drawings only for conformance with the design concept and for compliance with information given in the Contract Documents.
Approval of shop drawings by the Designer will not release the General Contractor from his responsibility for furnishing same of proper dimensions, size quantity and quality to effectively perform the work and carry out the requirements and intent of Contract Documents.

5. Such approval will not relieve the General Contractor from responsibility for errors of any sort in the shop drawings, nor for the proper coordination of any submittal with all other work. If the shop drawings deviate, or are intended to deviate, from the Contract Documents, the General Contractor shall so advise the Designer in writing at the time the shop drawings are submitted, stating the difference in value between the Contract requirements and that denoted by said shop drawings.

6. The General Contractor shall assume full liability for delay attributed to insufficient time for delivery and/or installation of material or performance of the work when approval of pertinent shop drawing is withheld due to the failure of the General Contractor to submit, revise, or resubmit shop drawings in adequate time to allow the Designer and the UMA Project Manager a reasonable time, not to exceed twenty-one (21) calendar days, for normal checking and processing of each submission or resubmission.

C. Coordinate each submittal with requirements of Contract Documents.

D. The General Contractor's responsibility for errors and omissions in submittals is not relieved by the Designer's review and approval of submittals, unless Designer gives tentative written acceptance of specific deviations identified as such by the General Contractor, subject to written concurrence by the UMA Project Manager.

E. Notify the Designer in writing at the time of submission, of deviations in submittals from requirements of Contract Documents or previous submissions.

F. Work that requires submittals shall not commence unless submitted with Designer’s stamp and initials or signature indicating review and approval, and UMA Project Manager’s initials or signature of concurrence indicate review and approval.

1. No work shall be started in the shop or on the job, or materials delivered to the site, until pertinent shop drawings have been approved by the Designer and the UMA Project Manager.

G. After aforesaid review and approval, distribute copies.

H. Maintain one (2) copies of each approved submittal at the project site. One for the General Contractor and one for the UMA resident.

1.5 SUBMISSION REQUIREMENTS:

A. General: All submittals shall be reviewed by the general Contractor and forwarded to the Designer for review. The quantity and make-up of submittals shall be as established by the Designer; however, two (2) additional copies of all submittals shall be transmitted to the UMA Project Manager at the same time that such submittals are transmitted to the Designer. The Designer will log and distribute submittals for review by his consultant engineers. All submittals shall be in both hard and electronic copies unless determined by the Designer otherwise.
B. Make submittals promptly in accordance with approved schedules, and in such sequence as to cause no delay in the work.

C. Submit number of samples specified in each Section of the Specifications.

D. Submittals shall include:

1. Date and revision dates.
2. Project title and number.
3. The names of:
   a. Designer;
   b. General Contractor;
   c. Subcontractor;
   d. Supplier;
   e. Manufacturer;
   f. Separate detailer when pertinent.
4. Identification of product or material.
5. Location of work and relation to adjacent structure or materials.
6. Field dimensions clearly identified as such.
7. Specification Section number and specific paragraph under which item is specified.
8. Submission number.
9. Applicable standards, such as ASTM number.
10. A blank space, five-inch by four-inch, for the Designer’s stamp.
11. General Contractor’s remarks. Identify exceptions or deviations from Contract Documents and reasons for them.
   a. If shop drawings submitted by the General Contractor indicate a departure from the Contract and the Designer deems it to be minor adjustment in the interest of UMA (subject to concurrence by the General Contractor stating it does not involve a change in Contract Price or extension of time), the Designer may approve the submission, but the approval shall be subject to UMA review and acceptance of the Designer’s recommendation.
   b. The approval of UMA shall be inferred to contain in substance the following: The change is so ordered with the understanding that it does not involve any change in the Contract Price or Time, and that it is subject generally to all contract stipulations and covenants, and is without prejudice to any and all rights of UMA under the Contract.
12. General Contractor's stamp, initialed or signed certifying review and approval of submittal.
13. Any other items as called for by the Designer, the UMA Project Manager or required by the manufacturers.
14. The Designer reserves the right to ask for shop drawings for any or all items on the project, whether or not requested in individual specification sections, at no additional cost to the Commonwealth.

1.6 RESUBMISSION REQUIREMENTS:

A. Resubmission: Resubmission procedure shall follow the same procedures as the initial submittal with the following exceptions:
B. Shop Drawings:

1. Transmittal shall contain the same information as the first transmittal except that the submission number shall change sequentially. The drawing number/description shall be identical as the first transmittal but the date shall be the revised date for that submission.
2. No new material should be included on the same transmittal for the resubmission.
3. Indicate on drawings any changes which may have been made other than those requested by the Designer.

C. Product Data and Samples:

1. Submit any new data and samples as required from previous submittal.

1.7 THE UMA PROJECT MANAGER’S AND DESIGNER’S REVIEWS AND DISTRIBUTION OF SUBMISSIONS

A. The UMA Project Manager and/or his/her designees will review submittals concurrently with the Designer and his/her consultant engineers. The Designer and the UMA Project Manager shall communicate within the aforesaid review period time frame (21 calendar days). The timeframe for the Designer’s review will not exceed fourteen (14) calendar days between her/his receipt of submittal and contacting the UMA Project Manager. After the Designer’s (and his/her consultant engineers) review, distribution shall be as stated herein.

1. If submittal is ‘reviewed - no exceptions taken’, or ‘reviewed, make corrections noted’, the UMA Project Manager shall compose a transmittal indicating the status. The UMA Project Manager will then return one (1) copy of the submittal together with the transmittal to the Designer, and shall retain one (1) copy for her/his records. The Designer shall copy and attach the UMA Project Manager’s transmittal to each submittal, stamp the submittals in concurrence with the status agreed to, and transmit back to the General Contractor, with one (1) copy sent directly to the UMA Resident Engineer. The General Contractor shall then distribute said submittals to appropriate Subcontractors, and one (1) copy to the UMA Resident Engineer.

2. If submittal is ‘reviewed - revise and resubmit’ or ‘rejected’, the UMA Project Manager shall compose a transmittal indicating the status. The UMA Project Manager will then return one (1) copy of the submittal together with the transmittal to the Designer, and shall retain one (1) copy for her/his records. The Designer shall copy and attach the UMA Project Manager’s transmittal to each submittal, stamp the submittals in concurrence with the status agreed to, and transmit back to the General Contractor for resubmission. A copy of the transmittal, indicating that a submittal was disapproved and returned to the General Contractor, will be forwarded from the Designer to the UMA Project Manager with an additional copy forwarded from the Designer to the UMA Resident Engineer, for their records.

3. If a submittal is ‘reviewed - no exceptions taken’ or reviewed, make corrections noted’ by the Designer, or approved as noted by the Designer, but the UMA Project Manager does not concur, a meeting between the Designer and the UMA Project Manager will immediately be established to resolve the impasse within the overall review period time frame (21 calendar days). The UMA Project Manager will have final authority as to the disposition of the submission. The Designer’s position of approval (or disapproval) must
be based on the contractual criteria of design intent, function, structure, and durability. The UMA Project Manager’s contrary position must also be based on these criteria.

4. The combined review period, for the Designer and the UMA Project Manager, will not exceed twenty-one (21) calendar days from the established date of each submission indicated on the Schedule of Shop Drawings, Product Data and Samples, plus the additional time, if any, for distribution by the General Contractor and receipt of submissions by the Designer and UMA Project Manager. The General Contractor is required to anticipate review time, including time for possible rejection and resubmission, in establishing Schedule dates.
   a. The aforementioned time provided the Designer for checking shop drawings is from the date of receipt of shop drawings by the Designer to the mailing date of shop drawings returned to the General Contractor by the Designer.

5. The Designer will process the submission and indicate the appropriate action on the submission and the transmittal. Incomplete or erroneous transmittals will be returned without action.

6. The Designer will fill out transmittal in the following sequence:
   a. Date received from General Contractor.
   b. Date forwarded to UMA Project Manager.
   c. Date received from UMA Project Manager.
   d. Date returned to General Contractor.
   e. Action taken on submission.
   f. Distribution, including number of copies distributed and type of material distributed (i.e., print, brochure or sample, etc.).
   g. Designer’s remarks (note major deviations from the Contract Documents).

B. Designer’s Review Procedure:

1. Stamped REVIEWED, “NO EXCEPTIONS TAKEN”:  
   a. No corrections or resubmissions required, fabrication may proceed.

2. Stamped REVIEWED, “MAKE CORRECTIONS NOTED”:  
   a. If General Contractor complies with noted corrections, fabrication may proceed. Submit corrected print for final review.
   b. If, for any reason, the General Contractor cannot comply with the noted corrections, fabrication shall not proceed and General Contractor shall resubmit, following procedures outlined in this Section.

3. Stamped REVIEWED, “REVISE AND RESUBMIT” OR “REJECTED”:  
   a. General Contractor shall revise and resubmit for review. Fabrication shall not proceed.

C. Manufacturer’s Instruction

1. When required in individual Specification Section, submit manufacturer’s printed instructions for delivery, storage, assembly, installation, start-up, adjusting and finishing, in quantities specified for product data, with two (2) additional copies submitted to the UMA Project Manager and one (1) copy to the UMA Resident Engineer.

D. Certificates of Compliance: Submit certificates of compliance with the associated Shop Drawings, Product Data, and Samples required for the product in quantities specified for certificates of compliance, with two (2) additional copies submitted to the UMA Project Manager and one (1) copy to the UMA Resident Engineer.
E. Field Samples: Provide field samples of finishes at the project as required by individual Specification Section. Install sample complete and finished.

F. Patterns and Colors: Submit accurate color charts and pattern charts to the Designer for review and selection whenever a choice of color or pattern is available in a specified product, unless the exact color and pattern of a product are indicated in the Contract Documents. Color and Pattern charts shall represent the manufacturer’s complete standard offerings, except where Specifications limit the offerings by defining a particular series or product type which is normally limited in color and pattern availability. Color and Pattern charts shall be submitted in quantities specified with two (2) additional copies submitted to the UMA Project Manager and one (1) copy to the UMA Resident Engineer.

1.8 SCHEDULE OF VALUES

A. Prior to the first request for payment, the General Contractor shall submit to the Designer and the UMA Project Manager, a Schedule of Values of the various portions of the Work in sufficient detail to reflect various major components of each Subcontractor, including quantities when requested, aggregating the total contract sum, and divided so as to facilitate payments for work under each Section. The schedule shall be prepared in such form as specified or as the Designer or the UMA Project Manager may approve, and it shall include data to substantiate its accuracy. Each item in the Schedule of Values shall include its proper share of overhead and profit. This schedule, including breakdown and values, requires the approval of the Designer and the UMA Project Manager and shall be used only as a basis for the General Contractor's request for payment.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION
1.1 GENERAL PROVISIONS

A. Attention is directed to the CONTRACT AND GENERAL CONDITIONS and all Sections within DIVISION 01 - GENERAL REQUIREMENTS which are hereby made a part of this Section of the Specifications.

1.2 REQUIREMENTS INCLUDED

A. General Contractor’s Quality Assurance.
B. General Contractor’s Testing Responsibilities.
C. UMA’s independent agencies.
D. Duties of the General Contractor’s testing agencies.
E. Welding.
F. Examination of substrate.

1.3 RELATED SECTIONS

A. Section 013100 – PROJECT MANAGEMENT AND COORDINATION:
   1. General project management and coordination.

1.4 GENERAL CONTRACTOR’S QUALITY ASSURANCE

A. Qualifications for Service Agencies: Engage inspection and testing services agencies, including independent testing laboratories, which are pre-qualified as complying with "Recommended Requirements for Independent Laboratory Qualification" by the American Council of Independent Laboratories, and which specialize in the types of inspections and tests to be performed.
B. Each independent inspection and testing agency engaged on the project shall be authorized by authorities having jurisdiction to operate in the Commonwealth of Massachusetts.
1.5 GENERAL CONTRACTOR’S TESTING RESPONSIBILITIES

A. The General Contractor shall provide inspections, tests and quality control services specified in individual specification Sections and required by governing authorities, except where they are specifically indicated to be solely the responsibility of a Subcontractor in the respective specification section or solely the responsibility of UMA.

B. Engage and pay for the services of an independent agency acceptable to the UMA Project Manager to perform the specified inspections, testing, and quality control. Submit qualifications to the UMA Project Manager. General Contractor’s testing agency/laboratory shall be licensed by the Commonwealth of Massachusetts Department of Public Safety.

C. Re-testing: The General Contractor is responsible for re-testing where results of required inspections, tests or similar services prove unsatisfactory and do not indicate compliance with Contract Documents requirements, regardless of whether the original test or service was the General Contractor’s responsibility.

D. Substitutions, Suspicious Issues and Designer Initiated Testing: The General Contractor is responsible for inspections, tests and similar services for substitutions, suspicious issues identified by the General Contractor or UMA Project Manager, and testing initiated by the Designer.

E. Associated Services: The General Contractor shall cooperate with agencies performing required inspections, tests and similar services and provide reasonable auxiliary services as required. Notify the agency sufficiently in advance of operations to permit assignment of personnel. Auxiliary services required include but are not limited to:

1. Provide access to the work and furnish incidental labor and facilities necessary to facilitate inspections and tests.
2. Take adequate quantities or representative samples of materials that require testing or assist the agency in taking samples.
3. Provide facilities for storage and curing of test samples and delivery of samples to testing laboratories.
4. Provide the agency with a preliminary design mix proposed for use for material mixes that require control by the testing agency.
5. Provide security and protection of samples and test equipment at the project site.

1.6 UMA’S INDEPENDENT TESTING AGENCIES

A. UMA will engage an independent testing agency at its own expense to perform certain tests and similar services as set forth herein. Information provided by UMA’s Independent Testing Agency shall be for the sole use of UMA's Project Manager, and shall not relieve the General Contractor of its responsibilities to provide its own quality control, to meet all requirements of the Contract and to provide a completed project free from construction defects.

B. It is the General Contractor’s responsibility to provide and pay for its own inspection and testing to assure quality control. General Contractor shall be responsible for coordinating its work with requirements of UMA's testing agencies, and shall provide reasonable services in support of facilitating work of UMA's testing agencies as required.
1.7 DUTIES OF THE GENERAL CONTRACTOR’S TESTING AGENCIES

A. The General Contractor’s independent testing agency engaged to perform inspections, sampling and testing of materials and construction shall cooperate with the Designer and General Contractor in performing its duties, and shall provide qualified personnel to perform required inspections and tests.

B. The testing agency shall notify the Project Manager and General Contractor promptly of irregularities or deficiencies observed in the work during performance of its services.

C. The testing agency shall not perform any duties of the General Contractor.

D. The General Contractor is responsible for scheduling times for inspections, tests, taking samples and similar activities.

1.8 GENERAL CONTRACTOR’S QUALITY CONTROL REQUIREMENTS, GENERAL

A. Maintain quality control over suppliers, manufacturers, products, services, site conditions, and workmanship to produce work of the quality as specified.

B. Comply fully with manufacturer's instructions, including each step in sequence.

C. Comply with specified standards as a minimum quality for the Work except when more stringent tolerances, codes, or specified requirements indicate higher standards or more precise workmanship.

D. Perform work by persons qualified to produce workmanship of specified quality.

E. Secure products in place with positive anchorage devices designed and sized to withstand stresses, vibration, physical distortions, or disfigurement. Anchorage devices shall be labeled to allow for visual inspection and verification of type of anchorage device.

1.9 WELDING

A. Certified Welders:

1. Structural welds shall be made only by operators who have been qualified by tests, as prescribed in the "Standard Qualification Procedure" of the American Welders Society, to perform the type of work required. Operators shall be certified welders; certification must be shown to the Resident Engineer and must be current. Provide a copy of certification(s) to the UMA Resident Engineer.

2. Pipe welds shall be made by operators who have been qualified by the National Certified Pipe Welding Bureau and each operator's qualification record shall be submitted to the UMA Project Manager before any work is performed. Welders' certification card must be shown to the Resident Engineer. Provide a copy of certification(s) to the UMA Resident Engineer.

3. Shop welding shall be in accordance with the "Code for Welding in Building Construction."
4. Welders shall provide their own portable generating equipment for electric welding. Use of the Commonwealth's electrical system for welding will not be permitted.

B. Welding and Cutting:

1. Where electric or gas welding or cutting work is done above or within ten (10) feet of combustible material or above a space that may be occupied by persons, use interposed shields of incombustible material to protect against fire damage or injury due to sparks and hot metal.

2. Place tanks supplying gases for gas welding or cutting at no greater distance from the work than is necessary for safety, securely fastened and maintained in an upright position in accordance with applicable codes. Store such tanks in a locked enclosure remote from any combustible material and free from exposure to the rays of the sun or high temperatures.

3. Maintain suitable fire extinguishing equipment near all welding and cutting operations. When operations cease for the noon hour or at the end of the day, thoroughly wet down the surroundings adjacent to welding and cutting operations.

4. Station a workman equipped with suitable fire extinguishing equipment near welding and cutting operations to see that sparks do not lodge in floor cracks or pass through floor or wall openings or lodge in any combustible material. Keep the workman at the source of work which offers special hazards for thirty (30) minutes after the job is completed to make sure that smoldering fires have not been started.

5. Place a qualified electrician in charge of installing and maintaining electric and arc welding equipment. Remove damaged electric, arc or gas welding equipment from the site.

1.10 EXAMINATION OF SUBSTRATE

A. Installers of materials, products or equipment shall:

1. Examine base surfaces upon which materials, products or equipment are to be installed.

2. Examine conditions upon which materials, products or equipment are to be installed.

3. Where there is any question as to the dryness of a surface, test with a modern moisture-indicating machine.

4. Notify the General Contractor, in writing, with a copy to the Project Manager, if conditions are detrimental to proper and timely construction and completion of the work.

B. Do not proceed with work until unsatisfactory substrate, or not acceptable conditions have been corrected. Commencement of installation constitutes acceptance of substrate or base surfaces, and the cost of any corrective work due shall be borne by the installer applying his/her materials, products or equipment thereon.

C. Quality Meetings:

1. Pre-construction Conference:
   a. A conference held to discuss all aspects of the construction project such as the schedule, payment procedures, change order procedures and much more. This meeting is held immediately after contract award.
b. The UMA Project Manager, Designer, Design Consultants, General Contractor and Subcontractors will attend these meetings.

2. Pre-Installation Review Meetings:
   a. A review meeting shall be held for certain kinds of work requiring special coordination efforts between Subcontractors, a better understanding of how the work is to be performed by one or more Subcontractors, sequencing of work between the Subcontractors, or a review of special requirements pertaining to the work to be performed. This type of meeting is conducted just prior to starting the actual work. The meeting is scheduled and run by the General Contractor on an as needed basis.
   b. The UMA Project Manager, Designer, General Contractor and all applicable Subcontractors will attend these meetings.
   c. The General Contractor’s Staff and Subcontractor’s actual supervisory people who will be performing the work in the field are to attend these meetings.
   d. Safety precautions relating to the work to be performed are also to be discussed as part of this meeting.

3. Coordination Meetings:
   a. The General Contractor shall conduct project Coordination Meetings at regular intervals. Project Coordination Meetings are in addition to specific meetings held for other purposes, such as regular progress meetings and special pre-installation meetings.
   b. General Contractor shall record meeting results and distribute copies to everyone in attendance and others affected by decisions or actions resulting from each meeting. The UMA Project Manager and the Designer are to be on the Distribution List.

D. Regular Daily Inspections:
   1. The General Contractor will monitor the quality of the in-place construction work daily, to ensure that it complies with the requirements of the Contract Documents, Pre-Construction Meetings, Pre-Installation Meetings and Coordination Meetings.
   2. The General Contractor shall log, record and distribute daily record of quality monitoring as a component of daily reporting and provide notification on a regular basis during construction of currently observed items requiring corrective action

E. First Delivery of Material/Equipment Inspection:
   1. The General Contractor shall manage and keep current an anticipated delivery schedule for all materials and equipment to be delivered to the site and provide regular updates or upon request to the UMA Project Manager.
   2. The General Contractor shall log, record and distribute any account on the first delivery of each type of material or equipment as a component of daily reporting and provide notification on a regular basis during construction of currently observed items requiring corrective action
   3. First deliveries will be verified against the requirements of the design documents and the approved submittals. Nonconforming materials and/or equipment will not be allowed to be set into place and will be removed from the site.
   4. This inspection establishes the basis for judging all future deliveries of like material/equipment.
F. First Equipment In Place Inspection:

1. The General Contractor shall manage and keep current an anticipated schedule for all materials and equipment to be inspected in place and provide regular updates or upon request to the UMA Project Manager.

2. General Contractor will inspect and document the first setting of equipment to verify it is in conformance with the requirements of the Contract Documents.

3. The installation and assembly will be verified against the requirements of the design documents and the approved shop drawings.

4. The General Contractor shall log, record and distribute any account for each type of first in place equipment inspection as a component of daily reporting and provide notification on a regular basis during construction of currently observed items requiring corrective action or pending inspection.

5. Upon acceptance of the equipment in place, the General Contractor can proceed with permanently anchoring it into place by the means prescribed in the Contract Documents.

6. This inspection establishes the basis for judging all future setting of like equipment.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION
SECTION 015000
TEMPORARY FACILITIES AND CONTROLS

1.1 GENERAL PROVISIONS

A. Attention is directed to the CONTRACT AND GENERAL CONDITIONS and all Sections within DIVISION 01 - GENERAL REQUIREMENTS which are hereby made a part of this Section of the Specifications.

1.2 REQUIREMENTS INCLUDED

A. Temporary Facilities and Controls including the following:
1. Hoisting Equipment and Machinery.
2. Staging.
4. Dust Control.
5. Noise Control.
7. Cleaning During Construction.
8. Sanitary Facilities.
11. Debris Control and Removal.
15. Delivery of Materials.

1.3 HOISTING EQUIPMENT AND MACHINERY

A. All hoisting equipment and machinery required for the proper and expeditious prosecution and progress of the work shall be furnished, installed, operated and maintained in safe condition by the individual Subcontractors and is so stated in each appropriately related Section of the Specifications. All costs for hoisting operating services shall be borne by the Subcontractors unless specifically exempted in the Contract Documents.
1. A licensed equipment manufacturer’s representative shall be present at all times, to witness the erection and dismantling of all hoisting equipment and machinery, whenever such equipment is being erected or dismantled. No such work will be performed without the presence of such representative.
2. Hoisting equipment and machinery erection and dismantling shall be performed only by trained, certified, and experienced riggers qualified to perform such work.
3. Copies of such licenses and/or certifications, clearly indicating qualifications, shall be provided to the UMA Resident Engineer prior to commencement of such erecting and dismantling work.
B. Review Drawings for hoisting requirements and openness of traffic access routes to installed destinations of specified equipment and furnishings.

1.4 STAGING

A. All staging, planking and scaffolding, exterior and interior, required for the proper execution of the work and over eight feet in height, shall be furnished, installed, and maintained by the General Contractor.

1. Erection and dismantling of staging shall be performed only by trained, certified, and experienced staging personnel qualified to perform such work.

2. Copies of such certifications, clearly indicating qualifications, shall be provided to the UMA Resident Engineer prior to commencement of such erecting and dismantling work.

B. All staging up to eight feet in height shall be provided by the individual Subcontractors as applicable to their work.

1.5 MAINTENANCE OF ACCESS

A. The General Contractor shall provide and maintain for the duration of his contract, a means of access to, around and within the site, as indicated on the Contract Drawings, for vehicular traffic and authorized personnel. This means of access shall be construed to sustain the weight of equipment customarily engaged for use in construction projects of this type and magnitude. The General Contractor shall, without additional compensation from the Commonwealth, furnish labor and materials as may be required from time to time to maintain this means of access in an acceptable condition as determined by the Designer. Pedestrian access shall provide adequate protection against falling debris, slippage, adequate lighting, warning and directional signs, and protection against construction activities.

1.6 DUST CONTROL

A. The General Contractor shall have all Subcontractors provide adequate means for the purpose of preventing dust caused by construction operations from creating a hazard, nuisance, and from entering adjacent occupied areas throughout the period of the construction contract.

B. This provision does not supersede any specific requirements for methods of construction or applicable general conditions set forth in the Contract Articles with added regard to performance obligations of the General Contractor.

1.7 NOISE CONTROL

A. Work must be scheduled and performed in such a manner as to not interfere with the operations of the Owner. Construction work that is deemed by the U.M.A. Project Manager to be excessively noisy may be required to be done during non-normal working hours and at no additional expense to the University.
B. Comply with requirements of authorities having jurisdiction. Develop and maintain a noise-abatement program and enforce strict discipline over all personnel to keep noise to a minimum.

C. Execute construction work by methods and by use of equipment which will reduce excess noise.
   1. Equip air compressors with silencers, and power equipment with mufflers.
   2. Manage vehicular traffic and scheduling to reduce noise.
   3. No heavy equipment may be started or idled before 7A.M.

1.8 CLEANING DURING CONSTRUCTION

A. Unless otherwise specified under the various Sections of the Specifications, the General Contractor shall perform clean-up operations during construction as herein specified.
   1. Refer to Section 011000.1.15 for additional requirements.

B. Control accumulation of waste materials and rubbish; periodically dispose of off-site in a legal manner. The General Contractor shall bear all costs, including fees resulting from such disposal.

C. Clean interior areas prior to start of finish work and maintain areas free of dust and other contaminants during finish operations.

D. Maintain project in accordance with all local, Commonwealth of Massachusetts, and Federal Regulatory Requirements.

E. Store volatile wastes in covered metal containers, and remove from premises.

F. Prevent accumulation of wastes which create hazardous conditions.

G. Provide adequate ventilation during use of volatile or noxious substances.

H. Conduct cleaning and disposal operations to comply with local ordinances and anti-pollution laws.
   1. Do not burn or bury rubbish and waste materials on site.
   2. Do not dispose of volatile wastes such as mineral spirits, oil, or paint thinner in storm or sanitary drains.
   3. Do not dispose of wastes into streams or waterways.
   4. Identify potential sources of cleaning water runoff and propose abatement procedures.

I. Use only those materials which will not create hazards to health or property and which will not damage surfaces.

J. Use only those cleaning materials and methods recommended by manufacturer of surface materials to be cleaned.
K. Execute cleaning to ensure that the buildings, the sites, and adjacent properties are maintained free from accumulations of waste materials and rubbish and windblown debris, resulting from construction operations.

L. Provide on-site containers for collection of waste materials, debris, and rubbish.

M. Remove waste materials, debris and rubbish from the site periodically and dispose of at legal disposal dump site (DEP approved).

N. Handle material in a controlled manner with as few handlings as possible. Do not drop or throw materials from heights.

O. Schedule cleaning operations so that dust and other contaminants resulting from cleaning process will not damage surrounding surfaces.

1.9 SANITARY FACILITIES

A. The General Contractor and Subcontractors may use existing restrooms as designated by the UMA Project Manager, however, General Contractor shall take responsibility for maintenance and cleaning of such areas and shall leave them in first class condition equal to the accepted conditions of toilet facilities not used for construction personnel.

1.10 CONSTRUCTION BARRIERS

A. Proper construction barriers shall be provided around the contract work areas as defined by the Contract Drawings or as directed by the Resident Engineer.

B. Construction barriers shall consist of traffic cones, ribbons, tapes, secure fencing, trench covers, wood barriers, warning signs, directional signs, and other traffic materials to keep traffic and people from area of construction and maintain ongoing operations.

C. Barriers shall be erected at such approved locations as are necessary, sufficiently cross-braced and supported adequately from floors and ceilings as required.

1.11 PARKING

A. Parking: Parking spaces on Campus are very limited and the University will not provide designated parking lot spaces near the construction site for the Contractor’s use. The Contractor shall contact Parking Services (545-0065) to determine the location of the nearest available parking spaces. The Contractor will be required to pay all fees for parking. The Contractor shall state his/her parking and staging area requirements during the Pre-construction Meeting. The area(s) for materials storage will then be agreed to between the Contractor and the UMA Project Manager. The limits of material storage will be delineated by the Contractor with construction fencing and enforced throughout the Contract.
1.12 DEBRIS CONTROL AND REMOVAL

A. Debris shall not be permitted to accumulate or migrate and the work shall be kept satisfactorily clean. Facility trash receptors shall not be used for the disposal of debris. Dumpster shall be provided by the General Contractor for removal of debris for all Subcontractors.

B. Remove debris from the work site on a daily basis and dispose of same at any (private or public) DEP approved dump that the General Contractor may choose providing that the General Contractor shall make all arrangements and obtain all approvals and permits necessary from the owner or officials in charge of such dumps. Proposed dump site shall be submitted to be approved by UMA prior to start of demolition. During disposal process, copies of daily receipts from dumpsite shall be submitted on a regular basis.

1.13 SAFETY PROTECTION

A. At no time shall the work be left unattended without proper safety protection and shall not be left unprotected to the weather and accessible to the public. It is the responsibility of the General Contractor to maintain proper safety protection for the public while work is in progress or unattended.

1.14 VEHICLE AND EQUIPMENT PROTECTION

A. All construction activities shall be performed in such a manner so as not to dust, stain or damage any building elements, equipment, vehicles, etc. within general vicinity of the construction work area. Any damage to these items shall be cleaned and repaired at the expense of the General Contractor.

1. All construction vehicles and equipment on site shall be effectively disabled and secured when not in use.

1.15 SHORING

A. The Subcontractors shall provide all temporary shoring and bracing as required for the proposed work. Comply with all applicable codes and standards.

1.16 DELIVERY OF MATERIALS

A. All Materials shall be delivered to the Contractor’s or Sub-Contractor’s warehouse or may be delivered to the site if the Contractor’s representative is present to receive them.

B. No materials will be received by University personnel, either on site or at the University’s shipping and receiving dock.
1.17 SHUT DOWN NOTICE

A. The Contractor shall notify the U.M.A. Project Manager or Resident Engineer, at least fourteen (14) working days in advance, of the need for University personnel to shut down or modify any utilities or building systems. If, due to University emergencies or staffing shortages, the Physical Plant personnel are unable to provide the required shut down or modifications, the contractor shall reschedule their work at no cost to the University.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION
SECTION 017700

CONTRACT CLOSEOUT

1.1 GENERAL PROVISIONS

A. Attention is directed to the CONTRACT AND GENERAL CONDITIONS and all Sections within DIVISION 01 - GENERAL REQUIREMENTS which are hereby made a part of this Section of the Specifications.

1.2 FINAL CLEANING

A. Unless otherwise specified under the various Sections of the Specifications, the General Contractor shall perform final cleaning operations as herein specified prior to final inspection.

B. Maintain project site free from accumulations of waste, debris, and rubbish, caused by operations. At completion of work, remove waste materials, rubbish, tools, equipment, machinery and surplus materials, and clean all sight-exposed surfaces; leave project clean and ready for occupancy.

C. Cleaning shall include all surfaces, interior and exterior in which the General Contractor has had access whether existing or new.

D. Refer to Sections of the Specifications for cleaning of specific products or work.

E. Use only those materials which will not create hazards to health or property and which will not damage surfaces.

F. Use only those cleaning materials and methods that are recommended by the manufacturer of surface material to be cleaned.

G. Employ experienced workmen, or professional cleaners, for final cleaning operations.

H. Remove grease, mastic, adhesives, dust, dirt, stains, fingerprints, labels, and other foreign materials from sight-exposed interior and exterior surfaces.

I. Clean Contractor used restrooms.

J. Repair, patch and touch up marred surfaces to specified finish, to match adjacent surfaces as acceptable to the UMA Project Manager.

K. Broom clean exterior paved surfaces and rake clean other surfaces of the grounds.

L. Leave all architectural metals, hardware, and fixtures in undamaged polished conditions.

M. Leave pipe and duct spaces, plenums, furred spaces and the like clean of debris and decayable materials.
N. At the end of the project, General Contractor and each Subcontractor shall remove all his tools, equipment, machinery, and surplus materials from the job site. The General Contractor shall remove all waste materials and rubbish from the project at this time. All temporary structures shall be removed and the project shall be left clean.

O. Subsequent to installation of User Agency furniture, telephones, and equipment, and prior to issue of Certificate of Use and Occupancy, provide additional cleaning to remove any soil resulting from installations of such furniture and equipment. Such additional cleaning may include, but not be limited to dusting of horizontal surfaces, vacuuming, and washing of hard or resilient floor surfaces and re-waxing where required.

1.3 AS-BUILT DRAWINGS

A. As-built Drawings shall consist of all the Contract Drawings. As-built Drawings shall be kept up-to-date. Information from on-going Work shall be recorded on As-built Drawings within 48 hours of Work being performed.

B. The General Contractor and each Subcontractor shall be required to maintain one set of As-built Drawings, as the work relates to their Sections of the Specifications, at the site.

C. The As-built Drawings shall be stored and maintained by the General Contractor apart from other documents used for construction. The As-built Drawings shall be maintained in a clean, dry, and legible condition and shall not be used for construction purposes.

D. As-built Drawings, as submitted by the General Contractor shall be verified in the field by the Designer or his Consultants. Verification by the Designer shall occur during the construction process and prior to the related work being completed and covered up.

E. The As-built Drawings shall be available at all time for inspection by the UMA Project Manager or Designer. All deficiencies noted shall be promptly corrected.

F. The following information shall be indicated on the As-Built Drawings:

1. Record all changes, including change orders, in the location, size, number and type both horizontally and vertically of all elements of the project which deviate from those indicated on all the Contract Drawings.

G. At the end of each month and before payment for materials installed, the General Contractor, each Subcontractor, and agents of the Commonwealth shall review As-built Drawings for purpose of payment.

1. If the changes in location of all installed elements are not shown on the As-Built Drawings and verified in the field, then the material shall not be considered as installed and payment will be withheld.

H. At the completion of the contract, each Subcontractor shall submit to the General Contractor a complete set of his respective As-built Drawings indicating all changes. After checking the
above drawings, the General Contractor shall certify in writing on the title sheet of the drawings that they are complete and correct and shall submit the As-built Drawings to the Designer.

1. As-Built Drawings shall be submitted electronically to the Designer, in a format which can be added to the complete plans as constructed.

I. The Designer shall review the drawings and shall verify by letter to the UMA Project Manager that the work is accurate. The Designer shall submit to the UMA Project Manager, electronic files in Autocad 2000 (or later version) format with two (2) sets of prints to be used for the final inspection of the project. Inaccuracies in As-built Drawings, as determined by the Designer and the UMA Project Manager, may be grounds for postponement of the final inspection or delay the processing of final payment until such inaccuracies are corrected by the General Contractor.

1.4 OPERATING AND MAINTENANCE REQUIREMENTS

A. At least two weeks prior to the time of turning over this contract to the Operating Agency for Use and Occupancy, or Final Acceptance, the General Contractor shall secure and deliver to the Operating Agency via the Designer, three (3) complete, indexed files and three (3) CD or DVD copies, containing approved operating and maintenance manuals, shop drawings, record of paint colors, floor and ceiling materials and other data as follows.

1. Operating manuals and operating instructions for each model and type of equipment in each of the various systems. Include operating instructions for systems integrating several pieces of equipment.
2. Catalog data sheets for each item actually installed including performance rating data and parts lists.
3. Catalog sheets, maintenance manuals, and approved shop drawings of all equipment with all details clearly indicated, including size and other maintenance supplies.
4. Operating procedures, including startup, shutdown, seasonal and weekend operations.
5. Description of controls and sequence of operations.
6. Maintenance Data:
   a. Manufacturer's information, including list of spare parts.
   b. Name, address, and telephone number of Installer or supplier.
   c. Maintenance procedures.
   d. Maintenance and service schedules for preventive and routine maintenance.
   e. Maintenance record forms.
   f. Sources of spare parts and maintenance materials.
   g. Copies of maintenance service agreements.
   h. Copies of warranties and bonds.
   i. Name, address and telephone numbers of repair and service companies for each of the systems installed.

7. Names, addresses and telephone numbers of all Subcontractors and suppliers, together with repair and service companies for each of the major systems installed under this contract.

B. Non-Availability of operating and maintenance manuals or inaccuracies therein may be grounds for cancellation and postponement of any scheduled final inspection by the UMA Project Manager until such time as the discrepancy has been corrected.
1.5 DEMONSTRATION AND TRAINING

A. Instruction: Instruct University’s personnel to adjust, operate, and maintain systems, subsystems, and equipment not part of a system.
1. Provide instructors experienced in operation and maintenance procedures.
2. Provide instruction at mutually agreed-on times. For equipment that requires seasonal operation, provide similar instruction at the start of each season.
3. Schedule training with Physical Plant personnel with at least fourteen (14) days' advance notice.
4. Coordinate instructors, including providing notification of dates, times, length of instruction, and course content.

B. Program Structure: Develop an instruction program that includes individual training modules for each system and equipment not part of a system, as required by individual Specification Sections. For each training module, develop a learning objective and teaching outline. Include instruction for the following:
1. System design and operational philosophy.
2. Review of documentation.
3. Operations.
4. Adjustments.
5. Troubleshooting.
7. Repair.

1.6 CLOSEOUT REQUIREMENTS AND SUBMITTALS

A. Procedural Requirements Prior to Use and Occupancy: Punch List:
1. During the finishing stages of the project, the General Contractor shall make frequent inspections with Subcontractors, the Designer, and the UMA Resident Engineer, so as to progressively check for and correct faulty work.
2. During the course of construction of the project, the General Contractor shall procure and maintain test records and certificates that will be required prior to issuance of the Department of Public Safety (DPS) Certificate of Occupancy and the Division of Capital Asset Management (UMA) Certificate of Agency Use and Occupancy.
3. When the General Contractor determines that he/she is Substantially Complete*, he/she shall prepare for submission to the Designer a list of items to be completed or corrected. The failure to include any items on such list does not alter the responsibility of the General Contractor to complete all work in accordance with contract Documents. The General Contractor’s list shall be accompanied with certificates that will be required as prerequisites for applying for a DPS inspection
a. *NOTE: Substantially Complete means that less than one percent (1%) of all contract work, including change orders, remains to be done, and that none of the remaining work will affect health, safety, or function.
4. Upon receipt of the General Contractor’s list of items to be completed or corrected, the Designer will promptly make a thorough inspection, together with representatives of UMA and the Operating Agency, and prepare a “punch list”, setting forth in accurate detail any items on the General Contractor’s list and additional items that are not acceptable. Concurrently, the General Contractor will arrange for a DPS inspection,
5. When the punch list has been prepared, and any DPS Inspector comments* have been included, the Designer will arrange a meeting with the General Contractor and Subcontractors, and the UMA Project Manager, to identify and explain all punch list items and answer questions on the Work that must be done before Final Acceptance.
   a. If a DPS inspector (including, but not limited to AABA, boiler, elevator or any other authorized inspector) requires modifications and/or additions that were not included in the construction documents, the Designer should review the applicable code(s) and provide written interpretation to the UMA Project Manager together with his/her recommendations.

6. The General Contractor shall immediately correct all punch list items that affect health, safety or function (as determined by the Designer, completion of which is required before issuance of a UMA Certificate of Agency Use and Occupancy).

7. Upon receipt of the UMA Certificate of Agency Use and Occupancy, and its adjunct monetized punch list, the General Contractor shall cause the completion of all of the other punch list items within the timeframe required by said certificate, but not more than 45 calendar days if the timeframe is not indicated on the said certificate.

B. Prerequisites for UMA Certificate of Agency Use and Occupancy: UMA Certificate of Agency Use and Occupancy E-1 Form. Prior to requesting a Division of Capital Asset Management (UMA) Certificate of Agency Use and Occupancy, the UMA Resident Engineer will procure and have ready and available the following approved items (referred to as Closeout Submittals):

1. Operating and maintenance (O & M) manuals and written operating instructions for the various systems.
2. Catalog data sheets for each item of mechanical or electrical equipment actually installed including performance curves, rating data and parts lists.
3. Catalog sheets, maintenance manuals, and approved shop drawings of all mechanical and electrical equipment controls and fixtures with all details clearly indicated, including size of lamps.
4. Names, addresses, and telephone numbers of repair and service companies for each of the major systems installed under the construction contract.
5. Signed Department of Public Safety (DPS) Certificate of Occupancy per 780 CMR 120.0
7. Designer Affidavit of Compliance.
8. Subcontractor Affidavits that specified equipment and installed items have been seismically braced in accordance with code requirements.
9. Monetized punch list of the remaining Work that must be done before Final Acceptance.
10. As-built documents should be completed (both electronic files and transparencies) and ready to transfer over to the UMA Project Manager. As-built documents shall consist of, but not be limited to, the following:
   a. Drawings (in AutoCAD ver. 2000 or later format)
      1) Contract drawings, for all disciplines, marked-up to clearly indicate as-built conditions.
      2) All clarification and/or changed conditions sketches (SK’s).
   b. Specifications (in .pdf format)
      1) All construction specifications.
      2) All addenda.
c. Shop drawings, submittals, etc. (scanned format)*
   1) All approved shop drawings, submittals, etc.

11. Approved documents submitted to the UMA or the Designer shall be electronically scanned (including the associated transmittals and, where applicable, the Designer-of-Record’s and UMA’s comments) as a .pdf document. All scanned approved submittals shall be included on a CD.

12. The electronic file names, for each approved submittal, shall contain the following information:
   a. For APPROVED or APPROVED AS NOTED Shop Drawings:
      1) Project Number Submittal’s Date, APPROVED, Submittal Name, Submittal’s Specification Section Name and Number, and Submittal’s Revision Number.
      2) As an example, the file name of an approved submittal for Concrete
         a) Design Mix: DFS991DC1 030106 APPROVED Concrete Design Mix Cast In Place Concrete 033000 Rev0.PDF
   b. For Shop Drawings submitted for information only, e.g. welders certificate, the electronic file name shall contain the following information:
      1) Project Number Submittal’s Date, FORINFO, Submittal Name, Submittal’s Specification Section Name and Number, and Submittal’s Revision Number.
      2) As an example the file name of a for information only submittal for a welder’s certificate:
         a) DFS991DC1 030106 FOR INFO Welders Certificate Quality Requirements 014000 Rev0.PDF
   c. Unless otherwise stated all submitted documents shall include an electronic scanned image as noted above.
   d. The electronic file name shall be printed on every shop-drawing page.

13. The UMA Project Manager will attach the monetized punch list to the UMA Certificate of Agency Use and Occupancy, indicate the official date of Use and Occupancy, establish the date upon which all remaining punch list items must be completed (normally 30-45 calendar days), and procure appropriate signatures on the original and seven (7) copies.

14. After receipt of signatures, the UMA Project Manager will distribute the signed copies.

15. Project schedules (in Primavera format, unless otherwise authorized), baseline, and all updates.

16. Notification to Operating Agency and/or User Agency of Proposed Use and Occupancy Date: The UMA Project Manager is to notify the Operating Agency and/or User Agency of the project Use and Occupancy date at least seven (7) calendar days in advance.

1.7 GUARANTEES AND WARRANTIES

A. Submit to the Designer all extended guarantees and warranties that have been specified in various, individual Sections of the Specifications. Guarantees shall be assembled by Specification No. and Section in accordance with Specifications Table of Contents.

1. Guarantees and warranties shall be enforceable in the Commonwealth of Massachusetts and subject to interpretation in accordance with the laws of the Commonwealth of Massachusetts.
2. Guarantees and warranties shall begin at the date of Substantial Completion of the Project. Guarantees and warranties which start at the date of shipment from the factory, or from the completion date of an individual portion of the project, are not acceptable.

B. Unless more stringent requirements are otherwise specified, guarantee all work against defects of materials, equipment and workmanship for one year from the date of Substantial Completion or the date of issue of Certificate of Use and Occupancy for the building or portion thereof, whichever occurs first.

C. If, within any guarantee period, repairs or changes are required in connection with guaranteed work, General Contractor shall promptly upon receipt of notice from UMA, and without additional expense to UMA, within ten business days:

1. Place in satisfactory condition in every particular all guaranteed work and correct all defects.
2. Make good all damage to building, site equipment, or contents thereof, including redecoration which, in the opinion of the Designer, results from the use of material, equipment or workmanship which are inferior, defective or not in accord with the terms of the Contract.

D. If General Contractor, after such notice, fails to proceed immediately to comply with terms of guarantee, UMA may correct defects and hold General Contractor liable for all expenses incurred.

E. Promptly after completion of the work, obtain from each Subcontractor where a guarantee is required, a warranty addressed to and in favor of UMA or the User Agency if directed by UMA.

F. Delivery of any warranty required does not relieve the General Contractor from any obligation assumed under other provisions of the Contract.

G. Deliver guarantees and warranties to the Designer before or with the application for Final Payment.

H. The general warranty set forth in the General Conditions is in addition to, exclusive of, and not in substitution of such guarantees as may be required in the Specifications.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION
SECTION 116133
STAGE RIGGING AND DRAPERIES

1.00 GENERAL

1.01 RELATED DOCUMENTS

A. Drawings and general provisions of Contract, including General and Supplementary Conditions, Special Conditions, and Division 01 Specification sections apply to work specified in this section.

1.02 SCOPE

A. Intent: This specification covers the fabrication, furnishing, delivery, provision, and installation of stage rigging related equipment. The form of the contract, general conditions, and the project drawings are considered to be part of these specifications.

B. General: Provide all items and work necessary for complete, safe, fully functional systems as specified, including:

1. Tools, scaffolding, equipment, labor and supervision, even though they may not be specifically enumerated.

2. Verification of dimensions and conditions at the job site.

3. Coordination of the work of this section with structural steel, sprinkler systems, HVAC systems, roof drains, conduit, and other such systems whether under this contract or performed under a separate, prime contract.

4. Notification to the Architect/Engineer of any conditions, measurements, quantities, or other data, as required for proper execution, fit and completion of all work, and for safe and proper operating clearances.

5. Shipment of equipment to job site and the secured storage of all non-fixed equipment.

6. Installation and completion, in accordance with these Specifications, related Drawings, the Equipment Manufacturer’s recommendations, established trade criteria, and all applicable code requirements.

7. Inspection, demonstration, and necessary adjustment of the completed installation by the Stage Rigging Contractor’s installation personnel.

8. Preparation and submission of complete record drawings and operational and maintenance data and certificates.

9. A one year inspection by the Stage Rigging Contractor.

C. Definitions: For this project, the following entities are referenced:

1. Owner: University of Massachusetts Amherst, Amherst, MA

2. Architect: UMass Amherst Facilities & Campus Services, Amherst, MA

3. Theatre Consultant: Scheu Consulting Services, Inc., Fayetteville, NY

D. Errors and Omissions: Any errors, omissions, or ambiguities found in these documents do not relieve the Stage Rigging Contractor of the responsibility of providing all items necessary for complete, safe, fully functional systems. Any errors, omissions, or ambiguities shall be brought to the attention of the Architect/Engineer of Record, Construction Manager, Owner, and/or Theater Consultant for clarification.
E. **Work Included**: The work of this section shall include, but not be limited to the following:

1. Replacement of, and upgrades to, thirty two (32) existing manual counterweight stage rigging linesets, including headblocks, loftblocks, arbors, pipe battens, cables, fittings, and handlines as specified herein. **Existing arbor guide system, rope locks, floorblocks, and locking rail shall be re-used.**
   
   a. Demolition and removal of existing equipment (except for arbor guides, rope locks, floorblocks, and locking rail) is included in contractor's scope of work. All costs associated with removal (dumpster rental, labor, etc.) is to be included in contractor's bid. Owner is to remove all portable and production equipment (stage lighting fixtures, curtains, tracks, etc.) prior to demolition.

2. Inspect all existing equipment to be reused and provide notice if any parts need repair, refurbishment, or replacement.

3. Provide one (1) two-circuit index light and outrigger batten system as specified herein.

4. Provide Owner training, manuals, and as-built drawings as specified herein.

1.02 **GENERAL REQUIREMENTS**

A. **Field Conditions**: This project is the provision and installation of new stage rigging systems within an existing venue. All bidders shall fully inform themselves of the conditions under which the work is to be performed. No additional compensation or time extension will be given for conditions of which the bidder could have been fully aware prior to bid.

B. **Safety**: The systems shall conform to all applicable code requirements and ANSI E1.4 - 2014 standards and shall be provided and installed in conformance to industry standards of operation and practices. All materials, arrangements, and procedures shall comply with applicable code requirements, allowing the end user to arrange and operate a safe assembly and working environment for audience and user's personnel.

C. **Insurance**: In the absence of more stringent requirements, the Stage Rigging Contractor shall maintain sufficient injury and property liability insurance coverage throughout the project's scheduled timetable, including workmen's compensation coverage for the Stage Rigging Contractor's employees.

1.03 **STAGE RIGGING CONTRACTOR QUALIFICATIONS**

A. All equipment and installation shall be the responsibility of a single contractor who shall own and operate a full-time, staffed shop for the fabrication and/or assembly of stage equipment. This Contractor shall assume complete responsibility for the design, fabrication, transportation, and installation of the work in this Section, and shall hold the Owner, Architect, Theater Consultant, and all their Employees and Consultants harmless for any costs for errors or omissions associated with the work of this Section and any action arising there from.

B. If the Stage Rigging Contractor does not manufacture or fabricate the major components of the stage rigging systems themselves, then they shall be a manufacturer's authorized dealer and installer of that manufacturer's stage rigging equipment.

C. The Stage Rigging Contractor shall have at least ten (10) years' experience in the installation of similar equipment and systems for professional and educational theaters. If requested, the Stage Rigging Contractor shall submit a representative list of professional theater installations.

D. The Stage Rigging Contractor shall be a member in good standing of the Entertainment Services and Technology Association (ESTA) and maintain qualifying membership for the duration of the project.

E. The Stage Rigging Contractor's field supervisor shall be an ETCP Certified Theater Rigger in good standing for the duration of the project.
1.04 SUBMISSIONS

A. Drawings:

1. Submit plans, elevations, sections, and equipment schedules to the Architect of all systems, components, installation methods, and schedules showing all information necessary to fully explain the design features, appearance, function, fabrication, load ratings, installation and use of system components in all phases of operation.

2. All drawings shall be prepared under the direct supervision of, and sealed by, a Professional Engineer licensed in the Commonwealth of Massachusetts, and familiar with the design and installation of stage equipment.

3. The drawings shall be no less detailed than as provided in the contract documents.

4. System plans, elevations, and sections shall be submitted on minimum D-size (24x36) sheets, and shall be drawn in no less than 1/4"=1'-0" scale.

5. Submit in quantities as required by the Architect.

B. Catalog Cuts: In lieu of detailed equipment drawings, the Stage Rigging Contractor may submit catalog cuts for standard, unmodified equipment.

1. All catalog cuts shall contain full information on dimensions, construction, applications, load ratings, etc., to permit proper evaluation.

2. Catalog cuts shall be properly identified as to their intended use. Any options or variations shall be clearly noted.

3. Detailed drawings of any modified standard equipment shall be submitted for approval as described in Section 1.04.A.

4. Catalog cut sheets shall be prepared and bound in a professional manner, with each sheet properly indexed to a “Table of Contents”. Loose or stapled sheet sets are not permitted.

5. All copies of catalog cut sheets must be clear and legible.

6. Submit in quantities as required by the Architect.

C. Samples: Provide the following for approval prior to manufacture:

1. 6" wide counterweight in 2", 1" and ½" thickness as specified herein.

2. Min 10'-0" length of ¾" diameter handline as specified herein.

3. Any other hardware or piece of equipment upon written notice.

D. Approvals: All submissions must be approved per the requirements of the project’s general conditions prior to the beginning any fabrication, installation, or erection. Such approval does not relieve the Stage Rigging Contractor of the responsibility of providing equipment in accordance with the specifications or of providing fully operational and safe systems.

1.05 WARRANTY & INSPECTIONS

A. Warranty: The Stage Rigging Contractor shall provide a three (3) year written guarantee against defects in materials and workmanship. Within this period, the Stage Rigging Contractor shall provide any required maintenance or replacement within 30 days of written notification by the Owner, except for safety related items that shall be corrected within 48 hours of notification. Subsequent to the expiration of the guarantee period, the Stage Rigging Contractor agrees to furnish repair and maintenance service, at the Owner’s expense, within 30 days of request for such service.
B. **One Year Inspection:** At one year after the date of final acceptance, and as part of this contract, the Stage Rigging Contractor shall provide a comprehensive inspection of all installed systems and components. Make all adjustments as may be required by normal wear and tear. This inspection shall be scheduled directly with the Owner and shall be done at the Owner's convenience.

C. **Continuing Inspections:** The Stage Rigging Contractor shall offer the Owner estimated costs of a safety inspection and training program to be performed yearly. This program may include systems other than the stage rigging, such as production lighting and audio systems, as well as general backstage safety, at the discretion of the Owner and Contractor.

### 2.00 PRODUCTS

#### 2.01 MANUFACTURERS

A. **Quality Statement:** While the equipment specifications contained herein may be based upon the standard equipment of particular approved manufacturers, the individual component specifications are provided solely to set a minimum level of quality. Under no circumstances will equipment of lesser quality be accepted for this project.

B. **Approved Equipment Manufacturers:** Due to the highly specialized nature of theatrical rigging and related equipment, and the safety requirements of the equipment, all fabricated theatrical rigging equipment, drapery tracks, stage draperies, and other components shall be manufactured and supplied by one or more of the following approved manufacturers:

   **Stage Rigging Equipment:**

   - **H & H Specialties, Inc.**
     - Tel: 800-221-9995
     - PO Box 9327
     - South El Monte, CA 91733
     - Fax: 712-200-1936

   - **JR Clancy, Inc.**
     - Tel: 800-836-1885
     - 7041 Interstate Island Road
     - Syracuse, NY 13209
     - Fax: 315-451-1766

   - **Thern, Inc. USA**
     - Tel: 800-843-7648
     - 5712 Industrial Park Road
     - Winona, MN 55987
     - Fax: 507-454-5282

C. **Requirements for Approval:** Other manufacturers seeking acceptance shall follow the procedures and requirements as outlined in the project's general conditions.

### 3.00 GENERAL MATERIAL REQUIREMENTS

#### 3.01 STANDARDS

A. Materials shall conform to the following ASTM and ANSI standard specifications:

1. A-36  Specification for structural steel
2. A-47  Specification for malleable iron castings
3. A-48  Specification for gray iron castings
4. A-120 Specification for black and hot-dipped zinc-coated galvanized steel pipe for ordinary use
5. B18.2.1&2 Specification for square and hex bolts and nuts
B. In order to establish minimum standards of safety, the following factors shall be used:

1. Cables and Fittings  8:1 Safety factor
2. Steel 1/5 of yield
3. Bolts SAE J429 Grade 5 (ISO R898 Class 8.8) Zinc plated

C. **Materials**: All materials used in this project shall be new, unused, and of the latest design. Refurbished and obsolete materials are not permitted.

D. **Fabrication**:

1. The mechanical fabrication and workmanship shall incorporate best practices for good fit and finish. There shall be no burrs or sharp edges to cause either a hazard or present any sharp corners accessible to personnel.
2. All moving parts shall have specified tolerances.
3. All equipment shall be fabricated and installed to facilitate future maintenance and replacement.

E. **Finishes**:

1. Provide standard manufacturer’s finishes except where noted.
2. Turnbuckles, clips, tracks, chains, and incidental hardware shall be plated or painted.

3.02 **NEW STAGE RIGGING SYSTEM COMPONENTS**

A. **General**: The following listing is provided as a general guide to the major components required for this project. It is not intended to be a complete listing of all equipment and components required to provide fully functional systems. Materials, fabrication, and installation shall be as shown in the drawings and as specified herein. The Stage Rigging Contractor is solely responsible for providing all items necessary for complete, safe, fully functional systems that meet the intent of these specifications.

B. **Bills of Materials**

1. Provide thirty two each 7 line 1,000 lb minimum “live load” capacity (+/-1,446 lb gross load) manually operated counterweight rigging linesets for use with the stage lighting electrics. Coordinate installation of stage lighting distribution strip, distribution strip brackets, and stage lighting cable handling system with electrical contractor and stage lighting contractor. Each set shall be made up of (but not limited to) the following components:

   1 each 12” diameter headblock grooved for ¼” cable and ¾” handline with custom drop side plates and mounting
   1 each 8” diameter 5 line underhung loftblock
   3 each 8” diameter 1 line loftblock with idlers
   1 each 8” diameter 1 line loftblock
   1 each 6'-0” long counterweight arbor w/ 8” c/c shoes
   1 each Dual 1 ½” ID Sched 40 pipe ladder truss batten +/- 63’-0” long
   5 each ¼” diameter galvanized 7x19 wire rope lift line
   10 each ¼” copper oval sleeve
   5 each ¼” alloy trim chain assembly w/shackle
   10 each 1/4” cable thimble
   1 each ¾” diameter 3-stand polyester handline
   2 each ¾” rope thimble

2. 30'-0” long Index strip light (2 circuit) with white and blue 40W equivalent LED lamps spaced 2'-0” c/c, outrigger batten, and wall brackets.
3. 20,000 lb of 6" wide flame cut steel counterweight in 2", 1" and ½" thicknesses.

4. Labeling of pipe battens with stage center line, lift line locations, lineset number and 4" soft plastic safety end caps.

5. Enhanced safety signage describing set capacities, weights of counterweights, loading limitations, etc.

6. Owner training, as-built drawings, and Operation and Maintenance Manuals

3.03 RIGGING EQUIPMENT SPECIFICATIONS

A. Head Block:
   1. The sheave shall be Nylatron® or Polyamide (PA6-G) nylon, or Class 30 grey iron, with a 12" outer diameter. The rope and cable grooves shall have equal pitch diameters. The sheave shall be equipped with a 1" diameter machined steel shaft and two tapered roller bearings.
   2. Base angles shall be a minimum 2" x 1-½" x 1/4" angle with the short leg turned in.
   3. Side plates shall be a minimum of 10-gauge steel, and shall fully enclose the sheave. Side plates shall be bolted and welded to the base angles for extra strength. There shall be a minimum of six bolts with spacers between the side plates, four of which prevent cables from escaping the sheave grooves.
   4. The block and associated mounting hardware shall have a recommended working load of at least 2,500 lbs.
   5. Head blocks shall be grooved for 6 each ¼" lift lines and one ¾" hand line.

B. Loft Blocks:
   1. The sheave shall have an 8-½" outside diameter, and shall be Nylatron® or Polyamide (PA6-G) nylon or Class 30 grey iron. The sheave shall be equipped with a 17 mm or 5/8" diameter machined steel shaft and two sealed, precision ball bearings.
   2. Base angles shall be a minimum 1-½" x 1-½" x 3/16" angle punched with a universal hole pattern for easy installation.
   3. Side plates shall be a minimum of 12-gauge steel, and shall fully enclose the sheave. Side plates shall be bolted to the base angles. There shall be a minimum of seven ¼" bolts with spacers between the side plates, four of which prevent cables from escaping the sheave grooves.
   4. The block and associated mounting hardware shall have a recommended working load of at least 750 lbs.

C. Idler assemblies:
   1. Loft block idlers shall be provided to carry the weight of the cables and prevent rubbing against adjacent block side plates. They shall not be installed to carry line loads or to act as deflector or mule blocks.
   2. Idler assemblies shall consist of one or two 3-1/2 inch diameter, 3 line Nylatron® idler pulleys mounted on the side of the loft block in a steel housing.
   3. The sheaves shall have 1/4 inch cable grooves and shall ride on a 3/8-inch shaft.
   4. The housing shall consist of a 12-gauge side plate and two 1/4 inch bolts and pipe spacers to mount the housing and captivate the cables in the grooves.
   5. All nuts shall be of the nylon insert self-locking type.
D. **Counterweight Arbors:**

1. All arbors shall be 6'-0" long or in length required to achieve minimum 1,000 lb live load capacity (arbor capacity less empty truss batten weight).

2. The arbor top shall be a 1/4" steel plate formed into a channel with 3" sides, punched to receive 8 cables. A bolt and spacer shall tie the legs together and provide a tie-off point for the hand line. The front of the arbor top shall carry a 1-½" high white set number.

3. The arbor bottom shall be of similar construction, with counterweight rests to keep the weights from resting on the inner arbor rod nuts.

4. The top and bottom of the arbor shall be tied together by means of two 3/4" steel arbor rods and a 3/8" x 3" steel back plate. The arbor rods shall have three nuts at each end, the outermost being a lock nut.

5. Two guide assemblies shall be provided, each comprised of UHMW plates between steel backup plates or molded plastic shoe assemblies with stiffening ribs, secured to the arbor by means of two 3/8" hex head bolts and lock nuts.

6. Provide 12-gauge spreader plates (two minimum) on arbor rods so they can be spaced between counterweights on 2 foot centers. Provide a retaining collar on each rod, each with a ¼" set screw with red plastic knob for easy locking. The front retaining collar shall be welded to the top spreader plate.

7. Provide labels on the steel back plates showing the proper locations for the spreader plates.

E. **Counterweight:**

1. Counterweights shall be 6" wide x 13-3/4" long, with a U-shaped cutout for the arbor rods. Counterweights shall be flame or laser cut steel. Each piece shall have sooth, even, and fat edges/sides and shall be free from slag and sharp edges. The thickness of counterweights shall not vary more than 3/16" from nominal dimension.

2. Opposite corners shall be notched for ease of handling. Alternate weights when stacking to provide finger holds when loading arbors.

3. Provide all weight at 1" thick for ease of handling and balancing.

4. Provide 20,000 lb of counterweight in the following thicknesses:
   a. 50% at 2" thick
   b. 25% at 1" thick
   c. 25% at ½" thick

5. Balance all installed equipment and store remaining counterweight at the upper level loading bridge.

6. Provide a sample of each thickness for approval prior to manufacture.

7. At time of installation, paint face of “pipe weight” yellow in oil base enamel pint.

F. **Outrigger Brackets:**

1. Angle iron outrigger brackets shall be made of 3/16" x 1-3/4" x 1-3/4" angle and spaced not more than 10 feet apart. The brackets shall be attached to the wall battens of the arbor guide system so that the batten is located 10 feet above the gallery or stage floor. The brackets shall include clamps for attaching the batten.

2. The outrigger batten shall be made from 1-1/2" I.D., schedule 40 pipe extending from the downstage to upstage wall. Specifications are the same as other battens.
G. **Index Light:**

1. Each index light unit shall consist of a sheet steel housing containing lamp sockets mounted 12" apart and wired alternately on two circuits with leads and junction box at either end. Sockets shall be suitable for medium screw base lamps.

2. Units shall be constructed to light the locking rail and prevent light from spilling on stage. The exterior of the index strip light shall be painted a matte black, the interior shall be white. Units may be supplied in five and ten foot sections.

3. Index strip lights shall be UL Listed.

4. Provide LED 40 Watt equivalent, dimmable, medium screw base lamps in 3000-3200K white, and blue (one color for each circuit) plus 5% spares.

5. Furnish 2 each LED dimmable switch on the downstage wall to be installed and wired by the electrical contractor.

6. Assemblies utilizing LED “tape” lights shall be permitted provided they meet the same minimum lumen output, color, control requirements, and UL listing as described above.

H. **Hand Line**

1. Hand line shall employ black 3-strand composite construction combining filament and staple/spun polyester wrapped around fibrillated polyolefin.

2. The hand line shall contain a red safety/wear indicator that will become visible as the rope nears the end of its useful life.

3. The rope shall hold knots well, be easily spliced and be dense enough to allow it to be clamped in a rope lock without damage. Rope shall not be subject to rotting, mildew, or moisture damage nor shall its length be affected by changes in humidity.

4. Tape ends before cutting. Attach to arbor with two half hitches or bowline and tape end to standing line with two (2) each black plastic cable tie wraps. The use of tape of any kind is not permitted.

5. Provide a minimum 10'-0" long sample for approval prior to installation.

V. **Trim Chains:** Trim chains shall be 36" long, made of 1/4" alloy chain (JR Clancy “Alpha Chain”, or approved equal). Connection between the end link and the lifting cable shall be made with a thimble and copper Nicopress sleeve. Chains shall be wrapped one and one half turns around the batten and attached back to the thimble at the end of the lift line with a ¼" forged shackle. Adjustment is made by connecting the shackle into a link along the return side of the chain.

W. **Lift Cables:**

1. All lift cables shall be ¼" diameter, 7 x 19 construction, galvanized small diameter utility cable, sized as required, and with a breaking strength of no less than 7,000 lb.

2. Damaged or deformed cable shall not be used. All wire rope rigging shall be installed so as to prevent abrasion of the wire rope against any part of the building construction or other equipment.

X. **Cable Fittings:**

1. Swaged sleeve fittings shall be copper Nicopress™ or approved equal. Swaged fittings shall be installed per the fitting manufacturer’s instructions, using the appropriate tools, and checked with the appropriate “Go - No go” gauge. Clamp type “cable clips” shall not be permitted.

2. Eyes shall be formed over galvanized wire rope thimbles of correct size.

3. Exposed cable ends shall be sealed in black self-fusing silicon tape. Tape shall be “Rescue Tape” as Manufactured by Harbor Products, Inc., or approved equal.
Y. **Turnbuckles:** Turnbuckles shall be drop forged and galvanized, and conform to ASTM F-1145 Type 1, Grade 1. Turnbuckles shall be moused after adjustment to prevent loosening.

Z. **Ladder Truss Pipe Battens:**

1. Two pipe truss battens shall be in lengths as shown in the Bill of Materials. Truss battens shall be formed from two 1-1/2" nominal diameter, schedule 40 black iron pipes, spaced 12" apart by 1/4" by 2" flat bars located a maximum of 5 feet apart and welded between the pipes.

2. All joints shall be spliced with 18" long sleeves with 9" extending into each pipe and held by two 3/8" dia. x 2 1/4" long hex bolts and low profile jam lock nuts on each side of the joint. Welded connections are not permitted. Any gap between pipe sections shall not exceed 1/4".

3. Each end shall be covered with a bright yellow, closed end, soft vinyl safety cap at least 4 inches in length.

4. Pipe battens shall carry set numbers and centerline indicator marks as specified in Section 3.

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3.04 **EQUIPMENT LABELS AND MARKINGS**

A. **Pipe Battens:**

1. Provide minimum 1½" tall field applied white set number labels at the top and underside of each assembly at each end, just onstage of the plastic end caps. Hand numbering is not permitted.

2. Provide a 1" wide yellow enamel paint stripe at the stage centerline.

3. Provide a 1" wide strip at each side of the trim chains where located at the batten when the lift cables are perfectly plumb.

B. **Counterweight Arbors**

1. The front of the arbor TOP AND BOTTOM shall carry 1-½" field applied white set number labels. Hand numbering is not permitted.

2. Provide labels on the steel back plates showing the proper locations for the spreader plates (max 2'-0" spacing).

C. **Counterweight:** Paint the face of “pipe weight” safety yellow using oil based enamel.

D. **Loading Gallery**

1. At each installed lineset location, provide one (1) set number designation on the top rail of the offstage railing. Provide as stenciled, permanent, white enamel painted numbers.

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3.05 **SYSTEM SIGNAGE**

A. **System Sign:** Provide and install two (2) system informational signs. The sign shall be installed at the downstage area in sight of the hoist control and at the downstage end of the loading gallery. The sign shall describe the following:

a. Maximum set capacities
b. Size and weight of steel counterweights
c. Maximum load at single lines (i.e. loftblock locations)
d. Name, address, and phone number of installation contractor
e. Names, addresses, and phone numbers of major equipment manufacturers
f. Date of installation (month and year of substantial completion)
g. Statement - "Stage rigging system must be inspected yearly by qualified personnel"
B. Operational Warning Sign: Provide and install one (1) sign at the downstage area in sight of the hoists controls stating “STAGE RIGGING OPERATION BY AUTHORIZED AND TRAINED PERSONNEL ONLY” in minimum 1” high lettering.

C. Sign Materials, Colors, and Lettering size:
   1. Signs shall be of minimum 3/16” thick yellow non-glare plastic.
   2. Lettering shall be black in color in a non-serif font, such as Helvetica or Arial, in ALL CAPS, and in font sizes as specified herein.
   3. Signs shall be mechanically affixed to the walls within sight of system operators. Glued applications are not permitted.
   4. Signs shall be professionally produced. Hand or “stick on” lettering are not permitted.

4.00 EXECUTION

4.01 INSTALLATION

A. Storage: The Stage Rigging Contractor shall be responsible for storage of stage equipment, tools, and its equipment during the period of the installation.

B. Damage Protection: The Stage Rigging Contractor shall take all precautions necessary to prevent damage to the stage floor, walls, and all other existing finishes during installation.

C. Installation Personnel:
   1. All specified equipment shall be installed by fully trained superintendents and workers.
   2. The Stage Rigging Contractor shall provide for a field supervisor or project manager who is ETCP (Entertainment Technician Certification Program) certified as a Theater Rigger.

D. Installation practices:
   1. Installation practices shall be in accordance with Federal OSHA Safety and Health Standards and all local codes. Certified welders shall perform all field welding in full compliance with the latest edition of the Structural Welding Code (ANSI/AWS D1.1) and any other applicable local and state codes and regulations.
   2. Equipment shall be installed in a workmanlike manner, per plans and specifications. Equipment shall be aligned, adjusted, and trimmed for the most efficient operation, the greatest safety and for the best visual appearance.

E. Field Welding: All proposed field welding shall be described and submitted in detail in the form of sketches and/or drawings for review by the Architect/Engineer of Record/Engineer of Record.

F. Touch-Ups: Any welds or cuts shall be touched up to match disturbed finishes. All finishes which are disturbed during shipping and installation shall be touched up to match the original.

4.02 CLEANUP AND PROTECTION

A. Site Clean Up and Other Protection: The Stage Rigging Contractor shall be responsible for all clean up related to its work, including the removal of packing materials etc. and the protection of existing surfaces or equipment. Repairs to damage caused by the Stage Rigging Contractor to any item or surface are the sole responsibility of the Stage Rigging Contractor.

B. Protection of Installed Equipment: The equipment described in this section is considered to be finished equipment and is to be protected during and after installation from excessive dirt and damage caused by other work.
C. **Equipment Cleaning**: All equipment and the areas around the equipment shall be cleaned prior to final inspection and acceptance.

5.00 INSPECTION, TESTING, AND OWNER TRAINING

A. **Progress Inspections**: During the installation of equipment the Stage Rigging Contractor shall arrange for access as necessary for inspection of equipment by the Architect and/or the Consultant upon reasonable timely notice.

B. **Special Testing**: If specifications, the Architect, laws, ordinances, or any public authority require any work to be specially tested or approved, the Stage Rigging Contractor shall give the Architect timely notice of its readiness for inspection, and of dates of inspections to be made by other authorities.

C. **Completion Inspection and Testing**:

1. Upon completing the installation of all equipment specified under this section, the Stage Rigging Contractor shall notify the Owner and Consultant in writing, no less than 14 calendar days prior to the anticipated scheduling of a final inspection, that all equipment and systems are complete and fully functional. The Owner shall determine the schedule for a final inspection.

2. At the time of inspection, the Stage Rigging Contractor shall furnish sufficient workers to operate all equipment and to perform such adjustments and tests as may be required by the Architect and/or their Consultants.

3. In no event shall the installation be submitted for final approval or acceptance until any and all elements of the facility that may have a bearing on the system performance, including but not limited to doors, windows, HVAC, carpeting, furniture, wall coverings, interior design elements, lighting and lighting control systems have been completed and are operable. All elements that may affect the systems operation or performance shall be "on" and operating during adjustments. The contractor will be responsible for coordinating the requirements of this paragraph with other work on the project.

4. Should more than one trip be required to complete the systems testing, commissioning, or clearing punch list items, the contractor will be charged for any additional visits. These charges will include:
   a. A minimum of two people at a day rate of $800 per person, per day.
   b. Economy (domestic) or Business (foreign) class airfare as applicable.
   c. Rental car charges at cost plus 10%.
   d. Accommodations in a “business class” hotel that has room service, and exercise facilities.
   e. A per diem of $50 per day, per person.
   f. These charges will be paid to the consultant, in advance of the Consultant’s arrival on the job site.

5. Any equipment, which fails to meet with approval, shall be repaired or replaced with suitable equipment. If determined by the Architect, the inspection may be re-scheduled and held under the same conditions as specified herein.

6. Any additional costs incurred by the Architect their Consultants due to inspection re-scheduling because the work is incomplete or defective, shall be borne by the Stage Rigging Contractor.
7. At the time of these inspections, no other work shall be performed in the auditorium and stage areas.

8. All temporary bracing, scaffolding, etc. shall be removed to permit full operation of, and access to, all equipment.

9. Final approval will be withheld until all systems have been thoroughly tested and found to be in first class operating condition in every particular.

10. Upon completion and approval of the work, the Stage Rigging Contactor shall remove all tools, excess supplies, and trash from the work areas. Any equipment supplied under this section, but not installed, shall be inventoried, cleaned, organized, and turned over to the Owner. The Stage Rigging Contractor shall leave the stage and all work areas in a “broom clean” condition.

D. Owner Training, Record Drawings, and O&M Manuals

1. Upon completion of the work, the Stage Rigging Contractor shall submit detailed Operations and Maintenance Manuals including Final Record Drawings, equipment descriptions, any required certificates or warranties, and parts lists. Submit in quantities as required by the Architect.

2. Final Record Drawings shall at a minimum detail the following:
   a. Overall plan, section, and elevation of the stage rigging system with field verified overall dimensions of the stage area (plan and elevations), final batten travel distances and trims, and installed lineset locations (rigging plot).
   b. Any deviations in dimensions or field modifications of equipment or attachments detailed in previously submitted and approved shop drawings.
   c. Updated, revised, or finalized Bills of Materials.
   d. Any field verified building conditions or arrangements that have a direct impact on the stage rigging system installation.
   e. All anchors or fasteners used to attach equipment to the building structure, including type, diameters, and lengths.

3. Provide “hard” copies of Operations and Maintenance Manuals for the Owner, Architect/Engineer of Record and Consultants. The Stage Rigging Contractor shall also provide a “memory stick” or flash drive of all CAD drawings or other electronically produced submittal and “as-built” items. Submit in quantities and file formats as required by the Architect.

4. The Stage Rigging Contractor shall fully review all system and equipment manuals with operating and maintenance personnel designated by the Owner and/or Architect. The Contactor shall also demonstrate and fully explain the maintenance and safe use and operation of all systems and equipment included in this section. The Stage Rigging Contractor shall notify the Owner, Architect, and Theater Consultant of the time and place of this training, no later than two weeks in advance.

END OF SECTION 116133