

Legislative Documents

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Introduction

Appendix A is a compilation of various Legislative and Policy documents that are related to the use and management of consultants. The federal and state documents are referenced by links. The local agency documents are compiled in this Appendix.

Federal Links

- Federal Highways Administration
www.fhwa.dot.gov/programadmin/consultant.cfm
- Electronic Code of Federal Regulations
www.ecfr.gov
- U.S. Government Printing Office
www.gpo.gov/fdsys/search/home.action
- White House Office of Management and Budget
www.whitehouse.gov/omb

State Links

- Local Assistance Manuals
www.dot.ca.gov/hq/LocalPrograms/index.htm
- California Constitution
www.leginfo.ca.gov/const.html
- California Codes
www.leginfo.ca.gov/cgi-bin/calawquery?codesection=gov
leginfo.legislature.ca.gov/faces/codes.xhtml

Local Documents

County Policies

- A18 Procedures for Contracting for Professional or Personal Services
- A43 County Records Management and Archives Policy
- A69 Best Practices in Contract Management
- B17 Disabled Veteran and Local Business Enterprises
- B22 Capital Improvement Program
- H07 Selection of Architectural, Engineering and Real Estate Related Services

TLMA Policies

- Pur 001 Procurement and Payment Authorization for Goods & Services.
- Agy 009 Signatures on Contract Documents.

Transportation Memorandums

- Form 11 Writing Guide
- Director Signatures
- CO Avoidance Evaluation
- Press Releases

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Policy:

Department heads contemplating the procurement of professional or personal services by contract shall adhere to the following guidelines and procedures:

1. DEFINITIONS

- a. **Professional.** A professional with whom the County of Riverside may contract for professional services can generally be described as one whose vocation, calling, occupation or employment involves specialized knowledge, labor or skills, and such labor or skill is predominantly mental or intellectual rather than physical or manual. Professional services may only be rendered pursuant to a license, certification or registration authorized by the Business and Professions Code or the Chiropractic Act.
- b. **Personal Services.** A personal services contract is a contract whereby one of the contracting parties, as consideration or part consideration, is to perform a service for the county as provided in the contract and such services may not be provided by substitution or contracted out to a third party. Such service must be provided personally by the contracting individual.

2. QUALIFICATIONS

The contractor must be a person specially trained, experienced, expert and competent to perform the service and, if a professional, he must be duly licensed or certified as such.

3. LIMITATIONS

Professional or personal services contracts shall only be rendered under one or more of the following circumstances:

- a. The required services are outside the scope of the duties of county employees.
- b. The required services must consist of services, advice, education or training for the county or its employees. The services must be in financial, economic, accounting, engineering, legal, medical, therapeutic, administrative, architectural, security matters, and laundry and linen services. They may consist of maintenance or custodial services upon the making of appropriate findings in compliance with Government Code Section 31000.

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- c. There is no public agency available and presently able to provide the services.
- d. There are no existing county employees who are equally trained, experienced, and able to perform the service.
- e. Severe time constraints are imposed on completing a project within a time frame required by statutory and regulatory requirements that reasonably could not be anticipated so that completion could be accomplished by existing local government staff.

4. EXCEPTIONS TO POLICY

This policy shall not apply to contracts covered under other county, state or federal policies or regulations, nor to:

- a. Agreements for construction soils and materials testing laboratories of construction contract inspectors;
- b. Contracts for shelter home and youth home services;
- c. Workers compensation services, malpractice liability services, and liability insurance services, including legal, investigative and rehabilitation services.;
- d. Agreements for architectural and engineering services. Procedures for contracting for these services are established by Board of Supervisors Policy H-7.

5. PROCEDURES

All recommendations to the Board of Supervisors for contracts for professional or personal services shall comply with the following procedures, except as expressly provided elsewhere in this policy:

- a. Subject to the availability of funds, the department head shall prepare a request for proposal, which shall include specifications, conditions and any other requirements deemed necessary for the provision of such services;
- b. The department head shall distribute copies of the request for proposal to as many prospective bidders as will ensure a sufficient number of competitive bids. In no event shall the number of RFP's distributed be less than three unless the department head certifies that three bidders are not available; and

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- c. The department head shall review and rank in order ranging from "most responsive" to "least responsive" all proposals received from responsible offerors. Based on services being requested and the quality of the specification provided, each criteria listed below will be assigned a weighting factor or a percentage of the total weight. The proposals will be evaluated utilizing this predetermined weighing factor in establishing a ranking for each proposal.

Therefore, by using the evaluation criteria, cost is only one element of the overall evaluation and establishing price reasonableness through due diligence, award recommendations may be made to other than the initial low cost offerors. The following section guidelines shall be used in recommending to the Board of Supervisors the award of a contract to the most responsive bidder:

1. Actual capability to complete the project in conformance with the specifications, conditions and other requirements of the County of Riverside;
 2. Demonstrated ability to prepare or deliver professional, accurate and timely finished products or services irrespective of unusual or difficult circumstances;
 3. A reasonable contract price in relationship to the size, quality and time constraints of the proposed project with due consideration of competitive proposals;
 4. Satisfactory experience and performance on similar types of services;
- d. Requests for approval of contracts for the employment of persons to furnish maintenance and custodial services to a county facility shall also contain a recommendation and recitation of facts to enable the Board to make appropriate findings in compliance with Section 31000 of the Government Code.
- e. All proposed contracts must be reviewed and approved as to form by the County Counsel in compliance with Policy A-5. Appropriate standard contract forms should be obtained from County Counsel and included with Requests for Proposals. No such contract shall be submitted to the Clerk of the Board of Supervisors without the review and recommendation of the County Executive Officer.

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- f. Pursuant to Government Code Section 25502.5(a), the County Purchasing Agent may process and execute contracts for personal and professional services, which do not exceed, in aggregate, the appropriate statutory limit, currently \$100,000. This policy, however, shall limit such contracting authority of the Purchasing Agent to \$25,000 without prior Board approval if the contract was not competitively bid.
 - g. Request for contract approval, which must go to the Board will be clearly identified as Request for award of a contract to the most responsive offeror." All requests for award to other than the most responsive offeror, regardless of dollar value, must go to the Board and be fully justified.
- 6. CONTRACT ADMINISTRATION:**
- a. **Department Head** - The department head shall be responsible for the satisfactory performance of the contract requirements by the contractor. This includes contract monitoring, that process which determines if the contractor is performing the contracted services, and contractor evaluation. The evaluation process will determine the effectiveness of the contractor's service delivery process and, to the extent possible, whether the delivered service is accomplishing that which the County intended. The establishment of a quantifiable objective is an essential element of the contract development process to enable evaluation.
 - b. **Program Manager** - The program manager is responsible for contract administration; i.e., the day-to-day operation of the contract which includes, but is not limited to, insuring compliance with the technical requirements of the contract and processing of contract payments.
 - c. All amendments to contracts approved in compliance with this policy shall require the approval of the Board of Supervisors after review and recommendation by the County Counsel and County Executive Officer.
- 7. PROVISION FOR WAIVER:**
- Upon request of a department head, setting forth good cause, the Board of Supervisors may approve a contract for special services without compliance with procedures set forth in this policy.
- 8.** This policy supersedes revised Policy A-18 approved by the Board of Supervisors on April 13, 1993.

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Reference:

- Minute Order 6.9 of 11/03/1981
- Minute Order 3.36 of 04/13/1993
- Minute Order 3.5 of 04/08/1997
- Minute Order 3.7 of 02/01/2000 (supersedes Policy A-18 adopted 11/03/1981)
- Minute Order 3.7 of 11/07/2006

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Part A. General

Section A.1. Title

This policy shall be known as “The County Records Management and Archives Policy.”

Section A.2. Findings

The Board of Supervisors finds that in order to safeguard rights and ensure accountability it is in the best interest of the county and the citizens thereof, and essential for the administration of county government, to create, receive, maintain, and make available accurate and reliable county records; and that the most effective way to ensure this is to apply consistent standards of responsible recordkeeping across all county departments.

Section A.3. Authority

This policy is adopted in consideration of the provisions of Government Code §6250 et seq. pertaining to the availability and accessibility of public records; Government Code §§26201-26202.6 and §§26205-26205.8 pertaining to the Board of Supervisors’ responsibilities regarding the retention and destruction of County records; in accordance with Government Code §12168 et seq. pertaining to establishing standards; in accordance with Government Code §34090.7 pertaining to prescribing procedures for destruction of duplicate records; and pursuant to County of Riverside Resolution 2004-044 pertaining to the retention and destruction of county records.

Section A.4. Purpose and intent

It is the purpose and intent of this policy to establish a uniform program of responsible recordkeeping applicable to all county departments in accordance with applicable law. By doing so, it is the Board of Supervisors' goal to:

- a. **SAVE SPACE** by removing from offices records not required for the day-to-day operations; by removing from storage areas records that no longer have significant value; and by maintaining a consistent flow of records from office space to off-site storage to destruction.
- b. **SAVE MONEY** by better utilization of office space and imaging technology for active records; by restricting the use of leased space for storage of inactive records; by controlling the purchase of equipment and supplies to file inactive records; by providing cost effective storage facilities for inactive records; and by encouraging the use of automated micrographic systems for very active, long term and archival records.
- c. **SAVE TIME AND LABOR** in locating records by removing inactive records from office files; by centrally locating inactive records in an off-site facility; by maintaining a computerized records management system which provides for

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retrieval and accounting of off-site records and utilizing imaging technology and automation for active records retrieval.

- d. **PRESERVE AND PROTECT** documents of historical significance and/or archival value.

Section A.5. Applicability

This policy and the standards for responsible recordkeeping developed under its authority apply to all county departments.

Part B. Program responsibilities

Section B.1. Responsibilities – records management and archives program

The County Assessor-Clerk-Recorder’s office shall manage and operate the County Records Management Program and the County Archives (to be known collectively as RMAP) on behalf of the County Board of Supervisors. RMAP shall develop and maintain a multi-year business plan to make available archival, records and reformatting services to all county departments. This plan shall include establishing fees adequate to recover the full costs of such services.

RMAP shall periodically survey departmental records management practices, and where appropriate recommend improvements in those practices. This shall include assessing use of space, equipment, systems and supplies necessary and appropriate to create, receive, maintain, store, archive and make available records.

Section B.2. Responsibilities – County Records Center

To make available cost effective storage, access, and disposal for county records of temporary value, RMAP shall manage and operate the official County Records Center following generally accepted records management standards.

Preferably, county records with limited retention periods that are not immediately required to support day-to-day business should, as appropriate, be stored at the County Records Center for the remainder of their retention period.

Any alternative records storage facilities used by departments to store county records, such as leased facilities or third party vendors, shall meet appropriate guidelines for secure records storage developed by RMAP based on generally accepted best practices. County records shall only be stored in facilities with fire warning and suppression systems, and with adequate security to prevent unauthorized access to, or interference with, the records.

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Section B.3. Responsibilities – County Archives

The official County Archives shall identify, collect, preserve, and make available the county’s documentary heritage of records of permanent value. The County Archives shall follow generally accepted standards of archival practice.

In order to ensure preservation of records most cost effectively, departments which choose to transfer county records of permanent value to the County Archives should do so as soon as practicable. County departments should work with the County Archives as applicable to develop procedures that balance the need to preserve records of permanent value with continuing department business need for access to them.

Section B.4. Responsibilities – custody, control of, and access to records

The rights of custody and control of records that departments choose to store in the County Records Center remain with the departments, which are responsible for granting access to county employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any and all legal restrictions regarding access to records shall remain in effect while stored at the County Records Center on behalf of departments.

When departments choose to have records accessioned into the County Archives, rights of custody and control of those records transfer to the County Archives. This shall be known as archival custody. The County Archives shall be responsible for providing access to records in archival custody to county employees or members of the public in accordance with all applicable statutes, regulations, policies, and procedures. Any and all legal restrictions regarding access shall remain in effect for records under archival custody.

Any county officer or employee having custody or control of any county records shall, at the expiration of their term of office, appointment, or employment, deliver custody and control of all records kept or received by them to their successors or supervisors, or to RMAP if appropriate and as directed.

All records in the possession of any county department shall, upon termination of activities of such department, be transferred to any successor department or to RMAP as appropriate, provided that such transfer of custody and control is consistent with the formal provisions of such termination.

Section B.5. Responsibilities – departmental cooperation

County departments shall, as appropriate, cooperate with RMAP to meet the intent of this policy, follow the guidelines for responsible recordkeeping established under this policy, and develop department policies and procedures in accordance with those guidelines.

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Each county department shall designate an individual, or individuals, to assist with and be directly responsible for implementing this policy. RMAP shall offer regular training to assist and support those departmental personnel.

Section B.6. Responsibilities – requests for space allocation

Departments shall include a description of their records management plan with any request for additional space and relevant capital improvements, and in that description shall include any work with RMAP to most efficiently and cost effectively address the space demands of records in their current location.

Section B.7. Responsibilities – records & micrographic equipment, software & systems

Regarding purchases, upgrading, or rental of records and/or micrographic equipment, software and systems the purchasing agent shall consult with RMAP to ensure efficient and cost-effective use of existing resources and to meet established standards for responsible recordkeeping.

Section B.8. Responsibilities – annual report

Within 90 days following the end of each fiscal year, RMAP shall make an annual report to the Board of Supervisors summarizing the activities of the program, and conformance to generally accepted responsible recordkeeping standards. The annual report shall include a listing of all extensions to retention periods requested by and granted to departments through the course of the year, and brief summaries of the justifications given.

The annual report shall include a summary of the financial activities of the program in the previous year compared with budgeted appropriations and estimated revenues. The annual report shall also include the program's long-range financial plan over a period of not less than five years into the future. The annual report shall also include an executive summary of the program's business plan, including, but not limited to, an assessment of service needs and market opportunities, strategic planning, and capital planning.

Part C. Standards

Section C.1. Standards – establishing

With the approval of the County Executive Officer and County Counsel, RMAP shall establish standards for responsible recordkeeping in conformity with applicable statutes, regulations and recognized best practices, and shall upon request provide training, advice, and assistance to all county departments in conforming with those standards.

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As necessary and appropriate, the director of RMAP shall organize one or more committees to assist in establishing standards for responsible recordkeeping. He or she, or his or her representative, shall chair any such committee, which shall include representatives of concerned departments.

Section C.2. Standards – establishing – records retention and destruction

RMAP shall develop standards, forms and procedures to assist departments in preparing departmental records retention schedules that adequately provide for the indefinite retention of records of permanent value, and for the prompt and orderly disposition of records of temporary value.

Section C.3. Standards – copy of record

Where any county record, as defined in this policy, is created or received and maintained in more than one copy, the department concerned shall clearly designate a copy of record, and shall assign responsibility for maintaining that copy of record in accordance with the applicable records retention schedule.

Section C.4. Standards – eye-readable formats

Records with a mandatory retention of five years or longer shall be maintained in an eye-readable format in addition to any electronic format used for access or business process support. Records vital to business continuity, whatever their mandatory retention, shall be maintained in eye-readable format in addition to any electronic format used for access or business process support.

Section C.5. Standards – reformatting

To ensure cost-effective production of copies, whether analog or digital, of county records that meet required standards for surrogates, RMAP shall manage and operate an official county reformatting program following generally accepted industry standards. RMAP shall maintain a reference library of such applicable national and international reformatting standards for the use of all county departments and other clients.

Reformatting of county records by any department other than RMAP, or by any outside contractor, shall meet or exceed the same standards applied by the county reformatting program. All departments performing their own reformatting or contracting for reformatting shall work with RMAP to establish appropriate procedures to confirm adherence to those standards.

Section C.6. Standards – microfilm

All film used in the microphotography process shall meet or exceed minimum standards of quality approved by the United States Bureau of Standards and the American National Standards Institute, or other generally recognized standard setting

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organizations as applicable and relevant. A true copy of the microfilm shall be kept in a safe and separate place for security purposes.

Section C.7. Standards – electronic format

In accordance with Government Code §12168 et seq., the Board of Supervisors recognizes the need to adopt uniform countywide standards for the purpose of storing and recording both permanent and temporary records in electronic media. In order to ensure that uniform countywide standards remain current and relevant, RMAP, in consultation with the County Executive Officer and County Counsel, shall adopt appropriate standards established by the American National Standards Institute, the Association for Information and Image Management, or other generally recognized standard setting organizations as applicable and relevant. These standards shall include a requirement that a trusted system be utilized.

In order to implement standards as expeditiously as possible, and until such time as specific countywide standards are adopted, RMAP shall make readily available to departments copies of standards and/or guidelines recommended by the American National Standards Institute, the Association for Information and Image Management, or other generally recognized standard setting organizations, as applicable and relevant, for recording permanent and/or nonpermanent records. County officers shall ensure microfilming, electronic data imaging, and photographic reproduction meet or exceed these minimum standards.

Section C.8. Standards – electronic filing

When not inconsistent with other provisions of law, RMAP may, in consultation with the County Executive Officer, County Counsel, and other interested parties, propose to the Board of Supervisors adoption of policies and procedures to authorize electronic filing in lieu of filing or recording documents presented in paper format, including filing by facsimile, of any document required to be filed with the county under any act administered by the county.

The rules and regulations may set forth standards for the acceptance of a signature in a form other than the proper handwriting of the person filing a document that requires his or her signature. A signature on a document electronically filed, or filed by facsimile, in accordance with those rules and regulations is prima facie evidence for all purposes that the document actually was signed by the person whose signature appears on the electronically filed document or facsimile.

The filing or recording shall constitute a unique computerized informational record. The record need not be retained in the form in which it is received, if the technology used to retain the record results in a permanent record that does not permit additions, deletions,

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or changes to the original document, and from which an accurate image may be created during the period for which the record is required to be retained. The filing officer may employ a system of microphotography, optical disk, or reproduction by other techniques that do not permit additions, deletions, or changes to the original document. A true copy of the microfilm, optical disk, or other storage medium shall be kept in a safe and separate place for security purposes.

Part D. Records retention

Section D.1. Records retention schedules – general

In order to most efficiently and effectively implement the various provisions of the Government Code pertaining to Board of Supervisors approval of records retention and destruction, the county shall use Board approved general and departmental records retention schedules that specify various record series, their retention periods, and any particular restrictions or specifications regarding their retention, disposition and destruction.

Section D.2. Records retention schedules – responsibilities

RMAP shall coordinate preparation of records retention schedules and records destruction activities generally, and shall act as liaison between departments, risk management, the County Auditor-Controller, County Counsel and the County Executive Office in matters dealing with records retention.

County departments shall develop and maintain their own records retention schedules and records destruction activities in accordance with the established guidelines pursuant to Section D.9, below. This includes coordinating statutorily required Board approval of each departmental schedule, and periodic updates as necessary to remain current.

Section D.3. Records retention schedules – responsibilities – master file

RMAP shall maintain a master file of all records retention schedules approved by the Board of Supervisors with a copy of the Board minute order of approval attached to each. RMAP shall make readily available to county officials, employees, and the public reference copies of approved records retention schedules.

Section D.4. Records retention schedules – standard – copy of record

Records retention schedules shall apply to the copy of record, unless explicitly stated otherwise.

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Section D.5. Records retention schedules – standard – retention periods

The retention periods on Board approved records retention schedules are mandatory, and records shall be disposed of in accordance with those approved retention periods. Records not required for active or likely litigation, and which have been subjected to any and all applicable audits, must be disposed of at the end of their scheduled retention period, unless a department head certifies a specified business need to extend their retention period. RMAP shall keep a register of such certified extensions, and report a summary of extensions in their annual report.

In some departments, records of a series listed on the county's general records retention schedule may need to be retained longer than the general schedule period, due to specific audit or contract requirements applicable to that department's programs. Departments should treat such cases separately when developing and revising their specific records retention schedules.

As an interim measure until all departments have specific records retention schedules, department heads or their designees shall certify a business need to extend the retention period required by the general schedule for such records, citing the specific audit or contract provisions concerned. Such records shall be disposed of on authority of the general schedule when this certified extension has passed.

No duplicates or other copies of any record shall be retained longer than the mandatory retention period for the copy of record. When records are disposed of by schedule, departments shall ensure they retain no duplicates or other copies.

Section D.6. Records retention schedules – approval

Pursuant to Government Code §26205.1, to be in effect records retention schedules require approval by the Board of Supervisors. Records retention schedules submitted by RMAP to the County Executive Office for Board approval shall require prior sign off by the County Archives manager, Risk Management, County Auditor-Controller, County Counsel, and the director of RMAP.

RMAP sign-off of any proposed records retention schedule shall include certification the schedule was reviewed by a professional archivist and/or historian to ensure the need to maintain the county's documentary heritage is adequately considered in establishing the retention periods.

Section D.7. Records retention schedules – list of approved schedules

All records retention schedules approved by the Board of Supervisors shall be listed below in this section by title, schedule number, approval date, and agenda number.

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The list in this section shall constitute the only valid list of authorized records retention schedules to be used by county departments and RMAP.

Subsequent to the adoption of this policy, a motion for the Board of Supervisors to approve a records retention schedule shall be taken as a motion to amend this policy to add the title and approval date of the schedule to this section.

Listing a records retention schedule in this section shall be taken as inclusion by reference of the entire approved retention schedule in the text of this policy. When revising a records retention schedule, a motion for the Board of Supervisors to approve a revised retention schedule shall be taken as a motion to amend this section of this policy to add the title of the revised schedule and approval date to this section, and to delete the title and approval date of the previous version of that schedule from this section.

Board approved records retention schedules are listed in **Attachment A**.

Section D.8. Records retention schedules – general schedule

A general records retention schedule for the county shall be developed and maintained under the supervision of the director of RMAP, or designee, in consultation with other county departments as necessary and appropriate.

The completed or updated proposed general records retention schedule shall be accompanied by a signature page signed by the county archives manager, Risk Management, County Auditor-Controller, County Counsel, and the director of RMAP, or their respective designees. The general records retention schedule and its accompanying signature page shall be submitted under cover of a fully executed Form 11 by RMAP to the County Executive Office pursuant to Board Policy A-5 for review and submittal to the Board of Supervisors for approval.

A Board approved general records retention schedule shall only provide authority for the disposition of 'housekeeping' records commonly found in most county departments. The general records retention schedule shall not cover the specific programmatic records produced by departments. Retention requirements of programmatic records shall be defined and documented by departments in their own specific records retention schedules.

Pursuant to Government Code §26205.1, no general records retention schedule shall be effective unless and until approved by the Board of Supervisors.

Section D.9. Records retention schedules – departmental schedules

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Specific records retention schedules shall be developed and maintained by each county department. RMAP shall provide forms and procedures for inventorying records and developing retention schedules, and shall provide guidance and assistance to department personnel in their use upon request.

All proposed or updated department records retention schedules and their accompanying signature pages shall be submitted on behalf of departments by RMAP under cover of a fully executed Form 11 to the County Executive Office pursuant to Board Policy A-5 for review and submittal to the Board of Supervisors for approval. All records retention schedules submitted to the Board of Supervisors shall be accompanied by a signature page signed by the head of the department, Risk Management, County Auditor-Controller, County Counsel, the county archives manager, and the director of RMAP, or their respective designees.

Pursuant to Government Code §26205.1, no departmental records retention schedule shall be effective unless or until approved by the Board of Supervisors.

Section D.10. Records retention – records destruction

Pursuant to Government Code §§26201-26202.6 and §§26205-26205.8, County records, as defined in this policy, shall only be destroyed: (1) in accordance with an approved records retention schedule listed in this policy; or (2) after reformatting to required standards; or (3) with specific permission of the Board of Supervisors.

Reformatting means to copy the content, structure, and context of records to another medium in such a way the copy may act as a satisfactory surrogate for the original. In order to conserve space and resources, original records reformatted to required standards may be destroyed before their approved retention period has expired, since from the time the originals are destroyed the reformatted copies are deemed to be original records, and subject to the same requirements and restrictions of the retention schedules applicable to the originals.

Records shall be destroyed in accordance with standards and procedures developed by RMAP. These procedures shall include a form approving the destruction signed by the head of the department, or designee, and the director of RMAP, or designee. All approvals of the destruction of records shall include: (1) a citation to the specific records retention schedule and the specific item on that schedule providing authority for the destruction; or, (2) certification that the records were reformatted to required standards, and the reformatted copies are intended to serve as the copy of record; or (3) an attached copy of the board minute order authorizing destruction.

Records required in relation to active or likely litigation shall be maintained, and may not be destroyed by authority of an approved schedule, until all litigation matters are finally

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resolved and both risk management and County Counsel approve disposition. Records required for audit purposes shall not be destroyed by authority of an approved schedule until all applicable audits are complete and audit exceptions resolved. All approvals of the destruction of records shall include certification by the head of the department, or their designee, that the records are not required in relation to active or likely litigation or for audit purposes.

A representative of RMAP or the department shall supervise the destruction of records, and shall attest in writing that destruction is carried out according to required procedures.

Section D.11. Records retention – non-records destruction

Pursuant to Government Code §34090.7 and other provisions of the state statutes, non-records, as defined in this policy, may be destroyed at any time. Departments may dispose of non-records when they are no longer needed to support business processes.

Glossary

As used in this policy, the following terms shall have the following meanings:

“Accession” means the process whereby the County Archives accepts transfer from a county department of records of permanent value which the department selects for preservation and which are brought within the County Archives’ systems of physical and intellectual control.

“Archival custody” means the state of records once accessioned by the County Archives, and in which the County Archives accepts responsibility for appropriately maintaining those records, which includes planning and budgeting for their preservation, and for providing access in accordance with all applicable statutes, regulations, policies and procedures.

“Copy of record” means the copy of a record designated as the official copy.

“County Archives” means a facility for the collection, preservation, and use of records of permanent value transferred by departments to the County Archives, and which is managed and operated to generally accepted standards of archival practice. Departments transfer legal custody of records that they choose to transfer to the County Archives, although legal, regulatory and procedural restrictions regarding access to those records remain in effect.

“County Records Center” means a facility for the cost-effective storage and disposition of records of temporary value managed and operated to generally accepted records

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management standards. Departments retain legal custody of the records they choose to house in the County Records Center.

“Department” means every county office, department, group of departments, division, bureau, board, and commission that is not a separate public entity of the county.

“Duplicate” means any accurate and unabridged copy of a record or series of records.

“Eye-readable” means that records are in a format that can be directly interpreted by the human eye with or without magnification, and with no need for mediating interpretation such as software applications. Examples of eye-readable formats are paper, microfilm, and microfiche.

“Non-records” means duplicates or other copies of records made solely for convenience or reference; working papers such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents; appointment logs; stocks of blank forms or publications; or library or museum material intended solely for reference or exhibit.

“Permanent value” as applied to records means there is no termination or end point to the value of maintaining the records, and that they or their appropriate surrogate are intended to be available indefinitely.

“Records” means all papers, maps, plans, photographic films and prints, microfilm or other microformats, electronic data, audio and visual materials, and other documents, regardless of physical form or characteristics, which are produced, received, owned, used, or retained by a department in the regular course of transacting official county business.

“Reformatting” means to copy the content, structure, and context of records to another medium, whether analog or digital, in such a way that the copy may act as a satisfactory surrogate for the original. This requires meeting accepted national standards for particular processes and media.

“Responsible recordkeeping” is a generally accepted term that means creating, receiving, maintaining, and making available records in an efficient and cost-effective manner which conforms to all applicable statutes and regulations, supports business processes, and meets the responsibilities placed on public agencies to safeguard rights and ensure accountability.

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“Retention period” means the length of time a record must be retained to fulfill its administrative, fiscal and/or legal function.

“Retention schedule” means a list of all categories of records produced or maintained by a department or agency, and the required and approved actions to be taken with regard to those records, including establishing their retention period.

“Temporary value” as applied to records means there is a termination or end point to the value of maintaining the records, and that they are intended to be disposed of at that point.

"Trusted system" means a combination of techniques, policies, and procedures within which there is no plausible scenario in which a document retrieved from or reproduced by that system could differ substantially from the document as originally stored.

Reference:

Minute Order 3.12 of 04/16/1991
Minute Order 3.4 of 01/28/2003
Minute Order 3.36 of 01/13/2004
Minute Order 3.8 of 06/8/2004
Minute Order 3.5 of 1/23/2007
Minute Order 3.8 of 2/5/2008
Minute Order 3.12 of 12/16/2008
Minute Order 3.6 of 7/21/2009
Minute Order 3.11 of 12/01/2009
Minute Order 3.19 of 4/20/2010
Minute Order 3.4 of 12/17/2010
Minute Order 3.2 of 11/08/2011
Minute Order 3.10 of 12/12/2011
Minute Order 3.10 of 1/10/2012
Minute Order 3.20 of 08/28/2012
Minute Order 3.2 of 11/27/2012
Minute Order 3-18 of 02/26/2013
Minute Order 3-12 of 07/14/2013
Minute Order 3-18 of 08/20/2013
Minute Order 3-15 of 11/05/2013
Minute Order 3-9 of 12/10/2013
Minute Order 3-19 of 09/09/2014

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Attachment A

Section D.7. Records retention schedules – list of approved schedules

Board approved records retention schedules are listed below as follows:

<i>Schedule Title</i>	<i>Schedule No.</i>	<i>Date</i>	<i>Agenda No.</i>
General Records Retention Schedule	GRRS_2013_Rev08	12/10/2013	3-9
Agricultural Commissioner's Office	DRRS_AGC_2013_Rev01	12/10/2013	3-9
Animal Services	DRRS_CHA-AS_2011_Rev01	7/12/2011	3.10
ACR – Assessor	DRRS_ACR-A_2011_Rev02	7/12/2011	3.10
ACR – County Clerk	DRRS_ACR-C_2011_Rev02	7/12/2011	3.10
ACR – Recorder	DRRS_ACR-R_2013_Rev03	11/05/2013	3-15
ACR – Records Management and Archives Program	DRRS_ACR_RMAP_2013_Rev01	2/26/2013	3-18
Child Support Services	DRRS_CSS_2010_Rev01	12/7/2010	3.4
County Counsel	DRRS_COCO_2008_Rev01	12/16/2008	3.12
County Executive Office	DRRS_CEO_2013_Rev03	7/16/2013	3-12
County Human Resources	DRRS_CHR_2011_Rev02	1/10/2012	3.10
Department of Public Social Services	DRRS_DPSS_2011_Rev01	1/10/2012	3.10
District Attorney's Office	DRRS_DAO_2013_Rev01	12/10/2013	3-9
EDA – Accounting & Finance	DRRS_EDA-ACF_2014_Rev01	9/9/2014	3-19
EDA – Real Estate	DRRS_EDA-RE_2011_Rev01	11/08/2011	3.2
EDA/RDA – Project Management Office (Projects)	DRRS_EDA/RDA-PMO_2011_Rev01	11/08/2011	3.2
EDA – Workforce Development Department	DRRS_WDD_2013_Rev01	12/10/2013	3-9
Environmental Health – District Environmental Services	DRRS_EH-DES_2014_Rev03	9/9/2014	3-19
Environmental Health – Environmental Protection and Oversight Division	DRRS_CHA-EPO_2010_Rev02	12/7/2010	3.4
Flood Control	950-01	12/18/1990	7.7
Mental Health	DRRS_MH_2013_Rev01	8/20/2013	3-18
Office on Aging	DRRS_OoA_2012_Rev01	11/27/2012	3.2
Probation	DRRS_PROB_2013_Rev01	11/05/2013	3-15
Public Defender	DRRS_PD_2013_Rev01	11/05/2013	3-15
Public Health – Children's Medical Services	DRRS_PH-CMS_2011_Rev02	11/08/2011	3.2
Public Health – Clinic Management	DRRS_CHA-CM_2011_Rev02	11/08/2011	3.2
Public Health – Community Outreach	DRRS_PH-CO_2013_Rev03	7/16/2013	3-12

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<i>Schedule Title</i>	<i>Schedule No.</i>	<i>Date</i>	<i>Agenda No.</i>
Public Health – Disease Control / Administration	DRRS_PH-DC-A_2011_Rev02	11/08/2011	3.2
Public Health – Disease Control / Communicable Diseases		1/23/2007	3.5
Public Health – Disease Control / Healthy Children’s Connection		1/23/2007	3.5
Public Health – Disease Control / Sexually Transmitted Diseases	DRRS_PH-STD_2013_Rev02	11/05/2013	3-15
Public Health – Disease Control / Tuberculosis	DRRS_PH-DC-TB_2011_Rev02	11/08/2011	3.2
Public Health –Epidemiology & Program Evaluation		1/23/2007	3.5
Public Health – Fiscal	DRRS_PH-FCL_2013_Rev01	12/10/2013	3-9
Public Health –HIV / AIDS	DRRS_PH-HIV_2013_Rev03	11/05/2013	3-15
Public Health –Immunization	DRRS_PH-IM_2011_Rev02	7/12/2011	3.10
Public Health – Laboratory	DRRS_PH-LAB_2012_Rev01	11/27/2012	3.2
Public Health – Maternal, Child and Adolescent Health (MCAH)	DRRS_PH_MCAH_2012_Rev02	8/28/2012	3.20
Public Health – Nursing	DRRS_CHA_PHN_2010_Rev01	12/7/2010	3.4
Public Health - Nutrition Services / Women, Infants, Children (WIC)	DRRS_PH-NS_2010_Rev02	12/7/2010	3.4
Public Health – Special Services Division / Office of Industrial Hygiene	DRRS_PH-IH_2011_Rev02	1/10/2012	3.10
Riverside County Information Technology (RCIT)	DRRS_RCIT_2011_Rev01	7/12/2011	3.10
Riverside County Regional Medical Center (RCRMC)	DRRS_RCRMC_2014_Rev02	9/9/2014	3-19
Sheriff-Coroner-Public Administrator	DRRS_SHF_2013_Rev01	2/26/2013	3-18
TLMA – Building and Safety	DRRS_BNS_2014_Rev01	9/9/2014	3-19
TLMA – Code Enforcement	DRRS_TLMA_CODE_2012_Rev01	2/26/2013	3-18
TLMA – Planning	DRRS_PLAN_2014_Rev01	9/9/2014	3-19
TLMA – Transportation	DRRS_TRANS_2013_Rev02	7/16/2013	3-12
Treasurer-Tax Collector	DRRS_TTC_2012_Rev01	8/28/2012	3.20
Veterans’ Services	DRRS_VET_2012_Rev02	8/28/2012	3.20

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BOARD OF SUPERVISORS POLICY**

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BEST PRACTICES IN CONTRACT MANAGEMENT	A-69	1 of 7

Policy:

Best Practices in Contract Management is a guiding principle for the management of all countywide contracts to achieve five essential goals:

- Achieve the highest quality project
- Deliver the project within budget limitations and schedule
- Control scope changes and accountability
- Maintain communication and concurrence with all stakeholders
- Create a transparent and accountable process for project delivery

This policy applies to all county departments, agencies, and districts herein called “Authorized Entities,” who may construct public works projects and procure professional services contracts pursuant to Board Policy H-7 as it relates to their specialized County mission.

It is the intent for this policy to be complementary to the provisions of Board Policy H-7 “Selection of Architectural, Engineering and Real Estate Related Services,” B-11 “Award of Public Works Contracts Pertaining to County Facilities and Certain Other Improvements,” and Board Policy B-22 “Capital Improvement Program.”

I. Best Practices of Contract Management: Professional Services Contracts for Public Works Projects

The following section of Best Practices of Contract Management is applicable to the professional services contracts (architectural, engineering, construction management, real estate related) for county public works projects managed by the Transportation and Land Management Agency, Regional Parks and Open Space & District, Flood Control and Water Conservation District, Economic Development Agency/Facilities Management, and Waste Management.

The Consultant Selection and Professional Services contracts should comply with United States Code (U.S.C.) Title 40-Chapter 11, Section 1101 -1104: Selection of Architects and Engineers (Brooks Act) or California Government Code Sections 25502.5(a) and 4525-4529.5 (Mini-Brooks Act) depending on the type of funds used in the contract. Both Brooks Act (Federal) and Mini-Brooks Act (State) require that Professional Services are engaged on the basis of demonstrated competence and qualifications for the types of services to be performed and at fair and reasonable fee with the best qualified firm.

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- A. Cost. Budget limitations are set and funding is approved early in the planning process, prior to the preliminary scoping process. Developing the scope of work is critical prior to the solicitation of proposals.
 - 1. The project budget and the project scope should be compatible with each other.
 - 2. Budget or scope changes later in the project increases the risk of exceeding available funding. Scope changes should be in writing and accompanied by budget and schedule approvals.

- B. Schedule. Establishment of a project schedule showing project tasks and deliverables aids in making the work tasks visible to the project team. The project schedule should also identify regulatory requirements, Board approval dates, utility coordination, benchmarks for deliverables, and other key project milestones. By making the work tasks visible, the project team can deploy additional staff resources and plan ahead to complete complex tasks.

- C. Quality Assurance. In order to deliver the highest quality project and ensure the project is delivered on time and within budget, the project manager should use as many tools necessary to achieve the highest quality project.
 - 1. Strong project management is critical to the success of efficient project delivery. Project managers will meet or exceed minimum education, training and field experience requirements.
 - 2. An evaluation team should consist of a minimum of three qualified County or other agency employees knowledgeable in the field or work solicited by the Request for Qualifications/Proposals (RFQ/RFP) that will evaluate the firms based on a predetermined set of detailed criteria and pre-defined weighting factors.

At minimum, one department stakeholder functioning as an evaluator in a procurement process should be from the requesting county department that will use the service or project. Evaluation team members should be free from any conflict of interest or appearance of conflict of interest and agree to and sign the “Evaluator’s Code of Conduct and Ethics” statement (Form 116-321) which is found in the Purchasing/Fleet Countywide Procurement Manual.

The Evaluation Team should review the written information submitted to determine if the supplier meets the minimum qualifications to successfully propose on the project and, if awarded, successfully

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complete the project within the proposed cost and scope of work. Selection should be qualifications-based pursuant to California Government Code Sections 25502.5(a) and 4525-4529.5 (Mini-Brooks Act) or United States Code (U.S.C.) Title 40-Chapter 11, Section 1101 -1104: Selection of Architects and Engineers (Brooks Act) depending on the type of funds used in the contract. Cost should not be the determining factor in the selection criteria. Once the ranking list has been established, the fee proposal/cost can be negotiated with the most qualified consultant. Should negotiations fail or result in a price the department does not consider to be fair and reasonable, negotiations should be formally terminated and the department should then undertake negotiations with the second most qualified consultant. Due diligence of the Evaluation Team should be documented prior to the Evaluation Team's recommendation to the Board of Supervisors for the award of the professional services contract.

3. Constructability review. An independent, qualified professional outside the project team with technical knowledge and experience with the type of construction, should review the plans, specifications, and estimates for constructability prior to bidding and provide a cost estimate for the construction of the project. This estimate should be reconciled with the County's architect or engineer's estimate, if applicable, so that the county has an expectation of cost prior to receiving bids.

A line item cost for a constructability review of project scope and specifications should be included in the project budget.

4. Involvement and availability of key personnel to resolve issues
5. Each department should develop an internal standard procedures manual or project delivery manual to guide the project delivery as well as develop internal protocols.
6. Deliverable-based payments consistent with the schedule ensure that the budget is not expended before the project scope is completed. Regular reporting of deliverable-based payment and project schedule should be provided to stakeholders, or as required by regulatory agencies.

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7. Regular rotation of consultants on any pre-qualified list of on-call consultants.
- D. Customer Service. Responsiveness to the county department’s needs is important to carry out the department’s mission while keeping within budget limitations.
1. Obtaining buy-in of stakeholders for any project changes prior to authorizing those project changes.
 2. Regular reporting budget status and project schedule to stakeholders
 3. Involvement and availability of key personnel to resolve issues
- E. Communication. Not all county departments may be familiar with the capital project development process, its tasks, costs, timelines, or regulatory requirements. Therefore, good communication between project management staff, the county department and funding entities is a vital part of customer service.
1. Good communication fosters better customer service
 2. The flow and quality of project information between stakeholders facilitates better and more-timely decision-making for critical changes that may affect project cost or schedule.
 3. A consistent method of documenting correspondence allows for the monitoring of project decisions that may affect the scope, cost, schedule or quality of the project delivery.
- F. Sustainable Building Design. Board Policy H-29 “Sustainable Building Policy” (Item 3.1 February 10, 2009) was adopted to establish the use of sustainable building practices in the design of county projects.

Sustainable building design (sometimes referred to as “green building design”) will help to reduce pollution, conserve natural resources, enhance asset value, and optimize building performance. At the same time, sustainable construction reduces operating costs associated with building mechanical systems, municipal water consumption, storm water management, solid waste disposal, and construction materials.

- G. Project Performance. Following the end of the professional services contract term, a post-project review should take place to summarize and document the final contract cost and additional services associated with the contract against the initial approved scope of work.

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1. Lessons learned should be documented in the project delivery manual to improve project controls.

Evaluation of changed conditions, errors and omissions, unforeseen conditions, or owner requests provides knowledge that can improve project delivery in similar, future projects.
2. Evaluation of the project should include the ability to provide deliverables, reaching project benchmarks, and communication with stakeholders.
3. Each department should develop their internal performance review checklist as it pertains to the specific project type or mission of their public works projects.
4. On or before May 1, an annual performance report of public works professional services contracts for which construction was completed in the prior fiscal year compiled by all county departments with a brief overview of the contract performance should be submitted to the Executive Office.

II. Best Practices of Contract Management: Construction Contracts for Public Works Projects

The following section of Best Practices of Contract Management is applicable to the construction contracts for county public works projects constructed by the Transportation and Land Management Agency, Regional Parks and Open Space & District, Flood Control and Water Conservation District, Economic Development Agency/Facilities Management, and Waste Management:

- A. Cost. Budget limitations are set and funding is approved early in the planning process, prior to the construction contract award.
- B. Schedule. The General Contractor should be required to submit a construction schedule for approval prior to issuance of Notice-to-Proceed and should regularly produce an updated schedule showing the order and dates in which the Contractor proposes to carry on the various parts of work; including estimated completion dates.
- C. Quality Assurance. In order to deliver the highest quality project and ensure the project is delivered on time and within budget, the project manager should use as

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many tools necessary to achieve the highest quality project.

1. Strong project management is critical to the success of efficient project delivery. Project managers will meet or exceed minimum education, training and field experience requirements.
 2. Involvement and availability of key personnel to resolve issues
 3. Each department should develop an internal standard procedures manual or project delivery manual to guide the project delivery as well as develop internal protocols.
- D. Customer Service. Responsiveness to the county department's needs is important to carry out the department's mission while keeping within budget limitations.
1. Obtaining buy-in of stakeholders for any project changes prior to authorizing those project changes.
 2. Regular reporting budget status and project schedule to stakeholders
 3. Involvement and availability of key personnel to resolve issues
- E. Communication. Not all county departments may be familiar with the capital project construction process, its tasks, costs, timelines, or regulatory requirements. Therefore, good communication between project management staff, the county department and funding entities is a vital part of customer service.
1. Good communication fosters better customer service.
 2. The flow and quality of project information between stakeholders facilitates better and more-timely decision-making for critical changes that may affect project cost or schedule.
 3. A consistent method of documenting correspondence allows for the monitoring of project decisions that may affect the scope, cost, schedule or quality of the project delivery.
- F. Project Performance. As part of the Notice of Completion, a post-project review should take place to describe the actual cost, final scope, number and type of change orders associated with the contract against the initial approved project components.

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1. Lessons learned should be documented in the project delivery manual to improve project controls.
2. Evaluation of change orders shall be by categories of errors and omissions, unforeseen conditions, or owner requests, and summarized by those that were avoidable, unavoidable and “other” with an explanation. This provides knowledge that can improve project delivery in similar, future projects.

For each construction project that requires Board approval for any Construction Change Order (CCO) and/or Notice of Completion (NOC), the following information should be included with an accompanying comparison table showing:

- Initial construction award amount
 - Number of Construction Change Orders (CCO)
 - Dollar amount of the Construction Change Orders
 - Percentage of CCOs to initial construction award amount
 - Total Construction Payments
3. Evaluation of the project should include the ability to provide deliverables, reaching project benchmarks, and communication with stakeholders.
 4. Each department should develop their internal performance review checklist as it pertains to the specific project type or mission of their public works projects.
 5. On or before May 1, an annual compilation report of public works construction contracts completed in the prior fiscal year compiled by all county departments with a brief summary of the contract performance should be submitted to the Executive Office.

Reference:
Minute Order 3-5 of 07/02/13

COUNTY OF RIVERSIDE, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject:
DISABLED VETERAN AND LOCAL
BUSINESS ENTERPRISES

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Policy:

It is the policy and practice of the County of Riverside to encourage the utilization and participation of Disabled Veterans Business Enterprises (DVBE) in county procurements and to align preference with the state requirements. All county departments include in bid documents a statement that a three percent (3%) price preference for disabled veteran owned businesses will be utilized in bid evaluations. The Board adopted this practice to encourage greater economic opportunity for Disabled Veteran Business Enterprises for funds spent under county and Board-governed Special Districts' contracts and purchase orders.

The county also has a local vendor preference that directs all departments and agencies to include in bid documents a statement that the county may, where applicable, apply local preference in determining the award of a contract or purchase. This policy will provide the lowest local responsive and responsible bidder the opportunity to match the price and terms of the overall lowest responsive and responsible non-local bidder provided the local bidder's bid was within five percent (5%) of the lowest overall bidder. Should the local bidder be willing to match the price of the lowest overall bidder, the award will be made to the local bidder. In the case where the local vendor will not match the price and terms of the lowest overall bidder, and there are other local bidders within 5% of the lowest overall bidder, the same offer to match will be provided to the next lowest local bidder. If no local bidder within 5% of the lowest overall bidder matches the price, the award shall be made to the lowest overall bidder. The definitions and qualifications for a local bidder and detailed procedures are included in the Purchasing and Fleet Services Department Procedure #19. This local preference policy shall not be utilized where restricted by law or funding source requirements.

The Board encourages equal opportunities for Minority Business Enterprises (MBE), Women's Business Enterprises (WBE), and small businesses to compete for contracts of all types entered into by entities governed directly or ex-officio by the Board of Supervisors, and to promote the increased use by same in joint ventures and as sub-contractors.

POLICY AMPLIFICATION

I. SCOPE

This policy shall apply to agreements, contracts, acquisition leases, and purchase orders for materials, services, professional services, professional consultants or trainers from firms or individuals engaged in "for profit" business activities paid for in whole or in part out of county funds or funds administered by the county. To the extent of any conflict between this policy and any requirements imposed by the federal and state government relating to participation in a contract by a DVBE as a

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condition of receipt of federal or state funds, the federal or state requirements shall prevail. Local business preference shall also apply as listed in this policy.

II. DEFINITION

A. Disabled Veteran Business Enterprise (DVBE) as used in this policy means a business concern certified by the state Office of Small and Minority Business (OSMB) as meeting the following legal requirements:

1. It is a sole proprietorship, at least 51 percent owned by one or more disabled veterans or, in the case of a publicly owned business, at least 51 percent of its stock is owned by one or more disabled veterans; a subsidiary which is wholly owned by a parent corporation, but only if at least 51 percent of the voting stock of the parent corporation is owned by one or more disabled veterans; or a joint venture's management, control and earnings are held by one or more disabled veterans.
2. The management and control of the daily business operations is by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business concern.
3. A sole proprietorship, corporation, or partnership, with its home office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm or other foreign-based business.

B. Local Business as used in this policy means business firms meeting the following requirements:

1. Fixed offices located within the geographical boundaries of Riverside County, authorized to perform business within the county, and in doing so, credit all sales tax from sales generated within Riverside County to the county, and provides, produce/s, or performs contracted work using employees, of whom the majority are physically located in said local offices.
2. A Riverside County business street address, shall be open and staffed during normal business hours and,
3. The business must establish proof that it has been located and doing business in Riverside County for at least six (6) months preceding its certification to the county as a local business.

C. Minority Business Enterprise (MBE) as used in this policy means a business concern, consultant, or contractor that meets all of the following criteria:

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1. It is a business enterprise that is at least 51 percent owned by a minority individual or group(s), in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more minority groups;
2. The management and control of daily business operations is by one or more minority individuals. Legal aliens with permanent residence status are included in this definition;
3. A business concern with its home office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business. Black American, Hispanic American, Native American, and Asian Pacific Americans are presumed minorities.

Other groups are considered minorities if found to be disadvantaged by the Small Business Administration, pursuant to Section 8(d) of the Small Business Act as Amended (15 U.S.C 637 (d)), or the Secretary of Commerce pursuant to Section 5 Executive Order 11625.

- D. Women Business Enterprise (WBE) as used in this policy means a business concern, consultant or contractor that meets all of the following criteria:
1. It is a business enterprise that is at least 51 percent owned by a woman or women, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women;
 2. The management and control of daily business operations is by one or more women;
 3. A business concern with its home office located in the United States, which is not a branch or subsidiary of a foreign corp., foreign firm, or other foreign-based business.

III. FUNCTION

- A. The Purchasing Department, through the county Contract Compliance Office, shall develop, manage, and implement the W/M/DVBE program on a day-to-day basis. The Contract Compliance Officer shall be responsible to:
1. Provide assistance and guidance to all departments, offices, agencies, and Board-governed special districts in matters related to the implementation, interpretation, and enforcement of this policy.

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2. Develop a systematic method for identifying and maintaining an inventory of certified minority and women and disabled veterans business enterprises (MBE, WEB, and DVBE), their capabilities, services, supplies, and/or products.
 3. Participate in business opportunity-related meetings, conferences, seminars, etc., with minority, women, disabled veteran, owned and small business organizations.
- B. Board Governed Special Districts with delegated contracting authority shall provide the County Contract Compliance Office with contracting information, as requested, to insure compliance with this policy.

IV. PROCEDURES MANUAL

An operating procedures manual was developed for implementation of the County Purchasing Ordinance.

V. RACE AND GENDER NEUTRALITY

Under no circumstances shall this policy be construed as requiring or permitting the county, or any office or agency to which this policy may apply, to award any agreement, contract, acquisition lease, lease, or purchase for supplies, equipment, materials, services, professional services, public works, professional consultants, or trainers to any person, company, firm, or other business organization or entity whatsoever on any basis other than the best and most responsive bidder, or the best qualified bidder, as set forth in the pertinent bid or proposal documents, without regard to race, religious creed, color, national origin, ancestry, physical disabilities, medical condition, marital status, veteran status, pregnancy, age, or sex.

Reference:

- Minute Order 3.16 of 03/08/94
- Minute Order 3.32 of 06/01/99
- Minute Order 3.3 of 04/10/07
- Minute Order 3-24 of 04/09/13

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Policy:

The Capital Improvement Program (CIP) is a method for providing the Board of Supervisors with a comprehensive document containing immediate and long term capital needs with their financing and budget requirements. The CIP will be used for planning of new public works projects pertaining to county facilities, major facility expansions and purchases of large capital assets. The CIP will be the central vehicle for all major capital projects within the county. This policy applies to departments, agencies, districts and authorities governed by the Board of Supervisors unless specifically exempted by the Board. Except for office construction, expansion, or real property acquisition, this policy is not intended for capital projects carried out in the normal course of business by the Riverside County Flood and Water Conservation District, Regional Parks and Open Space District, Transportation and Land Management Agency (TLMA), Housing Authority, and the Waste Management Department. These agencies and districts must adhere to specific state and federal statutes for their public works projects.

It is the intent of this policy to be consistent with the provisions of Board Policy A-69 “Best Practices in Contract Management”, Board Policy H-7 “Selection of Architectural, Engineering and Real Estate Related Services,” B-11 “Award of Public Works Contracts Pertaining to County Facilities and Certain Other Improvements,” California Government Code Sections 25502.5(a) 4526, Uniform Public Construction Cost Accounting Act (UPCCA) procedures, Federal Clean Water Act, State of California Porter-Cologne Water Quality Control Act, other applicable state codes, and ordinances, resolutions or policies of the county which may govern the approval of projects and contracts for acquisition of land or structures, construction, alteration, repair or improvement of county facilities.

I. Definitions

- A. A “Capital Improvement Project” shall mean a tangible fixed asset or public works project pertaining to a county facility project of significant value that extends beyond the current year. With respect to policy B-22, “Significant Value”, as herein described, shall include the professional facilities services and its associated capital improvements, including but not limited to: master planning for county facilities, acquisition of land for a county facility, acquisition of buildings, construction or expansion of county facilities, fixed assets, or enhancements to county facilities -- that will be used, occupied or owned by a county entity, with a combined project value over \$100,000; major leases OR any county facilities project requiring new net county cost.

- B. “Major Lease” shall mean any lease where the value of the asset to be leased is at least \$1,000,000 or the term of the lease is greater than five (5) years.

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- C. "Capital Improvement Budget" (CIB) shall mean a listing of capital projects, their funding sources and construction schedules, being recommended for approval by the Board of Supervisors during annual budget deliberations.
- D. "County Department(s)" shall mean all departments, agencies, districts and authorities that are governed by the Riverside County Board of Supervisors, except those departments exempted above, or other appropriate approving board.
- E. "Managing Department" shall mean the designated department managing the project and having authorization to procure professional facilities services pursuant to Board Policy H-7.
- F. Project value shall mean the sum of public works contract(s) which prescribe the work or services pertaining to a county facility. Contracts may not be split or separated into smaller work orders or projects for the purpose of diminishing the project value.
- G. "Program Document" shall mean a written assessment and description of core space requirements that make up the capital improvement project. The Program Document establishes the project scope, size, and funding need.
- H. The Capital Project Review Committee shall mean the committee formed by approval of the Board of Supervisors in November 2006 to provide cost oversight and review of any change order or need which results in a particular project exceeding the 10% contingency established in the project budget.

II. Capital Improvement Plan Policy

- A. The guiding strategy of the CIP will be to allow the County of Riverside to fully account and plan for such capital projects that will have a major impact to the county's annual budget, future staffing levels and service to the public. The CIP will allow the county to anticipate and plan for its future capital needs, as well as prioritize multiple projects to maximize the use of the county's limited capital funds.
- B. Capital improvement projects shall not be separated from the costs of their associated professional facilities services, including but not limited to architectural, engineering, geotechnical services, water quality management, construction project management, real estate, environmental assessment and regulatory compliance services. Instead, the costs of the capital improvement as well as the cost for professional facilities services shall be combined and submitted together to determine total project value.

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- C. The CIP team, chaired by the Executive Office and consisting of Facilities Management/Economic Development Agency, and Information Technology staff, is designated to oversee the stewardship of the CIP.
- D. The CIP team will develop a multi-year Capital Improvement Program (CIP) with a time horizon of five to ten years listed annually.
- E. The CIP team will develop a capital improvement budget annually.
- F. The CIP team will coordinate the development of the capital improvement program with the annual update of the public facilities needs list. The needs list will include those projects that may be partially or fully funded through the collection of development impact fees.
- G. The CIP team will coordinate the development of the capital improvement program and the capital improvement budget with the development of the county annual operating budget.
- H. The CIP team will coordinate the development of the quarterly CIP report with the development of the county quarterly budget report.
- I. The CIP team shall work with county departments to identify and use the least costly method of financing for all capital improvements.
- J. All capital improvements must be a component of the CIP before any county department can submit a grant or issue an RFP related to the capital improvement.
- K. All capital improvement projects underway must be reviewed at various stages and approved by the CIP team before submittal to the Board of Supervisors or appropriate authorizing board for approval.
- L. Unfunded or partially funded capital improvement projects may not incur costs beyond the funding amounts committed by Board action. These projects may not proceed until further funding is identified by the Executive Office.

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III. Capital Improvement Plan Process

- A. The CIP team will issue an annual call for projects to all county departments. The annual call will include requests for county facility projects including but not limited to: master planning for county facilities, acquisition of land for a county facility, acquisition of buildings, construction or expansion of county facilities, fixed assets requiring general funds or enhancements to county facilities, and their associated professional facilities services -- that will be used, occupied or owned by a county entity, with a combined total value over \$100,000; major leases and changes/revisions to current projects on the CIP list; OR any county facilities project requiring new net county cost.
- B. County departments will revise/add to their CIP list covering the next five fiscal years and provide an initial justification for new projects, which will include preliminary and/or future staff needs, anticipated space needs and funding sources.
- C. The CIP team will review all submittals by departments, which will include prioritizing and compiling the projects into a multi-year CIP. During the review, the CIP team may consult with the county departments, and Executive Office analysts, to review costs, identify funding sources, analyze space needs and determine applicability to the CIP plan.
- D. The CIP team will prepare a proposed multi-year CIP for the Board of Supervisors. After review by the Board of Supervisors, any changes requested will be incorporated into the proposed multi-year CIP.
- E. The CIP team will update and present the multi-year CIP annually to the Board of Supervisors as a companion document to the county annual operating budget. The multi-year CIP document will make recommendations for department priority projects to the Board based upon available funding.

IV. Project Priority

A. Evaluation:

The following are some of the considerations that will be used by the CIP team for evaluation of projects to be included in the multi-year CIP:

- Health and safety considerations regarding the project;
- Agency/department's input regarding phasing and sequencing resulting from contingent events;

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- Type and level of mandate regarding service provision;
- Impact and overall level of benefit to the county CIP and the county's citizens;
- Outside (state, federal or other) funding for projects;
- Program alternatives, if any;
- Cost effectiveness of program alternatives, where applicable;
- Estimated costs of project;
- If appropriate, information on service demands (e.g. caseloads) may be considered for particular projects;
- Other considerations not identified and which may be applicable to a specific project.

B. Prioritization:

The CIP team will evaluate county department project priorities and make recommendations to the Board based on a priority ranking as follows:

Priority I – Imperative: Projects that cannot reasonably be postponed without harmful or otherwise unacceptable consequences.

Priority II – Essential: Projects meeting clearly demonstrated needs or objectives.

Priority III – Important: Projects benefiting the community that could be delayed without impairing basic services.

Priority IV – Desirable: Projects that would benefit the community but are not included in the plan because of funding limitations.

V. Roles and Responsibilities

A. Capital Improvement Program Team

1. The CIP team will have the lead responsibility for coordinating the capital needs requests for all county departments, for preparing a multi-year CIP, a capital improvement budget (CIB), and a quarterly CIP report.
2. The CIP team will assist county departments in identifying appropriate funding sources for the projects.
3. The CIP team shall be responsible for prioritizing each project listed in the CIP based on the project priority ranking outlined in IV. B. above.

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4. The CIP team will be responsible for developing an order of magnitude cost range for those projects included in the CIP that have been assigned a CIP Priority I (one) ranking.
5. The CIP team will verify estimates of project construction costs, operating and maintenance costs, and departmental staffing costs submitted by county departments.

B. County Departments

1. In consultation with the CIP Team, county departments will be responsible for the development of a long-range capital improvement plan for their department.
2. County departments will be responsible for submitting a prioritized list of current capital needs as well as future needs during the annual call for projects.
3. County departments will be responsible for writing the justification for their projects and including sufficient detail to assist the CIP team in recommending projects to the Board.
4. County departments will be responsible for identifying appropriate funding sources for the project prior to initiating the capital improvement project. (The CIP team will assist as needed).
5. County departments will be responsible for identifying staffing, operating and maintenance costs for each of the projects requested with the assistance of their Executive Office budget analyst prior to initiating the capital improvement project. (Facilities Management/Economic Development Agency will assist with maintenance and utility cost projections).

C. Managing Department

1. The designated managing department is responsible for the management and oversight of its assigned capital facilities projects. The managing department will continuously maintain and make available for reporting and administrative review, a checklist to ensure that all critical tasks are accomplished during the life of a project. Among other things, this list will include the program document, environmental impact report (EIR), life safety approvals, geological testing, special site requirements, various inspections, Water Quality Management Plan (WQMP), program verification, architect selection, Americans with Disabilities Act (ADA) review, budget tracking, schedule verification, CIP reviews and

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approvals, and all construction related tasks.

2. The managing department is responsible for all CIP team reviews and Board approval requirements related to the specific project.
3. The managing department is responsible for referring the project to the CIP team in the event of major changes to the project scope, size, or funding expectations in the approved “In-Principle” Form-11.
4. The managing department is responsible for obtaining county department concurrence on all CIP Board approvals required in Section VIII or when the project financially impacts their department.

VI. Capital Projects Identified Outside the CIP Process

All capital improvements shall go through the capital planning process. When a capital improvement is identified outside the annual CIP process, the requesting county department will submit a request to add the project to the CIP. The request shall be submitted to the CIP team in the same format, with the same information required in the annual call process. The request will be reviewed by the CIP team for consideration of inclusion into the current CIP.

VII. Capital Improvement Budget

- A. The capital improvement budget (CIB) will be prepared by the CIP team for inclusion with adoption of the proposed county operating budget.
- B. The CIB will include identification of the project, order of magnitude cost range, priority, desired occupancy date, funding sources, departmental operating budgets affected and the current fiscal year’s estimated costs. The CIB will also include summarized information for future fiscal year’s costs and funding sources.

VIII. CIP Approvals

A county department may initiate a CIP project in coordination with a managing department. CIP team review and Board approval is required at the following stages of the project. The managing department shall obtain concurrence from the county department head or its designee on all CIP Board approvals when the project financially impacts their department as detailed below:

- “In-Principle Approval”

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- “Notice of Intent to Purchase / Authorization to Purchase Real Property”
- Approval of professional facilities services contracts
- Program and schematic design approval
- “Approval of Construction Documents and Authorization for the Clerk of the Board to Advertise for Bids”
- Approval of contract award
- Change orders / contract amendments (if necessary)

A. In-Principle Approval

Before award of professional facilities services for the construction, expansion, improvement, and/or master planning of a facility; or the purchase, sale or leasing of real property that will be used, occupied or owned by a county entity -- where the combined costs of capital improvements and associated professional facilities service is over \$100,000; major leases and changes/revisions to current projects on the CIP list; OR any county facilities project requiring new net county cost:

The managing department shall submit the scope and funding plan for the public facilities project for review and approval by the county’s capital improvement program (CIP) team prior to or concurrent with “In-Principle” Form 11 approval by the Board of Supervisors.

B. Notice of Intent to Purchase Real Property and Authorization to Purchase Real Property

1. The managing department shall submit the “Notice of Intent or Authorization to Purchase Real Property” for review and approval by the county’s capital improvement (CIP) team prior to or concurrent with the approval by the Board of Supervisors.
2. The “Authorization to Purchase Real Property” Form-11 shall include the estimated purchase price, including an estimate of escrow, closing costs, and transaction fees in the total cost.

C. Approval of Professional Facilities Services Contracts

1. Professional services contracts for architectural, engineering, geotechnical services, water quality management, construction project management, real estate, environmental assessment and regulatory compliance services shall be approved by the Board of Supervisors or other appropriate authorizing Board.

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2. Where new net county cost is identified as the proposed source of funds for any portion of the professional services contracts and/or associated capital improvements, the selection procedures and negotiations listed above in Section A will be adhered to prior to award of contract.
3. All proposed contracts must be reviewed and approved as to form by the County Counsel in compliance with Board Policy A-5.

D. Program & Schematic Design Approval

1. The architect or the managing department will prepare a Program Document for the project. This activity will include an assessment of core requirements of the project to keep the project within reasonable scope, size, and funding expectations in the approved "In-Principle" Form-11.
2. The architect, under the direction of the managing department, will develop the schematic drawings for the project. This activity will include a review of the program requirements and a verification of project order of magnitude cost range from the architect. In addition, the anticipated construction schedule will be reviewed.
3. The managing department will submit the completed program document and schematic drawings to the CIP team for review to ensure they are consistent with the approved scope and funding plan in the "In-Principle" Form-11 in VIII.A. The CIP team will review the architect's estimated cost and schedule for the project, and verify funding assumptions and financing strategies.
4. The managing department will prepare a Form 11 to the Board of Supervisors for approval of the program document and completed schematic design drawings and authorization to proceed with the Design Development phase (DD's) and develop Construction Drawings (CD's) and specifications. The refined "order of magnitude cost range" for the project will be included in the background information on the Form 11.
5. The managing department will work with the architect during the design development phase of the project. This will include program verification and value engineering to keep the design of the project within the "order of magnitude" cost range. The Executive Office will review and approve (or deny) any significant program or scope changes.
6. Environmental findings are not required to be reviewed by the CIP team but are subject to Board approval if required by the Federal Clean Water Act, State of

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California Porter-Cologne Water Quality Control Act, or other applicable state and federal laws.

7. The managing department will obtain a cost estimate from the design architect based upon the Construction Drawings (CD's) and specifications. For projects over \$3 million in cost the managing department will obtain a cost estimate from an independent construction cost estimator and if necessary, will reconcile the estimates.

E. Approval of Construction Documents and Authorization for the Clerk of the Board to Advertise for Bids

1. The managing department will submit completed construction drawings, specifications, and cost estimates will be submitted to the CIP team for review to ensure they are consistent with the program document and schematic design approval Form-11 in VIII.C. The CIP review will include verification of funding sources and cost estimates.
2. The managing department will submit the project to the Board of Supervisors via a Form 11 for approval of construction drawings, specifications, and authorization for the Clerk of the Board to advertise for bids. An estimated project budget will be included in the background information on the Form-11.
3. All formal process bids shall comply with Policy H-7.

F. Approval of Contract Award

A construction company will be chosen from those responding to the RFP per county Board Policy H-7 and B-11. The managing department will submit the selected company and bid amount to the Board of Supervisors or other appropriate authorizing board via a Form 11 for approval. The Form 11 will include a complete project budget among the board motions.

G. Change Orders / Contract Amendments

Change orders are generally costly and require an inordinate amount of management effort. Therefore, it is the intent of this policy that change orders be held to a minimum and normally used to deal with unforeseen circumstances and constructability problems. Change orders are not normally to be used for elective changes that are not critical to function or costs.

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1. Change orders above the delegated authority of the managing department shall be submitted via a Form-11 for approval by the Board of Supervisors. The CIP team will review and sign off on the Form-11.
2. Change orders exceeding the 10% contingency established in the project budget are subject to review by the Capital Project Review Committee by the referral of the Executive Office. The committee, consisting of two board members, may convene to review such change orders and render final recommendations to the Board of Supervisors to approve or deny the change order request.
3. Amendments to contracts shall comply with Policy H-7.

IX. Construction Administration

- A. For all CIP projects approved and in process, the managing department, will prepare and submit quarterly status reports to the CIP team. It will be the managing department's responsibility to ensure that the quarterly status reports are provided to the CIP team for their respective projects.
- B. The CIP team will prepare and submit a CIP quarterly report as a companion to the county's quarterly budget report.
- C. The CIP team may determine additional reporting requirements depending upon the scope of the project.
- D. The "Notice of Completion" is a document filed with the Clerk of the Board and approved by the Board of Supervisors when the capital improvement project is substantially complete. The managing department shall submit a courtesy copy to the CIP team for tracking purposes only.

Reference:

Minute Order 3.7 of 08/27/02
Minute Order 3.40 of 11/7/06
Minute Order 3.3 of 04/10/07
Minute Order 3.5 of 06/30/09
Minute Order 3-5 of 07/02/13

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POLICY:

1. The County shall strive for optimal results in capital outlay projects through careful selection of architectural/engineering/appraisal firms. Objectives shall be to establish excellence in design/appraisal within constraints of time and costs, to foster innovations in construction, to provide opportunity for all Riverside County firms, to solicit expertise outside the County where it appears advantageous to the County's interests, and to award contracts at fair and reasonable prices.
 - a. A/E Services for Design of new Buildings or Additions/Alterations to Existing Buildings. Before negotiations can be initiated for design services for proposed new buildings or additions/alterations to existing buildings, the scope and financial feasibility of the project must be reviewed and approved by the Administrative Office and conceptual approval of the project obtained from the Board of Supervisors.
2. Criteria for selection shall include the following:
 - b. indication of general and specific interest,
 - c. relative project experience,
 - d. demonstrated design excellence,
 - e. capability and involvement of key architectural and consulting personnel,
 - f. excellence in cost control and scheduling,
 - g. relative location of firm to project site,
 - h. volume of recent and current design work for the County, and
 - i. any other criteria appropriate to specific project conditions.
3. The following selection procedures shall apply to all County departments with capital construction responsibility, and the Riverside County Flood Control and Water Conservation District:
 - j. Architectural-Engineering Services- Qualified firms shall be interviewed by the department head or designee who shall evaluate comparative qualifications of the possible renderer of the service, and recommend the selection of a firm based upon professional experience and qualifications in the work to be performed and ability to perform the work within the time frames established. The fee for such services shall be negotiated in accordance with procedures set forth in the American Society of Civil Engineers (ASCE) Manual on Engineering Practice No. 45 or the American Institute of Architects (AIA) Manual on Practice.
 - k. Geotechnical- Engineering and Environmental Assessment Services- Proposals shall be obtained from firms qualified in the type of service being performed. If the estimated cost of the service to be performed exceeds \$10,000, at least three firms will be requested to submit proposals based upon professional experience, qualifications, and ability to perform. Fees for this service shall be established by

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negotiation. (The County Planning Department will be notified of pending environmental assessments before the consultant selection is initiated.)

- I. Real Estate Appraiser Services- Proposals shall be obtained from qualified appraisers for the work to be performed based on professional experience and qualifications for the nature of the appraisal and ability to perform. Fees shall be established by negotiation by Building Services. (Note: Real property appraisal is the responsibility of the Department of Building Services. Acquisition of real property appraiser services will be initiated solely by that department.) For the Flood Control District and the Road Department, at their respective request, Building Services will make the selection and negotiate the terms of the Appraisal Services Agreement, subject to the approval of the District/Road Department.
 - m. Documentation- Documentation related to the selection process, fee negotiations and management of the consultant contract will be maintained by the initiating department. Documentation should be sufficient to provide clear indication of why a firm was selected and on what basis the fee was established.
4. Following consultant selection and fee negotiations as prescribed above, the department will proceed as follows:
- n. Submit a Form 11 with contract, approved as to form by County Counsel, to the Board for approval.
 - o. For professional services contracts of \$25,000 or less, the County department head may choose to request award through the County Purchasing Department in lieu of Board approval. If that option is chosen, a Purchase Request with contract, approved as to form by County Counsel, will be submitted to the Purchasing Department. The Purchase Request should specifically indicate that the selection and negotiation procedures of this Board Policy have been followed.
5. This policy shall not apply to contracts covered under other county, state or federal policies, regulations, or Board Orders.

Reference:

Minute Order 6.7 dated 3-21-1978
Minute Order 6.5 dated 11-3-1981
Minute Order 3.20 dated 7-11-1989



COUNTY OF RIVERSIDE

TRANSPORTATION AND LAND MANAGEMENT AGENCY

POLICIES AND PROCEDURES

POLICY: Procurement and Payment Authorization for Goods and Services

POLICY NUMBER: PUR 001

DATE: September 11, 1995

EFFECTIVE: IMMEDIATELY

SUPERSEDES: Not Applicable

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- I. **PURPOSE:** Defines authorities and responsibilities for procurement and authorization of payment for goods and services, other than road construction contracts and contracts covered by the Contracts Manual.
- II. **AUTHORITY:** County Ordinance 459 through Amendment 459.3 dated September 25, 1990, Public Contracts Code.
- III. **APPLICABILITY:** All staff

BACKGROUND: Under the provisions of County Ordinance 459, the County Purchasing Agent is granted the powers and duties prescribed by law for County Purchasing Agents. The Board of Supervisors and Purchasing Agent have, with few exceptions, the exclusive authority to commit and/or obligate the County to pay for the purchase or lease of supplies, equipment, personal/professional services; engage contractors to perform services or furnish materials; sell or exchange any materials, supplies, and equipment. Any officer or employee who usurps the authority of the County Purchasing Agent, with the exception of those exemptions listed in Section IV, can be held financially liable for the expenditure incurred.

- IV. **POLICY:** No purchases shall be made by a Transportation and Land Management Agency (TLMA) officer or employee without a purchase order and the authority first obtained from TLMA Buyer. For written contracts, approval must be first obtained from the TLMA Contract Manager (see Contracts Manual). Requests for public works contracts (other than Road Construction) on County land, buildings, or attachments (facilities) are submitted to TLMA Buyer. Exceptions to this policy are limited to the following:
 - A. Advertising for vacant positions (Agency Personnel Officer only).
 - B. Common carrier transportation for employee travel (approved by Division Managers and higher).
 - C. Ordinary employee travel expense items (approved by Division Managers and higher).
 - D. Items exempt by law or specific order of the Board of Supervisors.

- E. Emergency purchases, which shall be limited to those IMMEDIATELY NECESSARY FOR PROTECTION FROM SUBSTANTIAL HAZARD TO LIFE OR PROPERTY, when contact cannot first be made with TLMA Buyer for approval. Appropriate Division Manager shall report promptly to TLMA Buyer along with the facts constituting the emergency, in order to confirm and/or complete the purchase action and arrange for payment to the vendor.

PRIORITY OF PROCUREMENT SOURCE BY TLMA BUYER

1. County Service Departments. TLMA Buyer will contact appropriate County Departments to obtain specific products or services that must be obtained from that specific department by Board Order or statute.
2. County Purchasing Supply Services. All goods and services available shall be ordered on the Supply Services Requisition.
3. Outside Vendors. Goods and services sought from outside vendors are those which are not stocked by Supply Services, or cannot be obtained in a timely manner through County Supply Services, or where it is more economical for the Agency to obtain the goods or services from outside vendors. Any request to procure goods or services from outside vendors must be accompanied with a written justification, and ordered on The Purchasing Order Request Form, TLMA 304-004.

V. PROCEDURE:

A. GOODS AND SERVICES FROM SUPPLY SERVICES

ORDERING THROUGH THE SUPPLY SERVICES CATALOG

1. Each division or office designates a supplies ordering clerk. Designate your office address as the "ship to" point.
2. The supply requisitions should be typed using the supply services catalog stock numbers, descriptions, units of issue, etc.
3. Completed supply requisitions must have an authorized approval signature to order (i.e. Division Managers, Department Head).
4. The supplies ordering clerk should keep the yellow copy and forward the top (white) part of the completed requisition to the Agency Supply Clerk at Mail Stop 1083.
5. After review and approval by TLMA Buyer, the supply requisitions will be sent to Supply Services.
6. Supply services requisitions should be prepared only once a month.
7. Quantities ordered should be enough to last one month. This not only saves storage space but reduces spoilage, obsolete, and unneeded supplies.

RECEIVING SUPPLY SERVICES ITEMS

1. When supplies received, inventory and immediately sign, date the packing slip to verify supplies received.
2. Immediately forward the packing slip to the Agency Supply Clerk at TLMA Administration at Mail Stop 1083.
3. If there are errors or discrepancies, immediately prepare a memo describing in detail the problem and send it with the packing slip to Agency Supply Clerk at Mail Stop 1083. Items for return or for credit exchange must be returned within thirty (30) days from date item was received.
4. If supplies are received damaged, keep all the original packing material and call the Agency Supply Clerk at 275-6839 to arrange an exchange.
5. Supplies received should be immediately secured in a locked room or storage cabinet.
6. As soon as practical, supplies should be stocked in their designated locations in a secure area for later issuance.

B. GOODS AND SERVICES FROM OUTSIDE VENDORS

1. **PREPARING THE REQUEST:**

Staff should complete Purchasing Order Request Form (TLMA 304-004), obtain an authorized signature, and forward form to TLMA Buyer at Mail Stop 1083. For computer hardware, software, and services, the request must first be routed to the TLMA Information Resources Division for approval before reaching TLMA Buyer. Requests must be legible, have specifications if applicable, and include justification if required. Program personnel may talk to vendors to develop specifications, but are not authorized to place an order or otherwise commit County funds for any goods or services prior to approval and issuance of a purchase order by TLMA Buyer.

2. **RECEIVING THE GOODS & SERVICES:**

1. Verify packing slip matches the merchandise delivered.
2. Sign, print name, date, and forward the original packing slip to TLMA Accounts Payable, Mail Stop 1083.
3. Invoices received are to be sent to Accounts Payable Section, Mail Stop 1083 along with any other relevant paperwork.
4. Packing slip not received with delivery of the goods or services, return the copy of Requisition Form (TLMA 304-004) with receiving person's signature, printed name, and date goods or services were received.

5. If a problem with a receipt of shipment or wrong merchandise, **DO NOT ACCEPT DELIVERY and DO NOT SIGN FOR IT.** Contact TLMA Buyer at 275-1850 for assistance.
6. Packing slips and invoices require signature for verification of goods and services on Blanket Purchase Orders and forwarded to Accounts Payable.

C. PERSONAL OR PROFESSIONAL SERVICES

1. TLMA Buyer has authority to issue a purchase order up to \$25,000. Purchases over \$25,000 are coordinated by the TLMA Buyer with purchasing. Under \$25,000 requires competitive quotes. Over \$25,000 must go to bid. Any sole source must go to the Board of Supervisors for approval. It is recommended that the requesting office consult with TLMA Buyer at the earliest time to determine the best approach to obtain the needed services. This consultation will eliminate unnecessary work.

D. ROAD PROJECTS

1. Under \$10,000 only requires a purchase order, if price is reasonable. Between \$10,000 - \$25,000 must be formally bid and requires a purchase order. Over \$25,000 must be approved by County Counsel and the Board of Supervisors (does not require purchase order). Highway projects are exempt from Building Services review.

E. PUBLIC WORKS TO COUNTY PROPERTY

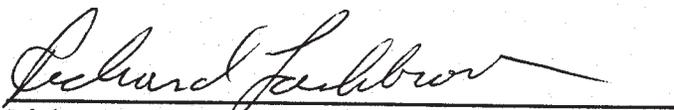
1. \$4,000 and under requires competitive pricing (no advertising necessary, contractor must be licensed and insured). \$4,000 - \$10,000 must be advertised for a minimum of two weeks and requirements for license and insurance apply. \$10,000 and over goes to Building Services who will review and go to County Counsel and Board of Supervisors. All Public Works must have approval from Building Services with the exception of the Aviation Department.

DISCIPLINARY ACTION

In accordance with the provisions of Section 3K(4) of the County of Riverside Ordinance No. 440, disciplinary action may be initiated against any TLMA employee who is found in violation of the above policy as set forth herein.

VI. APPROVAL:

Approved:


Richard K. Lashbrook, Director
Transportation and Land Management Agency



COUNTY OF RIVERSIDE

TRANSPORTATION AND LAND MANAGEMENT AGENCY

POLICIES AND PROCEDURES

POLICY:

SIGNATURES ON CONTRACT DOCUMENTS

POLICY NUMBER:

AGY 009

DATE: April 13, 1995

EFFECTIVE:

Immediately

SUPERSEDES:

Not Applicable

Page 1 of 3

- I. **PURPOSE:** To establish written guidelines for the signing of contracts and/or agreements
- II. **AUTHORITY:** Transportation and Land Management Agency Director
- III. **APPLICABILITY:** TLM Agency
- IV. **POLICY:** The TLM Agency requires contract documents to be signed by all parties to the contract before submittal to the Board of Supervisors. The purpose of this policy is to ensure that a contract, which is signed by *both parties*, is in place before any work specified in the contract is performed or any funds are exchanged. In addition, this policy assigns the responsibility for securing the necessary signatures on contracts to the designated Project Manager/Responsible Party.

The Transportation and Land Management Agency establishes this contract signature procedure in an effort to minimize Riverside County's exposure to liability issues and to promote contract standardization. Therefore, each Project Manager has a responsibility to conduct business within these guidelines to the greatest extent possible.

V. **PROCEDURE:**

At the time a contract or agreement is submitted to the Board for approval and execution, the Project Manager and/or his designee will prepare the following:

Contract documents
Board Order - Form 11
Routing and Approval Form (Form 304-007)
All other applicable paperwork

TLMA Administration-Contracts will track and monitor all agreements/contracts in the *Contract Tracking Database (CTD)*.

Exceptions: If all necessary signatures cannot be obtained prior to submittal to the Board of Supervisors, the following information must be provided with the contract documents:

- (1) A brief explanation of why the contract is not signed.
- (2) An approximate date when the outside party will return the signed agreement.
- (3) The name and phone number of the person to notify when the Clerk of the Board returns the contract for outside approval.

When the outside party returns the signed contract, forward the *original* document to the designated section listed below:

Contracts for - Aviation, Survey, and Transportation:

- forward to Transportation Project Dev-Contracts/Utility Unit

Contracts for - Planning and Building & Safety:

- forward to TLMA Administration, Contracts

Once the contract is returned to the above-referenced sections, the Office Assistant in the Contracts/Utility Unit or the TLMA-Contracts Section will log information into the *CTD* recording the date the contract is received and the date the contract is distributed to the sections listed below:

- (1) Clerk of the Board - original
- (2) TLMA Administration, Contracts - xerox.
- (3) Department, applicable division - xerox.

Exemption: Transportation - Public Work Contracts

Competitively bid public work contracts may be forwarded to the Board of Supervisors *without* the contractor's signature. After the Chairperson of the Board of Supervisors signs the contract, the personnel authorized to pick-up contracts from the Clerk of the Board forwards the contract to Transportation Project Dev.-Contracts/Utility Unit for contractor's signature. *See below for list of personnel authorized to pick-up contracts from the Clerk of the Board.

Contracts/Utility Office Assistant (OA) enters the date received in the *CTD* (see instructions in the *Transportation Contract Processing Manual*). OA prepares all applicable paperwork and records the date the contract is mailed to the Contractor for approval.

When the Contractor returns the *signed contract*, the Contract/Utility Unit OA verifies that all paperwork (contract, insurance, bonds, etc.)

is in order and records the date the contract is received and the date the contract is distributed to the sections listed below:

- (1) Clerk of the Board - original
- (2) Construction Office - original
- (3) TLMA Administration, Contracts - xerox.

* Personnel authorized to pick-up documents from the Clerk of the Board are as follows:

TLM Agency Director Secretary - Aviation, Agency

Building & Safety Director Secretary - Building & Safety,
- Code Enforcement

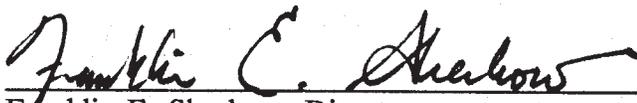
Planning Director Secretary - Planning

Transportation Director Secretary - Transportation, Survey

DISCIPLINARY ACTION

In accordance with the provisions of Article IX, Section 2, of the Memorandums of Understanding for all PERC Units, disciplinary action may be initiated against any TLMA employee who is found in violation of the above policy as set forth herein.

VI. APPROVAL:

Approved: 
Franklin E. Sherkow, Director
Transportation and Land Management Agency

FORM 11 WRITING TIPS

I. Who is your audience?

- The Board – busy people, deal with 100's of items
- Reporters – looking to inform the public – want an interesting "hook"
- General Public – want to know what is going on
- Executive Office – focus on funding
- It's not:
 - The Director's Office
 - Your Peers
 - A TECHNICAL AUDIENCE

Form 11's allow us to get our message out to the Public

II. Who is the author?

- George (not each of us)
- "Write as George would speak to a non-technical audience"
- One Department – do not mention Divisions

III. What to include:

- What is the project? (2-3 sentences) provide some detail – are we adding turn lanes, shoulders, how long is the bridge, how long is the road, etc? – The public is curious because they all drive.
- What are we asking approval for? (one sentence)
- Why? – What's in it for the public? (one or two paragraphs) – Examples:
 - A new signal to improve traffic operations and safety
 - A road widening to enhance capacity and reduce traffic congestion
 - A bridge replacement to make it seismically stable
 - A new bridge expansion to allow for all-weather access on a major transportation link

IV. Accentuate the positives of what we do – we do great things for the public!

- Contract amendments – scope changes – generally we spend money to:
 - Save more money than it costs (accelerate project delivery, which can save about 10-15% in annual escalation cost)
 - Public has the benefit of getting the improvements sooner
 - Explain how we accelerated the schedule –how much time did we save?

- Build additional improvements - What happens if we don't size facilities property? – May lead to future congestion and additional costs in the future to fix it.
- Construction Change Orders
 - Also generally spend money to save more money
 - Opportunities to fix additional problems in the field
 - Avoid cutting newly paved roads in the near future
 - Consolidate construction – save the public from future traffic disruptions
 - May have unknown field conditions that we weren't aware of

V. General Guidelines

- Be concise – most Form 11's should not exceed two pages (three at most)
- Don't repeat the same point unless it's really important
- Write it and then go back and do a "word audit" – where can you cut out words without changing the message?
- Paragraphs should not exceed four to five sentences
- Use bullet points – helps simplify the message
- Avoid words with negative legal or public meanings – everything you write is a public record
- Don't raise more questions that you have answered
- Spell out acronyms once
- Everything can't be a rush! Allow time for review and County Counsel
- Check for spelling and grammar mistakes
- Juan is picky, if in doubt e-mail me advance copy

VI. Funding

- DIF Funds – need to program them with Form 11's – work with Juan, Glenn, and Roy (see sample language)
- Do we need budget adjustments? – generally not – but can check with Roy and Ed Cooper – need different language if we do
- Focus on funding Exhibit "A" for award Form 11's
- RBBB Funding – route to Marianna and Glenn

ENGINEERING

Agreement

Contract

Amendment

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**



FROM: TLMA - Transportation Dept.

SUBMITTAL DATE:

SUBJECT: Supplement Number 3 to the Engineering Services Agreement for the Environmental Clearance and Design Engineering Services to Replace the Existing River Road Bridge over the Santa Ana River.

RECOMMENDED MOTION: That the Board approve the Supplement Number 3 to the Engineering Services Agreement between the County of Riverside and T.Y. Lin International and authorize the Chairman of the Board to execute the same.

BACKGROUND: On February 24, 1998, the Board executed an agreement with T.Y. Lin International to provide environmental and design engineering services to replace the River Road Bridge. This agreement was amended on two occasions (Supplements 1 and 2) to address scope changes due to comments received from the Public Scoping Meetings and feedback from resource agencies, to address changes in the way that Caltrans and FHWA reviews the environmental document, and to revise the environmental document for stage construction.

Departmental Concurrence

continued (page 1 of 3)

George A. Johnson
Director of Transportation

(Continued On Attached Pages)

FINANCIAL DATA	Current F.Y. Total Cost:	\$ 973,032.00	In Current Year Budget:	Yes				
	Current F.Y. Net County Cost:	\$ 0	Budget Adjustment:	No				
	Annual Net County Cost:	\$ 0	For Fiscal Year:	2006/2007				
SOURCE OF FUNDS: Highway Bridge Program (HBP, formerly HBRR), Seismic Safety Retrofit (State Share), Measure A/Western, TUMF Northwest Zone (WRCOG)				<table border="1"> <tr> <td>Positions To Be Deleted Per A-30</td> <td align="center"><input type="checkbox"/></td> </tr> <tr> <td>Requires 4/5 Vote</td> <td align="center"><input type="checkbox"/></td> </tr> </table>	Positions To Be Deleted Per A-30	<input type="checkbox"/>	Requires 4/5 Vote	<input type="checkbox"/>
Positions To Be Deleted Per A-30	<input type="checkbox"/>							
Requires 4/5 Vote	<input type="checkbox"/>							

C.E.O. RECOMMENDATION:

County Executive Office Signature

Policy Policy

Consent Consent

Dep't Recomm.:
Per Exec. Ofc.:

Prev. Agn. Ref. Dec.20, 2005, 3.39 | **District:** 2 | **Agenda Number:**

The Honorable Board of Supervisors

RE: Supplement Number 3 to the Engineering Services Agreement for the Environmental Clearance and Design Engineering Services to Replace the Existing River Road Bridge over the Santa Ana River.

Page 2 of 2

This Supplement 3 is being processed to provide contract changes to the design and construction support work tasks for the stage construction.

This stage construction provides that a portion of the new bridge will be built while traffic uses the existing bridge. The traffic will then be shifted to the new bridge; and the existing bridge will be torn down and replaced with the rest of the new bridge. This eliminates the need for a detour road, thus achieving a significant reduction in environmental impacts and in the cost of building a detour road across the River. This change allowed the County to reduce the environmental document from an EIS/EIR to an EA/EIR, thus successfully securing an approved environmental document and the pertinent construction permits much more expeditiously.

We have also performed a refined hydraulics and sedimentation study which recommends a longer bridge, 1200 feet, than the preferred alternative bridge of 800 feet that was identified in the very rough hydraulics analysis done as part of the environmental document. The longer bridge provides for much less sediment build-up, allowing it to be operational during 100-year storms (as opposed to 50-year storms) and also virtually eliminating the need for on-going sediment removal, thus reducing the maintenance costs.

The over all cost savings achieved by changing to stage construction far exceeds the increase in design costs. It allows a substantial reduction in project environmental impacts, expediting the approval and construction permits. This saves an estimated 7 – 10 % per year in inflationary construction costs given the current market, which is substantial for a \$42,000,000 construction estimate. It also reduces the significantly higher environmental mitigation fees that would have been levied on the project due to much larger impacts of a detour road and bridge through the riverbed.

The cost proposal negotiated by County staff with the consultant is for \$973,032.00. The breakdown of this amount by project phases is as follows:

Phase II – Design / PS&E	\$ 883,209.00
Phase III – Construction Bid Support	\$ 1,233.00
Phase IV – Construction Support	\$ 88,590.00

The primary factors included in this contract amendment are:

- Each construction stage requires a separate bridge design.
- Additional design work on the approach roads to accommodate the stage construction.
- Coordination with the new development being proposed in all quadrants of the Archibald Avenue and River Road Intersection, coordination with development design and detailed plans became necessary for staging construction and maintaining traffic on River Road.
- A NEPA Reevaluation / CEQA Addendum Document is required by Caltrans and FHWA to demonstrate that the approved permit thresholds are not exceeded.
- The longer bridge with increased number of piers required additional log of test borings to provide foundation recommendations.

The Honorable Board of Supervisors

RE: Supplement Number 3 to the Engineering Services Agreement for the Environmental Clearance and Design Engineering Services to Replace the Existing River Road Bridge over the Santa Ana River.

Page 3 of 3

- Bridge aesthetics and landscape design for replanting / environmental mitigation are now included.
- Since the inception of the project in February 1998, there has been an industry wide increase in fees for engineering and environmental services.

The Phase II, Design / PS&E stage of the project is 65 percent complete. The project right-of-way needs are currently being coordinated with USACE and OCWD. The project is expected to advertise in the last quarter of 2007. The estimated duration for construction is 24 months.

Recommended Contract Budget

Original Contract Amount:	\$ 893,064.00
Supplement No.1:	\$ 355,475.00
Supplement No.2:	\$ 635,356.00
Recommended Supplement No.3:	<u>\$ 973,032.00</u>
 Total Contract Amount:	 \$2,856,927.00

The revised negotiated fees are still well within industry standards based on a percentage of construction.

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

845 A



FROM: TLMA - Transportation Department

SUBMITTAL DATE:
December 11, 2006

SUBJECT: Amendment Number 2 to the Engineering Services Agreement for the Clinton Keith Road: I-215 to SR 79 Construction Project.

RECOMMENDED MOTION:

That the Board approve Amendment Number 2 to the Engineering Services Agreement between the County of Riverside and CH2M Hill, and authorize the Chairman to execute the same.

BACKGROUND:

On March 5, 2002, the Board of Supervisors approved an agreement with CH2M Hill to provide professional consulting services for the improvements for the Clinton Keith Road: I-215 to SR 79 Road Construction Project. The agreement provided for the preparation of the needed environmental documentation, and preliminary engineering design. On November 2, 2005, the Board of Supervisors approved Amendment 1 which modified the scope to incorporate additional environmental tasks and to provide final engineering design services necessary to prepare plans, specifications and estimates.

(Continued on next page)

George A. Johnson
George A. Johnson
Director of Transportation

FINANCIAL DATA	Current F.Y. Total Cost:	\$ 843,800	In Current Year Budget:	Yes
	Current F.Y. Net County Cost:	\$ 0	Budget Adjustment:	No
	Annual Net County Cost:	\$ 0	For Fiscal Year:	2006/07

SOURCE OF FUNDS: Southwest Road and Bridge Benefit District	Positions To Be Deleted Per A-30	<input type="checkbox"/>
	Requires 4/5 Vote	<input type="checkbox"/>

C.E.O. RECOMMENDATION: APPROVE

County Executive Office Signature

Steve Spaulde

COUNTY OF RIVERSIDE COUNTY COUNSEL
 DEC 9 2 2006
 BY *Spaulde*
 Departmental Concurrence

Dept's Recomm.: Consent Policy
 Per Exec. Ofc.: Consent Policy

Prev. Agn. Ref.: 3.60 | District: 3 | Agenda Number:

12-19-06

3.46

**Honorable Board of Supervisors
Amendment Number 2 to the Engineering and Environmental Services Agreement for the
Clinton Keith Road: I-215 to SR 79 Construction Project.
December 11, 2006
Page 2 of 4**

These major road projects that are being done in advance of development are very dynamic and subject to revision throughout the process as the adjacent development plans jell and have to be adequately coordinated with our road project. The level of effort and length of time needed to prepare the project environmental documentation and engineering details have exceeded the terms of the agreement as a result of coordination issues with Southern California Edison (SCE), developers and local property owners. Also, it is necessary for CH2M Hill to perform additional out of scope tasks based on new found information related to field conditions and the inclusion of new signals, lighting and landscaping treatments, as well as providing engineering support during the bidding and construction phases.

An overview of the additional scope of services is provided below:

SCE Relocations: SCE has been unwilling to review projects prior to final plans being completed and signed. As a result, the County was required to make certain assumptions and the actual relocation work for the project was greater than anticipated. We have had to expand the scope of the environmental document to include the relocation of distribution and transmission lines along the future Clinton Keith Road alignment. We need to be able to receive comments from SCE earlier in our plan preparation, and the Department will be taking the lead in initiating a discussion with SCE management to try and do so. The alternative to the re-work was to wait and have SCE prepare their own environmental document, which would potentially add a year or more to the project schedule and increase the cost even further in this rising construction cost market.

Coordination with Developers: A significant amount of work and rework has gone into coordinating with various major developers, which are funding this project, that are planned along the corridor. This effort is to minimize future cutting of the new road for utilities, traffic signals, or new access points.

Additional Investigations and Borings: Additional geotechnical work has been needed as part of the design for the 2 bridges, wildlife overcrossing, and more retaining and sound walls than originally contemplated. We have also had to work with certain property owners on obtaining access to their property on a piece-meal basis, which has required several crew mobilizations.

Traffic Signals and Lighting: The original scope called for the design of three signals and the signal modification at Clinton Keith/SR-79. Additional scope is required for the signal modification at the entrance to the Vista Murrieta High School and to design a new signal at Clinton Keith/Trois Valley. Also, streetlighting has been added to the scope of the project.

**Honorable Board of Supervisors
Amendment Number 2 to the Engineering and Environmental Services Agreement for the
Clinton Keith Road: I-215 to SR 79 Construction Project.
December 11, 2006
Page 3 of 4**

Landscaping Plans and Aesthetic Treatments: Landscaping and aesthetic treatments are to be included with the Clinton Keith Road project since this arterial road will be one of the major corridors in the entire Southwest County. As such, it is important to develop a comprehensive landscaping theme that can be initiated with this project and incorporated as development occurs along the corridor, rather than allow for piece-mealing on a tract-by-tract basis. The bridges over Warm Springs and French Valley will be visible from SR 79 as well as other view sheds, so there is a desire to include aesthetic treatments on this major public investment in order to enhance the attractiveness.

Bid and Construction Support: The CH2M Hill design team will be needed to provide engineering support to the contractors during the bidding phase and to provide technical support to the construction team during the construction phase. These tasks were not part of the original contract scope.

Amendment 2 modifies the current scope of work and increases the budget for consulting services necessary to provide the additional services.

The following table provides a summary of the additional tasks and corresponding budgets for the additional services. The total cost of this project is estimated to be \$68 million.

(Continued on next page)

Honorable Board of Supervisors
 Amendment Number 2 to the Engineering and Environmental Services Agreement for the
 Clinton Keith Road: I-215 to SR 79 Construction Project.
 November 27, 2006
 Page 4 of 4

Amendment Number 2 Financial Summary - Clinton Keith Road: I-215 to SR 79

	Phase 1 PA & ED	Phase 2 PS & E	Phase 3 Bid	Phase 4 Const.	Contingency	Total
Original Budget	821,045	1,524,130	0	0	152,413	2,497,588
Amendment	202,428	546,462	5,338	49,391	40,181	843,800
A. Project Management (Env.)	33,919					
B. Final Supplemental EIR	112,644					
C. Statement of Overriding Conditions	13,351					
D. MSHCP Coordination	16,266					
E. Delineation Document	26,248					
F. Project Management (Design)		55,536				
G. Geotechnical		61,414				
H. Additional Borings for Wildlife Crossing		30,214				
I. Photo Renderings - Wildlife Crossing		8,000				
J. Photo Renderings - Warm Springs		8,000				
K. Design Coordination - 65%		20,888				
L. Soundwall Modifications - 65%		28,190				
M. Soundwall Modifications - 95%		20,803				
N. Traffic Signals/Lighting		55,080				
O. Landscape/Architectural Services		167,871				
N. Design Coordination - 95%		26,802				
P. Utilities		6,866				
Q. Revision to Right of Way Req.		9,010				
R. QA of Bridge Design		29,990				
S. Foundation redesign		17,798				
T. Bid Support			5,338			
U. Construction Support				49,391		
Proposed Budget	1,023,473	2,070,592	5,338	49,391	192,594	3,341,388

Original Contract Amount: \$2,497,588
 Recommended Amendment No.2: \$ 843,800
 (including Contingency)
 Total Revised Contract Amount: \$3,341,388

Funding for the additional services will be provided by the Southwest Road and Bridge Benefit District.

CONSTRUCTION

Change Order

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**



456 A

FROM: TLMA – Transportation Dept.

SUBMITTAL DATE:
September 1, 2006

SUBJECT: Construction of Newport Road/Domenigoni Parkway, Menifee to Winchester Road (SR79), Menifee/Winchester areas

RECOMMENDED MOTION: That the Board execute and authorize the Transportation Department to issue twelve (12) Contract Change Orders: CCO #3 Supplemental 2, CCO #8 Supplemental 1, CCO #9 Supplemental 1, CCO #12 through CCO #16, CCO #16 Supplemental 1, and CCO #17 through CCO #19 on behalf of the property owners within CFD 03-1 and necessary for the successful completion of the project.

BACKGROUND: The County formed CFD 03-1, and sold bonds in September 2004, to finance the construction of Newport Road/Domenigoni Parkway from Menifee Road to Winchester Road (SR 79). The road construction has been progressing steadily and the project is expected to be completed and open to through traffic late this Fall 2006. This project has been an example of the County's commitment to provide road improvements in conjunction with, or in this case well ahead of, the development that is paying for the improvements. The public will receive a tremendous benefit from having the road opened ahead of development, since this road provides another critical east-west regional link and creates an alternative for traffic that must now use SR 74, SR 79 to the south, or Scott Road to access I-215.

Continued on Page 2

George A. Johnson

HS:lr

George A. Johnson

Attachments: Change Orders: 3S2, 8S1, 9S1, 12, 13, 14, 15, 16, 16S1, 17, 18, 19
Director of Transportation

FINANCIAL DATA	Current F.Y. Total Cost:	\$ 1,713,421.05	In Current Year Budget:	Yes
	Current F.Y. Net County Cost:	\$ 0.00	Budget Adjustment:	No
	Annual Net County Cost:	\$ 0.00	For Fiscal Year:	2005/2006

SOURCE OF FUNDS: CFD 03-1, Developer Contribution Work Order No. A8-0785	Positions To Be Deleted Per A-30	<input type="checkbox"/>
	Requires 4/5 Vote	<input checked="" type="checkbox"/>

C.E.O. RECOMMENDATION: APPROVE

County Executive Office Signature

[Signature]

Prev. Agn. Ref.: 9/13/05 (3.81) District: 3 Agenda Number:
8/31/04 (3.2) ATTACHMENTS FILED WITH THE CLERK OF THE BOARD

3.68

Departmental Concurrence

- Policy
- Policy
- Consent
- Consent
- Dep't Recomm.:
- Per Exec. Ofc.:

The Honorable Board of Supervisors

RE: Construction of Newport Road/Domenigoni Parkway, Menifee to Winchester Road (SR79),
Menifee/Winchester areas

Page 2 of 3

The developers who own the property within the CFD have a need to install other improvements necessary for the construction of their projects (mainly utilities) which are desirable to install in conjunction with the construction of Newport Road/Domenigoni Parkway, to minimize cutting and damaging the new pavement. A downside of aggressively starting road construction ahead of development is that in many cases the plans for utilities that serve the adjacent development have not been completed. Therefore, as the road construction progresses we receive numerous requests from the adjacent developers to incorporate the utilities as they are identified, before the road is completed. Although this process leads to a substantially higher rate of change orders than the Department strives for, (and has a track record of achieving), the CFD process for early infrastructure delivery provides an overwhelming public benefit by having the improvements on the ground well ahead of the traffic impacts. Given the current construction climate where we have experienced cost escalations in the order of 20% - 30% per year in asphalt, concrete, and other road construction components, providing an earlier road construction (instead of waiting a year or two for all utility work to be planned) also provides a cost benefit to the development community and ultimately the homeowners in the CFD funding the improvements.

Additionally, there have been certain other situations that have been encountered during the construction that were either a result of the wet season that was experienced in early 2005 or by unknown underground conditions that were not evident until the excavation began.

A summary of the contract change orders that the Transportation Department is asking the Board to approve is provided in Exhibit "A". The original amount of the contract is \$18,847,255.10. These change orders exceed the cumulative change order amount (\$1,884,725.51) that can be authorized by the Director of Transportation and requires Board approval in accordance with Resolution No. 93-047. To date, the County has issued 12 contract change orders on this project totaling \$3,450,092.67, mainly to accelerate construction of the eastern end and to deal with storm related issues. These twelve contract change orders add an additional \$1,713,421.05 to the contract, of this amount, \$1,238,421.05 was requested and directly funded by adjacent developers for utility improvements.

These change orders bring the cumulative change order amount to date to \$5,163,513.72, which is 27.4% of the original contract amount. The funding for these changes is coming from a combination of CFD improvement funding, Menifee Road and Bridge Benefit District funding and out-right developer cash contributions. It is important to perform the work contemplated in these change orders in conjunction with the roadway construction to minimize future public inconvenience and damage to the finished, paved road. It is anticipated that there will be an additional approximately \$1.5 - \$2 million dollars in change orders to be issued on this project to add additional utility facilities in the roadway for impending development and to provide additional funds to deal with slope stability issues in the cut through the mountainous area, and settle claims due to the storms of 2005. These changes and costs are currently under negotiation with the contractor and developers or pending continued evaluation of the slopes in the mountainous cut zone.

Cumulative Contract Change Orders:

Developer Initiated Improvements	\$ 4,192,662.01
County Initiated Improvements	<u>\$ 970,851.71</u>
Total	\$ 5,163,513.72

The Honorable Board of Supervisors
RE: Construction of Newport Road/Domenigoni Parkway, Menifee to Winchester Road (SR79),
Menifee/Winchester areas
Page 3 of 3

Project Costs:

Design Soft Costs & Right of Way		\$ 4,067,000
Construction Inspection & Survey		\$ 3,803,000
Construction		\$ 25,511,000
Original Contract	\$ 18,847,000	
Cumulative Contract Change Orders	\$ 5,164,000	
Anticipated Contract Change Orders	\$ 1,500,000	
Total		<u>\$ 33,381,000</u>

Project Funding:

SB 300	\$ 1,852,000
West County DIF Signal Mitigation District	\$ 733,000
Menifee Road and Bridge Benefit District	\$ 6,996,000
CFD 86-1 Menifee Village	\$ 747,000
CFD 03-1 Newport Road	\$ 15,388,000
CFD 03-1 Newport Road (Developer Initiated CCO)	\$ 2,221,000
Developer Contributions	\$ 5,127,000
Eastern Municipal Water District	<u>\$ 317,000</u>
Total	<u>\$ 33,381,000</u>

Project Work Order No. A8-0785.

EXHIBIT "A"

Contract change order #3 Supplemental 2 in the amount of \$275,000.00 provides funds to construct additional dewatering appurtenances necessary to dewater the site within the proposed roadway and slopes to help ensure the longevity of the new pavement being placed.

Contract change order #8 Supplemental 1 in the amount of \$350,000.00 provides funds to construct additional dry utility crossings necessary for the future adjacent developments, lighting and landscaping. The crossings were requested by the development community and the Department has collected supplemental funds from those parties to fully fund the construction of these changes.

Contract change order #9 Supplemental 1 in the amount of \$55,000.00 provides funds to modify water line facilities. The changes were requested by the developers within the CFD and the Department has collected supplemental funds from those parties to fully fund the construction of these changes.

Contract change order #12 in the amount of \$50,000.00 provides funds to construct an additional storm drain crossing necessary for a future adjacent development. Construction of the new crossing was requested by the Garret Group and the Department has collected supplemental funds from that party to fully fund the construction of these changes.

Contract change order #13 in the amount of \$17,512.00 provides funds to construct an Bus turnout within the cut through the hill. Construction of the turnout was requested by Diamond Brothers and The Rancon Group, and the Department has collected supplemental funds from that party to fully fund the construction of these changes.

Contract change order #14 in the amount of \$69,615.88 provides funds to modify a previously constructed storm drain to accommodate changes required on a future adjacent development. Construction of the changes was requested by DR Horton, Barratt Homes, and The Rancon Group and the Department has collected supplemental funds from that party to fully fund the construction of these changes.

Contract change order #15 in the amount of \$27,102.60 provides additional funds to construct rigid conduit crossings for future additional signals at future street crossings that were not originally contemplated during the design phase of the project.

Contract change order #16 in the amount of \$511,090.75 and contract change order #16 supplemental 1 in the amount of \$70,387.82 provides additional funds to construct additional reclaimed waterline crossings. Construction of the additional crossings were requested by the development community and the Department has collected supplemental funds from DR Horton to fully fund the construction of these changes.

Contract change order #17 in the amount of \$200,000.00 provides additional funds to stabilize the slope on the cut through the mountain with rock bolts. It was found after the excavation began that the slope was not as stable as originally anticipated and this required additional stabilization methods to hold the slope in place. This is in the vicinity of a culturally sensitive area which precluded cutting the slope to a flatter slope.

Contract change order #18 in the amount of \$70,000.00 provides additional funds to construct PVC sleeves to accommodate the developer's installation of future landscaping in the median and adjacent parkway areas. The exact layout of the landscaping and roadway tie-ins for development were not known at the time the original project plans were prepared and therefore the installation was not originally contemplated during the design phase of the project. Adjacent developments are conditioned for the landscape improvements and are responsible for the costs associated with this change and the Department has collected supplemental funds from the DR Horton, Barratt American, Pulte Homes, The Rancon Group, The Garrett Group, and Lennar Homes to fund the construction of these changes.

Contract change order #19 in the amount of \$7,612.00 provides additional funds to install a bus turnout on the new road that was required on a future adjacent development. Construction of the changes was requested by Lennar Homes and the Department has collected supplemental funds from that party to fully fund the construction of these changes.

Summary:

Dewatering (Storm Related)	\$ 275,000.00
Slope Stability	\$ 200,000.00
Developer Initiated Improvements	<u>\$ 1,238,421.05</u>
Total	\$ 1,713,421.05

AWARD

Form 11

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**



FROM: TLMA - Transportation Dept.

SUBMITTAL DATE:
March 12, 2007

SUBJECT: Construction of Traffic Signal, Roadway and Waterline Improvements, State Highway 79 at Anza Road, Anza area

RECOMMENDED MOTION: That the Board accept the low bid of Roadway Engineering and Contracting, Inc. of Riverside, CA in the amount of \$399,869.00. Award the contract to that firm and authorize the Chairman of the Board to execute the contract documents. Amend the Transportation Improvement Program's project budget as proposed on Attachment "A".

BACKGROUND: By Minute Order dated December 19, 2006 (agenda item 3.45) the Board authorized the Clerk of the Board to advertise for the construction of traffic signal and roadway improvements at the intersection of State Highway 79 and Anza Road in the Anza area of Riverside County. Bids for the project were opened in the office of the Director of Transportation at 2:00 pm, Wednesday, January 10, 2007. Three bids were received.

George A. Johnson
Director of Transportation

GAJ:sd

(Continued On Attached Page)

FINANCIAL DATA	Current F.Y. Total Cost:	\$ 399,869	In Current Year Budget:	Yes
	Current F.Y. Net County Cost:	\$ 0.00	Budget Adjustment:	No
	Annual Net County Cost:	\$ 0.00	For Fiscal Year:	2006/2007
SOURCE OF FUNDS: West County DIF Signal Mitigation Fund, Rancho California Water District			Positions To Be Deleted Per A-30	<input type="checkbox"/>
			Requires 4/5 Vote	<input type="checkbox"/>

C.E.O. RECOMMENDATION:

County Executive Office Signature

Policy Policy

Consent Consent

Dep't Recomm.:
Per Exec. Ofc.:

Prev. Agn. Ref. 12/19/2006 (3.45)

District: 3

Agenda Number:

MAR 13 2007

Department of Transportation

The Honorable Board of Supervisors

RE: Construction of Traffic Signal, Roadway and Waterline Improvements, State Highway 79
at Anza Road, Anza area

March 12, 2007

Page 2 of 2

The lowest and best bid was submitted by Roadway Engineering and Contracting, Inc. in the amount of \$399,869.00. The bid is \$4,743.00 (1.2%) more than the Engineer's Estimate, and within the target bid range. The contractor is qualified.

This location meets warrants for the construction of a traffic signal, which will provide protected traffic movements and improve traffic safety.

The County's 1/3 share of the annual traffic signal operation and maintenance costs is estimated at \$2,000, to be funded from gas tax.

The bid documents included an alternate bid schedule for the adjustment of a surface facility that is owned by the Rancho California Water District. The water district has provided their concurrence to award their items of work, for which they will be financially responsible on a deposit basis. Construction of the utility adjustment by the County's contractor will improve construction coordination.

The Contractor has executed the contract and has provided bonds and insurance certificate documents which meet the requirements of the contract.

Project No. B4-0507.

DIF FUNDS

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**



FROM: TLMA - Transportation Department

SUBMITTAL DATE:
March 12, 2007

SUBJECT: Engineering and Environmental Services Agreement for the Avenue 66/SR-195 Interchange at SR-86S.

RECOMMENDED MOTION: That the Board of Supervisors:

- 1) Approve the attached Engineering and Environmental Services Agreement between the County of Riverside and Dokken Engineering and authorize the Chairman to execute same;
- 2) Authorize the use of the Development Impact Fee (DIF) for the Coachella-Eastern Area Plan (AP18) - Roads, Bridges and Major Improvement Fund No. 30524 in the amount of \$500,000 for this project; and
- 3) Authorize the Auditor-Controller to amend the Riverside County Transportation Department's FY 2007/08 budget to reflect the recommended budget adjustments as set out in Attachment "A"

BACKGROUND: The proposed new interchange will improve the safety and operational characteristics at the intersection of State Route 86S (SR-86S) and State Route 195/Avenue 66 by eliminating conflicts between local cross traffic and mainline traffic streams. During the three-year period from January 1, 2002 to December 31, 2004, the accident rates were higher than the average rates for similar types of facilities. As traffic volumes increase on SR-86-S mainline as well as on cross streets, the operating conditions on

Departmental Concurrence

(Continued)

JCP:dlp

George A. Johnson
Director of Transportation

FINANCIAL DATA	Current F.Y. Total Cost:	\$ 1,016,126	In Current Year Budget:	Yes
	Current F.Y. Net County Cost:	\$ 0	Budget Adjustment:	No
	Annual Net County Cost:	\$ 0	For Fiscal Year:	2006/07

SOURCE OF FUNDS: SB 621 Indian Gaming Special Distribution Funds, Roads, Bridges, and Major Improvement DIF Funds for Coachella-Eastern Area Plan. Proj. No. B60473	Positions To Be Deleted Per A-30	<input type="checkbox"/>
	Requires 4/5 Vote	<input type="checkbox"/>

C.E.O. RECOMMENDATION:

County Executive Office Signature

- | | | | | | |
|-----------------|--------------------------|---------|-------------------------------------|--------|--------------------------|
| Dept't Recomm.: | <input type="checkbox"/> | Consent | <input checked="" type="checkbox"/> | Policy | <input type="checkbox"/> |
| Per Exec. Ofc.: | <input type="checkbox"/> | Consent | <input type="checkbox"/> | Policy | <input type="checkbox"/> |

Prev. Agn. Ref.:

District: 4

Agenda Number:

**Honorable Board of Supervisors
Engineering and Environmental Services Agreement for Avenue 66/SR-195 Interchange
at SR-86S Project.
March 12, 2007
Page 1 of 2**

SR-86S will deteriorate until the expressway facility is converted to a freeway facility. The proposed project will study various alternatives for a new interchange on SR-86S at SR-195/Avenue 66.

Dokken Engineering is on the Transportation Department's Pre-Qualified List of Structural design firms. The list was established through a request for proposals, which was advertised in the Press Enterprise. Fifteen firms submitted qualifications. Representatives from Caltrans, CVAG and the Riverside County Transportation Department evaluated the written proposals and interviewed the ten top ranked firms.

Dokken Engineering was selected as the firm to provide the needed services for this project, and a not to exceed budget of \$2,554,186 (including contingency) was negotiated between Dokken Engineering and the Riverside County Transportation Department. The project scope includes preliminary engineering, a Project Report, environmental studies and preparation of the Environmental Document, environmental permitting, final design and construction support. The initial work authorization to Dokken Engineering will not exceed \$1,016,126 for the project approval and environmental document phase. Additional work authorizations up to Dokken's not to exceed budget will be contingent upon satisfactory progress of the work and availability of full funding for the remaining phases of the work.

The initial phase of the project is funded with \$827,892 in SB 621 Indian Gaming Special Distribution and the balance with DIF funds. Some DIF funds are also being programmed to cover the cost of the County's project management. This Project is on the DIF facilities list. It is anticipated that later phases of the project will also include Federal funds.

Attachment "A"

Increase Estimated Revenues:

20000-3130500000-778190	Interfund Development Fees	\$500,000
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Increase Appropriations:

20000-3130500000-527980	Contracts	\$500,000
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COUNTY OF RIVERSIDE

TRANSPORTATION AND LAND MANAGEMENT AGENCY



David E. Barnhart
Director of Transportation

Transportation Department

MEMORANDUM

DATE: October 19, 1995

TO: Transportation Department Support Staff

FROM: Honey Bernas *HB*
Executive Secretary II

RE: PROCEDURE REGARDING DOCUMENTS PREPARED FOR
TRANSPORTATION DIRECTOR'S SIGNATURE

In order to assure that correspondence signed by Dave Barnhart is sent out in the timeliest manner possible, all such correspondence will be sent out by the Director's Office staff, including all courtesy copies. In order to accomplish this, I need your assistance.

Effective immediately, when sending documents to the Director's Office for signature, please include the following, assembled in the order listed:

1. Pink route slip initialed by author and appropriate chain of command.
2. Original document for Dave Barnhart's signature.
3. Attachments (if any).
4. Originating request (including buck tag).
5. Copies of attachments for courtesy copies with addressed envelopes attached.
6. One extra copy of attachments for Director's Office files.

If you have any questions, comments or suggestions, please call me at 5-6743.

Thank you for your cooperation.

DEB:hb

cc: Division Heads



COUNTY OF RIVERSIDE
TRANSPORTATION AND
LAND MANAGEMENT AGENCY



David E. Barnhart
Director of Transportation

Transportation Department

MEMORANDUM

DATE: April 25, 1995

TO: Division/Section Heads

FROM: David E. Barnhart
Director of Transportation 

RE: **FORM 11's REGARDING CONTRACT CHANGE ORDERS AND
CONTRACT AMENDMENTS**

As a result of a request from the Board on April 25, 1995, all future Form 11's that transmit recommendations from the Department for Board approval of Contract Change Orders or Contract Amendments to contracts for professional services shall have a section in the contents of the report with the following heading: Could Contract Change Order/Contract Amendment have been Avoided.

The Board is interested in knowing what steps might have been taken during the design or contract negotiation stage that would have precluded the need for change orders or contract amendments. Please be sure that your statement in this section of the report is objective and has input from those involved in the original design or contract negotiations.

If there are any questions, please let me know.

DEB:hb

cc: Frank Sherkow
Jeannie Smith
Hilda Rose



Franklin E. Sherkow
Agency Director

COUNTY OF RIVERSIDE

TRANSPORTATION AND LAND MANAGEMENT AGENCY



T. H. Ingram
Director



David E. Barnhart
Director



Aleta J. Laurence
Director

MEMORANDUM

DATE: November 2, 1994

TO: Dave Barnhart
Director of Transportation

FROM: Frank Sherkow 
TLMA-Agency Director

RE: News Releases for Ground Breaking and Dedication/ Ribbon
Cutting Ceremonies

We need to be sure that the Project Manager prepares a news release for ground breaking and dedication/ribbon cutting ceremonies as they occur and forward to Tom DeSantis, Public Information Officer, in the County Administrative Office, at least a week ahead of ceremony to ensure press coverage at these events.

FES:js

cc: Tek Tanaka 