

**COUNTY OF MONTEREY AGREEMENT FOR PROFESSIONAL SERVICES
WITH SURVEYORS, ARCHITECTS, ENGINEERS & DESIGN PROFESSIONALS
(MORE THAN \$100,000)***

This Professional Services Agreement (“Agreement”) is made by and between the County of Monterey, a political subdivision of the State of California (hereinafter “County”) and:

Vali Cooper & Associates, Inc.
(hereinafter “CONTRACTOR”).

In consideration of the mutual covenants and conditions set forth in this Agreement, the parties agree as follows:

1. SERVICES TO BE PROVIDED. The County hereby engages CONTRACTOR to perform, and CONTRACTOR hereby agrees to perform, the services described in **Exhibit A** in conformity with the terms of this Agreement. The services are generally described as follows:

Provide construction management services for the Peach Tree Road Bridge Replacement Project, Bridge No. 412

2. PAYMENTS BY COUNTY. County shall pay the CONTRACTOR in accordance with the payment provisions set forth in **Exhibit A**, subject to the limitations set forth in this Agreement. The total amount payable by County to CONTRACTOR under this Agreement shall not exceed the sum of \$ 240,094.

3. TERM OF AGREEMENT. The term of this Agreement is from July 1, 2016 to June 30, 2019, unless sooner terminated pursuant to the terms of this Agreement. This Agreement is of no force or effect until signed by both CONTRACTOR and County and with County signing last, and CONTRACTOR may not commence work before County signs this Agreement.

4. ADDITIONAL PROVISIONS/EXHIBITS. The following attached exhibits are incorporated herein by reference and constitute a part of this Agreement:

| | |
|------------------|---|
| Exhibit A | Scope of Services/Payment Provisions |
| Exhibit B | Revision to Subsection 7.02 of Section 7, Termination |
| Exhibit C | Federal Provisions |
| Exhibit D | Incorporation of Request for Proposals (RFP) #2201 and Proposal Documents |

5. PERFORMANCE STANDARDS.

5.01. CONTRACTOR warrants that CONTRACTOR and CONTRACTOR’s agents, employees, and subcontractors performing services under this Agreement are specially trained, experienced, competent, and appropriately licensed to perform the work and deliver the services required under this Agreement and are not employees of the County, or immediate family of an employee of the County.

5.02. CONTRACTOR, its agents, employees, and subcontractors shall perform all work in a safe and skillful manner and in compliance with all applicable laws and regulations. All work performed under this Agreement that is required by law to be performed or supervised by licensed personnel shall be performed in accordance with such licensing requirements.

*Approved by County Board of Supervisors on _____.

5.03. CONTRACTOR shall furnish, at its own expense, all materials, equipment, and personnel necessary to carry out the terms of this Agreement, except as otherwise specified in this Agreement. CONTRACTOR shall not use County premises, property (including equipment, instruments, or supplies) or personnel for any purpose other than in the performance of its obligations under this Agreement.

6. PAYMENT CONDITIONS.

6.01. CONTRACTOR shall submit to the Contract Administrator an invoice on a form acceptable to County. If not otherwise specified, the CONTRACTOR may submit such invoice periodically or at the completion of services, but in any event, not later than 30 days after completion of services. The invoice shall set forth the amounts claimed by CONTRACTOR for the previous period, together with an itemized basis for the amounts claimed, and such other information pertinent to the invoice as the County may require. The Contract Administrator or his or her designee shall certify the invoice; either in the requested amount or in such other amount as the County approves in conformity with this Agreement, and shall promptly submit such invoice to the County Auditor-Controller for payment. The County Auditor-Controller shall pay the amount certified within 30 days of receiving the certified invoice.

6.02. CONTRACTOR shall not receive reimbursement for travel expenses unless set forth in this Agreement.

7. TERMINATION.

7.01. During the term of this Agreement, the County may terminate the Agreement for any reason by giving written notice of termination to the CONTRACTOR at least thirty (30) days prior to the effective date of termination. Such notice shall set forth the effective date of termination. In the event of such termination, the amount payable under this Agreement shall be reduced in proportion to the services provided prior to the date of termination.

7.02. The County may cancel and terminate this Agreement for good cause effective immediately upon written notice to CONTRACTOR. "Good cause" includes the failure of CONTRACTOR to perform the required services at the time and in the manner provided under this Agreement. ~~If County terminates this Agreement for good cause, the County may be relieved of the payment of any consideration to CONTRACTOR, and the County may proceed with the work in any manner, which County deems proper. The cost to the County shall be deducted from any sum due the CONTRACTOR under this Agreement.~~

See Exhibit B - Revision to Subsection 7.02 of Section 7, TERMINATION (attached hereto and incorporated by this reference).

8. INDEMNIFICATION.

8.01 For purposes of the following indemnification provisions ("Indemnification Agreement"), "design professional" has the same meaning as set forth in California Civil Code section 2782.8. If any term, provision or application of this Indemnification Agreement is found to be invalid, in violation of public policy or unenforceable to any extent, such finding shall not invalidate any other term or provision of this Indemnification Agreement and such other terms and provisions shall continue in full force and effect. If there is any conflict between the terms, provisions or application of this Indemnification Agreement and the provisions of California Civil Code Sections 2782 or 2782.8, the broadest indemnity protection for the COUNTY under this Indemnity Agreement that is permitted by law shall be provided by CONTRACTOR.

MB/cpf *6/16/2016*
(Initials) (Date)

8.02 Indemnification for Design Professional Services Claims:

CONTRACTOR shall indemnify, defend and hold harmless COUNTY, its governing board, directors, officers, employees, and agents against any claims that arise out of, or pertain to, or relate to the negligence, recklessness, or willful misconduct of the CONTRACTOR, its employees, subcontractors, and agents in the performance of design professional services under this Agreement, excepting only liability arising from the sole negligence, active negligence or willful misconduct of the COUNTY, or defect in a design furnished by the COUNTY.

8.03 Indemnification for All Other Claims or Loss:

For any claim, loss, injury, damage, expense or liability other than claims arising out of the CONTRACTOR's performance of design professional services under this Agreement, CONTRACTOR shall indemnify, defend and hold harmless COUNTY, its governing board, directors, officers, employees, and agents against any claim for loss, injury, damage, expense or liability resulting from or alleging injury to or death of any person or loss of use of or damage to property, arising from or related to the performance of services under this Agreement by CONTRACTOR, its employees, subcontractors or agents, excepting only liability arising from the sole negligence, active negligence or willful misconduct of the COUNTY, or defect in a design furnished by the COUNTY.

9.0 INSURANCE.

9.01 Evidence of Coverage:

Prior to commencement of this Agreement, the Contractor shall provide a "Certificate of Insurance" certifying that coverage as required herein has been obtained. Individual endorsements executed by the insurance carrier shall accompany the certificate. In addition the Contractor upon request shall provide a certified copy of the policy or policies.

This verification of coverage shall be sent to the County's, Contracts/Purchasing Department, unless otherwise directed. The Contractor shall not receive a "Notice to Proceed" with the work under this Agreement until it has obtained all insurance required and such, insurance has been approved by the County. This approval of insurance shall neither relieve nor decrease the liability of the Contractor.

9.02 Qualifying Insurers:

All coverage's, except surety, shall be issued by companies which hold a current policy holder's alphabetic and financial size category rating of not less than A- VII, according to the current Best's Key Rating Guide or a company of equal financial stability that is approved by the County's Purchasing Manager.

9.03 Insurance Coverage Requirements: Without limiting CONTRACTOR's duty to indemnify, CONTRACTOR shall maintain in effect throughout the term of this Agreement a policy or policies of insurance with the following minimum limits of liability:

Commercial general liability insurance, including but not limited to premises and operations, including coverage for Bodily Injury and Property Damage, Personal Injury, Contractual Liability, Broadform Property Damage, Independent Contractors, Products and Completed Operations, with a combined single limit for Bodily Injury and Property Damage of not less than \$1,000,000 per occurrence.

Modification (Justification attached; subject to approval).

Business automobile liability insurance, covering all motor vehicles, including owned, leased, non-owned, and hired vehicles, used in providing services under this Agreement, with a combined single limit for Bodily Injury and Property Damage of not less than \$1,000,000 per occurrence.

Modification (Justification attached; subject to approval).

Workers' Compensation Insurance, if CONTRACTOR employs others in the performance of this Agreement, in accordance with California Labor Code section 3700 and with Employer's Liability limits not less than \$1,000,000 each person, \$1,000,000 each accident and \$1,000,000 each disease.

Modification (Justification attached; subject to approval).

Professional liability insurance, if required for the professional services being provided, (e.g., those persons authorized by a license to engage in a business or profession regulated by the California Business and Professions Code), in the amount of not less than \$1,000,000 per claim and \$2,000,000 in the aggregate, to cover liability for malpractice or errors or omissions made in the course of rendering professional services. If professional liability insurance is written on a "claims-made" basis rather than an occurrence basis, the CONTRACTOR shall, upon the expiration or earlier termination of this Agreement, obtain extended reporting coverage ("tail coverage") with the same liability limits. Any such tail coverage shall continue for at least three years following the expiration or earlier termination of this Agreement.

Modification (Justification attached; subject to approval).

9.04 Other Insurance Requirements.

All insurance required by this Agreement shall be with a company acceptable to the County and issued and executed by an admitted insurer authorized to transact Insurance business in the State of California. Unless otherwise specified by this Agreement, all such insurance shall be written on an occurrence basis, or, if the policy is not written on an occurrence basis, such policy with the coverage required herein shall continue in effect for a period of three years following the date CONTRACTOR completes its performance of services under this Agreement.

Each liability policy shall provide that the County shall be given notice in writing at least thirty days in advance of any endorsed reduction in coverage or limit, cancellation, or intended non-renewal thereof. Each policy shall provide coverage for Contractor and additional insureds with respect to claims arising from each subcontractor, if any, performing work under this Agreement, or be accompanied by a certificate of insurance from each subcontractor showing each subcontractor has identical insurance coverage to the above requirements.

Commercial general liability and automobile liability policies shall provide an endorsement naming the County of Monterey, its officers, agents, and employees as Additional Insureds with respect to liability arising out of the CONTRACTOR'S work, including ongoing and completed

operations, and shall further provide that such insurance is primary insurance to any insurance or self-insurance maintained by the County and that the insurance of the Additional Insureds shall not be called upon to contribute to a loss covered by the CONTRACTOR'S insurance. The required endorsement form for Commercial General Liability Additional Insured is ISO Form CG 20 10 11-85 or CG 20 10 10 01 in tandem with CG 20 37 10 01 (2000). The required endorsement form for Automobile Additional Insured endorsement is ISO Form CA 20 48 02 99.

Prior to the execution of this Agreement by the County, CONTRACTOR shall file certificates of insurance with the County's contract administrator and County's Contracts/Purchasing Division, showing that the CONTRACTOR has in effect the insurance required by this Agreement. The CONTRACTOR shall file a new or amended certificate of insurance within five calendar days after any change is made in any insurance policy, which would alter the information on the certificate then on file. Acceptance or approval of insurance shall in no way modify or change the indemnification clause in this Agreement, which shall continue in full force and effect.

CONTRACTOR shall at all times during the term of this Agreement maintain in force the insurance coverage required under this Agreement and shall send, without demand by County, annual certificates to County's Contract Administrator and County's Contracts/Purchasing Division. If the certificate is not received by the expiration date, County shall notify CONTRACTOR and CONTRACTOR shall have five calendar days to send in the certificate, evidencing no lapse in coverage during the interim. Failure by CONTRACTOR to maintain such insurance is a default of this Agreement, which entitles County, at its sole discretion, to terminate this Agreement immediately.

10. RECORDS AND CONFIDENTIALITY.

- 10.01 Confidentiality. CONTRACTOR and its officers, employees, agents, and subcontractors shall comply with any and all federal, state, and local laws, which provide for the confidentiality of records and other information. CONTRACTOR shall not disclose any confidential records or other confidential information received from the County or prepared in connection with the performance of this Agreement, unless County specifically permits CONTRACTOR to disclose such records or information. CONTRACTOR shall promptly transmit to County any and all requests for disclosure of any such confidential records or information. CONTRACTOR shall not use any confidential information gained by CONTRACTOR in the performance of this Agreement except for the sole purpose of carrying out CONTRACTOR's obligations under this Agreement.
- 10.02 County Records. When this Agreement expires or terminates, CONTRACTOR shall return to County any County records which CONTRACTOR used or received from County to perform services under this Agreement.
- 10.03 Maintenance of Records. CONTRACTOR shall prepare, maintain, and preserve all reports and records that may be required by federal, state, and County rules and regulations related to services performed under this Agreement. CONTRACTOR shall maintain such records for a period of at least three years after receipt of final payment under this Agreement. If any litigation, claim, negotiation, audit exception, or other action relating to this Agreement is pending at the end of the three year period, then CONTRACTOR shall retain said records until such action is resolved.

10.04 Access to and Audit of Records. The County shall have the right to examine, monitor and audit all records, documents, conditions, and activities of the CONTRACTOR and its subcontractors related to services provided under this Agreement. Pursuant to Government Code section 8546.7, if this Agreement involves the expenditure of public funds in excess of \$10,000, the parties to this Agreement may be subject, at the request of the County or as part of any audit of the County, to the examination and audit of the State Auditor pertaining to matters connected with the performance of this Agreement for a period of three years after final payment under the Agreement.

10.05 Royalties and Inventions. County shall have a royalty-free, exclusive and irrevocable license to reproduce, publish, and use, and authorize others to do so, all original computer programs, writings, sound recordings, pictorial reproductions, drawings, and other works of similar nature produced in the course of or under this Agreement. CONTRACTOR shall not publish any such material without the prior written approval of County.

11. **NON-DISCRIMINATION.** During the performance of this Agreement, CONTRACTOR, and its subcontractors, shall not unlawfully discriminate against any person because of race, religious creed, color, sex, national origin, ancestry, physical disability, mental disability, medical condition, marital status, age (over 40), or sexual orientation, either in CONTRACTOR's employment practices or in the furnishing of services to recipients. CONTRACTOR shall ensure that the evaluation and treatment of its employees and applicants for employment and all persons receiving and requesting services are free of such discrimination. CONTRACTOR and any subcontractor shall, in the performance of this Agreement, fully comply with all federal, state, and local laws and regulations, which prohibit discrimination. The provision of services primarily or exclusively to such target population as may be designated in this Agreement shall not be deemed to be prohibited discrimination.

12. **COMPLIANCE WITH TERMS OF STATE OR FEDERAL GRANT.** If this Agreement has been or will be funded with monies received by the County pursuant to a contract with the state or federal government in which the County is the grantee, CONTRACTOR will comply with all the provisions of said contract, to the extent applicable to CONTRACTOR as a subgrantee under said contract, and said provisions shall be deemed a part of this Agreement, as though fully set forth herein. Upon request, County will deliver a copy of said contract to CONTRACTOR, at no cost to CONTRACTOR.

13. **INDEPENDENT CONTRACTOR.** In the performance of work, duties, and obligations under this Agreement, CONTRACTOR is at all times acting and performing as an independent contractor and not as an employee of the County. No offer or obligation of permanent employment with the County or particular County department or agency is intended in any manner, and CONTRACTOR shall not become entitled by virtue of this Agreement to receive from County any form of employee benefits including but not limited to sick leave, vacation, retirement benefits, workers' compensation coverage, insurance or disability benefits. CONTRACTOR shall be solely liable for and obligated to pay directly all applicable taxes, including federal and state income taxes and social security, arising out of CONTRACTOR's performance of this Agreement. In connection therewith, CONTRACTOR shall defend, indemnify, and hold County harmless from any and all liability, which County may incur because of CONTRACTOR's failure to pay such taxes.

14. **NOTICES.** Notices required under this Agreement shall be delivered personally or by first-class, postage pre-paid mail to the County and CONTRACTOR'S contract administrators at the addresses listed below:

| FOR COUNTY: | FOR CONTRACTOR: |
|--|---|
| Dalia Mariscal-Martinez, Management Analyst II | Marian Ross, Chief Financial Officer |
| Name and Title | Name and Title |
| County of Monterey, Resource Management Agency 168 West Alisal Street, 2nd Floor Salinas, CA 93901 | Vali Cooper & Associates, Inc. 2000 Powell Street, Suite 550 Emeryville, CA 94608 |
| Address | Address |
| (831) 755-8966 | (510) 446-8301 |
| Phone | Phone |

15. **MISCELLANEOUS PROVISIONS.**

- 15.01 Conflict of Interest. CONTRACTOR represents that it presently has no interest and agrees not to acquire any interest during the term of this Agreement, which would directly or indirectly conflict in any manner or to any degree with the full and complete performance of the professional services required to be rendered under this Agreement.
- 15.02 Amendment. This Agreement may be amended or modified only by an instrument in writing signed by the County and the CONTRACTOR.
- 15.03 Waiver. Any waiver of any terms and conditions of this Agreement must be in writing and signed by the County and the CONTRACTOR. A waiver of any of the terms and conditions of this Agreement shall not be construed as a waiver of any other terms or conditions in this Agreement.
- 15.04 Contractor. The term "CONTRACTOR" as used in this Agreement includes CONTRACTOR's officers, agents, and employees acting on CONTRACTOR's behalf in the performance of this Agreement.
- 15.05 Disputes. CONTRACTOR shall continue to perform under this Agreement during any dispute.
- 15.06 Assignment and Subcontracting. The CONTRACTOR shall not assign, sell, or otherwise transfer its interest or obligations in this Agreement without the prior written consent of the County. None of the services covered by this Agreement shall be subcontracted without the prior written approval of the County. Notwithstanding any such subcontract, CONTRACTOR shall continue to be liable for the performance of all requirements of this Agreement.
- 15.07 Successors and Assigns. This Agreement and the rights, privileges, duties, and obligations of the County and CONTRACTOR under this Agreement, to the extent assignable or delegable, shall be binding upon and inure to the benefit of the parties and their respective successors, permitted assigns, and heirs.

- 15.08 Compliance with Applicable Law. The parties shall comply with all applicable federal, state, and local laws and regulations in performing this Agreement.
- 15.09 Headings. The headings are for convenience only and shall not be used to interpret the terms of this Agreement.
- 15.10 Time is of the Essence. Time is of the essence in each and all of the provisions of this Agreement.
- 15.11 Governing Law. This Agreement shall be governed by and interpreted under the laws of the State of California.
- 15.12 Non-exclusive Agreement. This Agreement is non-exclusive and both County and CONTRACTOR expressly reserve the right to contract with other entities for the same or similar services.
- 15.13 Construction of Agreement. The County and CONTRACTOR agree that each party has fully participated in the review and revision of this Agreement and that any rule of construction to the effect that ambiguities are to be resolved against the drafting party shall not apply in the interpretation of this Agreement or any amendment to this Agreement.
- 15.14 Counterparts. This Agreement may be executed in two or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same Agreement.
- 15.15 Authority. Any individual executing this Agreement on behalf of the County or the CONTRACTOR represents and warrants hereby that he or she has the requisite authority to enter into this Agreement on behalf of such party and bind the party to the terms and conditions of this Agreement.
- 15.16 Integration. This Agreement, including the exhibits, represent the entire Agreement between the County and the CONTRACTOR with respect to the subject matter of this Agreement and shall supersede all prior negotiations, representations, or agreements, either written or oral, between the County and the CONTRACTOR as of the effective date of this Agreement, which is the date that the County signs the Agreement.
- 15.17 Interpretation of Conflicting Provisions. In the event of any conflict or inconsistency between the provisions of this Agreement and the Provisions of any exhibit or other attachment to this Agreement, the provisions of this Agreement shall prevail and control.

This space is left blank, intentionally.

IN WITNESS WHEREOF, County and CONTRACTOR have executed this Agreement as of the day and year written below.

COUNTY OF MONTEREY

CONTRACTOR

By: _____
Purchasing Officer

Date: _____

By: _____
Department Head (if applicable)

Date: _____

By: _____
Board of Supervisors (if applicable)

Date: _____

Approved as to Form¹

By: _____
County Counsel

Date: _____
Deputy, 6-8-16

Approved as to Fiscal Provisions²

By: _____
Auditor/Controller

Date: _____
6/9/16

Approved as to Liability Provisions³

By: _____
Risk Management

Date: _____

Vali Cooper & Associates, Inc.

Contractor's Business Name*

By: _____

(Signature of Chair, President, or Vice-President)*

Conetta Fremier, Exec VP
Name and Title

Date: _____
6/6/16

By: _____

(Signature of Secretary, Asst. Secretary, CFO, Treasurer or Asst. Treasurer)*

Marian Ross, CFO
Name and Title

Date: _____
6/6/2016

County Board of Supervisors' Agreement Number: _____

*INSTRUCTIONS: If CONTRACTOR is a corporation, including limited liability and non-profit corporations, the full legal name of the corporation shall be set forth above together with the signatures of two specified officers. If CONTRACTOR is a partnership, the name of the partnership shall be set forth above together with the signature of a partner who has authority to execute this Agreement on behalf of the partnership. If CONTRACTOR is contracting in an individual capacity, the individual shall set forth the name of the business, if any, and shall personally sign the Agreement.

¹Approval by County Counsel is required for all Professional Service Agreements over \$100,000

²Approval by Auditor/Controller is required for all Professional Service Agreements

³Approval by Risk Management is required only if changes are made in paragraph 8 or 9

EXHIBIT A – SCOPE OF SERVICES/PAYMENT PROVISIONS

**To Agreement by and between
County of Monterey, hereinafter referred to as “County”
and
Vali Cooper & Associates, Inc., hereinafter referred to as “CONTRACTOR”**

Peach Tree Road Bridge Replacement Project, County Bridge No. 412 (Project) consists of replacing the existing bridge with a replacement of the existing seismically deficient bridge over Pancho Rico Creek, located east of San Ardo in eastern Monterey County. The proposed Project involves the installation of a simple span precast, prestressed concrete voided slab unit bridge approximately seventy-four (74) feet long and twenty-seven (27) feet wide including removal of existing steel deck unit bridge approximately fifty-eight (58) feet long and seventeen (17) feet wide. The roadway work consists, in general, of constructing bridge-approach roadway conforms and rock slope protection.

CONTRACTOR shall provide the following construction management and engineering inspection services in accordance with Request for Proposals (RFP) #2201, to provide Construction Management Services for the Project:

CONTRACT ADMINISTRATION:

CONTRACTOR shall provide overall coordination of construction management services, including supervision of contract administration, labor compliance, Disadvantaged Business Enterprises (DBE) programs, field observations and outside services. CONTRACTOR shall attend regularly scheduled Project meetings with the County or other representatives to review the progress of the work, resolve field problems as they occur, and perform Project-related public relations with the Public and outside agencies such as the United States Army Corps of Engineers (USACE) and the California Department of Fish and Game (CDFG).

GENERAL INSPECTION:

CONTRACTOR shall provide a Resident Engineer for the daily inspection and supervision of the work of the Construction Contractor’s operations as construction progresses, and promptly report and resolve problems regarding performance and/or conformity with the drawings and specifications, including contract administration and construction engineering of the assigned Project. CONTRACTOR shall provide an Assistant Resident Engineer to assist the Resident Engineer in managing construction operations. In accordance with the State Standard Specifications and Special Provisions, CONTRACTOR shall ensure that all utility work is coordinated with the appropriate utility company and that all the appropriate permits and inspections are obtained for all items of work.

CHANGE ORDERS:

In accordance with State Standard Specifications, the State Special Provisions and the County format, CONTRACTOR shall prepare, process, and make recommendations on change orders. The County will approve all change orders.

SURVEYING:

CONTRACTOR shall coordinate and supervise construction surveying and staking. Construction staking is to be included in the services provided by CONTRACTOR.

MATERIAL TESTING:

CONTRACTOR shall coordinate, interpret, certify, and supervise all required soils and materials tests in accordance with the California Department of Transportation (Caltrans) test methods and State Standard Specifications. CONTRACTOR shall provide the County with a Caltrans certified material testing company to provide materials testing services per Caltrans Standard Specifications.

EXHIBIT A – SCOPE OF SERVICES/PAYMENT PROVISIONS

TEST DATA:

CONTRACTOR shall review and approve copies of certificates of compliance, independent testing laboratory reports, and manufacturer's shop or mill tests to ensure conformance with contract specifications.

PLAN INTERPRETATION:

With the assistance of the County Engineer, as needed, CONTRACTOR shall interpret the intent of the plans and specifications to protect the County against defects and deficiencies in construction on the part of the Construction Contractor.

PRE-CONSTRUCTION CONFERENCE:

CONTRACTOR shall organize and chair a pre-construction meeting with the Construction Contractor and other Project participants. This discussion affords all the Parties of the contract a common understanding of the proposed work and problems, and possible solutions that may be expected during the life of the contract. Labor compliance, equal employment opportunity, safety requirements, water pollution requirements, agreements, and permits shall also be discussed. Respond to questions the Construction Contractor may have and address issues that need to be resolved before work commences.

SAFETY AND ACCIDENTS:

CONTRACTOR shall assume the duties of the Project Safety Coordinator. CONTRACTOR shall ensure the Construction Contractor complies with all safety orders, Federal and State, and permits through normal contract administration procedures. CONTRACTOR shall document all incidents with photographs and written reports. CONTRACTOR shall manage safety precautions through the Construction Contractor for the Public in construction areas.

APPROVAL SCHEDULE:

CONTRACTOR shall prepare a schedule (using Microsoft Project) indicating all items that will be submitted by the Construction Contractor for review and approval requiring action by the County. CONTRACTOR shall furnish appropriate forms, as necessary, and monitor the Construction Contractor's adherence to the schedule.

FALSE WORK AND SHOP DRAWINGS:

CONTRACTOR shall keep records, provide timely engineering review, and prepare written recommendations certifying the adequacy of the Construction Contractor's submittal for false work as well as construction of false work. CONTRACTOR shall coordinate, document, and make engineering recommendations in writing on approval of shop drawings. Final submittal approvals shall be made in consultation with the County.

PROGRESS STATEMENTS:

CONTRACTOR shall prepare and provide monthly progress statements meeting County requirements including the following: monthly estimates on all items of work with source documents to verify progress payments. CONTRACTOR shall submit weekly copies of daily Resident Engineer and Assistant Resident Engineer diaries to the County. CONTRACTOR shall submit a copy of the baseline progress schedule and monthly updates as required by the State's Special Provisions.

FINAL WALK-THROUGH AND FINAL INSPECTION:

CONTRACTOR shall conduct a final walk-through two (2) weeks prior to completion of construction. Minutes of this walk-through will be completed by the CONTRACTOR and a copy will be sent to the County. The final walk-through list of attendees will be coordinated with the County. CONTRACTOR will complete a final inspection of the Project and complete the required Final Report forms.

EXHIBIT A – SCOPE OF SERVICES/PAYMENT PROVISIONS

AS-BUILT PLANS:

CONTRACTOR shall provide the County with an electronic as-built plan file complete with redline changes or corrections. Such plans will be based upon information obtained from field measurements and observations made during Project construction and approved contract change orders. The electronic signature and seal of the responsible Registered Resident Engineer or Construction Engineer will be placed in the file on Level 62 (refer to “Highway Design and Topography Information” on Page 2.5-2 of the *Caltrans CADD Users Manual*).

CONTRACT RECORDS:

At the completion of the Project, CONTRACTOR shall submit the original set of construction books to the County catalogued in accordance with Chapter 5, Section 5-102, “Organization of Project Documents”, of the *Caltrans Construction Manual* and as directed by the County. These records shall include all correspondence, meeting minutes, photographs, agreements, hazardous waste material information and tests, labor compliance, contract administration forms, bridge work, diaries, contract item quantity documents, contract change orders, Project status sheets, Project record-estimate and Project status, disputes, Project completion documents, etc.

Tasks and Deliverables:

Tasks and deliverables related to above outlined services are as follows:

TASK 1: PRE-CONSTRUCTION AND START-UP SUPPORT

In the pre-construction phase, CONTRACTOR will focus on establishing lines of communication, clearly understanding the stakeholders’ concerns, assisting the County with the award process, and processing early submittals, including the Storm Water Pollution Prevention Plan (SWPPP) and the critical path method (CPM) baseline schedule, to make sure the Project begins smoothly.

Deliverables for this task will be:

- Contract Document Review
- Construction Management Plan and Project Procedures
- Documentation of Existing Site Conditions
- Project Files Set-Up
- Pre-Bid Conference
- Pre-Construction Conference
- Baseline Schedule Review
- Pre-Construction Coordination with Project Stakeholders
- Submittals List

TASK 2: CONSTRUCTION PHASE CONSTRUCTION MANAGEMENT SERVICES

In the construction phase, CONTRACTOR will work with the County for cost control and schedule management; to provide timely responses to all correspondence, submittals, and requests for information (RFIs); and to process all contract change orders and estimates. In the field, CONTRACTOR will document all field conditions, work completed, and materials used.

EXHIBIT A – SCOPE OF SERVICES/PAYMENT PROVISIONS

Deliverables for this task will be:

- Weekly Progress Meetings
- Monthly Progress Meetings
- Schedule Update Reviews
- Statement of Working Days
- Monthly Payment Review
- Submittals and RFI Management
- Contract Change Order Management
- Potential Claims Management
- Traffic Control Plan Implementation
- Labor Code and Certified Payroll
- Construction Inspection
- Permitting and Environmental Monitoring
- Stormwater Pollution Prevention Plan Monitoring
- Materials Sampling and Testing
- Construction Staking
- Public Outreach

TASK 3: POST-CONSTRUCTION SUPPORT

In the post-construction phase, CONTRACTOR will conduct a final walk-through with the County and the California Department of Transportation (Caltrans) and will prepare a final punch list. Once complete, the final estimate will be issued, the Project will be accepted, and the as-built drawings and Project records will be delivered to the County.

Deliverables for this task will be:

- As-Built Drawings
- Final Walk Through
- Final Report
- Final Payment and Final Report of Expenditure Checklist
- Project Closeout

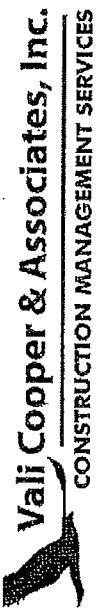
INVOICES:

Invoices under this Agreement shall be submitted monthly and promptly, and in accordance with Paragraph 6, "Payment Conditions", of the Agreement. All invoices shall reference the Project name and associated Multi-Year Agreement (MYA) number, and an original hardcopy shall be sent to the following:

County of Monterey
Resource Management Agency (RMA) – Finance Division
168 West Alisal Street, 2nd Floor
Salinas, California 93901

Any questions pertaining to invoices under this Agreement shall be directed to the RMA Finance Division at (831) 755-4800.

EXHIBIT A – SCOPE OF SERVICES/PAYMENT PROVISIONS



VALI COOPER & ASSOCIATES, INC.
 County of Monterey | Construction Management Services for Peach Tree Road Bridge Replacement Project

Estimated NTP (CM Services) July 2016
 Estimated Completion February 2017
 May 25, 2016
 Cost of Services Worksheet

| Project Schedule | 2016 | | | | | | | | | | | | 2017 | | | |
|--|---------------|-----|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|------|-----------|-----------|-----------|
| | May | Jun | Jul | Aug | Sept | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Totals | |
| Calendar days | 31 | 30 | 31 | 30 | 31 | 31 | 30 | 31 | 31 | 28 | | | | | | |
| | 21 | 22 | 20 | 23 | 21 | 21 | 20 | 21 | 21 | 20 | | | | | | |
| Work days | | | | | | | | | | | | | | | | |
| TASK 1: PRE-CONSTRUCTION AND START-UP | | | | | | | | | | | | | | | | |
| TASK 2: CONSTRUCTION PHASE/CM SERVICES | | | | | | | | | | | | | | | | |
| TASK 3: POST-CONSTRUCTION | | | | | | | | | | | | | | | | |
| Position | Name | | | | | | | | | | | | | Rate | | |
| Resident Engineer | Karen Sampson | | | | | | | | | | | | | \$174.30 | | |
| Construction Inspector (Day ST) | Thad Transue | | | | | | | | | | | | | \$173.26 | | |
| Construction Inspector (Day OT) | Thad Transue | | | | | | | | | | | | | \$227.14 | | |
| TOTAL COST LABOR | 0 | 0 | 48 | 224 | 208 | 208 | 200 | 208 | 40 | 40 | 40 | 40 | 40 | 40 | \$197,415 | |
| Subconsultant: Office Engineering | Acumen | | | | | | | | | | | | | Allowance | NTE | \$15,742 |
| Subconsultant: Material Testing | Kleinfeider | | | | | | | | | | | | | Allowance | NTE | \$19,244 |
| Subconsultant: Survey | Moliri | | | | | | | | | | | | | Allowance | NTE | \$7,993 |
| TOTAL OF CONTRACT | | | | | | | | | | | | | | | | \$240,994 |

Notes and Assumptions:

- Fees are based on an estimated 90 Working Day project construction duration with professional services NTP anticipated in July 2016.
- Should the actual schedule require more or less professional services than proposed adjustments to this estimate may be required.
- Overtime, Rain, holidays and potential time extensions or delays may result in additional professional services.
- This estimate is based on specific scope of work assumptions.
- For Prevailing Wage classifications, there are two Pre-Determined increases: \$1.75/hr on July 1, 2016 and \$1.85/hr on July 1, 2017. VC&A will bill accordingly.

Services detailed in Exhibit A – Scope of Services/Payment Provisions of the Agreement shall be provided as noted for a not to exceed amount of \$240,094. Any additional services or costs cannot be provided or charged until the additional work is presented to the County and with County approval, amended into the Agreement. Once the amendment to the Agreement is fully executed, CONTRACTOR will be authorized to proceed with the additional work or costs.

MB/ckf
 (Contractor's Initials)
 6/16/2016
 (Date)

EXHIBIT B – REVISION TO SUBSECTION 7.02 OF SECTION 7, TERMINATION

The County may cancel and terminate this Agreement for good cause effective immediately upon written notice to CONTRACTOR. “Good cause” includes the failure of CONTRACTOR to perform the required services at the time and in the manner provided under this Agreement. If County terminates this Agreement for good cause, the County may be relieved of making payments to CONTRACTOR pursuant to the California Public Contract Code, and the County may proceed with the work in any manner, which County deems proper. The cost to the County shall be deducted from any sum due to the CONTRACTOR pursuant to this Agreement.

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In compliance with RFP #2201, Construction Management Services for Peach Tree Road Bridge Replacement Project, if the Project for which the CONTRACTOR is ultimately hired for is funded with Federal Highway Administration (FHWA) funds, the CONTRACTOR will be required to comply with Federal provisions. Federal Provisions, Exhibit C, attached hereto, shall be completed separately for each individual Project by CONTRACTOR and submitted to County for approval prior to County issuing CONTRACTOR with a Notice to Proceed for the Project.

Completion of Federal Provisions, Exhibit C, is not required for projects not utilizing FHWA funds.

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Article I Contact Information

County Project Manager

Name: Enrique M. Saavedra, P.E.

Title: Assistant Director of Public Works

Address: 168 West Alisal Street, 2nd Floor
Salinas, CA 93910

Telephone Number: (831) 755-8970

Contractor Project Manager

Name: Rany Chek, P.E., QSD/P

Title: Senior Vice President

Address: 2000 Powell Street, Suite 550
Emeryville, CA 94608

Telephone Number: (510) 446-8301 x510

Article II Terms

All references to "Contract" herein shall include the County of Monterey Agreement for Professional Services.

Article III Contractor's Reports or Meetings

The selected option shall apply to this contract:

Option 1 – For standard contracts:

- A. CONTRACTOR shall submit progress reports at least once a month. The report should be sufficiently detailed for the Contract Administrator to determine, if CONTRACTOR is performing to expectations, or is on schedule; to provide communication of interim findings, and to sufficiently address any difficulties or special problems encountered, so remedies can be developed.
- B. CONTRACTOR's Project Manager shall meet with COUNTY's Contract Administrator, as needed, to discuss progress on the contract.

Option 2 – for on-call contracts:

- A. CONTRACTOR shall submit progress reports on each specific project in accordance with the Task Order. These reports shall be submitted at least once a month. The report should be sufficiently detailed for COUNTY's Contract Administrator or Project Coordinator to determine, if CONTRACTOR is performing to expectations, or is on schedule; to provide communication of interim findings, and to sufficiently address any difficulties or special problems encountered, so remedies can be developed.
- B. CONTRACTOR's Project Manager shall meet with COUNTY's Contract Administrator or Project Coordinator, as needed, to discuss progress on the project(s).

MANDATORY FISCAL AND FEDERAL PROVISIONS

Article IV Performance Period (Verbatim)

- A. This contract shall go into effect on July 1, 2016, contingent upon approval by COUNTY, and CONTRACTOR shall commence work after notification to proceed by COUNTY Contract Administrator. The contract shall end on June 30, 2019, unless extended by contract amendment.

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- B. CONTRACTOR is advised that any recommendation for contract award is not binding on COUNTY until the contract is fully executed and approved by COUNTY.

For on-call contracts, paragraph C below applies, in addition to paragraph A & B above.

- C. The period of performance for each specific project shall be in accordance with the Task Order for that project. If work on a Task Order is in progress on the expiration date of this contract, the terms of the contract shall be extended by contract amendment.

Article V Allowable Costs and Payments (Verbatim)

The selected option shall apply to this contract:

Exhibit 10-H (example #1, #2, & #3) in fillable format can be downloaded at the following website:

<http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapmforms.htm>

- Option 1 – Actual Cost-Plus-Fixed Fee (Use Exhibit 10-H Example #1 for Cost Proposal Format)

- A. The method of payment for this contract will be based on actual cost plus a fixed fee. COUNTY will reimburse CONTRACTOR for actual costs (including labor costs, employee benefits, travel, equipment rental costs, overhead and other direct costs) incurred by CONTRACTOR in performance of the work. CONTRACTOR will not be reimbursed for actual costs that exceed the estimated wage rates, employee benefits, travel, equipment rental, overhead, and other estimated costs set forth in the approved CONTRACTOR'S Cost Proposal, unless additional reimbursement is provided for by contract amendment. In no event, will CONTRACTOR be reimbursed for overhead costs at a rate that exceeds COUNTY's approved overhead rate set forth in the Cost Proposal. In the event, that COUNTY determines that a change to the work from that specified in the Cost Proposal and contract is required, the contract time or actual costs reimbursable by COUNTY shall be adjusted by contract amendment to accommodate the changed work. The maximum total cost as specified in Paragraph "H" shall not be exceeded, unless authorized by contract amendment.
- B. In addition to the allowable incurred costs, COUNTY will pay CONTRACTOR a fixed fee of \$(AMOUNT). The fixed fee is nonadjustable for the term of the contract, except in the event of a significant change in the scope of work and such adjustment is made by contract amendment.
- C. Reimbursement for transportation and subsistence costs shall not exceed the rates specified in the approved Cost Proposal.
- D. When milestone cost estimates are included in the approved Cost Proposal, CONTRACTOR shall obtain prior written approval for a revised milestone cost estimate from the Contract Administrator before exceeding such cost estimate.
- E. Progress payments will be made monthly in arrears based on services provided and allowable incurred costs. A pro rata portion of CONTRACTOR's fixed fee will be included in the monthly progress payments. If CONTRACTOR fails to submit the required deliverable items according to the schedule set forth in the Statement of Work, COUNTY shall have the right to delay payment or terminate this Contract in accordance with the provisions of Article VI Termination.
- F. No payment will be made prior to approval of any work, nor for any work performed prior to approval of this contract.

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- G. CONTRACTOR will be reimbursed, as promptly as fiscal procedures will permit upon receipt by COUNTY's Contract Administrator of itemized invoices in triplicate. Invoices shall be submitted no later than 45 calendar days after the performance of work for which CONTRACTOR is billing. Invoices shall detail the work performed on each milestone and each project as applicable. Invoices shall follow the format stipulated for the approved Cost Proposal and shall reference this contract number and project title. Final invoice must contain the final cost and all credits due COUNTY including any equipment purchased under the provisions of Article XI Equipment Purchase of this contract. The final invoice should be submitted within 60 calendar days after completion of CONTRACTOR's work. Invoices shall be mailed to COUNTY's Contract Administrator at the following address:

County of Monterey
Resource Management Agency – Public Works
168 West Alisal Street, 2nd Floor
Salinas, CA 93901
Attn: Finance Division

- H. The total amount payable by COUNTY including the fixed fee shall not exceed \$(Amount).
- I. Salary increases will be reimbursable if the new salary is within the salary range identified in the approved Cost Proposal and is approved by COUNTY's Contract Administrator.

For personnel subject to prevailing wage rates as described in the California Labor Code, all salary increases, which are the direct result of changes in the prevailing wage rates are reimbursable.

- J. All subcontracts in excess of \$25,000 shall contain the above provisions.

Option 2 – Cost per Unit of Work (Use Exhibit 10-H Example #3 for Cost Proposal Format)

- A. The method of payment for the following items shall be at the rate specified for each item, as described in this Article. The specified rate shall include full compensation to CONTRACTOR for the item as described, including but not limited to, any repairs, maintenance, or insurance, and no further compensation will be allowed therefore.
- B. The specified rate to be paid for vehicle expense for CONTRACTOR's field personnel shall be \$(Amount) per approved Cost Proposal. This rate shall be for a fully equipped vehicle, with radio and flashing yellow light (if needed), as specified in Article II of this contract.

The specified rate to be paid for equipment shall be, as listed in Attachment (Insert Attachment Number).

- C. The method of payment for this contract, except those items to be paid for on a specified rate basis, will be based on cost per unit of work. COUNTY will reimburse CONTRACTOR for actual costs (including labor costs, employee benefits, travel, equipment-rental costs, overhead and other direct costs) incurred by CONTRACTOR in performance of the work. CONTRACTOR will not be reimbursed for actual costs that exceed the estimated wage rates, employee benefits, travel, equipment rental, overhead and other estimated costs set forth in the approved Cost Proposal,

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unless additional reimbursement is provided for, by contract amendment. In no event, will CONTRACTOR be reimbursed for overhead costs at a rate that exceeds COUNTY approved overhead rate set forth in the approved Cost Proposal. In the event, COUNTY determines that changed work from that specified in the approved Cost Proposal and contract is required; the actual costs reimbursable by COUNTY may be adjusted by contract amendment to accommodate the changed work. The maximum total cost as specified in Paragraph "I," shall not be exceeded unless authorized by contract amendment.

- D. Reimbursement for transportation and subsistence costs shall not exceed the rates specified in the approved Cost Proposal.
- E. When milestone cost estimates are included in the approved Cost Proposal, CONTRACTOR shall obtain prior written approval for a revised milestone cost estimate from the Contract Administrator before exceeding such cost estimate.
- F. Progress payments will be made monthly in arrears based on services provided and allowable incurred costs. A pro rata portion of CONTRACTOR's fixed fee will be included in the monthly progress payments. If CONTRACTOR fails to submit the required deliverable items according to the schedule set forth in the Statement of Work, COUNTY shall have the right to delay payment or terminate this Contract in accordance with the provisions of Article VI Termination.
- G. No payment will be made prior to approval of any work, nor for any work performed prior to approval of this contract.
- H. CONTRACTOR will be reimbursed, as promptly as fiscal procedures will permit upon receipt by COUNTY's Contract Administrator of itemized invoices in triplicate. Invoices shall be submitted no later than 45 calendar days after the performance of work for which CONTRACTOR is billing. Invoices shall detail the work performed on each milestone and each project as applicable. Invoices shall follow the format stipulated for the approved Cost Proposal and shall reference this contract number and project title. Final invoice must contain the final cost and all credits due COUNTY including any equipment purchased under the provisions of Article XI Equipment Purchase of this contract. The final invoice should be submitted within 60 calendar days after completion of CONTRACTOR's work. Invoices shall be mailed to COUNTY's Contract Administrator at the following address:

County of Monterey
Resource Management Agency – Public Works
168 West Alisal Street, 2nd Floor
Salinas, CA 93901
Attn: Finance Division

- I. The total amount payable by COUNTY including the fixed fee shall not exceed \$(Amount).
- J. Salary increases will be reimbursable if the new salary is within the salary range identified in the approved Cost Proposal and is approved by COUNTY's Contract Administrator.

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For personnel subject to prevailing wage rates as described in the California Labor Code, all salary increases, which are the direct result of changes in the prevailing wage rates are reimbursable.

K. All subcontracts in excess of \$25,000 shall contain the above provisions.

■ Option 3 – Specific Rates of Compensation (Use Exhibit 10-H Example #2 for Cost Proposal Format)

- A. CONTRACTOR will be reimbursed for hours worked at the hourly rates specified in CONTRACTORs Cost Proposal (Attachment Number). The specified hourly rates shall include direct salary costs, employee benefits, overhead, and fee. These rates are not adjustable for the performance period set forth in this Contract.
- B. In addition, CONTRACTOR will be reimbursed for incurred (actual) direct costs other than salary costs that are in the cost proposal and identified in the cost proposal and in the executed Task Order.
- C. Specific projects will be assigned to CONTRACTOR through issuance of Task Orders.
- D. After a project to be performed under this contract is identified by COUNTY, COUNTY will prepare a draft Task Order; less the cost estimate. A draft Task Order will identify the scope of services, expected results, project deliverables, period of performance, project schedule and will designate a COUNTY Project Coordinator. The draft Task Order will be delivered to CONTRACTOR for review. CONTRACTOR shall return the draft Task Order within ten (10) calendar days along with a Cost Estimate, including a written estimate of the number of hours and hourly rates per staff person, any anticipated reimbursable expenses, overhead, fee if any, and total dollar amount. After agreement has been reached on the negotiable items and total cost; the finalized Task Order shall be signed by both COUNTY and CONTRACTOR.
- E. Task Orders may be negotiated for a lump sum (Firm Fixed Price) or for specific rates of compensation, both of which must be based on the labor and other rates set forth in CONTRACTOR’s Cost Proposal.
- F. Reimbursement for transportation and subsistence costs shall not exceed the rates as specified in the approved Cost Proposal.
- G. When milestone cost estimates are included in the approved Cost Proposal, CONTRACTOR shall obtain prior written approval for a revised milestone cost estimate from the Contract Administrator before exceeding such estimate.
- H. Progress payments for each Task Order will be made monthly in arrears based on services provided and actual costs incurred.
- I. CONTRACTOR shall not commence performance of work or services until this contract has been approved by COUNTY, and notification to proceed has been issued by COUNTY’S Contract Administrator. No payment will be made prior to approval or for any work performed prior to approval of this contract.

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- J. A Task Order is of no force or effect until returned to COUNTY and signed by an authorized representative of COUNTY. No expenditures are authorized on a project and work shall not commence until a Task Order for that project has been executed by COUNTY.
- K. CONTRACTOR will be reimbursed, as promptly as fiscal procedures will permit upon receipt by COUNTY’S Contract Administrator of itemized invoices in triplicate. Separate invoices itemizing all costs are required for all work performed under each Task Order. Invoices shall be submitted no later than 45 calendar days after the performance of work for which CONTRACTOR is billing, or upon completion of the Task Order. Invoices shall detail the work performed on each milestone, on each project as applicable. Invoices shall follow the format stipulated for the approved Cost Proposal and shall reference this contract number, project title and Task Order number. Credits due COUNTY that include any equipment purchased under the provisions of Article XI Equipment Purchase of this contract, must be reimbursed by CONTRACTOR prior to the expiration or termination of this contract. Invoices shall be mailed to COUNTY’s Contract Administrator at the following address:

County of Monterey
Resource Management Agency – Public Works
168 West Alisal Street, 2nd Floor
Salinas, California 93901
Attn: Finance Division

- L. The period of performance for Task Orders shall be in accordance with dates specified in the Task Order. No Task Order will be written which extends beyond the expiration date of this Contract.
 - M. The total amount payable by COUNTY for an individual Task Order shall not exceed the amount agreed to in the Task Order, unless authorized by contract amendment.
 - N. If the Contractor fails to satisfactorily complete a deliverable according to the schedule set forth in a Task Order, no payment will be made until the deliverable has been satisfactorily completed.
 - O. Task Orders may not be used to amend this Agreement and may not exceed the scope of work under this Agreement.
 - P. The total amount payable by COUNTY for all Task Orders resulting from this contract shall not exceed \$240,094. It is understood and agreed that there is no guarantee, either expressed or implied that this dollar amount will be authorized under this contract through Task Orders.
 - Q. All subcontracts in excess of \$25,000 shall contain the above provisions.
- Option 4 – Lump Sum (Use Exhibit 10-H Example #1 for Cost Proposal Format)
- A. The method of payment for this contract will be based on lump sum. The total lump sum price paid to CONTRACTOR will include compensation for all work and deliverables, including travel and equipment described in Article II Statement of Work of this contract. No additional compensation will be paid to CONTRACTOR, unless there is a change in the scope of the work or

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the scope of the project. In the instance of a change in the scope of work or scope of the project, adjustment to the total lump sum compensation will be negotiated between CONTRACTOR and COUNTY. Adjustment in the total lump sum compensation will not be effective until authorized by contract amendment and approved by COUNTY.

- B. Progress payments may be made monthly in arrears based on the percentage of work completed by CONTRACTOR. If CONTRACTOR fails to submit the required deliverable items according to the schedule set forth in the Statement of Work, COUNTY shall have the right to delay payment or terminate this Contract in accordance with the provisions of Article VI Termination.
- C. CONTRACTOR shall not commence performance of work or services until this contract has been approved by COUNTY and notification to proceed has been issued by COUNTY'S Contract Administrator. No payment will be made prior to approval of any work, or for any work performed prior to approval of this contract.
- D. CONTRACTOR will be reimbursed, as promptly as fiscal procedures will permit, upon receipt by COUNTY'S Contract Administrator of itemized invoices in triplicate. Invoices shall be submitted no later than 45 calendar days after the performance of work for which CONTRACTOR is billing. Invoices shall detail the work performed on each milestone, on each project as applicable. Invoices shall follow the format stipulated for the Cost Proposal and shall reference this contract number and project title. Final invoice must contain the final cost and all credits due COUNTY that include any equipment purchased under the provisions of Article XI Equipment Purchase of this contract. The final invoice should be submitted within 60-calendar days after completion of CONTRACTOR's work. Invoices shall be mailed to COUNTY's Contract Administrator at the following address:

County of Monterey
Resource Management Agency – Public Works
168 West Alisal Street, 2nd Floor
Salinas, California 93901
Attn: Finance Division

- E. The total amount payable by COUNTY shall not exceed \$(Amount).
- F. All subcontracts in excess of \$25,000 shall contain the above provisions.

Article VI Termination (Verbatim)

- A. COUNTY reserves the right to terminate this contract upon thirty (30) calendar days written notice to CONTRACTOR with the reasons for termination stated in the notice.
- B. COUNTY may terminate this contract with CONTRACTOR should CONTRACTOR fail to perform the covenants herein contained at the time and in the manner herein provided. In the event of such termination, COUNTY may proceed with the work in any manner deemed proper by COUNTY. If COUNTY terminates this contract with CONTRACTOR, COUNTY shall pay CONTRACTOR the sum due to CONTRACTOR under this contract prior to termination, unless the cost of completion to COUNTY exceeds the funds remaining in the contract. In which case the

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overage shall be deducted from any sum due CONTRACTOR under this contract and the balance, if any, shall be paid to CONTRACTOR upon demand.

- C. The maximum amount for which the Government shall be liable if this contract is terminated is 0 dollars.

Article VII Cost Principles and Administrative Requirements (Verbatim)

- A. CONTRACTOR agrees that the Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31.000 et seq., shall be used to determine the cost allowability of individual items.
- B. CONTRACTOR also agrees to comply with federal procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- C. Any costs for which payment has been made to CONTRACTOR that are determined by subsequent audit to be unallowable under 49 CFR, Part 18 and 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31.000 et seq., are subject to repayment by CONTRACTOR to COUNTY.
- D. All subcontracts in excess of \$25,000 shall contain the above provisions.

Article VIII Retention of Records/Audit (Verbatim)

For the purpose of determining compliance with Public Contract Code 10115, et seq. and Title 21, California Code of Regulations, Chapter 21, Section 2500 et seq., when applicable and other matters connected with the performance of the contract pursuant to Government Code 8546.7; CONTRACTOR, subcontractors, and COUNTY shall maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of the contract, including but not limited to, the costs of administering the contract. All parties shall make such materials available at their respective offices at all reasonable times during the contract period and for three years from the date of final payment under the contract. The state, State Auditor, COUNTY, FHWA, or any duly authorized representative of the Federal Government shall have access to any books, records, and documents of CONTRACTOR and it's certified public accountants (CPA) work papers that are pertinent to the contract and indirect cost rates (ICR) for audit, examinations, excerpts, and transactions, and copies thereof shall be furnished if requested. Subcontracts in excess of \$25,000 shall contain this provision.

Article IX Audit Review Procedures (Verbatim)

- A. Any dispute concerning a question of fact arising under an interim or post audit of this contract that is not disposed of by agreement, shall be reviewed by COUNTY'S Chief Financial Officer.
- B. Not later than 30 days after issuance of the final audit report, CONTRACTOR may request a review by COUNTY'S Chief Financial Officer of unresolved audit issues. The request for review will be submitted in writing.
- C. Neither the pendency of a dispute nor its consideration by COUNTY will excuse CONTRACTOR from full and timely performance, in accordance with the terms of this contract.

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For contracts \$150,000 or greater, paragraph D below applies:

- D. CONTRACTOR and subcontractor contracts, including cost proposals and ICR, are subject to audits or reviews such as, but not limited to, a contract audit, an incurred cost audit, an ICR Audit, or a CPA ICR audit work paper review. If selected for audit or review, the contract, cost proposal and ICR and related work papers, if applicable, will be reviewed to verify compliance with 48 CFR, Part 31 and other related laws and regulations. In the instances of a CPA ICR audit work paper review it is CONTRACTOR's responsibility to ensure federal, state, or local government officials are allowed full access to the CPA's work papers including making copies as necessary. The contract, cost proposal, and ICR shall be adjusted by CONTRACTOR and approved by COUNTY contract manager to conform to the audit or review recommendations. CONTRACTOR agrees that individual terms of costs identified in the audit report shall be incorporated into the contract by this reference if directed by COUNTY at its sole discretion. Refusal by CONTRACTOR to incorporate audit or review recommendations, or to ensure that the federal, state or local governments have access to CPA work papers, will be considered a breach of contract terms and cause for termination of the contract and disallowance of prior reimbursed costs.

For contracts \$3,500,000 or greater, paragraph E below applies:

- E. CONTRACTOR Cost Proposal is subject to a CPA ICR Audit Work Paper Review by Caltrans' Audit and Investigation (Caltrans). Caltrans, at its sole discretion, may review and/or audit and approve the CPA ICR documentation. The Cost Proposal shall be adjusted by the CONTRACTOR and approved by the COUNTY Contract Administrator to conform to the Work Paper Review recommendations included in the management letter or audit recommendations included in the audit report. Refusal by the CONTRACTOR to incorporate the Work Paper Review recommendations included in the management letter or audit recommendations included in the audit report will be considered a breach of the contract terms and cause for termination of the contract and disallowance of prior reimbursed costs.
1. During a Caltrans' review of the ICR audit work papers created by the CONTRACTOR's independent CPA, Caltrans will work with the CPA and/or CONTRACTOR toward a resolution of issues that arise during the review. Each party agrees to use its best efforts to resolve any audit disputes in a timely manner. If Caltrans identifies significant issues during the review and is unable to issue a cognizant approval letter, COUNTY will reimburse the CONTRACTOR at a provisional ICR until a FAR compliant ICR {e.g. 48 CFR, part 31; GAGAS (Generally Accepted Auditing Standards); CAS (Cost Accounting Standards), if applicable; in accordance with procedures and guidelines of the American Association of State Highways and Transportation Officials Audit Guide; and other applicable procedures and guidelines} is received and approved by A&I. Provisional rates will be as follows:
- a. If the proposed rate is less than 150% - the provisional rate reimbursed will be 90% of the proposed rate.
 - b. If the proposed rate is between 150% and 200% - the provisional rate will be 85% of the proposed rate.

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- c. If the proposed rate is greater than 200% - the provisional rate will be 75% of the proposed rate.
2. If Caltrans is unable to issue a cognizant letter per paragraph E.1. above, Caltrans may require CONTRACTOR to submit a revised independent CPA-audited ICR and audit report within three (3) months of the effective date of the management letter. Caltrans will then have up to six (6) months to review the CONTRACTOR's and/or the independent CPA's revisions.
3. If the CONTRACTOR fails to comply with the provisions of this Section E, or if Caltrans is still unable to issue a cognizant approval letter after the revised independent CPA-audited ICR is submitted, overhead cost reimbursement will be limited to the provisional ICR that was established upon initial rejection of the ICR and set forth in paragraph E.1. above for all rendered services. In this event, this provisional ICR will become the actual and final ICR for reimbursement purposes under this contract.
4. CONTRACTOR may submit to COUNTY final invoice only when all of the following items have occurred: (1) Caltrans approves or rejects the original or revised independent CPA-audited ICR; (2) all work under this contract has been completed to the satisfaction of LOCAL GAENCY; and, (3) Caltrans has issued its final ICR review letter. The CONTRACTOR MUST SUBMIT ITS FINAL INVOICE TO County no later than 60 days after occurrence of the last of these items.

The provisional ICR will apply to this contract and all other contracts executed between COUNTY and the CONTRACTOR, either as a prime or subcontractor, with the same fiscal period ICR.

Article X Subcontracting (Verbatim)

- A. Nothing contained in this contract or otherwise, shall create any contractual relation between COUNTY and any subcontractor(s), and no subcontract shall relieve CONTRACTOR of its responsibilities and obligations hereunder. CONTRACTOR agrees to be as fully responsible to COUNTY for the acts and omissions of its subcontractor(s) and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by CONTRACTOR. CONTRACTOR's obligation to pay its subcontractor(s) is an independent obligation from COUNTY'S obligation to make payments to the CONTRACTOR.
- B. CONTRACTOR shall perform the work contemplated with resources available within its own organization and no portion of the work pertinent to this contract shall be subcontracted without written authorization by COUNTY's Contract Administrator, except that, which is expressly identified in the approved Cost Proposal.
- C. CONTRACTOR shall pay its subcontractors within ten (10) calendar days from receipt of each payment made to CONTRACTOR by COUNTY.
- D. Any subcontract in excess of \$25,000 entered into as a result of this contract shall contain all the provisions stipulated in this contract to be applicable to subcontractors.

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- E. Any substitution of subcontractor(s) must be approved in writing by COUNTY’s Contract Administrator prior to the start of work by the subcontractor(s).

Article XI Equipment Purchase (Verbatim)

- A. Prior authorization in writing, by COUNTY’s Contract Administrator shall be required before CONTRACTOR enters into any unbudgeted purchase order, or subcontract exceeding \$5,000 for supplies, equipment, or CONTRACTOR services. CONTRACTOR shall provide an evaluation of the necessity or desirability of incurring such costs.
- B. For purchase of any item, service or consulting work not covered in CONTRACTOR’s Cost Proposal and exceeding \$5,000 prior authorization by COUNTY’s Contract Administrator; three competitive quotations must be submitted with the request, or the absence of bidding must be adequately justified.
- C. Any equipment purchased as a result of this contract is subject to the following: “CONTRACTOR shall maintain an inventory of all nonexpendable property. Nonexpendable property is defined as having a useful life of at least two years and an acquisition cost of \$5,000 or more. If the purchased equipment needs replacement and is sold or traded in, COUNTY shall receive a proper refund or credit at the conclusion of the contract, or if the contract is terminated, CONTRACTOR may either keep the equipment and credit COUNTY in an amount equal to its fair market value, or sell such equipment at the best price obtainable at a public or private sale, in accordance with established COUNTY procedures; and credit COUNTY in an amount equal to the sales price. If CONTRACTOR elects to keep the equipment, fair market value shall be determined at CONTRACTOR’s expense, on the basis of a competent independent appraisal of such equipment. Appraisals shall be obtained from an appraiser mutually agreeable to by COUNTY and CONTRACTOR, if it is determined to sell the equipment, the terms and conditions of such sale must be approved in advance by COUNTY.” 49 CFR, Part 18 requires a credit to Federal funds when participating equipment with a fair market value greater than \$5,000 is credited to the project.
- D. All subcontracts in excess \$25,000 shall contain the above provisions.

Article XII State Prevailing Wage Rates (Verbatim)

The selected option shall apply to this contract:

Option 1 – For contract where a portion of the proposed work to be performed are crafts affected by state labor laws.

- A. CONTRACTOR shall comply with the State of California’s General Prevailing Wage Rate requirements in accordance with California Labor Code, Section 1770, and all Federal, State, and local laws and ordinances applicable to the work.
- B. Any subcontract entered into as a result of this contract, if for more than \$25,000 for public works construction or more than \$15,000 for the alteration, demolition, repair, or maintenance of public works, shall contain all of the provisions of this Article.

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- C. When prevailing wages apply to the services described in the scope of work, transportation and subsistence costs shall be reimbursed at the minimum rates set by the Department of Industrial Relations (DIR) as outlined in the applicable Prevailing Wage Determination. See <http://www.dir.ca.gov>.

Option 2 – For contracts where all of the proposed work is performed by crafts not affected by state labor laws or are not contemplated for use.

- A. The State of California’s General Prevailing Wage Rates are not applicable to this contract.

Note: The Federal “Payment of Predetermined Minimum Wage” applies only to federal-aid construction contracts.

Article XIII Conflict of Interest (Verbatim)

- A. CONTRACTOR shall disclose any financial, business, or other relationship with COUNTY that may have an impact upon the outcome of this contract, or any ensuing COUNTY construction project. CONTRACTOR shall also list current clients who may have a financial interest in the outcome of this contract, or any ensuing COUNTY construction project, which will follow.
- B. CONTRACTOR hereby certifies that it does not now have, nor shall it acquire any financial or business interest that would conflict with the performance of services under this contract.
- C. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all of the provisions of this Article.

The selected option below applies to this contract:

Option 1 – PS&E contracts

- D. CONTRACTOR hereby certifies that neither CONTRACTOR, nor any firm affiliated with CONTRACTOR will bid on any construction contract, or on any contract to provide construction inspection for any construction project resulting from this contract. An affiliated firm is one, which is subject to the control of the same persons through joint-ownership, or otherwise.
- E. Except for subcontractors whose services are limited to providing surveying or materials testing information, no subcontractor who has provided design services in connection with this contract shall be eligible to bid on any construction contract, or on any contract to provide construction inspection for any construction project resulting from this contract.

Option 2 – Construction Contract Administration contracts

- D. CONTRACTOR hereby certifies that neither CONTRACTOR, its employees, nor any firm affiliated with CONTRACTOR providing services on this project prepared the Plans, Specifications, and Estimate for any construction project included within this contract. An affiliated firm is one, which is subject to the control of the same persons through joint- ownership, or otherwise.
- E. CONTRACTOR further certifies that neither CONTRACTOR, nor any firm affiliated with CONTRACTOR, will bid on any construction subcontracts included within the construction

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contract. Additionally, CONTRACTOR certifies that no person working under this contract is also employed by the construction contractor for any project included within this contract.

- F. Except for subcontractors whose services are limited to materials testing, no subcontractor who is providing service on this contract shall have provided services on the design of any project included within this contract.

Article XIV Rebates, Kickbacks or other Unlawful Consideration (Verbatim)

CONTRACTOR warrants that this contract was not obtained or secured through rebates kickbacks or other unlawful consideration, either promised or paid to any COUNTY employee. For breach or violation of this warranty, COUNTY shall have the right in its discretion; to terminate the contract without liability; to pay only for the value of the work actually performed; or to deduct from the contract price; or otherwise recover the full amount of such rebate, kickback or other unlawful consideration.

Article XV Prohibition of Expending County, State, or Federal Funds for Lobbying (Verbatim)

This provision (Article XV) only applies to contracts where federal funding will exceed \$150,000. If less than \$150,000 in federal funds will be expended on the contract, this does not apply.

- A. CONTRACTOR certifies to the best of his or her knowledge and belief that:
 - 1. No state, federal or County appropriated funds have been paid, or will be paid by-or-on behalf of CONTRACTOR to any person for influencing or attempting to influence an officer or employee of any state or federal agency; a Member of the State Legislature or United States Congress; an officer or employee of the Legislature or Congress; or any employee of a Member of the Legislature or Congress, in connection with the awarding of any state or federal contract; the making of any state or federal grant; the making of any state or federal loan; the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any state or federal contract, grant, loan, or cooperative agreement.
 - 2. If any funds other than federal appropriated funds have been paid, or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency; a Member of Congress; an officer or employee of Congress, or an employee of a Member of Congress; in connection with this federal contract, grant, loan, or cooperative agreement; CONTRACTOR shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- B. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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- C. CONTRACTOR also agrees by signing this document that he or she shall require that the language of this certification be included in all lower-tier subcontracts, which exceed \$100,000 and that all such sub recipients shall certify and disclose accordingly.

Article XVI Statement of Compliance

- A. CONTRACTOR's signature affixed herein, and dated, shall constitute a certification under penalty of perjury under the laws of the State of California that CONTRACTOR has, unless exempt, complied with, the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Administrative Code, Section 8103.
- B. During the performance of this Contract, Contractor and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (e.g., cancer), age (over 40), marital status, and denial of family care leave. Contractor and subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Contractor and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable regulations promulgated there under (California Code of Regulations, Title 2, Section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Contract by reference and made a part hereof as if set forth in full. Contractor and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other Agreement.

For contracts with Federal funding, the following paragraph C & D applies:

- C. The Contractor shall comply with regulations relative to Title VI (nondiscrimination in federally-assisted programs of the Department of Transportation – Title 49 Code of Federal Regulations, Part 21 - Effectuation of Title VI of the 1964 Civil Rights Act). Title VI provides that the recipients of federal assistance will implement and maintain a policy of nondiscrimination in which no person in the state of California shall, on the basis of race, color, national origin, religion, sex, age, disability, be excluded from participation in, denied the benefits of or subject to discrimination under any program or activity by the recipients of federal assistance or their assignees and successors in interest.
- D. The Contractor, with regard to the work performed by it during the Agreement shall act in accordance with Title VI. Specifically, the Contractor shall not discriminate on the basis of race, color, national origin, religion, sex, age, or disability in the selection and retention of Subcontractors, including procurement of materials and leases of equipment. The Contractor shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the U.S. DOT's Regulations, including employment practices when the Agreement covers a program whose goal is employment.

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Article XVII Debarment and Suspension Certification

- A. CONTRACTOR’s signature affixed herein, shall constitute a certification under penalty of perjury under the laws of the State of California, that CONTRACTOR has complied with Title 2 CFR, Part 180, “OMB Guidelines to Agencies on Government wide Debarment and Suspension (nonprocurement)”, which certifies that he/she or any person associated therewith in the capacity of owner, partner, director, officer, or manager, is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency; has not been suspended, debarred, voluntarily excluded, or determined ineligible by any federal agency within the past three (3) years; does not have a proposed debarment pending; and has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years. Any exceptions to this certification must be disclosed to COUNTY.
- B. Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining CONTRACTOR responsibility. Disclosures must indicate to whom exceptions apply, initiating agency, and dates of action.
- C. Exceptions to the Federal Government Excluded Parties List System maintained by the General Services Administration are to be determined by the Federal highway Administration.

MISCELLANEOUS PROVISIONS

Article XVIII Funding Requirements

- A. It is mutually understood between the parties that this contract may have been written before ascertaining the availability of funds or appropriation of funds, for the mutual benefit of both parties, in order to avoid program and fiscal delays that would occur if the contract were executed after that determination was made.
- B. This contract is valid and enforceable only, if sufficient funds are made available to COUNTY for the purpose of this contract. In addition, this contract is subject to any additional restrictions, limitations, conditions, or any statute enacted by the Congress, State Legislature, or COUNTY governing board that may affect the provisions, terms, or funding of this contract in any manner.
- C. It is mutually agreed that if sufficient funds are not appropriated, this contract may be amended to reflect any reduction in funds.
- D. COUNTY has the option to void the contract under the 30-day termination clause pursuant to Article VI, or by mutual agreement to amend the contract to reflect any reduction of funds.

Article XIX Change in Terms

- A. This contract may be amended or modified only by mutual written agreement of the parties.
- B. CONTRACTOR shall only commence work covered by an amendment after the amendment is executed and notification to proceed has been provided by COUNTY’s Contract Administrator.

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- C. There shall be no change in CONTRACTOR’s Project Manager or members of the project team, as listed in the approved Cost Proposal, which is a part of this contract without prior written approval by COUNTY’s Contract Administrator.

Article XX Disadvantaged Business Enterprises (DBE) Participation

- A. This contract is subject to 49 CFR, Part 26 entitled “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”. Contractors who obtain DBE participation on this contract will assist Caltrans in meeting its federally mandated statewide overall DBE goal.
- B. The goal for DBE participation for this contract is 0.0%. Participation by DBE contractor or subcontractors shall be in accordance with information contained in the Contractor Proposal DBE Commitment (Exhibit 10-01), or in the Contractor Contract DBE Information (Exhibit 10-02) attached hereto and incorporated as part of the Contract. If a DBE subcontractor is unable to perform, CONTRACTOR must make a good faith effort to replace him/her with another DBE subcontractor, if the goal is not otherwise met.
- C. DBEs and other small businesses, as defined in 49 CFR, Part 26 are encouraged to participate in the performance of contracts financed in whole or in part with federal funds. CONTRACTOR or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. CONTRACTOR shall carry out applicable requirements of 49 CFR, Part 26 in the award and administration of US DOT-assisted agreements. Failure by CONTRACTOR to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as COUNTY deems appropriate.
- D. Any subcontract entered into as a result of this contract shall contain all of the provisions of this section.
- E. A DBE firm may be terminated only with prior written approval from COUNTY and only for the reasons specified in 49 CFR 26.53(f). Prior to requesting COUNTY consent for the termination, CONTRACTOR must meet the procedural requirements specified in 49 CFR 26.53(f).
- F. A DBE performs a Commercially Useful Function (CUF) when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a CUF, the DBE must also be responsible with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a CUF, evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the, contract is commensurate with the work it is actually performing, and other relevant factors.
- G. A DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, examine similar transactions, particularly those in which DBEs do not participate.

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- H. If a DBE does not perform or exercise responsibility for at least thirty percent (30%) of the total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work of the contract than would be expected on the basis of normal industry practice for the type of work involved, it will be presumed that it is not performing a CUF.
- I. CONTRACTOR shall maintain records of materials purchased or supplied from all subcontracts entered into with certified DBEs. The records shall show the name and business address of each DBE or vendor and the total dollar amount actually paid each DBE or vendor, regardless of tier. The records shall show the date of payment and the total dollar figure paid to all firms. DBE prime contractors shall also show the date of work performed by their own forces along with the corresponding dollar value of the work.
- J. Upon completion of the Contract, a summary of these records shall be prepared and submitted on the form entitled, "Final Report-Utilization of Disadvantaged Business Enterprise (DBE), First-Tier Subcontractors" CEM-2402F [Exhibit 17-F, of the LAPM], certified correct by CONTRACTOR or CONTRACTOR's authorized representative and shall be furnished to the Contract Administrator with the final invoice. Failure to provide the summary of DBE payments with the final invoice will result in twenty-five percent (25%) of the dollar value of the invoice being withheld from payment until the form is submitted. The amount will be returned to CONTRACTOR when a satisfactory "Final Report-Utilization of Disadvantaged Business Enterprises (DBE), First-Tier Subcontractors" is submitted to the Contract Administrator.
- K. If a DBE subcontractor is decertified during the life of the contract, the decertified subcontractor shall notify CONTRACTOR in writing with the date of decertification. If a subcontractor becomes a certified DBE during the life of the Contract, the subcontractor shall notify CONTRACTOR in writing with the date of certification. Any changes should be reported to COUNTY's Contract Administrator within 30 days.

Article XXI Contingent Fee

CONTRACTOR warrants, by execution of this contract that no person or selling agency has been employed, or retained, to solicit or secure this contract upon an agreement or understanding, for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees, or bona fide established commercial or selling agencies maintained by CONTRACTOR for the purpose of securing business. For breach or violation of this warranty, COUNTY has the right to annul this contract without liability; pay only for the value of the work actually performed, or in its discretion to deduct from the contract price or consideration, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

Article XXII Disputes

The selected option below applies to this contract:

Option 1 – For contracts without PS&E submittal

- A. Any dispute, other than audit, concerning a question of fact arising under this contract that is not disposed of by agreement shall be decided by a committee consisting of COUNTY's Contract

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Administrator and Director of Public Works & Facilities or designee, who may consider written or verbal information submitted by CONTRACTOR.

- B. Not later than 30 days after completion of all work under the contract, CONTRACTOR may request review by COUNTY Governing Board of unresolved claims or disputes, other than audit. The request for review will be submitted in writing.
 - C. Neither the pendency of a dispute, nor its consideration by the committee will excuse CONTRACTOR from full and timely performance in accordance with the terms of this contract.
- Option 2 – For contracts requiring PS&E submittal, replace paragraph B above with the following:
- B. Not later than 30 days after completion of all deliverables necessary to complete the plans, specifications and estimate, CONTRACTOR may request review by COUNTY Governing Board of unresolved claims or disputes, other than audit. The request for review will be submitted in writing.

Article XXIII Inspection of Work

CONTRACTOR and any subcontractor shall permit COUNTY, the state, and the FHWA if federal participating funds are used in this contract; to review and inspect the project activities and files at all reasonable times during the performance period of this contract including review and inspection on a daily basis.

Article XXIV Safety

- A. CONTRACTOR shall comply with OSHA regulations applicable to CONTRACTOR regarding necessary safety equipment or procedures. CONTRACTOR shall comply with safety instructions issued by COUNTY Safety Officer and other COUNTY representatives. CONTRACTOR personnel shall wear hard hats and safety vests at all times while working on the construction project site.
- B. Pursuant to the authority contained in Section 591 of the Vehicle Code, COUNTY has determined that such areas are within the limits of the project and are open to public traffic. CONTRACTOR shall comply with all of the requirements set forth in Divisions 11, 12, 13, 14, and 15 of the Vehicle Code. CONTRACTOR shall take all reasonably necessary precautions for safe operation of its vehicles and the protection of the traveling public from injury and damage from such vehicles.
- C. Any subcontract entered into as a result of this contract, shall contain all of the provisions of this Article.

Paragraph D below applies for contracts requiring trenching of five feet or deeper:

- D. CONTRACTOR must have a Division of Occupational Safety and Health (CAL-OSHA) permit(s), as outlined in California Labor Code Sections 6500 and 6705, prior to the initiation of any practices, work, method, operation, or process related to the construction or excavation of trenches which are five feet or deeper.

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Article XXV Insurance

The selected option below applies to this contract:

Option 1 – For contracts with a scope of services that may require the contractor or subcontractor to work within the operating state or County Highway Right of Way; where there would be exposure to public traffic or construction operations:

- A. Prior to commencement of the work described herein, CONTRACTOR shall furnish COUNTY a Certificate of Insurance stating that there is general comprehensive liability insurance presently in effect for CONTRACTOR with a combined single limit (CSL) of not less than one million dollars (\$1,000,000) per occurrence.
- B. The Certificate of Insurance will provide:
 - 1. That the insurer will not cancel the insured’s coverage without 30 days prior written notice to COUNTY.
 - 2. That COUNTY, its officers, agents, employees, and servants are included as additional insureds, but only insofar as the operations under this contract are concerned.
 - 3. That COUNTY will not be responsible for any premiums or assessments on the policy.
- C. CONTRACTOR agrees that the bodily injury liability insurance herein provided for, shall be in effect at all times during the term of this contract. In the event said insurance coverage expires at any time or times during the term of this contract, CONTRACTOR agrees to provide at least thirty (30) days prior notice to said expiration date; and a new Certificate of Insurance evidencing insurance coverage as provided for herein, for not less than either the remainder of the term of the contract, or for a period of not less than one (1) year. New Certificates of Insurance are subject to the approval of COUNTY. In the event CONTRACTOR fails to keep in effect at all times insurance coverage as herein provided, COUNTY may, in addition to any other remedies it may have, terminate this contract upon occurrence of such event.

Option 2 – For contracts with a scope of services that will not require the Contractor or subcontractor to work within the operating State or COUNTY Highway Right of Way where there would be exposure to public traffic or construction Contractor operations:

CONTRACTOR is not required to show evidence of general comprehensive liability insurance.

Article XXVI Ownership of Data

- A. Upon completion of all work under this contract, ownership and title to all reports, documents, plans, specifications, and estimates produced as part of this contract will automatically be vested in COUNTY; and no further agreement will be necessary to transfer ownership to COUNTY. CONTRACTOR shall furnish COUNTY all necessary copies of data needed to complete the review and approval process.

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- B. It is understood and agreed that all calculations, drawings and specifications, whether in hard copy or machine-readable form, are intended for one-time use in the construction of the project for which this contract has been entered into.
- C. CONTRACTOR is not liable for claims, liabilities, or losses arising out of, or connected with the modification, or misuse by COUNTY of the machine-readable information and data provided by CONTRACTOR under this contract; further, CONTRACTOR is not liable for claims, liabilities, or losses arising out of, or connected with any use by COUNTY of the project documentation on other projects for additions to this project, or for the completion of this project by others, except only such use as may be authorized in writing by CONTRACTOR.
- D. Applicable patent rights provisions regarding rights to inventions shall be included in the contracts as appropriate (48 CFR 27, Subpart 27.3 - Patent Rights under Government Contracts for federal-aid contracts).
- E. COUNTY may permit copyrighting reports or other agreement products. If copyrights are permitted; the agreement shall provide that the FHWA shall have the royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use; and to authorize others to use, the work for government purposes.
- F. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all of the provisions of this Article.

Article XXVII Claims Filed by County's Construction Contractor

- A. If claims are filed by COUNTY's construction contractor relating to work performed by CONTRACTOR's personnel, and additional information or assistance from CONTRACTOR's personnel is required in order to evaluate or defend against such claims; CONTRACTOR agrees to make its personnel available for consultation with COUNTY'S construction contract administration and legal staff and for testimony, if necessary, at depositions and at trial or arbitration proceedings.
- B. CONTRACTOR's personnel that COUNTY considers essential to assist in defending against construction contractor claims will be made available on reasonable notice from COUNTY. Consultation or testimony will be reimbursed at the same rates, including travel costs that are being paid for CONTRACTOR's personnel services under this contract.
- C. Services of CONTRACTOR's personnel in connection with COUNTY's construction contractor claims will be performed pursuant to a written contract amendment, if necessary, extending the termination date of this contract in order to resolve the construction claims.
- D. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all of the provisions of this Article.

Article XXVIII Confidentiality of Data

- A. All financial, statistical, personal, technical, or other data and information relative to COUNTY's operations, which are designated confidential by COUNTY and made available to CONTRACTOR

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in order to carry out this contract, shall be protected by CONTRACTOR from unauthorized use and disclosure.

- B. Permission to disclose information on one occasion, or public hearing held by COUNTY relating to the contract, shall not authorize CONTRACTOR to further disclose such information, or disseminate the same on any other occasion.
- C. CONTRACTOR shall not comment publicly to the press or any other media regarding the contract or COUNTY's actions on the same, except to COUNTY's staff, CONTRACTOR's own personnel involved in the performance of this contract, at public hearings or in response to questions from a Legislative committee.
- D. CONTRACTOR shall not issue any news release or public relations item of any nature, whatsoever, regarding work performed or to be performed under this contract without prior review of the contents thereof by COUNTY, and receipt of COUNTY'S written permission.
- E. Any subcontract entered into as a result of this contract shall contain all of the provisions of this Article.

For PS&E contracts, paragraph F below applies:

- F. All information related to the construction estimate is confidential, and shall not be disclosed by CONTRACTOR to any entity other than COUNTY.

Article XXIX National Labor Relations Board Certification

In accordance with Public Contract Code Section 10296, CONTRACTOR hereby states under penalty of perjury that no more than one final unappealable finding of contempt of court by a federal court has been issued against CONTRACTOR within the immediately preceding two-year period, because of CONTRACTOR's failure to comply with an order of a federal court that orders CONTRACTOR to comply with an order of the National Labor Relations Board.

Article XXX Evaluation of Contractor

CONTRACTOR's performance will be evaluated by COUNTY. A copy of the evaluation will be sent to CONTRACTOR for comments. The evaluation together with the comments shall be retained as part of the contract record.

Article XXXI Retention of Funds

- A. Any subcontract entered into as a result of this Contract shall contain all of the provisions of this section.

The selected paragraph below (B, C, or D) applies to this contract:

- B. No retainage will be withheld by the Agency from progress payments due the prime contractor. Retainage by the prime contractor or subcontractors is prohibited, and no retainage will be held by the prime contractor from progress due subcontractors. Any violation of this provision shall subject the violating prime contractor or subcontractors to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and

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Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the prime contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the prime contractor or deficient subcontractor performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractors and subcontractors.

- C. No retainage will be held by the Agency from progress payments due the prime contractor. Any retainage held by the prime contractor or subcontractors from progress payments due subcontractors shall be promptly paid in full to subcontractors within 30 days after the subcontractor's work is satisfactorily completed. Federal law (49 CFR 26.29) requires that any delay or postponement of payment over the 30 days may take place only for good cause and with the Agency's prior written approval. Any violation of this provision shall subject the violating prime contractor or subcontractor to the penalties, sanctions and other remedies specified in Section 7108.5 of the Business and Professions Code. These requirements shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the prime contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the prime contractor, deficient subcontractor performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractor and subcontractors.
- D. The Agency shall hold retainage from the prime contractor and shall make prompt and regular incremental acceptances of portions, as determined by the Agency, of the contract work, and pay retainage to the prime contractor based on these acceptances. The prime contractor, or subcontractor, shall return all monies withheld in retention from a subcontractor within thirty (30) days after receiving payment for work satisfactorily completed and accepted including incremental acceptances of portions of the contract work by the agency. Federal law (49 CFR 26.29) requires that any delay or postponement of payment over thirty (30) days may take place only for good cause and with the agency's prior written approval. Any violation of this provision shall subject the violating prime contractor or subcontractor to the penalties, sanctions and other remedies specified in Section 7108.5 of the Business and Professions Code. These requirements shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the prime contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the prime Contractor, deficient subcontractor performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractor and subcontractors.

Notice to Proposers DBE Information (Exhibit 10-I)

The following will be issued to the short list/pool of qualified firms at the time when the County will request for proposals for specific projects.

The Agency has established a DBE goal for this Contract of 0.0 %

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1. TERMS AS USED IN THIS DOCUMENT

- The term “Disadvantaged Business Enterprise” or “DBE” means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Code of Federal Regulations (CFR), Part 26.5.
- The term “Agreement” also means “Contract.”
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term “Small Business” or “SB” is as defined in 49 CFR 26.65.

2. AUTHORITY AND RESPONSIBILITY

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Contracts financed in whole or in part with federal funds (See 49 CFR 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”). The Contractor must ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer must not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

3. SUBMISSION OF DBE INFORMATION

If there is a DBE goal on the contract, Exhibit 10-O1 *Consultant Proposal DBE Commitment* must be included in the Request for Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-O2 *Consultant Contract DBE Information* must be included with the Request for Proposal. Even if no DBE participation will be reported, the successful proposer must execute and return the form.

4. DBE PARTICIPATION GENERAL INFORMATION

It is the proposer’s responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department’s DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
 - 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
 - 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
 - 3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.
- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Business and Economic Opportunity Web site at: <http://www.dot.ca.gov/hq/bep/>.
 - 1. Click on the link in the left menu titled *Disadvantaged Business Enterprise*;
 - 2. Click on Search for a DBE Firm link;
 - 3. Click on *Access to the DBE Query Form* located on the first line in the center of the page.

Searches can be performed by one or more criteria. Follow instructions on the screen.

6. MATERIALS OR SUPPLIES PURCHASED FROM DBE'S COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

equipment required under the Contract and of the general character described by the specifications.

- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL FORMS

The following forms can be view and downloaded in fillabe format at:

<http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapmforms.htm>

**EXHIBIT C - FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

EXHIBIT 10-H SAMPLE COST PROPOSAL (EXAMPLE #1) Page 2 of 2

ACTUAL COST-PLUS-FIXED FEE OR LUMP SUM (FIRM FIXED PRICE) CONTRACTS
(SAMPLE CALCULATIONS FOR ANTICIPATED SALARY INCREASES)

Consultant Consultant Name Contract No. Contract No. Date 1/1/2016

1. Calculate Average Hourly Rate for 1st year of the contract (Direct Labor Subtotal divided by total hours)

| | | | | |
|---|----------------------------------|---|-----------------------|---|
| Direct Labor Subtotal per Cost Proposal | Total Hours per Cost Proposal | = | Avg Hourly Rate | 5 Year Contract Duration Year 1 Avg Hourly Rate |
| <u>\$250,000.00</u> | <u>5000</u> | | <u>\$50.00</u> | |

2. Calculate hourly rate for all years (Increase the Average Hourly Rate for a year by proposed escalation %)

| | | | | | | |
|--------|-----------------|---|---------------------|---|----------------|-------------------------------|
| | Avg Hourly Rate | | Proposed Escalation | | | |
| Year 1 | <u>\$50.00</u> | + | <u>2.00%</u> | = | <u>\$51.00</u> | <u>Year 2 Avg Hourly Rate</u> |
| Year 2 | <u>\$51.00</u> | + | <u>2.00%</u> | = | <u>\$52.02</u> | <u>Year 3 Avg Hourly Rate</u> |
| Year 3 | <u>\$52.02</u> | + | <u>2.00%</u> | = | <u>\$53.06</u> | <u>Year 4 Avg Hourly Rate</u> |
| Year 4 | <u>\$53.06</u> | + | <u>2.00%</u> | = | <u>\$54.12</u> | <u>Year 5 Avg Hourly Rate</u> |

3. Calculate estimated hours per year (Multiply estimate % each year by total hours)

| | | | | | | |
|--------|------------------------------------|---|----------------------------------|---|-------------------------|-------------------------------|
| | Estimated % Completed Each Year | | Total Hours per Cost Proposal | | Total Hours per Year | |
| Year 1 | <u>20.0%</u> | * | <u>5,000</u> | = | <u>1,000</u> | <u>Estimated Hours Year 1</u> |
| Year 2 | <u>40.0%</u> | * | <u>5,000</u> | = | <u>2,000</u> | <u>Estimated Hours Year 2</u> |
| Year 3 | <u>15.0%</u> | * | <u>5,000</u> | = | <u>750</u> | <u>Estimated Hours Year 3</u> |
| Year 4 | <u>15.0%</u> | * | <u>5,000</u> | = | <u>750</u> | <u>Estimated Hours Year 4</u> |
| Year 5 | <u>10.0%</u> | * | <u>5,000</u> | = | <u>500</u> | <u>Estimated Hours Year 5</u> |
| Total | <u>100%</u> | | <u>Total</u> | = | <u>5,000</u> | |

4. Calculate Total Costs including Escalation (Multiply Average Hourly Rate by the number of hours)

| | | | | | | |
|--------|--|---|---------------------------------------|---|---------------------|-------------------------------|
| | Avg Hourly Rate (calculated above) | | Estimated hours (calculated above) | | Cost per Year | |
| Year 1 | <u>\$50.00</u> | * | <u>1,000</u> | = | <u>\$50,000.00</u> | <u>Estimated Hours Year 1</u> |
| Year 2 | <u>\$51.00</u> | * | <u>2,000</u> | = | <u>\$102,000.00</u> | <u>Estimated Hours Year 2</u> |
| Year 3 | <u>\$52.02</u> | * | <u>750</u> | = | <u>\$39,015.00</u> | <u>Estimated Hours Year 3</u> |
| Year 4 | <u>\$53.06</u> | * | <u>750</u> | = | <u>\$39,795.30</u> | <u>Estimated Hours Year 4</u> |
| Year 5 | <u>\$54.12</u> | * | <u>500</u> | = | <u>\$27,060.80</u> | <u>Estimated Hours Year 5</u> |
| | Total Direct Labor Cost with Escalation | | | = | <u>\$257,871.10</u> | |
| | Direct Labor Subtotal before Escalation | | | = | <u>\$250,000.00</u> | |
| | Estimated total of Direct Labor Salary Increase | | | = | <u>\$7,871.10</u> | Transfer to Page 1 |

NOTES:

- This is not the only way to estimate salary increases. Other methods will be accepted if they clearly indicate the % increase, the # of years of the contract, and a breakdown of the labor to be performed each year.
- An estimation that is based on direct labor multiplied by salary increase % multiplied by the # of years is not acceptable. (i.e. \$250,000 x 2% x 5 yrs = \$25,000 is not an acceptable methodology)
- This assumes that one year will be worked at the rate on the cost proposal before salary increases are granted.

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

Exhibit 10-H
Cost Proposal

COUNTY OF MONTEREY | CONSTRUCTION MANAGEMENT SERVICES FOR PEACH TREE ROAD BRIDGE REPLACEMENT PROJECT | EXHIBIT 10-H COST PROPOSAL
SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)
(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Page 1 of 13

Consultant or Subconsultant: Vali Cooper & Associates, Inc. Contract No.: RFP 2201 Date: 03/04/2016

Fringe Benefit % _____ + Overhead % 143.7800% + General Administration % _____ = Combined Indirect Cost Rate (ICR) % 143.7800%

FEE % = 10.0%
Escalation % = 3.0%

BILLING INFORMATION

CALCULATION INFORMATION

| Name/Job Title/Classification ¹ | Hourly Billing Rates ² | | | Effective date of hourly rate | | Actual or Avg. hourly rate ³ | % or \$ increase | Hourly range - for classifications only |
|---|-----------------------------------|-----------|-----------|-------------------------------|------------|---|------------------|---|
| | Straight | OT (1.5x) | OT (2x) | From | To | | | |
| Karen Sampson Project Manager/ Resident Engineer (non-exempt) (non-prevailing wage) | \$ 174.30 | \$ 261.45 | \$ 348.61 | 03/01/2016 | 06/30/2016 | \$ 65.00 | | Not Applicable |
| | \$ 179.53 | \$ 269.30 | \$ 359.06 | 07/01/2016 | 06/30/2017 | \$ 66.95 | 3.0% | |
| | \$ 184.92 | \$ 277.38 | \$ 369.84 | 07/01/2017 | 06/30/2018 | \$ 68.96 | 3.0% | |
| Thad Transue * Construction Inspector - Group 2 (non-exempt) (prevailing wage) DAY SHIFT | \$ 173.26 | \$ 227.14 | \$ 281.03 | 03/01/2016 | 06/30/2016 | \$ 64.61 | | Not Applicable |
| | \$ 178.46 | \$ 233.94 | \$ 289.45 | 07/01/2016 | 06/30/2017 | \$ 66.55 | 3.0% | |
| | \$ 183.82 | \$ 240.94 | \$ 298.14 | 07/01/2017 | 06/30/2018 | \$ 68.55 | 3.0% | |
| Thad Transue * Construction Inspector - Group 2 (non-exempt) (prevailing wage) NIGHT SHIFT | \$ 186.75 | \$ 247.38 | \$ 308.01 | 03/01/2016 | 06/30/2016 | \$ 69.64 | | Not Applicable |
| | \$ 192.35 | \$ 254.82 | \$ 317.23 | 07/01/2016 | 06/30/2017 | \$ 71.73 | 3.0% | |
| | \$ 198.12 | \$ 262.46 | \$ 326.72 | 07/01/2017 | 06/30/2018 | \$ 73.88 | 3.0% | |

- 1) Names and classifications of consultant (key staff) team members must be listed. Provide separate sheets for prime and all subconsultant firms.
- 2) Billing rate = actual hourly rate * (1+ ICR) * (1+ Fee). Agreed upon billing rates are not adjustable for the term of the contract.
- 3) For named employees enter the actual hourly rate. For classifications only, enter the average hourly rate for that classification.
- 4) For Prevailing Wage classifications, there are two Pre-Determined Increases: \$1.75/hr on July 1, 2016 and \$1.85/hr on July 1, 2017. VC&A will bill accordingly.

- NOTES:
- Denote all employees subject to prevailing wage with an asterisks (*)
 - For "Other Direct Cost" listing, see page 2 of this Exhibit

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

Exhibit 10-H

Cost Proposal

COUNTY OF MONTEREY | CONSTRUCTION MANAGEMENT SERVICES FOR PEACH TREE ROAD BRIDGE REPLACEMENT PROJECT | EXHIBIT 10-H COST PROPOSAL

Page 2 of 13

SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)

(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant or Subconsultant: Acumen Building Enterprise, Inc. Contract No.: RFP 2201 Date: 03/04/2016

Fringe Benefit % _____ + Overhead % 131.2700% + General Administration % _____ = Combined Indirect Cost Rate (ICR) % 131.2700%

FEE % = 10.0%

Escalation % = 3.0%

BILLING INFORMATION

CALCULATION INFORMATION

| Name/Job Title/Classification ¹ | Hourly Billing Rates ² | | | Effective date of hourly rate | | Actual or Avg. hourly rate ³ | % or \$ increase | Hourly range - for classifications only |
|--|-------------------------------------|-------------------------------------|-------------------------------------|--|--|---|------------------|---|
| | Straight | OT (1.5x) | OT (2x) | From | To | | | |
| Wesley Morrison Civil Engineer (non-exempt) (non-prevailing wage) | \$ 106.85 \$ 110.05 \$ 113.35 | \$ 160.27 \$ 165.08 \$ 170.03 | \$ 213.69 \$ 220.10 \$ 226.71 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 42.00 \$ 43.26 \$ 44.56 | 3.0% 3.0% | Not Applicable |
| David Folkman-Moore Civil Engineer (alternate) (non-exempt) (non-prevailing wage) | \$ 102.85 \$ 105.94 \$ 109.12 | \$ 154.28 \$ 158.91 \$ 163.67 | \$ 205.71 \$ 211.88 \$ 218.23 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 40.43 \$ 41.64 \$ 42.89 | 3.0% 3.0% | Not Applicable |
| TBD Civil Engineer (contingency for timing conflict) (non-exempt) (non-prevailing wage) | \$ 114.48 \$ 117.91 \$ 121.45 | \$ 171.72 \$ 176.87 \$ 182.18 | \$ 228.96 \$ 235.83 \$ 242.90 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 45.00 \$ 46.35 \$ 47.74 | 3.0% 3.0% | No more than... |

- 1) Names and classifications of consultant (key staff) team members must be listed. Provide separate sheets for prime and all subconsultant firms.
- 2) Billing rate = actual hourly rate * (1+ICR) * (1+ Fee). Agreed upon billing rates are not adjustable for the term of the contract.
- 3) For named employees enter the actual hourly rate. For classifications only, enter the average hourly rate for that classification.

NOTES:

- Denote all employees subject to prevailing wage with an asterisks (*)
- For "Other Direct Cost" listing, see page 2 of this Exhibit

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

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Exhibit 10-H
Cost Proposal

COUNTY OF MONTEREY | CONSTRUCTION MANAGEMENT SERVICES FOR PEACH TREE ROAD BRIDGE REPLACEMENT PROJECT | EXHIBIT 10-H COST PROPOSAL

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SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)

(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant or Subconsultant: Kleinfelder, Inc. Contract No.: RFP 2201 Date: 03/04/2016

Fringe Benefit % 61.2000% + Overhead % 118.2800% + General Administration % _____ = Combined Indirect Cost Rate (ICR) % 179.4800%

FEE % = 10.0%

Escalation % = 3.0%

BILLING INFORMATION

CALCULATION INFORMATION

| Name/Job Title/Classification ¹ | Hourly Billing Rates ² | | | Effective date of hourly rate | | Actual or Avg. hourly rate ³ | % or \$ increase | Hourly range - for classifications only |
|---|-------------------------------------|-------------------------------------|-------------------------------------|--|--|---|------------------|---|
| | Straight | OT (1.5x) | OT (2x) | From | To | | | |
| Andi Bord Project Manager (non-exempt) (non-prevailing wage) | \$ 109.94 \$ 113.23 \$ 116.63 | \$ 164.90 \$ 169.85 \$ 174.95 | \$ 219.87 \$ 226.47 \$ 233.26 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 35.76 \$ 36.83 \$ 37.94 | 3.0% 3.0% | Not Applicable |
| TBD *Group 3 & 4 Inspector (non-exempt) (non-prevailing wage) | \$ 110.00 \$ 113.30 \$ 116.70 | \$ 165.00 \$ 169.95 \$ 175.05 | \$ 220.00 \$ 226.60 \$ 233.40 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 36.00 \$ 37.08 \$ 38.19 | 3.0% 3.0% | Not Applicable |
| TBD *Group 1 & 2 Inspector (non-exempt) (prevailing wage) | \$ 135.00 \$ 139.05 \$ 143.22 | \$ 202.50 \$ 208.58 \$ 214.83 | \$ 270.00 \$ 278.10 \$ 286.44 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 55.00 \$ 56.65 \$ 58.35 | 3.0% 3.0% | Not Applicable |
| TBD Shop/Plant/Source Inspector (non-exempt) (non-prevailing wage) | \$ 120.00 \$ 123.60 \$ 127.31 | \$ 180.00 \$ 185.40 \$ 190.96 | \$ 240.00 \$ 247.20 \$ 254.62 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 44.00 \$ 45.32 \$ 46.68 | 3.0% 3.0% | Not Applicable |
| TBD Travel (non-exempt) (non-prevailing wage) | \$ 85.00 \$ 87.55 \$ 90.18 | \$ 127.50 \$ 131.33 \$ 135.26 | \$ 170.00 \$ 175.10 \$ 180.35 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 44.00 \$ 45.32 \$ 46.68 | 3.0% 3.0% | Not Applicable |
| Chris McCarty Materials Manager (PM II) (exempt) (non-prevailing wage) | \$ 187.62 \$ 193.25 \$ 199.05 | \$ 187.62 \$ 193.25 \$ 199.05 | \$ 187.62 \$ 193.25 \$ 199.05 | 03/01/2016 07/01/2016 07/01/2017 | 06/30/2016 06/30/2017 06/30/2018 | \$ 61.03 \$ 62.86 \$ 64.75 | 3.0% 3.0% | Not Applicable |

- Names and classifications of consultant (key staff) team members must be listed. Provide separate sheets for prime and all subconsultant firms.
- Billing rate = actual hourly rate * (1+ ICR) * (1+ Fee). Agreed upon billing rates are not adjustable for the term of the contract.
- For named employees enter the actual hourly rate. For classifications only, enter the average hourly rate for that classification.

NOTES:

- Denote all employees subject to prevailing wage with an asterisks (*)
- For "Other Direct Cost" listing, see page 2 of this Exhibit

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

Exhibit 10-H
Cost Proposal

COUNTY OF MONTEREY | CONSTRUCTION MANAGEMENT SERVICES FOR PEACH TREE ROAD BRIDGE REPLACEMENT PROJECT | EXHIBIT 10-H COST PROPOSAL

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SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)

(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant or Subconsultant: Mark E. Molini, Inc. Contract No.: RFP 2201 Date: 03/04/2016

Fringe Benefit % _____ + Overhead % 110.0000% + General Administration % _____ = Combined Indirect Cost Rate (ICR) % 110.0000%

FEE % = 10.0%

Escalation % = 3.0%

BILLING INFORMATION

CALCULATION INFORMATION

| Name/Job Title/Classification ¹ | Hourly Billing Rates ² | | | Effective date of hourly rate | | Actual or Avg. hourly rate ³ | % or \$ Increase | Hourly range - for classifications only |
|--|-----------------------------------|-----------|-----------|-------------------------------|------------|---|------------------|---|
| | Straight | OT (1.5x) | OT (2x) | From | To | | | |
| Mark E. Molini | \$ 233.38 | \$ 233.38 | \$ 233.38 | 03/01/2016 | 06/30/2016 | \$ 101.03 | | Not Applicable |
| * Principal Surveyor | \$ 240.38 | \$ 240.38 | \$ 240.38 | 07/01/2016 | 06/30/2017 | \$ 104.06 | 3.0% | |
| (exempt) | \$ 247.59 | \$ 247.59 | \$ 247.59 | 07/01/2017 | 06/30/2018 | \$ 107.18 | 3.0% | |
| (prevailing wage) | | | | | | | | |

- 1) Names and classifications of consultant (key staff) team members must be listed. Provide separate sheets for prime and all subconsultant firms.
- 2) Billing rate = actual hourly rate * (1+ ICR) * (1+ Fee). Agreed upon billing rates are not adjustable for the term of the contract.
- 3) For named employees enter the actual hourly rate. For classifications only, enter the average hourly rate for that classification.

NOTES:

- Denote all employees subject to prevailing wage with an asterisks (*)
- For "Other Direct Cost" listing, see page 2 of this Exhibit

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**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

**COUNTY OF MONTEREY | CONSTRUCTION MANAGEMENT SERVICES FOR PEACH TREE ROAD BRIDGE
REPLACEMENT PROJECT | EXHIBIT 10-H COST PROPOSAL**

SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)
(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant/Subconsultant: Vali Cooper & Associates, Inc. Contract No.: RFP 2201 Date: 03/04/2016

| SCHEDULE OF OTHER DIRECT COST ITEMS | | | | | | | |
|---|------------------------------------|-----------|---------------|------------------------------------|----------|-----------|-------|
| Vali Cooper & Associates, Inc. | | | | Acumen Building Enterprise, Inc. | | | |
| DESCRIPTION OF ITEMS | UNIT | UNIT COST | TOTAL | DESCRIPTION OF ITEMS | UNIT | UNIT COST | TOTAL |
| Special Tooling | | | | Special Tooling | | | |
| A. | | | | A. | | | |
| B. | | | | B. | | | |
| C. | | | | C. | | | |
| Travel | | | | Travel (per trip cost @ GSA Rates) | | | |
| A. Per Diem (as applicable) per DIR Prevailing Wage Rules | PP/DY | \$ 85.00 | up to 6/30/16 | A. Meals | per trip | \$ 74.00 | |
| | | \$ 125.00 | from 7/1/16 | B. Hotel | per trip | \$ 134.00 | |
| B. | | | | C. Mileage (\$0.54/mile) | per trip | \$ 116.64 | |
| Sub-consultant Mark-up | /EA | 5% | | | | | |
| PRIME TOTAL ODCs = \$ - | | | | SUBCONSULTANT #1 ODCs = \$ - | | | |
| Kleinfelder, Inc. | | | | Mark E. Molini, Inc. | | | |
| DESCRIPTION OF ITEMS | UNIT | UNIT COST | TOTAL | DESCRIPTION OF ITEMS | UNIT | UNIT COST | TOTAL |
| Special Tooling | | | | Special Tooling | | | |
| A. | | | | A. | | | |
| B. | | | | B. | | | |
| C. | | | | C. | | | |
| Travel | | | | Travel | | | |
| A. Mileage | /mile | \$ 0.54 | | A. Travel/Mileage/Vehicle | Mile | IRS Rate | |
| B. | | | | B. | | | |
| C. | | | | C. | | | |
| Lab Testing Unit Rates | Varies - See Attached (pgs 6 - 13) | | | Permit/Plan Fees | Note 9 | \$ 125.00 | |
| SUBCONSULTANT #2 ODCs = \$ - | | | | SUBCONSULTANT #3 ODCs = \$ - | | | |

IMPORTANT NOTES:

- List direct cost items with estimated costs. These costs should be competitive in their respective industries and supported with appropriate documentations.
- Proposed items should be consistently billed directly to all clients (Commercial entities, Federal Govt, State Govt, and Local Govt. Agency), and not just when the client will pay for them as a direct cost.
- Items when incurred for the same purpose, in like circumstance, should not be included in any indirect cost pool or in the overhead rate.
- Items such as special tooling, will be reimbursed at actual cost with supporting documentation (invoice).
- Items listed above that would be considered "tools of the trade" are not reimbursable as other direct cost.
- Travel related costs should be pre-approved by the contracting agency.
- If mileage is claimed, the rate should be properly supported by the consultant's calculation of their actual costs for company vehicles. In addition, the miles claimed should be supported by mileage logs.
- If a consultant proposes rental costs for a vehicle, the company must demonstrate that this is their standard procedure for all of their contracts and that they do not own any vehicles that could be used for the same purpose.
- Permit/Plan fees are all inclusive and include acquisition, printing, transportation or delivery, and other required costs.

**KLEINFELDER FEE SCHEDULE FOR
GEOTECHNICAL and MATERIALS LABORATORY TESTING SERVICES**

SOIL TESTS

SOIL DENSITY TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|---------------|
| Standard Proctor, 4" Mold | D698, T99 | \$210.00 each |
| Standard Proctor, 6" Mold | D698, T99 | \$235.00 each |
| Modified Proctor, 4" Mold | D1557, T180 | \$215.00 each |
| Modified Proctor, 6" Mold | D1557, T180 | \$240.00 each |
| Proctor Check Point | T272 | \$115.00 each |
| Proctor Oversize Correction | D4718 | \$65.00 each |
| Treated Soil Proctor | D558 | \$280.00 each |
| Minimum/Maximum Relative Density | D4254, D4253 | \$360.00 each |
| Moisture/Density, TEX 113-E | TEX113-E | \$260.00 each |
| Moisture/Density, TEX 114-E | TEX114-E | \$260.00 each |
| California Impact, CTM 216, Dry Method | CTM216 | \$215.00 each |
| California Impact, CTM 216, Wet Method | CTM216 | \$185.00 each |

SOIL CLASSIFICATION AND INDEX TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|---------------|
| Visual Classification | D2488 | \$10.00 each |
| Sieve Analysis, % Finer than 200 Sieve | C117, D1140 | \$80.00 each |
| Sieve Analysis, Fine | C136, D422, D6913 | \$120.00 each |
| Sieve Analysis, Coarse | C136, D422, D6913 | \$100.00 each |
| Sieve Analysis, Coarse and Fine | C136, D422, D6913 | \$150.00 each |
| Hydrometer Analysis* | D422 | \$165.00 each |
| Water Content | D2216, D4643 | \$25.00 each |
| Water Content and Dry Unit Weight | D2216, D2937, D7263 | \$45.00 each |
| Atterberg Limits, Single Point | D4318-Method B | \$110.00 each |
| Atterberg Limits, Multiple Point | D4318-Method A | \$170.00 each |
| Atterberg Limits, Liquid Limit Only | D4318 | \$110.00 each |
| Soil Specific Gravity | D854 | \$140.00 each |
| Soil Organic Content | D2974-Method C | \$105.00 each |
| Pinhole Dispersion Classification | D4647 | \$300.00 each |
| Soil pH | D4972, G51 | \$55.00 each |
| Soil Resistivity | G187 | \$160.00 each |
| Chloride Content | | \$50.00 each |
| Sulfate Content | | \$100.00 each |
| Thermal Resistivity, Per Point | D5334, IEEE 422 | \$300.00 each |
| Thermal Resistivity, Dry-Out Curve | D5334, IEEE 422 | \$900.00 each |

*Note: Requires a Sieve Analysis, not included.

SOIL BEARING PRESSURE TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|---------------|
| California Bearing Ratio, Single Point * | D1883 | \$350.00 each |
| California Bearing Ratio, 3 Points * | D1883 | \$600.00 each |
| Resistance R-Value | D2844 | \$300.00 each |
| Resistance R-Value of Treated Material | D2844 | \$350.00 each |
| Rock Correction for R-Value | D2844 | \$80.00 each |
| Stabilized Soil UC Strength, 1 Point * | D1633, D5102 | \$150.00 each |

*Note: Does not include Proctor Test

[†]Examples of common test methods. Other methods may exist.

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**KLEINFELDER FEE SCHEDULE FOR
GEOTECHNICAL and MATERIALS LABORATORY TESTING SERVICES**

SOIL TESTS (continued)

SOIL BEARING PRESSURE TESTS (continued)

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|-----------------|
| Stabilized Soil UC Strength, Set of 3 | D1633, D5102 | \$900.00 each |
| CTM 373, 1 Lime Content, w/o Opt. Moist. | CTM373 | \$150.00 each |
| CTM 373, 1 Lime Content | CTM373 | \$350.00 each |
| CTM 373, 3 Lime Contents | CTM373 | \$950.00 each |
| Eades and Grim Test (Opt. Lime Content) | C977 | \$135.00 each |
| Resilient Modulus | T307 | \$450.00 each |
| CTB Strength, Individual Specimen | | \$175.00 each |
| CTB Strength, Set of 3, Without Design | | \$400.00 each |
| CTB Complete Mix Design | | \$1,200.00 each |

SOIL STRENGTH AND PERMEABILITY TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|-----------------|
| Pocket Penetration Value | | \$10.00 each |
| Unconfined Compressive Strength | D2166 | \$135.00 each |
| Direct Shear, 1 Point | D3080 | \$125.00 each |
| Direct Shear, 3 Points | D3080 | \$350.00 each |
| Direct Shear, Residual Strength, Each Pt | D3080-Modified | \$200.00 each |
| Consolidation without Time Rate Plots | D2435 | \$330.00 each |
| Consolidation with 2 Time Rate Plots | D2435 | \$425.00 each |
| Consolidation, All Loads with Time Rates | D2435 | \$600.00 each |
| Consolidation, Additional Rebound | D2435 | \$75.00 each |
| Collapse Potential | D5333 | \$175.00 each |
| One Dimensional Free Swell | D4546 | \$150.00 each |
| One Dimensional Swell, Percent Heave | D4546 | \$240.00 each |
| One Dimensional Swell with Consolidation | D4546 | \$450.00 each |
| Expansion Index | D4829 | \$175.00 each |
| Denver Swell Test | | \$65.00 each |
| Permeability, Rigid Wall | D2434 | \$400.00 each |
| Permeability, Flexible Wall | D5084-Method C | \$358.00 each |
| Triaxial Shear, CU, 1 Point | D4767 | \$450.00 each |
| Triaxial Shear, CU, 3 Points | D4767 | \$1,200.00 each |
| Triaxial Shear, UU, 1 Point | D2850 | \$200.00 each |
| Triaxial Shear, UU, 3 Points | D2850 | \$500.00 each |
| Triaxial Shear, UU Saturated, 1 Point | D2850-Modified | \$270.00 each |
| Triaxial Shear, UU Saturated, 3 Points | D2850-Modified | \$750.00 each |
| Triaxial Test, TEX117E, Part I | TEX117E | \$2,200.00 each |
| Triaxial Test, TEX117E, Part II | TEX117E | \$2,200.00 each |
| Resonant Column Torsional Shear | | \$4,000.00 each |

[†]Examples of common test methods. Other methods may exist.

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**KLEINFELDER FEE SCHEDULE FOR
GEOTECHNICAL and MATERIALS LABORATORY TESTING SERVICES**

AGGREGATE TESTS

| <u>Test</u> | <u>Test Method†</u> | <u>Fee</u> |
|--|---------------------|-----------------|
| Acid Solubility | AWWA B100 | \$175.00 each |
| Air Degradation | ODT TM208 | \$200.00 each |
| ASR Reactivity, Long Method | C227, C1293 | \$1,500.00 each |
| ASR Reactivity, Short method | C1260, C1567 | \$850.00 each |
| Cleanness Value | CTM227 | \$150.00 each |
| Clay Lumps and Friable Particles, per sz * | C142 | \$100.00 each |
| Coarse Specific Gravity & Absorption | C127 | \$60.00 each |
| Fine Specific Gravity & Absorption | C128 | \$100.00 each |
| Coarse Durability | D3744 | \$150.00 each |
| Fine Durability | D3744 | \$110.00 each |
| Flat and Elongated Particles, per size * | D4791 | \$75.00 each |
| Fractured Faces, per size * | D5821 | \$100.00 each |
| Lightweight Pieces ** | C123 | \$330.00 each |
| Los Angeles Abrasion, Large Aggregate | C535 | \$200.00 each |
| Los Angeles Abrasion, Small Aggregate | C131 | \$175.00 each |
| Mortar Sand Strength | C87, CTM515 | \$550.00 each |
| Organic Impurities | C40 | \$60.00 each |
| ASR Potential Reactivity, Chemical Method | C289 | \$700.00 each |
| Sand Equivalent, 1 point | D2419 | \$70.00 each |
| Sand Equivalent, 3 points | D2419 | \$130.00 each |
| Sieve Analysis, % Finer than 200 Sieve | C117, D1140 | \$80.00 each |
| Sieve Analysis, Fine | C136 | \$120.00 each |
| Sieve Analysis, Coarse | C136 | \$100.00 each |
| Sieve Analysis, Coarse and Fine | C136 | \$150.00 each |
| Soundness of Aggregate, per size * | C88 | \$140.00 each |
| Unit Weight | C29 | \$60.00 each |
| Water Content | D2216, C566 | \$25.00 each |
| Texas Wet Ball Mill | TEX116E | \$250.00 each |
| Calcium Carbonate | | \$750.00 each |
| Decantation Wash | TEX406A | \$85.00 each |
| Disintegration | IDT T-116 | \$100.00 each |
| Uncompacted Void Content of Fine Agg. | C1252 | \$130.00 each |
| Idaho Degradation | IDT T-15 | \$300.00 each |

***Note:** Tests are billed by each size fraction tested. The quantity of fractions tested is dependent on the sample gradation and specific test method.

****Note:** Tests are billed by each specific gravity of heavy liquid used (2.0 and/or 2.4).

FILTER MEDIA TESTS

| <u>Test</u> | <u>Test Method†</u> | <u>Fee</u> |
|-------------------------------|---------------------|---------------|
| Filter Media, Sieve Analysis* | AWWA B100 | \$175.00 each |
| Filter Media, Mohs Hardness | AWWA B100 | \$175.00 each |
| Filter Media, Percent Silica | | \$200.00 each |
| Acid Solubility | AWWA B100 | \$175.00 each |

***Note:** Includes determination of d₁₀, d₆₀, effective size and uniformity coefficient.

†Examples of common test methods. Other methods may exist.

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**KLEINFELDER FEE SCHEDULE FOR
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ROCK TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|---|--------------------------------|---------------|
| Rock Sample Preparation | | \$80.00 each |
| Rock Direct Shear, 1 Point | D5607 | \$105.00 each |
| Rock Direct Shear, 3 Points | D5607 | \$315.00 each |
| Rock Mohs Hardness | | \$25.00 each |
| Rock Point Load Index | D5731 | \$35.00 each |
| Rock Point Load, Set of 10 | D5731 | \$200.00 each |
| Rock Slake Durability | D4644 | \$125.00 each |
| Rock Tensile/Brazilian | D3967 | \$205.00 each |
| Rock Triaxial Shear, W Modulus of Rupture | D7012 | \$530.00 each |
| Rock Triaxial Shear | D7012 | \$400.00 each |
| Rock Unconfined Compression | D7012 | \$200.00 each |
| Rock Unconfined Compression W/Mod of Rup | D7012 | \$340.00 each |

CONCRETE TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|-----------------|
| Concrete Compression | C39 | \$30.00 each |
| Concrete Core Compression | C42 | \$65.00 each |
| Concrete Creep | C512 | \$2,000.00 each |
| Concrete Cylinder Unit Weight | C567 | \$100.00 each |
| Concrete Drying Shrinkage, set of 3 | C157 | \$440.00 each |
| Concrete Flexural Strength | C78 | \$100.00 each |
| Concrete Modulus of Elasticity | C469 | \$250.00 each |
| Concrete Splitting Tensile Strength | C496 | \$80.00 each |
| Concrete Core Thickness | C174 | \$10.00 each |
| Concrete Laboratory Trial Batch | C192 | \$1,000.00 each |
| RCC Compression | C39 | \$60.00 each |
| Shotcrete Compression | C1140 | \$80.00 each |
| Concrete Absorption after 3-Hour Boil | C497 | \$125.00 each |
| Concrete Absorption after 5-Hour Boil | C497, C642 | \$150.00 each |
| Concrete Absorption after 10-Minute Soak | C497 | \$100.00 each |
| CLSM Compression | D4832 | \$40.00 each |
| Concrete Permeability | COE CRD C 48 | \$2,800.00 each |
| Concrete Chloride Ion Penetration | C1202 | \$750.00 each |

[†]Examples of common test methods. Other methods may exist.

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**KLEINFELDER FEE SCHEDULE FOR
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MASONRY TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|---------------|
| Masonry Grout Compression | C1019 | \$30.00 each |
| Masonry Mortar Compression | C942 | \$30.00 each |
| Masonry Core Compression | CA DSA | \$60.00 each |
| Masonry Core Shear | CA DSA | \$50.00 each |
| Masonry Prism Compression | C1314 | \$110.00 each |
| CMU Absorption and Received Moisture | C140 | \$75.00 each |
| CMU Compression | C140 | \$100.00 each |
| CMU Dimension Verification | C140 | \$25.00 each |
| CMU Lineal Shrinkage | C426 | \$175.00 each |
| Masonry Brick Absorption | C67 | \$80.00 each |
| CMU/Seg. Retaining Wall Unit Freeze-Thaw | | |

ASPHALT TESTS

BINDER TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|----------------------------------|--------------------------------|---------------|
| Absolute Viscosity | D2171 | \$210.00 each |
| Bitumen Penetration | D5 | \$75.00 each |
| Kinematic Viscosity | D2170 | \$190.00 each |
| Recovery by Roto-Vapor | D5404 | \$365.00 each |
| Softening Point, Ring & Ball | D36 | \$100.00 each |
| Bitumen Recovery by Abson Method | D5404 | \$350.00 each |
| Ductility of Bitumen | D113 | \$125.00 each |
| Resilience of AR Binders | D5329 | \$75.00 each |

EMULSION TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|-----------------------------|--------------------------------|---------------|
| Emulsion Elastic Recovery | D6084, T301 | \$250.00 each |
| Emulsion Settlement | D6930, T59 | \$225.00 each |
| Emulsion Sieve Test | D6933, T59 | \$100.00 each |
| Emulsion Storage Stability | D6930, T59 | \$175.00 each |
| Emulsion Torsional Recovery | CTM332 | \$150.00 each |
| Particle Charge | D7402, T59 | \$100.00 each |
| Residue by Evaporation | D6934, T59 | \$110.00 each |
| Saybolt Viscosity | D7946, T59 | \$155.00 each |

[†]Examples of common test methods. Other methods may exist.

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CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

**KLEINFELDER FEE SCHEDULE FOR
GEOTECHNICAL and MATERIALS LABORATORY TESTING SERVICES**

ASPHALT TESTS (cont.)

MIX PROPERTY TESTS

| <u>Test</u> | <u>Test Method†</u> | <u>Fee</u> |
|------------------------------------|---------------------|---------------|
| Air Voids Determination* | D3203 | \$50.00 each |
| VMA Determination* | | \$50.00 each |
| VFA Determination* | | \$50.00 each |
| Gradation of Extracted Aggregate | D5444 | \$100.00 each |
| AC Core Thickness | D3549 | \$10.00 each |
| AC Content by Extraction | D2172 | \$200.00 each |
| Hveem Stability | D1560 | \$325.00 each |
| Hveem Stability without Compaction | D1560 | \$165.00 each |
| AC Content by Ignition Oven | D6307, T308 | \$140.00 each |
| AC Ignition Oven Calibration | D6307 | \$300.00 each |
| AC Moisture Content | T329 | \$50.00 each |
| AC Content by Nuclear Gauge | D4125 | \$200.00 each |
| Marshall Stability and Flow** | D6927 | \$150.00 each |
| AC Swell | CTM305 | \$100.00 each |
| AC Core Unit Weight & Thickness | D1188,D2726,D3549 | \$50.00 each |
| Slurry Seal Wet Track Abrasion | D3910, ISSA TB100 | \$300.00 each |

*Note: Calculation only, other test methods required.

**Note: Does not include compaction of test briquettes

DESIGN AND DENSITY TESTS

| <u>Test</u> | <u>Test Method†</u> | <u>Fee</u> |
|--------------------------------------|---------------------|-----------------|
| Centrifuge Kerosene Equivalent | CTM303 | \$240.00 each |
| Film Stripping | CTM 302 | \$120.00 each |
| Index of Retained Strength | D1075 | \$1,000.00 each |
| Unit Weight, Gyrotory Method | T312 | \$350.00 each |
| Unit Weight, Hveem Method | D1561 | \$285.00 each |
| Unit Weight, Marshall Method | D6926 | \$210.00 each |
| Maximum Theoretical Specific Gravity | D2041 | \$145.00 each |
| Moisture Induced Damage | T283 | \$1,400.00 each |
| Caltrans Tensile Strength Ratio | CTM371 | \$2,100.00 each |
| Moisture Vapor Susceptibility | | \$250.00 each |
| Mix Design, Hveem Method W/RAP | | \$7,600.00 each |
| Mix Design, Hveem Method | | \$5,400.00 each |
| Mix Design, Marshall Method | | \$3,000.00 each |
| Mix Design, Superpave Method | | \$6,000.00 each |
| Caltrans Opt Bitumen Content OGFC | CTM368 | \$1,500.00 each |

†Examples of common test methods. Other methods may exist.

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**KLEINFELDER FEE SCHEDULE FOR
GEOTECHNICAL and MATERIALS LABORATORY TESTING SERVICES**

METAL TESTS

BOLT TESTS

| <u>Test</u> | <u>Test Method†</u> | <u>Fee</u> |
|--|---------------------|---------------|
| Bolt Assembly Suite (Bolt, Nut, Washer)* | F606 | \$180.00 each |
| Bolt Hardness | E18 | \$25.00 each |
| Bolt Proof Load | F606 | \$35.00 each |
| Bolt Wedge Tensile | F606 | \$35.00 each |
| Nut Hardness | E18 | \$25.00 each |
| Nut Proof Load | F606 | \$35.00 each |
| Washer Hardness | E18 | \$25.00 each |

***Note:** An 'assembly' is one bolt, one nut and one washer. The suite consists of a bolt wedge tensile test, bolt and nut proof load tests, and hardness tests on all three pieces.

METAL TESTS

| <u>Test</u> | <u>Test Method†</u> | <u>Fee</u> |
|---|---------------------|---------------|
| Bend | A370, E290 | \$40.00 each |
| Rebar Coupler Slippage | A370, CTM 670 | \$130.00 each |
| Rebar Coupler Tensile | A370, CTM 670 | \$80.00 each |
| Rebar Coupler Tensile ≥ 2 Sq.In. CrossSect | A370, CTM 670 | \$140.00 each |
| CTM 670 Strain (Elongation) | CTM670 | \$15.00 each |
| PT Strand Tensile | A370 | \$145.00 each |
| Spliced Specimen Tensile | A370 | \$80.00 each |
| Tensile <2.0 Sq. In. Cross-Sect. | A370, E8 | \$85.00 each |
| Tensile and Bend <2.0 Sq. In. Cross-Sect. | A370, E8, E290 | \$125.00 each |
| Tensile ≥ 2.0 Sq. In. Cross-Sect. | A370, E8 | \$140.00 each |
| Tensile and Bend ≥ 2.0 Sq. In. Cross-Sect. | A370, E8, E290 | \$180.00 each |
| Rockwell Hardness | E18 | \$30.00 each |
| Macroetch | E381 | \$125.00 each |
| Charpy Impact, Set of 3 * | A370, A673 | \$300.00 set |
| Galvination Thickness | B499, E376 | \$20.00 each |
| Fireproofing Density | E605 | \$50.00 each |

***Note:** Price does not include the cost of machining test specimens. Price is for testing at 40 °F; additional fees will be assessed for other testing temperatures.

†Examples of common test methods. Other methods may exist.

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**KLEINFELDER FEE SCHEDULE FOR
GEOTECHNICAL and MATERIALS LABORATORY TESTING SERVICES**

DIMENSION STONE AND ROOFING MATERIAL TESTS

DIMENSION STONE

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|--|--------------------------------|----------------|
| Dimension Stone, Absorption/Spec. Grav. | C97 | \$210.00 set/5 |
| Dimension Stone, Compressive Strength | C170 | \$210.00 set/5 |
| Dimension Stone, Flexural Strength | C880 | \$210.00 set/5 |
| Dimension Stone, Modulus Of Rupture | C99 | \$210.00 set/5 |
| Dimension Stone, Anchor Pull Out Strngth | | \$150.00 each |

ROOFING MATERIAL TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|-----------------------------------|--------------------------------|---------------|
| Roof Tile Absorption | | \$100.00 each |
| Roofing, Unit Weight of Surfacing | D2829 | \$100.00 each |
| Roof Tile Breaking Load | UBC 15-5 | \$50.00 each |
| Roof Tile Permeability | | \$150.00 each |

MISCELLANEOUS TESTS

MISCELLANEOUS TESTS

| <u>Test</u> | <u>Test Method[†]</u> | <u>Fee</u> |
|-------------------------------|--------------------------------|---------------|
| Non-Masonry Grout Compression | C579 | \$30.00 each |
| Hydraulic Ram Calibration | | \$200.00 each |

SAMPLE PREPARATION

SAMPLE PREPARATION

| <u>Test</u> | <u>Test Method[†]</u> | <u>Price</u> |
|------------------------------|--------------------------------|---------------|
| Rock Sample Preparation | D4543 | \$80.00 each |
| Sample Crushing | | \$100.00 each |
| Sample Cutting and Trimming | | \$30.00 each |
| Sample Mixing and Processing | | \$40.00 each |
| Sample Preparation | | \$25.00 each |
| Sample Preparation, per hour | | \$90.00 hour |
| Sample Remolding | | \$75.00 each |
| Contamination Fee | | \$250.00 each |
| Sample Disposal Fee | | \$10.00 each |

[†]Examples of common test methods. Other methods may exist.

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**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

EXHIBIT 10-K

Consultant Certification of Contract Costs and Financial Management System

**EXHIBIT 10-K CONSULTANT CERTIFICATION OF CONTRACT COSTS AND FINANCIAL
MANAGEMENT SYSTEM**

*(Note: If requesting to utilize the Safe Harbor Indirect Cost Rate submit Attachment 1 of
DLA-OB 13-07 - Safe Harbor Indirect Cost Rate for Consultant Contracts found at
http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/DLA_OB.htm in lieu of this form.)*

Certification of Final Indirect Costs:

Consultant Firm Name: Vali Cooper & Associates, Inc.

Indirect Cost Rate: 143.78% * for fiscal period 01/01/14 through 12/31/14

*Fiscal period covered for Indirect Cost Rate developed (not the contract period).

Local Government: Monterey County

Contract Number: STPLZ-5944 (041) Project Number: 2201

I, the undersigned, certify that I have reviewed the proposal to establish final indirect cost rates for the fiscal period as specified above and to the best of my knowledge and belief:

1. All costs included in this proposal to establish final Indirect Cost Rates are allowable in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of Title 48, Code of Federal Regulations (CFR), Part 31.
2. This proposal does not include any costs which are expressly unallowable under the cost principles of the FAR of 48 CFR, Part 31.

All known material transactions or events that have occurred affecting the firm's ownership, organization, and Indirect Cost Rates have been disclosed as of the date of proposal preparation noted above.

Certification of Financial Management System:

I, the undersigned, certify to the best of my knowledge and belief that our Financial Management System meets the standards for financial reporting, accounting records, internal and budget control as set forth in the FAR of Title 49, CFR, Part 18.20 to the extent applicable to Consultant.

Certification of Dollar Amount for all A&E Contracts:

I, the undersigned, certify that the approximate dollar amount of all A&E contracts awarded by Caltrans or a California local agency to this firm within the last three (3) calendar years for all State DOT and Local Agencies is \$ 114,100,000.00 and the number of states in which the firm does business is 2.

Certification of Direct Costs:

I, the undersigned, certify to the best of my knowledge and belief that all direct costs identified on the cost proposal(s) in this contract are reasonable, allowable and allocable to the contract in accordance with the cost principles of the FAR of Title 48, CFR, Part 31. Allowable direct costs to a Government contract shall be:

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

EXHIBIT 10-K

Consultant Certification of Contract Costs and Financial Management System

1. Compliant with Generally Accepted Accounting Principles (GAAP) and standards promulgated by the Cost Accounting Standards Board (when applicable).
2. Compliant with the terms of the contract and is incurred specifically for the contract.
3. Not prohibited by 23 CFR, Chapter 1, Part 172 – Administration of Engineering and Design Related Service Contracts to the extent requirements are applicable to Consultant.

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files.

Subconsultants (if applicable)

Proposed Contract Amount (or amount not to exceed if on-call contract): \$ _____

Prime Consultants (if applicable)

Proposed **Total** Contract Amount (or amount not to exceed if on-call contract): \$ 240,094.00

Prime, list all subconsultants and proposed subcontract dollar amounts (attach additional page if necessary):

| | |
|-------------|--------------|
| Acumen | \$ 15,742.00 |
| Kleinfelder | \$ 19,244.00 |
| Molini | \$ 7,993.00 |
| _____ | \$ _____ |
| _____ | \$ _____ |

Consultant Certifying (Print Name and Title):

Name: John Collins, PE

Title: COO

Consultant Certification Signature **: 

Date of Certification (mm/dd/yyyy): 5-26-16

Consultant Contact Information:

Email: john.collins@valicooper.com

Phone number: 510-446-8301

****An individual executive or financial officer of the consultant's organization at a level no lower than a Vice President or Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the Indirect Cost Rate proposal submitted in conjunction with the contract.**

Note: *Per 23 U.S.C. 112(b)(2)(B), Subconsultants must comply with the FAR Cost Principles contained in 48 CFR, Part 31. 23 CFR Part 172.3 Definitions state: Consultant means the individual or firm providing engineering and design related services as a party to the contract. Therefore, subconsultants as parties of a contract must complete a certification and send originals to A&I and keep copies in Local Agency Project Files.*

Distribution: 1) Original to Caltrans Audits and Investigations
2) Retained in Local Agency Project Files



**EXHIBIT C - FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

Exhibit 10-01
Consultant Proposal DBE Commitment

EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT

1. Local Agency: Monterey County 2. Contract DBE Goal: 0.0%
 3. Project Description: Peach Tree Road Bridge Replacement Project
 4. Project Location: County of Monterey, CA
 5. Consultant's Name: Vali Cooper & Associates, Inc. 6. Prime Certified DBE:

| 7. Description of Work, Service, or Materials Supplied | 8. DBE Certification Number | 9. DBE Contact Information | 10. DBE % |
|---|-----------------------------|--|---------------|
| Office Engineering | 91919 | Acumen Building Enterprise, Inc. 7770 Pardee Lane, Oakland, CA 94621 | 6.56% |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Local Agency to Complete this Section | | 11. TOTAL CLAIMED DBE PARTICIPATION | 6.56 % |
| 17. Local Agency Contract Number: <u>2201</u> 18. Federal Aid Project Number: <u>STPLZ-5944 (041)</u> 19. Proposed Contract Execution Date: <u>July 1, 2016</u> | | | |
| Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate. | | IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required. | |
| 20. Local Agency Representative's Signature:  | | 12. Preparer's Signature:  | |
| 21. Date: <u>5-27-2016</u> | | 13. Date: <u>5-25-16</u> | |
| 22. Local Agency Representative's Name: <u>Enrique M. Saavedra P.E.</u> | | 14. Preparer's Name: <u>John Collins, PE</u> | |
| 23. Phone: <u>(831) 755-8970</u> | | 15. Phone: <u>510-446-8301</u> | |
| 24. Local Agency Representative's Title: <u>RMA-Assistant Director of Public Works</u> | | 16. Preparer's Title: <u>COO</u> | |

DISTRIBUTION: Original – Included with consultant's proposal to local agency.

ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

INSTRUCTIONS – CONSULTANT PROPOSAL DBE COMMITMENT

CONSULTANT SECTION

1. **Local Agency** - Enter the name of the local or regional agency that is funding the contract.
2. **Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
3. **Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc.).
4. **Project Location** - Enter the project location as it appears on the project advertisement.
5. **Consultant's Name** - Enter the consultant's firm name.
6. **Prime Certified DBE** - Check box if prime contractor is a certified DBE.
7. **Description of Work, Services, or Materials Supplied** - Enter description of work, services, or materials to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
8. **DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
9. **DBE Contact Information** - Enter the name, address, and phone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and phone number, if the prime is a DBE.
10. **DBE %** - Percent participation of work to be performed or service provided by a DBE. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
11. **Total Claimed DBE Participation %** - Enter the total DBE participation claimed. If the total % claimed is less than item "Contract DBE Goal," an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H DBE Information - Good Faith Efforts of the LAPM).
12. **Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
13. **Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
14. **Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
15. **Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
16. **Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

LOCAL AGENCY SECTION

17. **Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
18. **Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
19. **Proposed Contract Execution Date** - Enter the proposed contract execution date.
20. **Local Agency Representative's Signature** - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
21. **Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
22. **Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
23. **Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
24. **Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

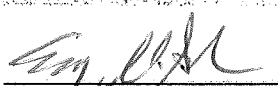
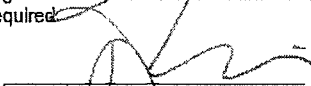
**EXHIBIT C - FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

Exhibit 10-02
Consultant Contract DBE Commitment

EXHIBIT 10-02 CONSULTANT CONTRACT DBE COMMITMENT

1. Local Agency: Monterey County 2. Contract DBE Goal: 0.00%
 3. Project Description: Peach Tree Bridge Replacement
 4. Project Location: Monterey County, CA
 5. Consultant's Name: Vali Cooper & Associates 6. Prime Certified DBE: 7. Total Contract Award Amount: \$240,094.00
 8. Total Dollar Amount for ALL Subconsultants: \$42,979.00 9. Total Number of ALL Subconsultants: 3

| 10. Description of Work, Service, or Materials Supplied | 11. DBE Certification Number | 12. DBE Contact Information | 13. DBE Dollar Amount |
|--|------------------------------|--|--|
| Office Engineering | 91919 | Acumen Building Enterprise, Inc. 27770 Pardee Ln, Oakland, CA 94621 | \$15,742 |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Local Agency to Complete this Section | | | |
| 20. Local Agency Contract Number: <u>2201</u> 21. Federal-Aid Project Number: <u>STPL7-5944 (041)</u> 22. Contract Execution Date: <u>July 1, 2016</u> | | 14. TOTAL CLAIMED DBE PARTICIPATION | \$ 15,742 6.56 % |
| Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.  <u>5-27-2016</u> 23. Local Agency Representative's Signature 24. Date <u>Enrique M. Saavedra, P.E. (831) 755-8970</u> 25. Local Agency Representative's Name 26. Phone <u>RMA-Assistant Director of Public Works</u> 27. Local Agency Representative's Title | | | IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.  <u>5-25-16</u> 15. Preparer's Signature 16. Date <u>John Collins, PE</u> <u>510-446-8301</u> 17. Preparer's Name 18. Phone <u>COO</u> 19. Preparer's Title |

DISTRIBUTION: 1. Original – Local Agency
 2. Copy – Caltrans District Local Assistance Engineer (DLAE). Failure to submit to DLAE within 30 days of contract execution may result in de-obligation of federal funds on contract.

ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

**EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

INSTRUCTIONS – CONSULTANT CONTRACT DBE COMMITMENT

CONSULTANT SECTION

1. **Local Agency** - Enter the name of the local or regional agency that is funding the contract.
2. **Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
3. **Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc).
4. **Project Location** - Enter the project location as it appears on the project advertisement.
5. **Consultant's Name** - Enter the consultant's firm name.
6. **Prime Certified DBE** - Check box if prime contractor is a certified DBE.
7. **Total Contract Award Amount** - Enter the total contract award dollar amount for the prime consultant.
8. **Total Dollar Amount for ALL Subconsultants** – Enter the total dollar amount for all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
9. **Total number of ALL subconsultants** – Enter the total number of all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
10. **Description of Work, Services, or Materials Supplied** - Enter description of work, services, or materials to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
11. **DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
12. **DBE Contact Information** - Enter the name, address, and phone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and phone number, if the prime is a DBE.
13. **DBE Dollar Amount** - Enter the subcontracted dollar amount of the work to be performed or service to be provided. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
14. **Total Claimed DBE Participation - \$:** Enter the total dollar amounts entered in the "DBE Dollar Amount" column. **%:** Enter the total DBE participation claimed ("Total Participation Dollars Claimed" divided by item "Total Contract Award Amount"). If the total % claimed is less than item "Contract DBE Goal," an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H DBE Information - Good Faith Efforts of the LAPM).
15. **Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
16. **Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
17. **Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
18. **Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
19. **Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

LOCAL AGENCY SECTION

20. **Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
21. **Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
22. **Contract Execution Date** - Enter the date the contract was executed.
23. **Local Agency Representative's Signature** - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
24. **Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
25. **Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
26. **Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
27. **Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

**EXHIBIT C - FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

EXHIBIT 10-Q
Disclosure of Lobbying Activities

EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES
COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352

| | | |
|---|--|--|
| <p>1. Type of Federal Action:</p> <p><input checked="" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p> | <p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p> | <p>3. Report Type:</p> <p><input checked="" type="checkbox"/> a. initial <input type="checkbox"/> b. material change</p> <p align="right">For Material Change Only: year _____ quarter _____ date of last report _____</p> |
| <p>4. Name and Address of Reporting Entity</p> <p><input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known</p> <p>Congressional District, if known _____</p> | <p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known _____</p> | |
| <p>6. Federal Department/Agency: Federal Highway Administration</p> | <p>7. Federal Program Name/Description: Highway Bridge Program CFDA Number, if applicable _____</p> | |
| <p>8. Federal Action Number, if known:</p> | <p>9. Award Amount, if known:</p> | |
| <p>10. Name and Address of Lobby Entity (If individual, last name, first name, MI)</p> | <p>11. Individuals Performing Services Including address if different from No. 10a (If individual, last name, first name, MI)</p> | |
| <p>(attach Continuation Sheet(s) if necessary)</p> | | |
| <p>12. Amount of Payment (check all that apply)</p> <p>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p> | <p>14. Type of Payment (check all that apply)</p> <p><input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other, specify _____</p> | |
| <p>13. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ Value _____</p> | <p>15. Brief Description of Services Performed or to be performed and Date(s) of Service, including officer(s), employee(s), or member(s) contacted, for Payment Indicated in Item 11:</p> <p>No lobbying activities.</p> | |
| <p>16. Continuation Sheet(s) attached: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> (attach Continuation Sheet(s) if necessary)</p> | | |
| <p>17. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying reference was placed by the filer above when his transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p> | | |
| <p>Signature: _____ Print Name: _____ Title: _____ Telephone No.: 510-774-9039 Date: 5-25-16</p> | | |
| <p>Authorized for Local Reproduction Standard Form - LLL</p> | | |
| <p>Federal Use Only:</p> | | |

Standard Form LLL Rev. 04-26-06

Distribution: Orig- Local Agency Project Files

EXHIBIT C – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

INSTRUCTIONS FOR COMPLETING EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

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

1. Identify the type of covered federal action for which lobbying activity is or has been secured to influence, the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last, previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District if known. Check the appropriate classification of the reporting entity that designates if it is or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the first tier. Subawards include but are not limited to: subcontracts, subgrants, and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee" then enter the full name, address, city, state, and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organization level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identification in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant or loan award number, the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered federal action where there has been an award or loan commitment by the Federal agency, enter the federal amount of the award/loan commitments for the prime entity identified in item 4 or 5.
10. Enter the full name, address, city, state, and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered federal action.
11. Enter the full names of the individual(s) performing services and include full address if different from 10 (a). Enter Last Name, First Name and Middle Initial (MI).
12. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
13. Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
14. Check all boxes that apply. If other, specify nature.
15. Provide a specific and detailed description of the services that the lobbyist has performed or will be expected to perform and the date(s) of any services rendered. Include all preparatory and related activity not just time spent in actual contact with federal officials. Identify the federal officer(s) or employee(s) contacted or the officer(s) employee(s) or Member(s) of Congress that were contacted.
16. Check whether or not a continuation sheet(s) is attached.
17. The certifying official shall sign and date the form, and print his/her name title and telephone number.

Public reporting burden for this collection of information is estimated to average 30-minutes per response, including time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503. SF-L.L.L-Instructions Rev. 06-04

**EXHIBIT C - FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Local Assistance Procedures Manual

Exhibit 15-H
DBE Information - Good Faith Effort

EXHIBIT 15-H DBE INFORMATION —GOOD FAITH EFFORTS

DBE INFORMATION - GOOD FAITH EFFORTS

Federal-aid Project No. STPLZ-5944 (041) Bid Opening Date July 1, 2016

The Monterey County established a Disadvantaged Business Enterprise (DBE) goal of 0.00 % for this project. The information provided herein shows that a good faith effort was made.

Lowest, second lowest and third lowest bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the "Local Agency Bidder DBE Commitment" form indicates that the bidder has met the DBE goal. This will protect the bidder's eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

Submittal of only the "Local Agency Bidder DBE Commitment" form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made.

The following items are listed in the Section entitled "Submission of DBE Commitment" of the Special Provisions:

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

| Publications | Dates of Advertisement |
|------------------|------------------------|
| N/A - 0.00% Goal | |
| | |
| | |

- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

| Names of DBEs Solicited | Date of Initial Solicitation | Follow Up Methods and Dates |
|-------------------------|------------------------------|-----------------------------|
| N/A - 0.00% Goal | | |
| | | |
| | | |
| | | |
| | | |

**EXHIBIT C - FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

**Exhibit 15-H
DBE Information - Good Faith Effort**

Local Assistance Procedures Manual

- C. The items of work which the bidder made available to DBE firms including, where appropriate, any breaking down of the contract work items (including those items normally performed by the bidder with its own forces) into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation was made available to DBE firms.

| Items of Work | Bidder Normally Performs Item (Y/N) | Breakdown of Items | Amount (\$) | Percentage Of Contract |
|--------------------|-------------------------------------|--------------------|-------------|------------------------|
| Office Engineering | Yes | Labor Compliance | \$15,742 | 6.56% |
| | | | | |

- D. The names, addresses and phone numbers of rejected DBE firms, the reasons for the bidder's rejection of the DBEs, the firms selected for that work (please attach copies of quotes from the firms involved), and the price difference for each DBE if the selected firm is not a DBE:

Names, addresses and phone numbers of rejected DBEs and the reasons for the bidder's rejection of the DBEs:

N/A - 0.00% DBE Goal

Names, addresses and phone numbers of firms selected for the work above:

Acumen Building Enterprise, Inc 7770 Pardee Lane, Oakland, CA 94621

- E. Efforts made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any technical assistance or information related to the plans, specifications and requirements for the work which was provided to DBEs:

N/A - 0.00% Goal

**EXHIBIT C - FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

- F. Efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate:

N/A - 0.00% Goal

- G. The names of agencies, organizations or groups contacted to provide assistance in contacting, recruiting and using DBE firms (please attach copies of requests to agencies and any responses received, i.e., lists, Internet page download, etc.):

| Name of Agency/Organization | Method/Date of Contact | Results |
|-----------------------------|------------------------|---------|
| <u>N/A - 0.00% Goal</u> | | |

- H. Any additional data to support a demonstration of good faith efforts (use additional sheets if necessary):

We have worked with Acumen in the past. They are a DBE with the proper experience such that they came ready to provide their services with minimal support from Vali Cooper & Associates, Inc.

NOTE: USE ADDITIONAL SHEETS OF PAPER IF NECESSARY.

**EXHIBIT D – INCORPORATION OF REQUEST FOR PROPOSALS (RFP) #2201
AND PROPOSAL DOCUMENTS**

The County invited submittals to Request for Proposals (RFP) through RFP #2201, Provide Construction Management Services for Peach Tree Road Bridge Replacement Project. Vali Cooper & Associates, Inc. submitted a responsive and responsible proposal to perform the services listed in RFP #2201.

RFP #2201 and the proposal submitted by Vali Cooper & Associates, Inc. are hereby incorporated into the Agreement by this reference to provide construction management services for the Peach Tree Road Bridge Replacement Project.