

**AMENDMENT NO. 1
TO PROFESSIONAL SERVICES AGREEMENT
BETWEEN COUNTY OF MONTEREY AND
MNS ENGINEERS, INC.
(Effective Retroactive to June 10, 2022)**

THIS AMENDMENT NO. 1 to Professional Services Agreement No. A-15825 between the County of Monterey, a political subdivision of the State of California (hereinafter, “County”) and MNS Engineers, Inc. (hereinafter, “CONTRACTOR”) is hereby entered into between the County and the CONTRACTOR (collectively, the “Parties”) and effective as of the last date opposite the respective signatures below.

WHEREAS, CONTRACTOR entered into Professional Services Agreement No. A-15825 with County on June 8, 2022 (hereinafter, “Agreement”) to provide professional construction management services (hereinafter, “services”) for the Bradley Road Bridge Scour Repair Project (Project No. 3852) (hereinafter, “Project”), under Request for Proposals (RFP) #10808 through and including June 9, 2026, with the option to extend the Agreement for two (2) additional one (1) year period(s), for an amount not to exceed \$572,658; and

WHEREAS, per the requirements of the California Department of Transportation (Caltrans), Article V Allowable Costs and Payments, Exhibit 10-H2 Cost Proposal, and Exhibit 10-O2 Consultant Contract DBE (Disadvantaged Business Enterprise) Commitment in Exhibit B – Federal Provisions of the Agreement require revision retroactive and effective June 10, 2022; and

WHEREAS, due to regulatory permitting agency work constraints for the Project, an additional season for construction will be necessary; and

WHEREAS, the Parties agree that additional services will be required from CONTRACTOR to include an additional season for construction of the Project and will require an update to the Cost Proposal in Exhibit A – Scope of Services/Payment Provisions of the Agreement retroactive and effective June 10, 2022; and

WHEREAS, additional time and funding are necessary to allow CONTRACTOR to continue to provide services for completion of the Project; and

WHEREAS, the Parties wish to amend the Agreement to revise Exhibit B - Federal Provisions and update the CONTRACTOR’s Cost Proposal in Exhibit A retroactive and effective June 10, 2022, to extend the term for one (1) additional year to June 9, 2027, and to increase the amount by \$427,309 for a total amount not to exceed \$999,967 to allow CONTRACTOR to continue to provide the services identified in the Agreement and as amended by this Amendment No. 1.

NOW, THEREFORE, the Parties agree to amend the Agreement as follows:

1. Amend the first sentence of Paragraph 1, “Services to be Provided”, to read as follows:

The County hereby engages CONTRACTOR to perform, and CONTRACTOR hereby agrees to perform, the services described in Exhibits A and A-1 in conformity with the terms of this Agreement.

2. Amend Paragraph 2, “Payments by County”, to read as follows:

County shall pay the CONTRACTOR in accordance with the payment provisions set forth in Exhibits A and A-1, 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 \$999,967.

3. Amend the first sentence of Paragraph 3, “Term of Agreement”, to read as follows:

The term of this Agreement is from June 10, 2022 to June 9, 2027, unless sooner terminated pursuant to the terms of this Agreement.

4. Amend Paragraph 4, “Additional Provisions/Exhibits” to delete “Exhibit B – Federal Provisions” and to add “Exhibit A-1 – Revised Cost Proposal” and “Exhibit B-1 – Federal Provisions”, effective retroactive to June 10, 2022.
5. Delete CONTRACTOR’s Cost Proposal on Page 12 of Exhibit A to Agreement.
6. In all places within the Agreement, any reference to the CONTRACTOR’s Cost Proposal within “Exhibit A – Scope of Services/Payment Provisions” is hereby replaced with “Exhibit A-1 – Revised Cost Proposal”, effective retroactive to June 10, 2022.
7. In all places within the Agreement, any reference to “Exhibit B - Federal Provisions” is hereby replaced with “Exhibit B-1 - Federal Provisions”.
8. The Multi-Year Agreement (MYA) number in the first paragraph of Section B.2, “Contractor’s Billing Procedures”, of Exhibit A of the Agreement is deemed to be MYA #3200*6422.
9. In all places within the Agreement, any reference to Department of Public Works, Facilities, & Parks is hereby replaced with Department of Public Works, Facilities and Parks.
10. All other terms and conditions of the Agreement, including all Exhibits thereto, remain unchanged and in full force.
11. This Amendment No. 1 shall be attached to the Agreement and incorporated therein as if fully set forth in the Agreement.
12. The recitals to this Amendment No. 1 are incorporated into the Agreement and this Amendment No. 1.

IN WITNESS WHEREOF, the Parties hereto have executed this Amendment No. 1 to the Agreement which shall be effective as of the last date opposite the respective signatures below.

COUNTY OF MONTEREY

CONTRACTOR*

Contracts & Purchasing

Debra R. Wilson

Contracts & Purchasing Officer

By: _____
Contracts /Purchasing Officer

Date: _____

Approved as to Form
Office of the County Counsel
Leslie J. Girard, County Counsel

By: DocuSigned by:
Mary Grace Perry
A1933820E717442...
Mary Grace Perry, Deputy County Counsel
Date: 4/7/2023 | 2:38 PM PDT

Approved as to Fiscal Provisions
Rupa Shah, Auditor Controller

By: DocuSigned by:
Jennifer Forsyth
4E7E057075454AC...
Auditor- Controller

Date: 4/7/2023 | 4:27 PM PDT

Approved as to Indemnity and Insurance Provisions
Office of the County Counsel
Leslie J. Girard, County Counsel-Risk Manager

By: _____
Leslie J. Girard, County Counsel-Risk Manager

Date: _____

MNS Engineers, Inc.

Contractor's Business Name

By: DocuSigned by:
Greg Chelini
E28193138E9A65...
(Signature of Chair, President or Vice President)

Its: Greg Chelini, Vice President
(Print Name and Title)

Date: 4/6/2023 | 4:27 PM PDT

By: DocuSigned by:
Miranda Patton
7B2378890B59427...
(Signature of Secretary, Asst. Secretary, CFO, Treasurer or Asst. Treasurer)

Its: Miranda Patton, Secretary

Date: 4/5/2023 | 5:26 PM PDT

*INSTRUCTIONS: If CONTRACTOR is a corporation, including non-profit corporations, the full legal name of the corporation shall be set forth above together with the signatures of two (2) specified officers per California Corporations Code Section 313. If CONTRACTOR is a Limited Liability Corporation (LLC), the full legal name of the LLC shall be set forth above together with the signatures of two (2) managers. If CONTRACTOR is a partnership, the full legal 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 or Amendment to said Agreement.

EXHIBIT A-1 - REVISED COST PROPOSAL

Effective Retroactive to June 10, 2022



**County of Monterey
Construction Management Services for
Bradley Road Bridge Scour Repair Project RFP # 10808 Amendment**

ROLE	STAFF	2021	2022												2023												TOTAL HOURS	Rate 2022	Rate 2023	TOTAL COST																							
		Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec																											
TASK 1.0: PRE-CONSTRUCTION-CONSTRUCTABILITY REVIEW																																																					
Project Manager	Aaron Hilton, PE, QSD/QSP		6	2			6																				14	243.53	250.84	\$3,409.42																							
Resident Engineer	Andrew Borrelli, PE, QSP/QSD		32	16			40																				88	217.90	224.44	\$19,175.20																							
Construction Inspector	Salome Garcia						16																				16	192.26	198.03	\$3,076.16																							
Office Administration	Laurie Jones						20																				20	115.36	118.82	\$2,307.20																							
TASK 2.0: CONSTRUCTION																																																					
Project Manager	Aaron Hilton, PE, QSD/QSP						4	4	4	4	4	2	2	2	2	2	2	2	2	2	4	4	4				50	243.53	250.84	\$12,366.56																							
Resident Engineer	Andrew Borrelli, PE, QSP/QSD						80	80	80	80	80	20	20	20	20	20	20	20	20	40	80	80	80	80	80		960	217.90	224.44	\$212,584.80																							
Construction Inspector	TBD						80	172	172	172	172									40	172	172	172	140		1636	192.26	198.03	\$319,545.72																								
Office Administration	Laurie Jones						40	40	40	40	40	16	16	16	16	16	16	20	20	20	20	20	20				416	115.36	118.82	\$48,626.40																							
TASK 3.0: POST-CONSTRUCTION																																																					
Project Manager	Aaron Hilton, PE, QSD/QSP																							4	4		8	243.53	250.84	\$2,006.72																							
Resident Engineer	Andrew Borrelli, PE, QSP/QSD																							60	20		80	217.90	224.44	\$17,955.20																							
Construction Inspector	Salome Garcia																								24			24	192.26	198.03	\$4,752.72																						
Office Administration	Laurie Jones																								20	20		40	115.36	118.82	\$4,752.80																						
SUB-TOTAL		0	38	18	0	0	82	204	296	296	296	296	38	38	38	38	38	38	38	102	274	274	276	276	244	108	44	1546			\$650,558.90																						
Direct Expenses																																																					
Direct Costs																															\$2,500.00																						
Gamma testing																															\$17,908.00																						
MNS QA Survey																															\$10,500.00																						
SUBTOTAL																																																					
Subconsultant																																																					
Materials Testing/Gamma	Pacific Crest																														\$90,000.00																						
Source Inspection	ZT Consultants																														\$18,500.00																						
Environmental support/cultural	Denise Duffy																														\$210,000.00																						
SUBTOTAL																																																					
TOTAL COST																															\$999,967																						

- Notes:
- Hours based on a contract period start date of January 1, 2022 starting with a constructability review and a construction duration of 2 seasons starting June 1st, 2022.
 - Inspection hourly rate may adjust should there be any increase in DIR prevailing wage rates. *
 - Hours and costs are an estimate only. Actual hours and costs will be based on contractor's schedule.
 - A 10% markup will be added to subconsultant invoice. Included in total cost
 - Estimated cost for working the second season are based on contractor needing the full permit window to complete the work

Amendment No. 1 to Professional Services Agreement No. A-15825
(Effective Retroactive to June 10, 2022)
MNS Engineers, Inc.
Bradley Road Bridge Scour Repair Project (RFP #10808)
Department of Public Works, Facilities and Parks
Term: June 10, 2022 – June 9, 2027
Not to Exceed: \$999,967

**EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Effective Retroactive to June 10, 2022

In compliance with RFP #10808, which uses Federal Highway Administration (FHWA) funds, the CONTRACTOR will be required to comply with Federal Provisions. Federal Provisions, Exhibit B, attached hereto, shall be completed by CONTRACTOR and submitted to COUNTY for approval prior to COUNTY issuing CONTRACTOR with a Notice to Proceed for the Project.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

Table of Contents

Article I - 1 Contact Information 2

Article I - 2 Terms2

Article II Contractor’s Reports or Meetings 2

Article III Statement of Work 2

MANDATORY FISCAL AND FEDERAL PROVISIONS..... 4

Article IV Performance Period (Verbatim) 4

Article V Allowable Costs and Payments (Verbatim) 4

Article VI Termination (Verbatim)..... 10

Article VII Cost Principles and Administrative Requirements (Verbatim) 11

Article VIII Retention of Records/Audit (Verbatim) 12

Article IX Audit Review Procedures (Verbatim) 12

Article X Subcontracting (Verbatim) 15

Article XI Equipment Purchase (Verbatim)——..... 15

Article XII State Prevailing Wage Rates (Verbatim)..... 16

Article XIII Conflict of Interest (Verbatim)..... 20

Article XIV Rebates, Kickbacks or other Unlawful Consideration (Verbatim)..... 21

Article XV Prohibition of Expending County, State, or Federal Funds for Lobbying (Verbatim) 22

Article XVI Statement of Compliance 22

Article XVII Debarment and Suspension Certification..... 23

MISCELLANEOUS PROVISIONS 24

Article XVIII Funding Requirements 24

Article XIX Change in Terms 24

Article XX Disadvantaged Business Enterprises (DBE) Participation 24

Article XXI Contingent Fee..... 27

Article XXII Disputes 27

Article XXIII Inspection of Work..... 27

Article XXIV Safety..... 28

Article XXV Insurance 28

Article XXVI Ownership of Data 29

Article XXVII Claims Filed by County’s Construction Contractor 30

Article XXVIII Confidentiality of Data..... 30

Article XXIX National Labor Relations Board Certification 31

Article XXX Evaluation of Contractor..... 31

Article XXXI Retention of Funds..... 31

Notice to Proposers DBE Information (Exhibit 10-I)..... 32

CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL FORMS..... 35

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

Article I - 1 Contact Information County

Project Manager

Name: José L. Gómez

Title: Project Manager III

Address: 1441 Schilling Place, South 2nd Floor

Salinas, California 93901-4527

Telephone Number: (831) 755-4816

Contractor Project Manager

Name: Aaron Hilton, PE, QSD/QSP

Title: Project Manager

Address: 201 N. Calle Cesar Chavez, Suite 300

Santa Barbara, California 93103

Telephone Number: (408) 296-5515

Article I - 2 Terms

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

Article II 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 COUNTY's 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).

Article III Statement of Work

A. CONTRACTOR Services

Not Applicable to this Contract

CONTRACTOR shall provide services as described in the Scope of Services, Exhibit. The Scope of Services must include reference to the appropriate standards for design or other standards for

work performance and acceptance criteria. The CONTRACTOR/engineer must sign the plans, specifications and estimate (PS&E), furnish engineering data including registration number.

Environmental documents are not considered complete until a Caltrans District Senior Environmental Planner signs the Categorical Exclusion, a Caltrans Deputy District Director signs the Finding of No Significant Impact, or the Caltrans District Director signs the Record of Decision (see LAPM Chapter 6: Environmental Procedures, and the Standard Environmental Reference).

B. Right of Way Not Applicable to this Contract

CONTRACTOR shall provide right of way services as described in the Scope of Services, Exhibit N/A. The Scope of Services must include Right of Way requirements to be determined and shown by CONTRACTOR, land surveys and computations with metes and bounds descriptions to be made, and Right of Way parcel maps to be furnished.

C. Surveys Not Applicable to this Contract

CONTRACTOR shall provide services for surveys as described in the Scope of Services, Exhibit A. The Scope of Services must include CONTRACTOR's responsibility to perform preliminary or construction surveys.

D. Subsurface Investigations Not Applicable to this Contract

CONTRACTOR shall provide services for subsurface investigations as described in the Scope of Services, Exhibit . The Scope of Services must include CONTRACTOR's responsibility to perform subsurface investigations. If borings or other specialized services are to be made by others under the supervision of CONTRACTOR, appropriate provisions are to be incorporated. Archaeological testing and data recovery guidance can be found in the Standard Environmental Reference.

E. COUNTY Obligations Not Applicable to this Contract

All data applicable to the project and in possession of COUNTY, another agency, or government agency that are to be made available to CONTRACTOR are referred to in the Contract including any other assistance or services to be furnished to CONTRACTOR. Please refer to Scope of Service, Exhibit .

F. Conferences, Site Visits, Inspection of Work Not Applicable to this Contract

CONTRACTOR shall provide services for conferences, site visits and inspection work as described in the Scope of Services, Exhibit . The Scope of Services must include conferences as needed, visits to the site, and inspection of the work by representatives of the COUNTY, State, and/or FHWA. Costs incurred by CONTRACTOR for meetings, subsequent to the initial meeting shall be included in the fee.

G. Checking Shop Drawings Not Applicable to this Contract

CONTRACTOR shall provide services for checking shop drawings as described in the Scope of Services, Exhibit A. The Scope of Services must include provisions requiring CONTRACTOR to prepare construction drawings, and check shop drawings. Payment for checking shop drawings by CONTRACTOR is included in the Contract fee.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- H. CONTRACTOR Services During Construction Not Applicable to this Contract
CONTRACTOR shall provide services during construction as described in the Scope of Services, Exhibit A. The Scope of Services by CONTRACTOR during construction such as material testing, construction surveys, design support, environmental support etc., are specified in the CONTRACT together with the method of payment for such services.
- I. Documentation and Schedules Not Applicable to this Contract
CONTRACTOR shall provide services for documentation and schedule as described in the Scope of Services, Exhibit A. CONTRACTOR must document the results of the work to the satisfaction of COUNTY, and if applicable, the State and FHWA. This include preparation of progress and final reports, plans, specifications and estimates, or similar evidence of attainment of the contract objectives.
- J. Deliverables and Number of Copies Not Applicable to this Contract
CONTRACTOR shall provide services for the number of copies or documents to be furnished as described in the Scope of Services, Exhibit such as reports, brochures, sets of plans, specifications, or specified Right of Way parcel maps. Please refer to Scope of Services, Exhibit A on payment provisions for additional copies.

MANDATORY FISCAL AND FEDERAL PROVISIONS

Article IV Performance Period (Verbatim)

- A. This contract shall go into effect on (June 10, 2022), contingent upon approval by COUNTY, and CONTRACTOR shall commence work after notification to proceed by COUNTY Contract Administrator. The contract shall end on (June 9, 2027), unless extended by contract amendment.
- 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 prior to the expiration of the contract to cover the time needed to complete the task order in progress only. The maximum term shall not exceed five (5) years.

Article V Allowable Costs and Payments (Verbatim)

The selected option shall apply to this contract:

Exhibit 10-H1, Exhibit 10-H2 and Exhibit 10-H3 in fillable format can be downloaded at the following website:

<https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/lapm/c10/10h.pdf>

EXHIBIT B -1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

Option 1 – Actual Cost-Plus-Fixed Fee (Use Exhibit 10-H1 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 "I" shall not be exceeded, unless authorized by contract amendment.
- B. The indirect cost rate established for this contract is extended through the duration of this specific contract. CONTRACTOR'S agreement to the extension of the 1-year applicable period shall not be a condition or qualification to be considered for the work or contract award.
- C. In addition to the allowable incurred costs, COUNTY will pay CONTRACTOR a fixed fee of 10%. 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. 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 Article III 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.
- 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 forty-five (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

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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
Department of Public Works, Facilities and Parks
1441 Schilling Place, South 2nd Floor
Salinas, CA 93901-4527
Attn: Finance Division

- H. The total amount payable by COUNTY including the fixed fee shall not exceed \$ 999,967.
- 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-H3 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 \$ _____ per approved Cost Proposal. This rate shall be for a fully equipped vehicle(s) specified in Article III Statement of Work, as applicable with radio and flashing yellow light (if needed), as specified in Article II - 2 of this contract.

The specified rate to be paid for equipment shall be, as listed in Attachment _____.

- 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, 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

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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 Article III 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 forty-five (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
Department of Public Works, Facilities and Parks
1441 Schilling Place, South 2nd Floor
Salinas, CA 93901-4527
Attn: Finance Division
- I. The total amount payable by COUNTY including the fixed fee shall not exceed \$_____.
- 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.
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-H2 Cost Proposal Format)

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- A. CONTRACTOR will be reimbursed for hours worked at the hourly rates specified in CONTRACTORs approved Cost Proposal (Exhibit A-1 - Revised Cost Proposal). The specified hourly rates shall include direct salary costs, employee benefits, prevailing wages, employer payments, overhead, and fee. These rates are not adjustable for the performance period set forth in this Contract. Contractor will be reimbursed within forty-five (45) calendar days upon receipt by COUNTY's Contract Administrator of itemized invoices in triplicate.
- B. In addition, CONTRACTOR will be reimbursed for incurred (actual) direct costs other than salary costs that are in the approved cost proposal and identified in the approved 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 (\$ N/A) or for specific rates of compensation, both of which must be based on the labor and other rates set forth in CONTRACTOR's approved Cost Proposal.
- CONTRACTOR shall be responsible for any future adjustments to prevailing wage rates including but not limited to, base hourly rates and employer payments as determined by the Department of Industrial Relations. CONTRACTOR is responsible for paying the appropriate rate, including escalations that take place during the term of the contract.
- F. Reimbursement for transportation and subsistence costs shall not exceed the rates as specified in the approved Cost Proposal. CONTRACTOR will be responsible for transportation and subsistence costs in excess of State rates.
- G. When milestone cost estimates are included in the approved Cost Proposal, CONTRACTOR shall obtain prior written approval in the form of a contract amendment 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- 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 forty-five (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
Department of Public Works, Facilities and Parks
1441 Schilling Place, South 2nd Floor
Salinas, CA 93901-4527
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 the language (or terms) of this Agreement and nor to exceed the scope of work under this contract.
- P. The total amount payable by COUNTY for all Task Orders resulting from this contract shall not exceed \$. 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-H1 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 III 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

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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 Article III 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 forty-five (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 sixty (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
Department of Public Works, Facilities and Parks
1441 Schilling Place, South 2nd Floor
Salinas, CA 93901-4527
Attn: Finance Division
- E. The total amount payable by COUNTY shall not exceed \$_____.
- F. All subcontracts in excess of \$25,000 shall contain the above provisions.

Article VI Termination (Verbatim)

- A. This contract may be terminated by COUNTY, provided that COUNTY gives not less than thirty (30) calendar days’ written notice (delivered by certified mail, return receipt requested) of intent to terminate. Upon termination, COUNTY shall be entitled to all work, including but not limited to, reports, investigations, appraisals, inventories, studies, analyses, drawings and data estimates performed to that date, whether completed or not, and in accordance with Section 15, Property of COUNTY.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- 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 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.
- D. COUNTY may temporarily suspend this contract, at no additional cost to COUNTY, provided that CONTRACTOR is given written notice (delivered by certified mail, return receipt requested) of temporary suspension. If COUNTY gives such notice of temporary suspension, CONTRACTOR shall immediately suspend its activities under this contract. A temporary suspension may be issued concurrent with the notice of termination provided for in subsection A of this section.
- E. Notwithstanding any provisions of this contract, CONTRACTOR shall not be relieved of liability to COUNTY for damages sustained by COUNTY by virtue of any breach of this contract by CONTRACTOR, and COUNTY may withhold any payments due to CONTRACTOR until such time as exact amount of damage, if any, due COUNTY from CONTRACTOR is determined.
- F. In the event of termination, CONTRACTOR shall be compensated as provided for in this contract, except as provided in Section 11C. Upon termination, COUNTY shall be entitled to all work, including but not limited to, reports, investigations, appraisals, inventories, studies, analyses, drawings and data estimates performed to that date, whether completed or not, and in accordance with Section 15, Property of COUNTY.

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 allow ability of individual items.
- B. CONTRACTOR also agrees to comply with Federal procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.
- C. Any costs for which payment has been made to CONTRACTOR that are determined by subsequent audit to be unallowable under 2 CFR Part 200 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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; the CONTRACTOR, subcontractors, and COUNTY shall maintain and make available for inspection all books, documents, papers, accounting records, Independent CPA Audited Indirect Cost Rate work papers, and other evidence pertaining to the performance of the contract, including but not limited to, the costs of administering the contract. All parties, including the CONTRACTOR's Independent CPA, shall make such materials available at their respective offices at all reasonable times during the contract period and for three (3) years from the date of final payment under the contract. The state, Caltrans Auditor, COUNTY, FHWA, or any duly authorized representative of the Federal Government having jurisdiction under Federal laws or regulations (including the basis for Federal funding in whole or in part) shall have access to any books, records, and documents of CONTRACTOR, subcontractor and the CONTRACTOR's Independent certified public accountants (CPA) work papers that are pertinent to the contract for audits, examinations, work paper review, excerpts, and transactions, and copies thereof shall be furnished if requested without limitations. Subcontracts in excess of \$25,000 shall contain this provision.

Article IX Audit Review Procedures

- 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 thirty (30) calendar 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.
- D. CONTRACTOR and subcontractor contracts, including cost proposals and Indirect Cost Rates (ICR), may be 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, COUNTY 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 Administrator 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, COUNTY or local governments have

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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.

- E. CONTRACTOR's Cost Proposal may be subject to a CPA ICR Audit Work Paper Review and/or audit by the Independent Office of Audits and Investigations (IOAI). IOAI, 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 IOAI's review of the ICR audit work papers created by the CONTRACTOR's independent CPA, IOAI 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 IOAI identifies significant issues during the review and is unable to issue a cognizant approval letter, COUNTY will reimburse the CONTRACTOR at an accepted ICR until a FAR (Federal Acquisition Regulation) compliant ICR {e.g. 48 CFR, Part 31; GAGAS (Generally Accepted Government Auditing Standards); CAS (Cost Accounting Standards), if applicable; in accordance with procedures and guidelines of the American Association of State Highways and Transportation Officials (AASHTO) Audit Guide; and other applicable procedures and guidelines} is received and approved by IOAI.

Accepted rates will be as follows:

- a. If the proposed rate is less than one hundred fifty percent (150%) - the accepted rate reimbursed will be ninety percent (90%) of the proposed rate.
 - b. If the proposed rate is between one hundred fifty percent (150%) and two hundred percent (200%) - the accepted rate will be eighty-five percent (85%) of the proposed rate.
 - c. If the proposed rate is greater than two hundred percent (200%) - the accepted rate will be seventy-five percent (75%) of the proposed rate.
2. If IOAI is unable to issue a cognizant letter per paragraph E.1. above, IOAI 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. IOAI 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 paragraph E, or if IOAI 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

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

accepted 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 accepted 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) IOAI accepts or adjusts the original or revised independent CPA-audited ICR; (2) all work under this contract has been completed to the satisfaction of COUNTY; and, (3) IOAI has issued its final ICR review letter. The CONTRACTOR MUST SUBMIT ITS FINAL INVOICE TO County no later than sixty (60) calendar days after occurrence of the last of these items. The accepted 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

- 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 shall be subcontracted without written authorization by COUNTY'S Contract Administrator, except that, which is expressly identified in the CONTRACTOR'S approved CostProposal.
- C. Any subagreement entered into as a result of this contract shall contain all the provisions stipulated in this entire contract to be applicable to subcontractors unless otherwise noted.
- D. CONTRACTOR shall pay its subcontractors within Fifteen (15) calendar days from receipt of each payment made to the CONTRACTOR by the COUNTY.
- E. Any substitution of subcontractor(s) must be approved in writing by COUNTY'S Contract Administrator in advance of assigning work to a substitute subcontractor(s).
- F. Prompt Progress Payment

CONTRACTOR or subcontractor shall pay to any subcontractor, not later than fifteen (15) days after receipt of each progress payment, unless otherwise agreed to in writing, the respective amounts allowed CONTRACTOR on account of the work performed by the subcontractors, to the extent of each subcontractor's interest therein. In the event that there is a good faith dispute over all or any portion of the amount due on a progress payment from CONTRACTOR or subcontractor to a subcontractor, CONTRACTOR or

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

subcontractor may withhold no more than 150 percent of the disputed amount. Any violation of this requirement shall constitute a cause for disciplinary action and shall subject the licensee to a penalty, payable to the subcontractor, of 2 percent of the amount due per month for every month that payment is not made.

In any action for the collection of funds wrongfully withheld, the prevailing party shall be entitled to his or her attorney's fees and costs. The sanctions authorized under this requirement shall be separate from, and in addition to, all other remedies, either civil, administrative, or criminal. This clause applies to both DBE and non-DBE subcontractors.

G. Prompt Payment of Withheld Funds to subcontractors

The COUNTY may hold retainage from CONTRACTOR and shall make prompt and regular incremental acceptances of portions, as determined by the COUNTY, of the contract work, and pay retainage to CONTRACTOR based on these acceptances. The COUNTY shall designate one of the methods below in the contract to ensure prompt and full payment of any retainage

kept by CONTRACTOR or subcontractor to a subcontractor. (Choose either Method 1, Method 2, or Method 3 below and delete the other two.)

Method 1: No retainage will be held by the COUNTY from progress payments due to CONTRACTOR. CONTRACTORS and subcontractors are prohibited from holding retainage from subcontractors. Any delay or postponement of payment may take place only for good cause and with the COUNTY's prior written approval. Any violation of these provisions shall subject the violating CONTRACTOR or subcontractor to the penalties, sanctions, and other remedies specified in Section 3321 of the California Civil Code. This requirement shall not be construed to limit or impair any contractual, administrative or judicial remedies, otherwise available to CONTRACTOR or subcontractor in the event of a dispute involving late payment or nonpayment by CONTRACTOR, deficient subcontractor performance and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

Method 2: No retainage will be held by the COUNTY from progress payments due to CONTRACTOR. Any retainage kept by CONTRACTOR or by a subcontractor must be paid in full to the earning subcontractor within 15 days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment may take place only for good cause and with the COUNTY's prior written approval. Any violation of these provisions shall subject the violating CONTRACTOR or subcontractor to the penalties, sanctions, and remedies specified in Section 3321 of the California Civil Code. This requirement shall not be construed to limit or impair any contractual, administrative or judicial remedies, otherwise available to CONTRACTOR or subcontractor in the event of a dispute involving late payment or nonpayment by CONTRACTOR, deficient subcontractor performance and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

Method 3: The COUNTY shall hold retainage from CONTRACTOR and shall make prompt and regular incremental acceptances of portions, as determined by the COUNTY of the contract work and pay retainage to CONTRACTOR based on these acceptances. CONTRACTOR or subcontractor shall return all monies withheld in retention from all subcontractors within 15 days after receiving payment for work satisfactorily completed and accepted including

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

incremental acceptances of portions of the contract work by the COUNTY. Any delay or postponement of payment may take place only for good cause and with the COUNTY's prior written approval. Any violation of these provisions shall subject the violating CONTRACTOR or subcontractor to the penalties, sanctions, and other remedies specified in Section 3321 of the California Civil Code. This requirement shall not be construed to limit or impair any contractual, administrative or judicial remedies otherwise available to CONTRACTOR or subcontractor in the event of a dispute involving late payment or nonpayment by CONTRACTOR; deficient subcontractor performance and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

Any violation of these provisions shall subject the violating CONTRACTOR or subcontractor to the penalties, sanctions and other remedies specified therein. These requirements shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to CONTRACTOR or subcontractor in the event of a dispute involving late payment or nonpayment by CONTRACTOR, deficient subcontract performance, or noncompliance by a subcontractor.

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 five thousand dollars (\$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 approved Cost Proposal and exceeding five thousand dollars (\$5,000) with 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 with funds provided under the terms 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 five thousand dollars (\$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." Regulation 2 CFR Part 200 requires a credit to Federal funds when participating equipment with a fair market value greater than five thousand dollars (\$5,000) is credited to the project.
- D. All subcontracts in excess \$25,000 shall contain the above provisions.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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.
- 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>.
- D. No CONTRACTOR or Subcontractor may be awarded a contract containing public work elements unless registered with the Department of Industrial Relations (DIR) pursuant to Labor Code §1725.5. Registration with DIR must be maintained throughout the entire term of this contract, including any subsequent amendments.
- E. The CONTRACTOR shall comply with all of the applicable provisions of the California Labor Code requiring the payment of prevailing wages. The General Prevailing Wage Rate Determinations applicable to work under this contract are available and on file with the Department of Transportation's Regional/District Labor Compliance Officer.

(<http://www.dot.ca.gov/hq/construc/LaborCompliance/documents/District-Region Map Construction 7-8-15.pdf>). These wage rates are made a specific part of this contract by reference pursuant to Labor Code §1773.2 and will be applicable to work performed at a construction project site. Prevailing wages will be applicable to all inspection work performed at COUNTY construction sites, at COUNTY facilities and at off-site locations that are set up by the construction contractor or one of its subcontractors solely and specifically to serve COUNTY projects. Prevailing wage requirements do not apply to inspection work performed at the facilities of vendors and commercial materials suppliers that provide goods and services to the general public.
- F. General Prevailing Wage Rate Determinations applicable to this project may also be obtained from the Department of Industrial Relations Internet site at <http://www.dir.ca.gov>.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

G. Payroll Records

1. Each CONTRACTOR and Subcontractor shall keep accurate certified payroll records and supporting documents as mandated by Labor Code §1776 and as defined in 8 CCR §16000 showing the name, address, social security number, work classification, straight time and overtime hours worked each day and week, and the actual per diem wages paid to each journeyman, apprentice, worker, or other employee employed by the CONTRACTOR or Subcontractor in connection with the public work. Each payroll record shall contain or be verified by a written declaration that it is made under penalty of perjury, stating both of the following:

- a. The information contained in the payroll record is true and correct.
- b. The employer has complied with the requirements of Labor Code §1771, §1811, and §1815 for any work performed by his or her employees on the public works project.

2. The payroll records enumerated under paragraph (1) above shall be certified as correct by the CONTRACTOR under penalty of perjury. The payroll records and all supporting documents shall be made available for inspection and copying by COUNTY representatives at all reasonable hours at the principal office of the CONTRACTOR. The CONTRACTOR shall provide copies of certified payrolls or permit inspection of its records as follows:

- a. A certified copy of an employee's payroll record shall be made available for inspection or furnished to the employee or the employee's authorized representative on request.
- b. A certified copy of all payroll records enumerated in paragraph (1) above, shall be made available for inspection or furnished upon request to a representative of COUNTY, the Division of Labor Standards Enforcement and the Division of Apprenticeship Standards of the Department of Industrial Relations. Certified payrolls submitted to COUNTY, the Division of Labor Standards Enforcement and the Division of Apprenticeship Standards shall not be altered or obliterated by the CONTRACTOR.
- c. The public shall not be given access to certified payroll records by the CONTRACTOR. The CONTRACTOR is required to forward any requests for certified payrolls to the COUNTY Contract Administrator by both email and regular mail on the business day following receipt of the request.

3. Each CONTRACTOR shall submit a certified copy of the records enumerated in paragraph (1) above, to the entity that requested the records within ten (10) calendar days after receipt of a written request.

4. Any copy of records made available for inspection as copies and furnished upon request to the public or any public agency by COUNTY shall be marked or obliterated in such a manner as to prevent disclosure of each individual's name, address, and social security number. The name and address of the CONTRACTOR or Subcontractor performing the work shall not be marked or obliterated.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

5. The CONTRACTOR shall inform COUNTY of the location of the records enumerated under paragraph (1) above, including the street address, city and county, and shall, within five (5) working days, provide a notice of a change of location and address.

6. The CONTRACTOR or Subcontractor shall have ten (10) calendar days in which to comply subsequent to receipt of written notice requesting the records enumerated in paragraph (1) above. In the event the CONTRACTOR or Subcontractor fails to comply within the ten (10) calendar day period, he or she shall, as a penalty to COUNTY, forfeit one hundred dollars (\$100) for each calendar day, or portion thereof, for each worker, until strict compliance is effectuated. Such penalties shall be withheld by COUNTY from payments then due. CONTRACTOR is not subject to a penalty assessment pursuant to this section due to the failure of a Subcontractor to comply with this section.

H. When prevailing wage rates apply, the CONTRACTOR is responsible for verifying compliance with certified payroll requirements. Invoice payment will not be made until the invoice is approved by the COUNTY Contract Administrator.

I. Penalty

1. The CONTRACTOR and any of its Subcontractor shall comply with Labor Code §1774 and §1775. Pursuant to Labor Code §1775, the CONTRACTOR and any Subcontractor shall forfeit to the COUNTY a penalty of not more than two hundred dollars (\$200) for each calendar day, or portion thereof, for each worker paid less than the prevailing rates as determined by the Director of DIR for the work or craft in which the worker is employed for any public work done under the contract by the CONTRACTOR or by its Subcontractor in violation of the requirements of the Labor Code and in particular, Labor Code §§1770 to 1780, inclusive.

2. The amount of this forfeiture shall be determined by the Labor Commissioner and shall be based on consideration of mistake, inadvertence, or neglect of the CONTRACTOR or Subcontractor in failing to pay the correct rate of prevailing wages, or the previous record of the CONTRACTOR or Subcontractor in meeting their respective prevailing wage obligations, or the willful failure by the CONTRACTOR or Subcontractor to pay the correct rates of prevailing wages. A mistake, inadvertence, or neglect in failing to pay the correct rates of prevailing wages is not excusable if the CONTRACTOR or Subcontractor had knowledge of the obligations under the Labor Code. The CONTRACTOR is responsible for paying the appropriate rate, including any escalations that take place during the term of the AGREEMENT.

3. In addition to the penalty and pursuant to Labor Code §1775, the difference between the prevailing wage rates and the amount paid to each worker for each calendar day or portion thereof for which each worker was paid less than the prevailing wage rate shall be paid to each worker by the CONTRACTOR or Subcontractor.

4. If a worker employed by a Subcontractor on a public works project is not paid the general prevailing per diem wages by the Subcontractor, the prime CONTRACTOR of the project is not liable for the penalties described above unless the prime CONTRACTOR had knowledge of that failure of the Subcontractor to pay the specified prevailing rate of wages to those workers or

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

unless the prime CONTRACTOR fails to comply with all of the following requirements:

- a. The AGREEMENT executed between the CONTRACTOR and the Subcontractor for the performance of work on public works projects shall include a copy of the requirements in Labor Code §§ 1771, 1775, 1776, 1777.5, 1813, and 1815.
- b. The CONTRACTOR shall monitor the payment of the specified general prevailing rate of per diem wages by the Subcontractor to the employees by periodic review of the certified payroll records of the Subcontractor.
- c. Upon becoming aware of the Subcontractor's failure to pay the specified prevailing rate of wages to the Subcontractor's workers, the CONTRACTOR shall diligently take corrective action to halt or rectify the failure, including but not limited to, retaining sufficient funds due the Subcontractor for work performed on the public works project.
- d. Prior to making final payment to the Subcontractor for work performed on the public works project, the CONTRACTOR shall obtain an affidavit signed under penalty of perjury from the Subcontractor that the Subcontractor had paid the specified general prevailing rate of per diem wages to the Subcontractor's employees on the public works project and any amounts due pursuant to Labor Code §1813.

5. Pursuant to Labor Code §1775, COUNTY shall notify the CONTRACTOR on a public works project within fifteen (15) calendar days of receipt of a complaint that a Subcontractor has failed to pay workers the general prevailing rate of per diem wages.

6. If COUNTY determines that employees of a Subcontractor were not paid the general prevailing rate of per diem wages and if COUNTY did not retain sufficient money under the contract to pay those employees the balance of wages owed under the general prevailing rate of per diem wages, the CONTRACTOR shall withhold an amount of moneys due the Subcontractor sufficient to pay those employees the general prevailing rate of per diem wages if requested by COUNTY.

J. Hours of Labor

Eight (8) hours labor constitutes a legal day's work. The CONTRACTOR shall forfeit, as a penalty to the COUNTY, twenty-five dollars (\$25) for each worker employed in the execution of the contract by the CONTRACTOR or any of its Subcontractors for each calendar day during which such worker is required or permitted to work more than eight (8) hours in any one calendar day and forty (40) hours in any one calendar week in violation of the provisions of the Labor Code, and in particular §§1810 to 1815 thereof, inclusive, except that work performed by employees in excess of eight (8) hours per day, and forty (40) hours during any one week, shall be permitted upon compensation for all hours worked in excess of eight (8) hours per day and forty (40) hours in any week, at not less than one and one-half (1.5) times the basic rate of pay, as provided in §1815.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

K. Employment of Apprentices

1. Where either the prime contract or the subcontract exceeds thirty thousand dollars (\$30,000), the CONTRACTOR and any subcontractors under him or her shall comply with all applicable requirements of Labor Code §§ 1777.5, 1777.6 and 1777.7 in the employment of apprentices.

2. CONTRACTORS and subcontractors are required to comply with all Labor Code requirements regarding the employment of apprentices, including mandatory ratios of journey level to apprentice workers. Prior to commencement of work, CONTRACTOR and subcontractors are advised to contact the DIR Division of Apprenticeship Standards website at <https://www.dir.ca.gov/das/>, for additional information regarding the employment of apprentices and for the specific journey-to- apprentice ratios for the contract work. The CONTRACTOR is responsible for all subcontractors' compliance with these requirements. Penalties are specified in Labor Code §1777.7.

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. During the term of contract, the 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 certifies that it has disclosed to COUNTY any actual, apparent, or potential conflicts of interest that may exist relative to the services to be provided pursuant to this contract. CONTRACTOR agrees to advise COUNTY of any actual, apparent or potential conflicts of interest that may develop subsequent to the date of execution of this contract. CONTRACTOR further agrees to complete any statements of economic interest if required by either COUNTY ordinance or State law.
- C. 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.
- 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

The selected option below applies to this contract:

Option 1 – PS&E contracts

- E. 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.
- F. 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

- G. 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.
- H. CONTRACTOR further certifies that neither CONTRACTOR, nor any firm affiliated with CONTRACTOR, will bid on any construction subcontracts included within the construction 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.
- I. 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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 ten thousand dollars (\$10,000) and not more than one hundred thousand dollars (\$100,000) for each such failure.
- 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 one hundred thousand dollars (\$100,000) and that all such subrecipients shall certify and disclose accordingly.

EXHIBIT B-1- FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

Article XVI Non-Discrimination Clause and 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 § 12990 and 2 CCR §8103.

- B. During the performance of this Contract, Contractor and its subcontractors shall not deny the Contract's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status, nor shall they unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status. Contractor and subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment.

- C. Contractor and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 et seq.), the applicable regulations promulgated there under (2 CCR §11000 et seq.), the provisions of Gov. Code §11135-11139.5, and the regulations or standards adopted by COUNTY to implement such article. The applicable regulations of the Fair Employment and Housing Commission implementing Government Code §12990 (a-f), set forth 2 CCR §§8100-8504, are incorporated into this Contract by reference and made a part hereof as if set forth in full.

- D. CONTRACTOR shall permit access by representatives of the Department of Fair Employment and Housing and the COUNTY upon reasonable notice at any time during the normal business hours, but in no case less than twenty-four (24) hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or COUNTY shall require to ascertain compliance with this clause.

- E. 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.

- F. CONTRACTOR shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under this contract.

- G. The Contractor, with regard to the work performed under this contract, shall act in accordance with Title VI of the Civil Rights Act of 1964 (42 U.S.C. §2000d et seq.). Title VI provides that the recipients of federal assistance will implement and maintain a policy of nondiscrimination in which no person in the United States 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.

- H. The Contractor, shall comply with regulations relative to non-discrimination in federally-assisted programs of the U.S. Department of Transportation (49 CFR Part 21 - Effectuation of Title VI of the Civil Rights Act of 1964). Specifically, the CONTRACTOR shall not participate either directly or indirectly in the discrimination prohibited by 49 CFR §21.5, including employment practices and the selection and retention of Subcontractors.

- I. CONTRACTOR, subrecipient or subcontractor will never exclude any person from participation

EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR 26 on the basis of race, color, sex, or national origin. In administering the COUNTY components of the DBE Program Plan, CONTRACTOR, subrecipient or subcontractor will not, directly, or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE Program Plan with respect to individuals of a particular race, color, sex, or national origin.

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 the CONTRACTOR has or any person associated therewith in the capacity of owner, partner, director, officer, or manager:
 - 1. Is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency;
 - 2. Has not been suspended, debarred, voluntarily excluded, or determined ineligible by any federal agency within the past three (3) years;
 - 3. Does not have a proposed debarment pending; and
 - 4. 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.
- B. Any exceptions to this certification must be disclosed to COUNTY. Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining CONTRACTOR responsibility. Disclosures must indicate the party to whom exceptions apply, initiating agency, and dates of agency action.
- C. Exceptions to the Federal Government Excluded Parties List System maintained by the U.S. 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.

EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- D. COUNTY has the option to terminate 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.
- 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. CONTRACTOR, subrecipient (COUNTY), or Subcontractor shall take necessary and reasonable steps to ensure that DBEs have opportunities to participate in the contract (49 CFR 26). To ensure equal participation of DBEs provided in 49 CFR 26.5, The COUNTY shows a contract goal for DBEs. CONTRACTOR shall make work available to DBEs and select work parts consistent with available DBE Subcontractors and suppliers.

CONTRACTOR shall meet the DBE goal shown elsewhere in these special provisions or demonstrate that they made adequate good faith efforts to meet this goal. It is CONTRACTOR's responsibility to verify that the DBE firm is certified as DBE at date of proposal opening and document the record by printing out the California Unified Certification Program (CUCP) data for each DBE firm. A list of DBEs certified by the CUCP can be found [here](#).

All DBE participation will count toward the California Department of Transportation's federally mandated statewide overall DBE goal. Credit for materials or supplies CONTRACTOR purchases from DBEs counts towards the goal in the following manner:

- 100 percent counts if the materials or supplies are obtained from a DBE manufacturer.
- 60 percent counts if the materials or supplies are purchased from a DBE regular dealer.
- Only fees, commissions, and charges for assistance in the procurement and delivery of materials or supplies count if obtained from a DBE that is neither a manufacturer nor regular dealer. 49CFR26.55 defines "manufacturer" and "regular dealer."

This contract is subject to 49 CFR, Part 26 entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs". Contractors who enter into a federally funded agreement will assist the COUNTY in a good faith effort to achieve California's statewide overall DBE goal.

- B. The goal for DBE participation for this contract is 7%. Participation by DBE contractor or subcontractors shall be in accordance with information contained in Exhibit 10-02: Consultant Contract DBE Commitment attached hereto and incorporated as part of the

EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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. CONTRACTOR can meet the DBE participation goal by either documenting commitments to DBEs to meet the contract goal, or by documenting adequate good faith efforts to meet the contract goal. An adequate good faith effort means that the CONTRACTOR must show that it took all necessary and reasonable steps to achieve a DBE goal that, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to meet the DBE goal. If CONTRACTOR has not met the DBE goal, complete and submit Exhibit 15-H: DBE Information – Good Faith Efforts to document efforts to meet the goal. Refer to 49 CFR Part 26 for guidance regarding evaluation of good faith efforts to meet the DBE goal.

- D. Contract Assurance

Under 49 CFR 26.13(b)

CONTRACTOR, subrecipient 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 26 in the award and administration of federal aid contracts.

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 the recipient deems appropriate, which may include, but is not limited to:

- (1) Withholding monthly progress payments;
- (2) Assessing sanctions;
- (3) Liquidated damages; and/or
- (4) Disqualifying the CONTRACTOR from future proposing as non-responsible

- E. Termination and Substitution of DBE Subcontractors

CONTRACTOR shall utilize the specific DBEs listed to perform the work and supply the materials for which each is listed unless CONTRACTOR or DBE Subcontractor obtains the COUNTY's written consent. CONTRACTOR shall not terminate or substitute a listed DBE for convenience and perform the work with their own forces or obtain materials from other sources without authorization from the COUNTY. Unless the COUNTY's consent is provided, the CONTRACTOR shall not be entitled to any payment for work or material unless it is performed or supplied by the listed DBE on the Exhibit 10-02 Consultant Contract DBE Commitment form, included in the Bid.

The COUNTY authorizes a request to use other forces or sources of materials if CONTRACTOR shows any of the following justifications:

1. Listed DBE fails or refuses to execute a written contract based on plans and specifications for the project.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

2. The COUNTY stipulated that a bond is a condition of executing the subcontract and the listed DBE fails to meet the COUNTY's bond requirements.
3. Work requires a contractor's license and listed DBE does not have a valid license under Contractors License Law.
4. Listed DBE fails or refuses to perform the work or furnish the listed materials (failing or refusing to perform is not an allowable reason to remove a DBE if the failure or refusal is a result of bad faith or discrimination).
5. Listed DBE's work is unsatisfactory and not in compliance with the contract.
6. Listed DBE is ineligible to work on the project because of suspension or debarment.
7. Listed DBE becomes bankrupt or insolvent.
8. Listed DBE voluntarily withdraws with written notice from the AGREEMENT.
9. Listed DBE is ineligible to receive credit for the type of work required.
10. Listed DBE owner dies or becomes disabled resulting in the inability to perform the work on the AGREEMENT
11. The COUNTY determines other documented good cause.

CONTRACTOR shall notify the original DBE of the intent to use other forces or material sources and provide the reasons and provide the DBE with 5 days to respond to the notice and advise CONTRACTOR and the COUNTY of the reasons why the use of other forces or sources of materials should not occur. CONTRACTOR's request to use other forces or material sources must include:

1. One or more of the reasons listed in the preceding paragraph.
2. Notices from CONTRACTOR to the DBE regarding the request.
3. Notices from the DBEs to CONTRACTOR regarding the request.

If a listed DBE is terminated or substituted, CONTRACTOR must make good faith efforts to find another DBE to substitute for the original DBE. The substitute DBE must perform at least the same amount of work as the original DBE under the contract to the extent needed to meet or exceed the DBE goal.

F. Commitment and Utilization

The COUNTY's DBE program must include a monitoring and enforcement mechanism to ensure that DBE commitments reconcile to DBE utilization. The COUNTY shall request CONTRACTOR to:

1. Notify the COUNTY's contract administrator or designated representative of any changes to its anticipated DBE participation
2. Provide this notification before starting the affected work
3. Maintain records including:
 - Name and business address of each 1st-tier Subcontractor
 - Name and business address of each DBE Subcontractor, DBE vendor, and DBE trucking company, regardless of tier
 - Date of payment and total amount paid to each business (see Exhibit 9-F *Monthly Disadvantaged Business Enterprise Payment*)

If CONTRACTOR is a DBE CONTRACTOR, they shall include the date of work performed by their own forces and the corresponding value of the work.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

If a DBE is decertified before completing its work, the DBE must notify CONTRACTOR in writing of the decertification date. If a business becomes a certified DBE before completing its work, the business must notify CONTRACTOR in writing of the certification date. CONTRACTOR shall submit the notifications to the COUNTY. On work completion, CONTRACTOR shall complete a Disadvantaged Business Enterprises (DBE) Certification Status Change, Exhibit 17-O, form and submit the form to the COUNTY within 30 days of contract acceptance.

Upon work completion, CONTRACTOR shall complete Exhibit 17-F Final Report – Utilization of Disadvantaged Business Enterprises (DBE), First-Tier Subcontractors and submit it to the COUNTY within 90 days of contract acceptance. The COUNTY will withhold \$10,000 until the form is submitted. The COUNTY will release the withhold upon submission of the completed form.

In the COUNTY's reports of DBE participation to Caltrans, the COUNTY must display both commitments and attainments.

- G. A DBE is only eligible to be counted toward the contract goal if it performs a Commercially Useful Function (CUF) on the contract. CUF must be evaluated on an agreement by agreement basis. A DBE performs a 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.
- H. 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.
- I. 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.
- J. 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 contractors shall also show the date of work performed by their own forces along with the corresponding dollar value of the work.
- 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 thirty (30) calendar days.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- L. After submitting an invoice for reimbursement that includes a payment to a DBE, but no later than the 10th of the following month, the prime contractor/consultant shall complete and email the Exhibit 9- F: Disadvantaged Business Enterprise Running Tally of Payments to business.support.unit@dot.ca.gov with a copy to the Agency.
- M. Any subcontract entered into as a result of this contract shall contain all of the provisions of this section.

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

Prior to either party commencing any legal action under this contract, the parties agree to try in good faith, to settle any dispute amicably between them. If a dispute has not been settled after forty-five (45) days of good-faith negotiations and as may be otherwise provided herein, then either party may commence legal action against the other.

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 Administrator and Assistant Director of PWFP, who may consider written or verbal information submitted by CONTRACTOR.
- B. Not later than thirty (30) calendar 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 thirty (30) calendar 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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 (5) feet or deeper.

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 thirty (30) calendar 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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) calendar 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. It is mutually agreed that all materials prepared by CONTRACTOR under this contract shall become the property of COUNTY, and CONTRACTOR shall have no property right therein whatsoever. Immediately upon termination, COUNTY shall be entitled to, and CONTRACTOR shall deliver to COUNTY, reports, documents, plans, specifications, and estimates, investigations, appraisals, inventories, studies, analyses, drawings and data estimates performed to that date, whether completed or not, and other such materials as may have been prepared or accumulated to date by CONTRACTOR in performing this contract which is not CONTRACTOR's privileged information, as defined by law, or CONTRACTOR's personnel information, along with all other property belonging exclusively to COUNTY which is in CONTRACTOR's possession. Publication of the information derived from work performed or data obtained in connection with services rendered under this contract must be approved in writing by COUNTY.
- B. Additionally, it is agreed that the Parties intend this to be a contract for services and each considers the products and results of the services to be rendered by CONTRACTOR hereunder to be work made for hire. CONTRACTOR acknowledges and agrees that the work (and all rights therein, including, without limitation, copyright) belongs to and shall be the sole and exclusive property of COUNTY without restriction or limitation upon its use or dissemination by COUNTY.
- C. Nothing herein shall constitute or be construed to be any representation by CONTRACTOR that the work product is suitable in any way for any other project except the one detailed in this Contract. Any reuse by COUNTY for another project or project location shall be at COUNTY's sole risk. 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- D. 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.
- E. 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).
- F. 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.
- G. 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 in order to carry out this contract, shall be protected by CONTRACTOR from unauthorized use and disclosure.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- 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, Caltrans, and/or FHWA. All of the materials prepared or assembled by CONTRACTOR pursuant to performance of this Contract are confidential and CONTRACTOR agrees that they shall not be made available to any individual or organization without the prior written approval of COUNTY or except by court order. If CONTRACTOR or any of its officers, employees, or subcontractors does voluntarily provide information in violation of this Contract, COUNTY has the right to reimbursement and indemnity from CONTRACTOR for any damages caused by CONTRACTOR releasing the information, including, but not limited to, COUNTY's attorney's fees and disbursements, including without limitation experts' fees and disbursements.

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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

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 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 thirty (30) calendar 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 thirty (30) calendar 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) calendar 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) calendar 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

Prompt Payment from the County to the Contractor

The COUNTY shall make any progress payment within 30 days after receipt of an undisputed and properly submitted payment request from CONTRACTOR on a professional service contract. If the COUNTY fails to pay promptly, the COUNTY shall pay interest to the contractor, which accrues at the rate of 10 percent per annum on the principal amount of a money judgment remaining unsatisfied. Upon receipt of a payment request, the COUNTY shall act in accordance with both of the following:

- (1) Each payment request shall be reviewed by the COUNTY as soon as practicable after receipt for the purpose of determining that the payment request is a proper payment request.
- (2) Any payment request determined not to be a proper payment request suitable for payment shall be returned to CONTRACTOR as soon as practicable, but not later than seven (7) days, after receipt. A request returned pursuant to this paragraph shall be accompanied by a document setting forth in writing the reasons why the payment request is not proper

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 7%.

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 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

3. SUBMISSION OF DBE INFORMATION

If there is a DBE goal on the contract, Exhibit 10-01 *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 10-02 *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.
- 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.

EXHIBIT B-1 – FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

- 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; and
 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 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.

EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL FORMS

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

<https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms>

EXHIBIT 10-H2 COST PROPOSAL PAGE 1 OF 3
SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS NEEDED CONTRACTS)
(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant MNS Engineers, Inc. Prime Consultant Subconsultant 2nd Tier Subconsultant
Project No. Bradley Scour Repair Contract No. 10808 Participation Amount \$ \$ 999,967.00 Date 02/10/23

For Combined Rate
Fringe Benefit _____ + Overhead _____ + General Administrative _____ = 0.00% Combined IRC %

OR

For Home Office Rate
Fringe Benefit _____ + Overhead 118.55% + General Administrative _____ = 118.55% Home Office IRC%

For Field Office Rate
Fringe Benefit 54.84% + Overhead 71.42% + General Administrative 0.00% = 126.26% Field Office IRC %

FEE= 10%

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 classification only
	Straight	OT (1.5x)	OT (2x)	From	To			
Project Manager	\$236.44	\$ 236.44	\$ 236.44	01/01/21	12/31/21	\$ 95.00	0.0%	\$80 - \$115
	\$243.53	\$ 243.53	\$ 243.53	01/01/22	12/31/22	\$ 97.85	3.0%	
	\$250.84	\$ 250.84	\$ 250.84	01/01/23	12/31/23	\$ 100.79	3.0%	
	\$258.37	\$ 258.37	\$ 258.37	01/01/24	12/31/24	\$ 103.81	3.0%	
Resident Engineer	\$211.55	\$ 211.55	\$ 211.55	01/01/21	12/31/21	\$ 85.00	0.0%	\$70 - \$110
	\$217.90	\$ 217.90	\$ 217.90	01/01/22	12/31/22	\$ 87.55	3.0%	
	\$224.44	\$ 224.44	\$ 224.44	01/01/23	12/31/23	\$ 90.18	3.0%	
	\$231.17	\$ 231.17	\$ 231.17	01/01/24	12/31/24	\$ 92.88	3.0%	
Construction Inspector (PW)**	\$186.66	\$ 186.66	\$ 186.66	01/01/21	12/31/21	\$ 75.00	0.0%	\$65 - \$85
	\$192.26	\$ 192.26	\$ 192.26	01/01/22	12/31/22	\$ 77.25	3.0%	
	\$198.03	\$ 198.03	\$ 198.03	01/01/23	12/31/23	\$ 79.57	3.0%	
	\$203.97	\$ 203.97	\$ 203.97	01/01/24	12/31/24	\$ 81.95	3.0%	
Office Administrator	\$112.00	\$ 168.00	\$ 224.00	01/01/21	12/31/21	\$ 45.00	0.0%	\$35 - \$60
	\$115.36	\$ 173.04	\$ 230.72	01/01/22	12/31/22	\$ 46.35	3.0%	
	\$118.82	\$ 178.23	\$ 237.64	01/01/23	12/31/23	\$ 47.74	3.0%	
	\$122.38	\$ 183.58	\$ 244.77	01/01/24	12/31/24	\$ 49.17	3.0%	
Principal Land Surveyor	\$186.66	\$ 186.66	\$ 186.66	01/01/21	12/31/21	\$ 75.00	0.0%	\$65 - \$85
	\$192.26	\$ 192.26	\$ 192.26	01/01/22	12/31/22	\$ 77.25	3.0%	
	\$198.03	\$ 198.03	\$ 198.03	01/01/23	12/31/23	\$ 79.57	3.0%	
	\$203.97	\$ 203.97	\$ 203.97	01/01/24	12/31/24	\$ 81.95	3.0%	
Associate Project Surveyor	\$112.00	\$ 168.00	\$ 224.00	01/01/21	12/31/21	\$ 45.00	0.0%	\$35 - \$55
	\$115.36	\$ 173.04	\$ 230.72	01/01/22	12/31/22	\$ 46.35	3.0%	
	\$118.82	\$ 178.23	\$ 237.64	01/01/23	12/31/23	\$ 47.74	3.0%	
	\$122.38	\$ 183.58	\$ 244.77	01/01/24	12/31/24	\$ 49.17	3.0%	
Survey Party Chief**	\$161.78	\$ 210.31	\$ 258.84	01/01/21	12/31/21	\$ 65.00	0.0%	\$55 - \$75
	\$166.63	\$ 216.62	\$ 266.61	01/01/22	12/31/22	\$ 66.95	3.0%	
	\$171.63	\$ 223.12	\$ 274.60	01/01/23	12/31/23	\$ 68.96	3.0%	
	\$176.78	\$ 229.81	\$ 282.84	01/01/24	12/31/24	\$ 71.03	3.0%	
Chain Person**	\$149.33	\$ 194.13	\$ 238.93	01/01/21	12/31/21	\$ 60.00	0.0%	\$50 - \$70
	\$153.81	\$ 199.96	\$ 246.10	01/01/22	12/31/22	\$ 61.80	3.0%	
	\$158.43	\$ 205.95	\$ 253.48	01/01/23	12/31/23	\$ 63.65	3.0%	
	\$163.18	\$ 212.13	\$ 261.09	01/01/24	12/31/24	\$ 65.56	3.0%	

(Add Pages as necessary)

NOTES:

1. Key personnel MUST be marked with an asterisk (*) and employees that are subject to prevailing wage requirements must be marked with two asterisk(**). All Cost must comply with the Federal cost principals. Subconsultants will provide their own cost proposals.
2. The cost proposal format shall not be amended.
3. Billing rate = actual hourly rate *(1+ICR)*(1+Fee). Indirect cost rates shall be updated on an annual basis in accordance with the consultant's annual accounting period and established by cognizant agency or accepted by Caltrans. All costs must comply with the Federal cost principals for reimbursement
4. For named employees and key personnel enter the actual hourly rate. For classifications only, enter the Average Hourly Rate for the classification.
5. The Home Office rate is only applied to our Design Group. Construction Management utilizes the Field Office Rate.

The Effective Dates of Hourly Rates included within Exhibit 10-H2 Cost Proposal of the Local Assistance Procedures Manual in Exhibit B of this Agreement shall coincide with the initial term of this Agreement which is effective June 10, 2022 to June 9, 2027.

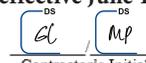
 4/6/2023 | 4:27 PM PDT
Contractor's Initials Date 4/5/2023 | 5:2

EXHIBIT 10-H2 COST PROPOSAL PAGE 2 OF 3
SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS NEEDED CONTRACTS)
 (CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant MNS Engineers, Inc. Prime Consultant Subconsultant

Project No. Bradley Scour Repair Contract No. 10808 Date 02/10/23

SCHEDULE OF OTHER DIRECT COSTS ITEMS (Add additional pages as necessary)

Description of Items	Quantity	Unit	Unit Cost	Total
Mileage Costs				\$ -
Equipment Rental and Supplies	1	Note 4	500	\$ 500.00
Travel Per Diem	1	Note 6	2000	\$ 2,000.00
Gamma Testing	1	1	17908	\$ 17,908.00
				\$ -
Subconsultant 1: Pacific Crest				\$ 90,000.00
Subconsultant 2: ZT Consulting				\$ 18,500.00
Subconsultant 3: Denise Duffy & Assoc.				\$ 210,000.00
Subconsultant 4:				
Subconsultant 5:				

(Add Pages as necessary)

NOTES:

- List direct cost items with estimated costs. These cost should be competitive in their respective industries and supported with appropriate documentation.
- Proposed ODC items should be consistently billed regardless of client and contract type.
- 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 preapproved by the contracting agency and shall not exceed current State Department of Personnel Administration rules.
- 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 cost 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.
- The cost proposal format shall not be amended. All costs must comply with the Federal cost principals.
- Add pages if necessary.
- Subconsultants must provide their own cost proposals.

EXHIBIT 10-H2 COST PROPOSAL Page 3 of 3**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 actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

7. Generally Accepted Accounting Principles (GAAP)
8. Terms and conditions of the contract
9. [Title 23 United States Code Section 112](#) - Letting of Contracts
10. [48 Code of Federal Regulations Part 31](#) - Contract Cost Principles and Procedures
11. [23 Code of Federal Regulations Part 172](#) - Procurement, Management, and Administration of Engineering and Design Related Service
12. [48 Code of Federal Regulations Part 9904 - Cost Accounting Standards Board](#) (when applicable)

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files and be in compliance with applicable federal and state requirements. Costs that are noncompliant with the federal and state requirements are not eligible for reimbursement.

Prime Consultant or Subconsultant Certifying:

Name: Greg Chelini Title*: Vice President
Signature:  Date of Certification (mm/dd/yyyy): 11/15/2021
Email: gchelini@mnsengineers.com Phone Number: 805- 6 2 - 629
Address: 201 N. Calle Cesar Chavez, Suite 300 Santa Barbara, Ca 93103

* An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President or a Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the cost proposal for the contract.

List services the consultant is providing under the proposed contract:

CM and Inspection

EXHIBIT B-1- FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

EXHIBIT 10-H2 COST PROPOSAL

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

Note: Mark-ups are Not Allowed

Consultant: Pacific Crest Engineering, Inc.

Role: Subconsultant
(Prime Consultant / Subconsultant / 2nd Tier Subconsultant)

Project No.: PR 21-164

Contract No.: 10808

Participation Amount: \$90,000

Date: 02/10/23

Project Name: Bradley Road Bridge Scour Project

For Combined Rate	Fringe Benefit % 80.46	+	General & Administrative 103.96%	=	<u>173.21</u> Combined ICR%
--------------------------	------------------------	---	----------------------------------	---	--------------------------------

OR

For Home Office Rate	Fringe Benefit %	+	General & Administrative %	=	<u>Home Off ICR%</u>
For Field Office Rate	Fringe Benefit %	+	General & Administrative %	=	<u>Field Off ICR%</u>

Fee Rate		=	<u>10.00</u> Fee %
-----------------	--	---	-----------------------

BILLING INFORMATION

CALCULATION INFORMATION

Name/Job Title/Classification ¹	Hourly Billing Rates ²			Effective Date of Hourly Rate		Actual or Avg. Hourly Rate ⁴	% or \$ Increase	Hourly Range - for Classifications Only
	Straight ³	OT(1.5x)	OT(2x)	From	To			
Principal Engineer	\$284.83	N/A	N/A	1/1/2021	12/31/2021	\$91.04	0.00%	N/A
	\$296.22	N/A	N/A	1/1/2022	12/31/2022	\$94.68	4.00%	N/A
	\$308.07	N/A	N/A	1/1/2023	12/31/2023	\$98.47	4.00%	N/A
	\$320.39	N/A	N/A	1/1/2024	12/31/2024	\$102.41	4.00%	N/A
Associate Civil Engineer	\$206.68	N/A	N/A	1/1/2021	12/31/2021	\$66.06	0.00%	N/A
	\$214.94	N/A	N/A	1/1/2022	12/31/2022	\$68.70	4.00%	N/A
	\$223.54	N/A	N/A	1/1/2023	12/31/2023	\$71.45	4.00%	N/A
	\$232.48	N/A	N/A	1/1/2024	12/31/2024	\$74.31	4.00%	N/A
Associate Geotechnical Engineer	\$206.68	N/A	N/A	1/1/2021	12/31/2021	\$66.06	0.00%	N/A
	\$214.94	N/A	N/A	1/1/2022	12/31/2022	\$68.70	4.00%	N/A
	\$223.54	N/A	N/A	1/1/2023	12/31/2023	\$71.45	4.00%	N/A
	\$232.48	N/A	N/A	1/1/2024	12/31/2024	\$74.31	4.00%	N/A

Name/Job Title/Classification ¹	Hourly Billing Rates ²			Effective Date of Hourly Rate		Actual or Avg. Hourly Rate ⁴	% or \$ Increase	Hourly Range - for Classifications Only		
	Straight ³	OT(1.5x)	OT(2x)	From	To					
Staff Engineer/Geologist	\$126.55	N/A	N/A	1/1/2021	12/31/2021	\$40.45	0.00%	N/A		
	\$131.61	N/A	N/A	1/1/2022	12/31/2022	\$42.07	4.00%	N/A		
	\$136.88	N/A	N/A	1/1/2023	12/31/2023	\$43.75	4.00%	N/A		
	\$142.35	N/A	N/A	1/1/2024	12/31/2024	\$45.50	4.00%	N/A		
Clerical/Drafting	\$127.74	N/A	N/A	1/1/2021	12/31/2021	\$40.83	0.00%	N/A		
	\$132.85	N/A	N/A	1/1/2022	12/31/2022	\$42.46	4.00%	N/A		
	\$138.17	N/A	N/A	1/1/2023	12/31/2023	\$44.16	4.00%	N/A		
	\$143.69	N/A	N/A	1/1/2024	12/31/2024	\$45.93	4.00%	N/A		
Laboratory Technician	\$81.34	\$122.02	\$162.69	1/1/2021	12/31/2021	\$26.00	0.00%	\$ 23.40	-	\$ 28.60
	\$84.60	\$126.90	\$169.20	1/1/2022	12/31/2022	\$27.04	4.00%	\$ 24.34	-	\$ 29.74
	\$87.98	\$131.97	\$175.96	1/1/2023	12/31/2023	\$28.12	4.00%	\$ 25.31	-	\$ 30.93
	\$91.50	\$137.25	\$183.00	1/1/2024	12/31/2024	\$29.25	4.00%	\$ 26.32	-	\$ 32.17
Field Technician/Special Inspector	\$200.95	\$301.43	\$401.90	1/1/2021	12/31/2021	\$64.23	0.00%	\$ 56.36	-	\$ 69.24
Prevailing Wage*	\$208.99	\$313.48	\$417.98	1/1/2022	12/31/2022	\$66.80	4.00%	\$ 58.61	-	\$ 72.01
	\$217.35	\$326.02	\$434.70	1/1/2023	12/31/2023	\$69.47	4.00%	\$ 60.96	-	\$ 74.89
	\$226.04	\$339.06	\$452.09	1/1/2024	12/31/2024	\$72.25	4.00%	\$ 63.40	-	\$ 77.89
Field Technican/Special Inspector	\$91.26	\$136.89	\$182.52	1/1/2021	12/31/2021	\$29.17	0.00%	\$ 23.40	-	\$ 36.40
Non-Prevailing Wage	\$94.91	\$142.37	\$189.82	1/1/2022	12/31/2022	\$30.34	4.00%	\$ 24.34	-	\$ 37.86
	\$98.71	\$148.06	\$197.42	1/1/2023	12/31/2023	\$31.55	4.00%	\$ 25.31	-	\$ 39.37
	\$102.66	\$153.99	\$205.31	1/1/2024	12/31/2024	\$32.81	4.00%	\$ 26.32	-	\$ 40.95

NOTES:

1. Key Personnel must be marked with an asterisk (*) and employees that are subject to prevailing wage requirements must be marked with two asterisks (**). All costs must comply with Federal cost principles. Subconsultants will provide their own cost proposals.
2. The cost proposal format shall not be amended.
3. Billing Rate = actual hourly rate * (1 + ICR) * (1 + Fee). Indirect Cost Rates shall be updated on an annual basis in accordance with the consultant's annual accounting period and established by a cognizant agency or accepted by Caltrans. All costs must comply with the Federal cost principles for reimbursement.
4. For named employees and key personnel enter the actual hourly rate. For classifications only, enter the Average Hourly Rate for that classification.

EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

EXHIBIT 10-H2 COST PROPOSAL

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

(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant: Pacific Crest Engineering, Inc.

Role: Subconsultant

(Prime Consultant / Subconsultant / 2nd Tier Subconsultant)

Project No.: PR 21-164

Contract No.: 10808

Date: 02/10/23

Project Name: Bradley Road Bridge Scour Project

SCHEDULE OF OTHER DIRECT COST ITEMS (Add additional pages as necessary)							
Description of Item	Quantity	Unit	Unit Cost	Total			
Company Vehicle Mileage Costs		mile	\$	\$ Per IRS Standard Mileage Rate			
Laboratory Analysis:				Per PCEI Standard Fee Schedule			

NOTES:

- List other direct cost items with estimated costs. These costs should be competitive in their respective industries and supported with appropriate documentation.
- Proposed ODC items should be consistently billed regardless of client and contract type.
- 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 and shall not exceed current State Department of Personnel Administration rules.
- 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 its standard procedure for all of their contracts and that they do not own any vehicles that could be used for the same purpose.
- The cost proposal format shall not be amended. All costs must comply with the Federal cost principles.
- Add additional pages if necessary.
- Subconsultants must provide their own cost proposals.

EXHIBIT 10-H2 COST PROPOSAL

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 actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

- Generally Accepted Accounting Principles (GAAP)
- Terms and conditions of the contract
- [Title 23 United States Code Section 112](#) - Letting of Contracts
- [48 Code of Federal Regulations Part 31](#) - Contract Cost Principles and Procedures
- [23 Code of Federal Regulations Part 172](#) - Procurement, Management, and Administration of Engineering and Design Related Service
- [48 Code of Federal Regulations Part 9904 - Cost Accounting Standards Board](#) (when applicable)

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files and be in compliance with applicable federal and state requirements. Costs that are noncompliant with the federal and state requirements are not eligible for reimbursement.

EXHIBIT B-1- FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL
Retroactive and effective June 10, 2022

Prime Consultant or Subconsultant Certifying:

Name: Elizabeth Mitchell _____

Title*: President/Principal Engineer _____

Signature: *Elizabeth M. Mitchell* _____

Date of Certification (11/5/2021): _____

Email: elizabeth@pacengineering.net _____

Phone Number: 831-722-9446 _____

Address: 444 Airport Blvd, Suite 106, Watsonville, CA 95076 _____

* An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President or a Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the cost proposal for the contract.

List services the consultant is providing under the proposed contract:

Geotechnical Engineering, Materials Testing, Special Inspections



Pacific Crest
ENGINEERING INC

GEOTECHNICAL | ENVIRONMENTAL | CHEMICAL | MATERIAL TESTING | SPECIAL INSPECTIONS

PACIFIC CREST ENGINEERING INC.

STANDARD FEE SCHEDULE – GEOTECHNICAL GROUP

Please refer to our submitted Cost Proposal - Caltrans 10H form for hourly rates associated with this contract. If desired, services other than construction observation and testing can be contracted on a negotiated fixed fee basis. Hours and mileage for professional and technical services are charged portal-to-portal from our Watsonville office. Services during construction, such as testing and observation of grading, require both professional and technical services. Depending on the scope and duration of the construction project, an opinion of probable cost can be made. Professional, technical, mileage and laboratory fees and rates are subject to change without notice.

OVERTIME

Overtime, when applicable, shall be defined as working more than 8 hours in any one day, more than 40 hours in any one week, and any work performed on Saturdays, Sundays, and Holidays. Double time is billed for Sunday and Holiday work, and for work performed in excess of 8 hours on Saturdays. All other overtime hours are billed as time and a half. Night shift work is shift work commencing after 2:00 pm or before 4:00 am during any 24 hour period starting at 12:01 am. Our normal working hours are 8:00 am to 5:00 pm, Monday through Friday.

FIELD TESTS

Plate bearing load tests, pile load tests, vane shear tests, piezometer installations, slope inclinometer installations, and other special tests will be charged at standard engineering and personnel rates, plus cost of special equipment.

INCIDENTAL EXPENSES

Consultant shall be paid the actual cost plus ten percent of all other out-of-pocket expenses, including any costs of air travel, applicable sales, use and city taxes, as well as miscellaneous outside services and facilities, including: Subconsultant or Subcontractor fees; equipment rental, drill rig, underground locator, renderings, overnight delivery, permit, and plan check fees, and similar expenses.

PRINTS AND SPECIFICATIONS

Reproduction charges for prints and specification books for client use in bidding or construction or at client request will be billed at cost plus fifteen percent.

COPIES OF PREVIOUS REPORTS

Orders for copies of previously issued work will be billed on a time and material basis (minimum charge of \$25.00).

DRILLING AND SAMPLING

Billing Rate

Drill Rig including crew - truck mounted or crawler mounted:

Mobilization	Cost + 15%
Straight Time	Cost + 15%
Over Time	Cost + 15%
Cone Penetrometer Rig (CPT)	Cost + 15%

Pacific Crest Engineering Inc.
www.4pacific-crest.com

Standard Fee Schedule

CPT Travel Time & Mobilization

Cost + 15%

Drilling is charged at 4 hours minimum.

Time is charged portal-to-portal from the drilling rig yard.

Casing, Shelby tubes and any special sampling or subcontract equipment will be charged at cost plus 15%.

LABORATORY TESTS

Soil/Aggregate Classification and Index Tests:

Atterberg Limits (Liquid Limit/Plastic Limit/ Plasticity Index):

- Method A (Multi Point), ASTM D-4318/AASHTO T89 & T90 \$200.00
- Method B (Single Point), ASTM D-4318/AASHTO T89 & T90 \$180.00
- California Test Method, CT-204 \$200.00

Grain Size Distribution of Soil:

- Sieve Analysis w/ Hydrometer ASTM D-422/AASHTO T88 \$225.00
- Sieve Analysis w/o Hydrometer, ASTM D-422/AASHTO T88 \$125.00
- Material Finer than #200 Sieve ASTM D-1140 \$ 95.00
- California Test Method, CT-202 \$130.00

Grain Size Analysis of Aggregate:

- Sieve Analysis ASTM C-136/AASHTO T27 \$160.00
- Material Finer than #200 Sieve ASTM C-117/AASHTO T11 \$115.00
- California Test Method, CT-202 \$150.00

Moisture Determination, ASTM D-2216/AASHTO T265/CT-226

\$ 30.00

R-Value:

- Native Soil Samples ASTM D-2844/AASHTO T190/CT-301 \$375.00
- With Additives, ASTM D-2844/AASHTO T190/CT-301 \$450.00

Sand Equivalent, ASTM D-2419/CT-217

\$150.00

Specific Gravity of Soil, ASTM D-854/AASHTO T100

\$130.00

Specific Gravity of Aggregate

\$150.00

Expansion Index, ASTM D4829

\$210.00

Cleanliness Value of Coarse Aggregate, CT 227

\$160.00

Durability Index, CT 229

\$165.00

California Bearing Ratio with Compaction, ASTM D1883

Per Quote

California Bearing Ratio with Compaction by Client, ASTM D1883

Per Quote

Permeability, ASTM D2434/ASTM D5084

Per Quote

Corrosivity, Cal-Trans Package

\$330.00

Abrasion, L.A. Rattler, 100 and 500 Revolutions, ASTM C131 (Small Aggregate)

\$360.00

Abrasion, L.A. Rattler, 100 and 500 Revolutions, ASTM C535 (Small Aggregate)

\$675.00

Absorption, Coarse Aggregate, CT 206

\$100.00

Absorption, Fine Aggregate, CT 207

\$145.00

Clay Lumps and Friable Particles in Aggregate, AASHTO T 112

\$145.00

Soundness, CT 214

\$400.00

Percent Crushed Particles, CT 205

\$145.00

Flat and Elongated Particles, ASTM D4791

\$145.00

Fine Aggregate Angularity, AASHTO T304, Method A

\$285.00

Unit Weight of Aggregate

\$ 95.00



Moisture Density Relations/Compaction Curves:

Modified Proctor:

- 4" Mold, ASTM D-1557/AASHTO T180 \$265.00
- 6" Mold, ASTM D-1557/AASHTO T180 \$310.00
- One Point Verification (Check Point) \$120.00

Standard Proctor:

- 4" Mold, ASTM D-698/AASHTO T99 \$265.00
- 6" Mold, ASTM D-698/AASHTO T99 \$310.00
- One Point Verification (Check Point) \$120.00

Cal-Impact Test, CT-216 \$305.00

Strength Tests:

Direct Shear:

- CD Peak and Residual, ASTM D-3080 (per point) \$230.00
- CU Peak and Residual, ASTM D-3080 Modified (per point) \$110.00
- Unconfined Compression, ASTM D-2166/AASHTO T208 \$ 95.00
- Triaxial Compression, Undrained, ASTM D2850, per point Per Quote
- Triaxial Compression, Drained, ASTM D7181, per point Per Quote
- Triaxial Compression, Undrained with PP, ASTM D4767, per point Per Quote

Consolidation & Expansion Tests:

Consolidation, ASTM D-2435, per point \$420.00

Expansion Pressure, ASTM D-3877 \$340.00

Concrete Testing:

Compressive Strength Testing, ASTM C-39 (per cylinder) \$ 65.00

Compressive Strength Testing, ASTM C-39, CT-521 (sulfur capped, per cylinder) \$ 70.00

Compressive Strength of Shotcrete, ASTM C-1140 (per core, sulfur capped) \$105.00

Method of Test For Flexural Strength of Concrete, CT 523 \$160.00

Method of Test For Flexural Strength of Rapid Strength Concrete, CT 524 \$160.00

Shrinkage, ASTM C-157, Set of 3 \$375.00

Length Change of Concrete, CT-537 (set of 3) \$375.00

Compressive Strength of Mortar, ASTM C-109 (per cube) \$ 60.00

Compressive Strength of Grout, ASTM C-1019 (per specimen) \$ 65.00

Concrete Storage Processing and Disposal \$ 20.00

Shotcrete Specimen Casting Boxes \$ 60.00

Hot Mix Asphalt (HMA) Tests:

Bulk Specific Gravity of Compacted Hot Mix Asphalt

- Saturated Surface Dry Method, ASTM D2726/AASHTO T166 \$ 70.00
- Coated Specimens, ASTM D-1188/AASHTO T275 \$ 80.00

Moisture Content of HMA, AASHTO T329 \$ 40.00



Pacific Crest Engineering Inc.
www.4pacific-crest.com

Standard Fee Schedule

Theoretical Maximum Density, ASTM D-2041, CT-309	\$165.00
Asphalt Binder Content, AASHTO T308	\$280.00
Asphalt Binder Content Correction Value, Per Mix Design, Average of 3 Stabilometer, Hveem S-Value, Set of 3	\$800.00 Per Quote

Miscellaneous:

Sample Preparation, if required (per hour)	\$105.00
Other specialty testing/inspection services are individually quoted.	Per Quote



EXHIBIT 10-H2 COST PROPOSAL Page 1 of 4

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

Note: Mark-ups are Not Allowed

Consultant ZT Consulting Group Inc. Prime Consultant Subconsultant 2nd Tier

Project No. RFP 10808 CM For Bradley Rd Br **Contract No.** RFQ 10808 **Participation Amount** Subconsultant\$18,500 **Date #** 03/0323

For Combined Rate	Fringe Benefit % + General & Administrative %	=	104.66%	Combined ICR%
OR				
For Home Office Rate	Fringe Benefit % + General & Administrative %	=	104.66%	Home Office ICR%
For Field Office Rate	Fringe Benefit % + General & Administrative %	=	104.66%	Field Office ICR%

OH Rate Fee = 10%

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 ^(a)	Hourly Range - for Classifications Only
	Straight	OT(1.5x)	OT(2x)	From	To			
Farzad Tasbihgoo (*), PE, CQA, CWI, PCI III Senior Quality Engineer Exempt	\$185.73	\$185.73	\$185.73	01/01/2021	12/31/2021	\$82.50		
	\$191.30	\$191.30	\$191.30	01/01/2022	12/31/2022	\$84.98	3.0%	
	\$197.04	\$197.04	\$197.04	01/01/2023	12/31/2023	\$87.52	3.0%	
Andrew Soria (**), ACI I, PCI III QA Source Inspector Non-Exempt	\$122.69	\$149.94	\$177.19	01/01/2021	12/31/2021	\$54.50		
	\$126.37	\$154.44	\$182.51	01/01/2022	12/31/2022	\$56.14	3.0%	
	\$130.17	\$159.08	\$187.98	01/01/2023	12/31/2023	\$57.82	3.0%	
Dan Chang (**), CWI, ACI, PCI II, UT/MT QA Source Inspector Non-Exempt	\$135.08	\$165.08	\$195.08	01/01/2021	12/31/2021	\$60.00		
	\$139.13	\$170.03	\$200.93	01/01/2022	12/31/2022	\$61.80	3.0%	
	\$143.30	\$175.13	\$206.96	01/01/2023	12/31/2023	\$63.65	3.0%	
Reid Gerritsen (**), ACI I, PCI III QA Source Inspector Non-Exempt	\$106.93	\$130.68	\$154.43	01/01/2021	12/31/2021	\$47.50		
	\$110.14	\$134.61	\$159.07	01/01/2022	12/31/2022	\$48.93	3.0%	
	\$113.45	\$138.64	\$163.84	01/01/2023	12/31/2023	\$50.39	3.0%	
Paul Mortsof (**), ACI, PCI II QA Source Inspector Non-Exempt	\$104.68	\$127.93	\$151.18	01/01/2021	12/31/2021	\$46.50		
	\$107.82	\$131.77	\$155.72	01/01/2022	12/31/2022	\$47.90	3.0%	
	\$111.06	\$135.72	\$160.39	01/01/2023	12/31/2023	\$49.33	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 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 7 of this Exhibit

EXHIBIT 10-H2 COST PROPOSAL Page 2 of 4

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

Note: Mark-ups are Not Allowed

(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant ZT Consulting Group Inc. Prime Consultant Subconsultant 2nd Tier

Project No. RFP 10808 CM For Bradley Rd Br Contract No. 10808 Participation Amount Subconsultant\$18,500 Date ## 3/3/23

For Combined Rate	Fringe Benefit % + General & Administrative %	=	104.66%	Combined ICR%
OR				
For Home Office Rate	Fringe Benefit % + General & Administrative %	=	104.66%	Home Office ICR%
For Field Office Rate	Fringe Benefit % + General & Administrative %	=	104.66%	Field Office ICR%

OH Rate Fee = 10%

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 ^(a)	Hourly Range - for Classifications Only
	Straight	OT(1.5x)	OT(2x)	From	To			
David Ramirez, ACII, PCI II QA Inspector Non-Exempt	\$101.31	\$101.31	\$101.31	01/01/2021	12/31/2021	\$45.00		
	\$104.35	\$104.35	\$104.35	01/01/2022	12/31/2022	\$46.35	3.0%	
	\$107.48	\$107.48	\$107.48	01/01/2023	12/31/2023	\$47.74	3.0%	
Nathan Liszewski, CWI, NDT UT/MT QA Inspector Non-Exempt	\$118.75	\$145.13	\$171.50	01/01/2021	12/31/2021	\$52.75		
	\$122.32	\$149.48	\$176.65	01/01/2022	12/31/2022	\$54.33	3.0%	
	\$125.99	\$153.97	\$181.95	01/01/2023	12/31/2023	\$55.96	3.0%	
Richard Corona QA Technician Non-Exempt	\$101.31	\$123.81	\$146.31	01/01/2021	12/31/2021	\$45.00		
	\$104.35	\$127.52	\$150.70	01/01/2022	12/31/2022	\$46.35	3.0%	
	\$107.48	\$131.35	\$155.22	01/01/2023	12/31/2023	\$47.74	3.0%	
Derick Hobbs, EIT Assistant Quality Engineer Non-Exempt	\$90.05	\$110.05	\$130.05	01/01/2021	12/31/2021	\$40.00		
	\$92.75	\$113.35	\$133.95	01/01/2022	12/31/2022	\$41.20	3.0%	
	\$95.53	\$116.75	\$137.97	01/01/2023	12/31/2023	\$42.44	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 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 7 of this Exhibit

EXHIBIT B-1– FEDERAL PROVISIONS
 CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

EXHIBIT 10-H2 COST PROPOSAL Page 3 of 4
 SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)
 (CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant ZT Consulting Group Inc.

Prime Consultant Subconsultant

2nd Tier Subconsultant

Project RFP 10808 CM For Bradley Rd Br

Contract No.: 10808

Participation Amount \$18,500

Date # 3/3/23

SCHEDULE OF OTHER DIRECT COST ITEMS (Add additional pages as necessary)				
Description of Item	Quantity	Unit	Unit Cost	Total
Epoxy Coated Bars	TBD	EA Test	\$ 100.00	TBD
Elastomer Seal	TBD	EA Test	\$ 1,200.00	TBD
Splices - Mechanical or Hoops	TBD	EA Test	\$ 150.00	TBD
Bearing Pads	TBD	EA Test	\$ 1,200.00	TBD
Structural Fasteners - Anchor Rods	TBD	One Set	\$ 350.00	TBD
Structural Fasteners - High Strength Bolts	TBD	One Set	\$ 250.00	TBD
Strands	TBD	EA Test	\$ 180.00	TBD
PT Anchorage	TBD	EA Test	\$ 150.00	TBD
Travel over Note 6	TBD	Per Trip	TBD	TBD
Mileage	TBD	Miles - IRS Standard Rate		TBD
ZT Consulting Group, Inc. 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 purpose that could be used for the same purpose.

EXHIBIT 10-H2 COST PROPOSAL Page 3 of 3**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 actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

7. Generally Accepted Accounting Principles (GAAP)
8. Terms and conditions of the contract
9. [Title 23 United States Code Section 112](#) - Letting of Contracts
10. [48 Code of Federal Regulations Part 31](#) - Contract Cost Principles and Procedures
11. [23 Code of Federal Regulations Part 172](#) - Procurement, Management, and Administration of Engineering and Design Related Service
12. [48 Code of Federal Regulations Part 9904 - Cost Accounting Standards Board](#) (when applicable)

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files and be in compliance with applicable federal and state requirements. Costs that are noncompliant with the federal and state requirements are not eligible for reimbursement.

Prime Consultant or Subconsultant Certifying:

Name: Farzad Tasbihgoo Title*: Principal Engineer
 Signature:  Date of Certification (mm/dd/yyyy): 04/13/2022
 Email: farzad@ztcgrp.com Phone Number: 818-929-8162
 Address: 1041 E Green St., Suite 204, Pasadena, CA 91106

* An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President or a Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the cost proposal for the contract.

List services the consultant is providing under the proposed contract:

Off-site fabrication, source inspection, and material testing for bridge components per Caltrans SIQMP Guidelines. Developing SIQMP for Caltrans approval. Implementing SIQMP during course of construction.

**EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

EXHIBIT 10-H COST PROPOSAL Page 1 of 2

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

Note: Mark-ups are Not Allowed

Subconsultant: Denise Duffy & Associates, Inc. Project: Bradley Road Project Contract No. 10808 Date November 15, 2021 Participation Amount \$210,000

Revised 2/10/23

	Fringe Benefit %		Overhead %		General Admin. %		Combined Indirect Cost Rate%
NORMAL	60.10%	+	79.74%	+	18.29%	=	160.91%
FIELD OFFICE/TEMPORARY		+		+		=	0.00%
			Fee %			=	10.00%

BILLING INFORMATION

CALCULATION INFORMATION

Name/Classification	Hourly Billing Rates			Effective Date of Hourly Rate		Actual/Average Hourly Rate	% Increase	Hourly Range for Classifications Only
	Straight	OT (1.5X)	OT (2X)	From	To			
Josh Harwayne Senior Project Manager II	\$195.92	N/A	N/A	11/1/2021	10/31/2022	\$69.00	0%	N/A
Exempt	\$201.80	N/A	N/A	11/1/2022	10/31/2023	\$71.07	3%	N/A
	\$207.85	N/A	N/A	11/1/2023	10/31/2024	\$73.20	3%	N/A
Matthew Johnson Senior Project Manager	\$167.53	N/A	N/A	11/1/2021	10/31/2022	\$59.00	0%	N/A
Exempt	\$172.55	N/A	N/A	11/1/2022	10/31/2023	\$60.77	3%	N/A
	\$177.72	N/A	N/A	11/1/2023	10/31/2024	\$62.59	3%	N/A
Patric Krabacher Deputy Project Manager/Arborist	\$122.81	N/A	N/A	11/1/2021	10/31/2022	\$43.25	0%	N/A
Exempt	\$126.50	N/A	N/A	11/1/2022	10/31/2023	\$44.55	3%	N/A
	\$130.30	N/A	N/A	11/1/2023	10/31/2024	\$45.89	3%	N/A
Various Associate Scientist/Planner	\$112.16	N/A	N/A	11/1/2021	10/31/2022	\$39.50	0%	N/A
Exempt	\$115.54	N/A	N/A	11/1/2022	10/31/2023	\$40.69	3%	N/A
	\$119.00	N/A	N/A	11/1/2023	10/31/2024	\$41.91	3%	N/A
Various Assistant Scientist/Planner	\$100.09	N/A	N/A	11/1/2021	10/31/2022	\$35.25	0%	N/A
Exempt	\$103.10	N/A	N/A	11/1/2022	10/31/2023	\$36.31	3%	N/A
	\$106.19	N/A	N/A	11/1/2023	10/31/2024	\$37.40	3%	N/A

- 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 contract.
- For named employees enter the actual hourly rate. For classifications only, enter the Average Hourly Rate for that classification.

**EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL**

Contract #:
Attachment: 2
Prime:
Date: 11/15/2021
Page: 2 of 9

EXHIBIT 10-H COST PROPOSAL Page 2 of 2
Subconsultant: Denise Duffy & Associates, Inc.
Project: Bradley Road Project RFP No. 10808 Date November 15, 2021

SCHEDULE OF OTHER DIRECT COST ITEMS			
Description of Items	Unit	Cost	Total
Printing and Reproductions			
Copying (in-house)			
8.5x11	page	\$ 0.10	
11x17	page	\$ 0.12	
Color Graphics			
8.5x11	page	\$ 1.00	
11x17	page	\$ 1.50	
Copying (Professional)		Actual Cost	
Binding		Actual Cost	
Vehicle Expenses			
Mileage			
Field Vehicle	mile	State Rate	
Personal Vehicle		per Caltrans Travel Guide	
Parking/Tolls		per Caltrans Travel Guide	
Rental Car		Actual Cost	
Delivery Services			
Courier/Messenger Service	each	Actual	
U.S. Postal Services	each	Actual	
Miscellaneous			
Trimble EXP. II GPS Unit		\$80 per day	
Field & Lab Supplies		Actual Cost	
Per Diem		per Caltrans Travel Guide	
Misc. Equipment Rental		Actual Cost	

1. Pre-approved travel and per diem cost will be reimbursed in conformance with the current Department of Transportation and Expense Guide for Consultants.
2. Pre- approved actual costs are competitive prices from appropriate vendors in their respective industries, and supported by receipts.

Exhibit 10-H2 Cost Proposal

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 actual, reasonable, and allocable to the contract in accordance with the contract terms and the following requirements:

1. Generally Accepted Accounting Principles (GAAP)
2. Terms and conditions of the contract
3. [Title 23 United States Code Section 112](#) - Letting of Contracts
4. [48 Code of Federal Regulations Part 31](#) - Contract Cost Principles and Procedures
5. [23 Code of Federal Regulations Part 172](#) - Procurement, Management, and Administration of Engineering and Design Related Service
6. [48 Code of Federal Regulations Part 9904 - Cost Accounting Standards Board](#) (when applicable)

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files and be in compliance with applicable federal and state requirements. Costs that are noncompliant with the federal and state requirements are not eligible for reimbursement.

Local governments are responsible for applying only cognizant agency approved or Caltrans accepted Indirect Cost Rate(s).

Prime Consultant or Subconsultant Certifying:

Name: Denise Duffy Title*: President

Signature:  Date of Certification (mm/dd/yyyy): 11/15/2021

Email: dduffy@ddaplanning.com Phone Number: (831) 373-4341

Address: 947 Cass St. Suite 5 Monterey, CA 93940

*An individual executive or financial officer of the consultant’s or subconsultant’s organization at a level no lower than a Vice President or a Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the cost proposal for the contract.

List services the consultant is providing under the proposed contract:

Environmental Consulting and Construction Monitoring Services

Consultant Annual Certification of Indirect Costs and Financial Management System

EXHIBIT 10-K CONSULTANT ANNUAL CERTIFICATION OF
INDIRECT COSTS AND FINANCIAL MANAGEMENT SYSTEM

(Note: If a Safe Harbor Indirect Cost Rate is approved, this form is not required.)

Consultant's Full Legal Name: MNS Engineers, Inc.

Important: Consultant means the individual or consultant providing engineering and design related services as a party of a contract with a recipient or sub-recipient of Federal assistance. Therefore, the Indirect Cost Rate(s) shall not be combined with its parent company or subsidiaries.

Indirect Cost Rate:

Combined Rate 123.39 % OR

Home Office Rate 118.55 % and Field Office Rate (if applicable) 126.26 %

Facilities Capital Cost of Money _____ % (if applicable)

Fiscal period * 01/01/2020 - 12/31/2020

* Fiscal period is annual one year applicable accounting period that the Indirect Cost Rate was developed (not the contract period). The Indirect Cost Rate is based on the consultant's one-year applicable accounting period for which financial statements are regularly prepared by the consultant.

I have reviewed the proposal to establish an Indirect Cost Rate(s) for the **fiscal period** as specified above and have determined to the best of my knowledge and belief that:

- All costs included in the cost proposal to establish the indirect cost rate(s) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) 48, Code of Federal Regulations (CFR), Chapter 1, Part 31 (48 CFR Part 31);
- The cost proposal does not include any costs which are expressly unallowable under the cost principles of 48 CFR Part 31;
- The accounting treatment and billing of prevailing wage delta costs are consistent with our prevailing wage policy as either direct labor, indirect costs, or other direct costs on all federally-funded A&E Consultant Contracts.
- All known material transactions or events that have occurred subsequent to year-end affecting the consultant's ownership, organization, and indirect cost rates have been disclosed as of the date of this certification.

I am providing the required and applicable documents as instructed on Exhibit 10-A.

Financial Management System:

Our labor charging, job costing, and accounting systems meet the standards for financial reporting, accounting records, and internal control adequate to demonstrate that costs claimed have been incurred, appropriately accounted for, are allocable to the contract, and comply with the federal requirements as set forth in [Title 23 United States Code \(U.S.C.\) Section 112\(b\)\(2\); 48 CFR Part 31.201-2\(d\); 23 CFR, Chapter 1, Part 172.11\(a\)\(2\)](#); and all applicable state and federal rules and regulations.

Our financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts;
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into separate cost

accounts;

- Ability to accumulate and segregate allowable direct costs by project, contract and type of cost;
- Internal controls to maintain integrity of financial management system;
- Ability to account and record costs consistently and to ensure costs billed are in compliance with FAR;
- Ability to ensure and demonstrate costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and federal and state requirement

Cost Reimbursements on Contracts:

I also understand that failure to comply with 48 CFR Part 16.301-3 or knowingly charge unallowable costs to Federal-Aid Highway Program (FAHP) contracts may result in possible penalties and sanctions as provided by the following:

- Sanctions and Penalties - [23 CFR Part 172.11\(c\)\(4\)](#)
- False Claims Act - [Title 31 U.S.C. Sections 3729-3733](#)
- Statements or entries generally - [Title 18 U.S.C. Section 1001](#)
- Major Fraud Act - [Title 18 U.S.C. Section 1031](#)

All A&E Contract Information:

- Total participation amount \$ 50,000,000.00 on all State and FAHP contracts for Architectural & Engineering services that the consultant received in the last three fiscal periods.
- The number of states in which the consultant does business is 2.
- Years of consultant's experience with 48 CFR Part 31 is 57.
- Audit history of the consultant's current and prior years (if applicable)

<input type="checkbox"/> Cognizant ICR Audit	<input type="checkbox"/> Local Gov't ICR Audit	<input type="checkbox"/> Caltrans ICR Audit
<input checked="" type="checkbox"/> CPA ICR Audit	<input type="checkbox"/> Federal Gov't ICR Audit	

I, the undersigned, certify all of the above to the best of my knowledge and belief and that I have reviewed the Indirect Cost Rate Schedule to determine that any costs which are expressly unallowable under the Federal cost principles have been removed and comply with [Title 23 U.S.C. Section 112\(b\)\(2\)](#), [48 CFR Part 31](#), [23 CFR Part 172](#), and all applicable state and federal rules and regulations. I also certify that I understand that all documentation of compliance must be retained by the consultant. I hereby acknowledge that costs that are noncompliant with the federal and state requirements are not eligible for reimbursement and must be returned to Caltrans.

Name**: Greg Chelini

Title**: Vice President

Signature: Greg Chelini Digitally signed by Greg Chelini
Date: 2021.08.02 15:54:20 -07'00'

Date of Certification (mm/dd/yyyy): 12/10/2021

Email**: gchelini@mnsengineers.com

Phone Number**: 805-456-3519

**An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President, a Chief Financial Officer, or equivalent, who has authority to represent the financial information used to establish the indirect cost rate.

Note: ***Both prime and subconsultants as parties of a contract must complete their own Exhibit 10-K forms. Caltrans will not process local agency's invoices until a complete Exhibit 10-K form is accepted and approved by Caltrans Audits and Investigations.***

Distribution: 1) Original - Local Agency Project File
2) Copy - Consultant
3) Copy - Caltrans Audits and Investigations

Local Assistance Procedures Manual**EXHIBIT 10-K CONSULTANT ANNUAL CERTIFICATION OF
INDIRECT COSTS AND FINANCIAL MANAGEMENT SYSTEM***(Note: If a Safe Harbor Indirect Cost Rate is approved, this form is not required.)***Consultant's Full Legal Name** Pacific Crest Engineering, Inc.

Important: Consultant means the individual or consultant providing engineering and design related services as a party of a contract with a recipient or sub-recipient of Federal assistance. Therefore, the Indirect Cost Rate(s) shall not be combined with its parent company or subsidiaries.

Indirect Cost Rate:Combined Rate 173.21 % **OR** Home

Office Rate _____% and Field Office Rate (if applicable) _____%

Facilities Capital Cost of Money _____% (if applicable)

Fiscal period *1/1/2020 – 12/31/2020

* Fiscal period is annual one year applicable accounting period that the Indirect Cost Rate was developed (not the contract period). The Indirect Cost Rate is based on the consultant's one-year applicable accounting period for which financial statements are regularly prepared by the consultant.

I have reviewed the proposal to establish an Indirect Cost Rate(s) for the **fiscal period** as specified above and have determined to the best of my knowledge and belief that:

- All costs included in the cost proposal to establish the indirect cost rate(s) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) 48, Code of Federal Regulations (CFR), Chapter 1, Part 31 (48 CFR Part 31);
- The cost proposal does not include any costs which are expressly unallowable under the cost principles of 48 CFR Part 31;
- The accounting treatment and billing of prevailing wage delta costs are consistent with our prevailing wage policy as either direct labor, indirect costs, or other direct costs on all federally-funded A&E Consultant Contracts.
- All known material transactions or events that have occurred subsequent to year-end affecting the consultant's ownership, organization, and indirect cost rates have been disclosed as of the date of this certification.

I am providing the required and applicable documents as instructed on Exhibit 10-A.

Financial Management System:

Our labor charging, job costing, and accounting systems meet the standards for financial reporting, accounting records, and internal control adequate to demonstrate that costs claimed have been incurred, appropriately accounted for, are allocable to the contract, and comply with the federal requirements as set forth in [Title 23 United States Code \(U.S.C.\) Section 112\(b\)\(2\)](#); [48 CFR Part 31.201-2\(d\)](#); [23 CFR, Chapter 1, Part 172.11\(a\)\(2\)](#); and all applicable state and federal rules and regulations.

Our financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts;
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into separate cost

Local Assistance Procedures Manual

accounts;

- Ability to accumulate and segregate allowable direct costs by project, contract and type of cost;
- Internal controls to maintain integrity of financial management system;
- Ability to account and record costs consistently and to ensure costs billed are in compliance with FAR;
- Ability to ensure and demonstrate costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and federal and state requirement

Cost Reimbursements on Contracts:

I also understand that failure to comply with 48 CFR Part 16.301-3 or knowingly charge unallowable costs to Federal-Aid Highway Program (FAHP) contracts may result in possible penalties and sanctions as provided by the following:

- Sanctions and Penalties - [23 CFR Part 172.11\(c\)\(4\)](#)
- False Claims Act - [Title 31 U.S.C. Sections 3729-3733](#)
- Statements or entries generally - [Title 18 U.S.C. Section 1001](#)
- Major Fraud Act - [Title 18 U.S.C. Section 1031](#)

All A&E Contract Information:

- Total participation amount \$600,000.00 on all State and FAHP contracts for Architectural & Engineering services that the consultant received in the last three fiscal periods.
- The number of states in which the consultant does business is 1.
- Years of consultant's experience with 48 CFR Part 31 is 5.
- Audit history of the consultant's current and prior years (if applicable)
 - Cognizant ICR Audit
 - Local Gov't ICR Audit
 - Caltrans ICR Audit
 - CPA ICR Audit
 - Federal Gov't ICR Audit

I, the undersigned, certify all of the above to the best of my knowledge and belief and that I have reviewed the Indirect Cost Rate Schedule to determine that any costs which are expressly unallowable under the Federal cost principles have been removed and comply with [Title 23 U.S.C. Section 112\(b\)\(2\)](#), [48 CFR Part 31](#), [23 CFR Part 172](#), and all applicable state and federal rules and regulations. I also certify that I understand that all documentation of compliance must be retained by the consultant. I hereby acknowledge that costs that are noncompliant with the federal and state requirements are not eligible for reimbursement and must be returned to Caltrans.

Name**: Chris Johnson

Title**: Chief Financial Officer/Principal Engineer

Signature: 

Date of Certification (mm/dd/yyyy): 4/19/2022

Email**: cjohnson@pacengineering.net

Phone Number**: 831-722-9446

**An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President, a Chief Financial Officer, or equivalent, who has authority to represent the financial information used to establish the indirect cost rate.

Note: ***Both prime and subconsultants as parties of a contract must complete their own Exhibit 10-K forms. Caltrans will not process local agency's invoices until a complete Exhibit 10-K form is accepted and approved by Caltrans Audits and Investigations.***

Distribution: 1) Original - Local Agency Project File
2) Copy - Consultant
3) Copy - Caltrans Audits and Investigations

Consultant Annual Certification of Indirect Costs and Financial Management System**EXHIBIT 10-K CONSULTANT ANNUAL CERTIFICATION OF
INDIRECT COSTS AND FINANCIAL MANAGEMENT SYSTEM***(Note: If a Safe Harbor Indirect Cost Rate is approved, this form is not required.)*Consultant's Full Legal Name: ZT Consulting Group, Inc.

Important: Consultant means the individual or consultant providing engineering and design related services as a party of a contract with a recipient or sub-recipient of Federal assistance. Therefore, the Indirect Cost Rate(s) shall not be combined with its parent company or subsidiaries.

Indirect Cost Rate:Combined Rate 104.66 % OR

Home Office Rate _____% and Field Office Rate (if applicable) _____%

Facilities Capital Cost of Money _____% (if applicable)

Fiscal period * 01/01/2021-12/31/2021

* Fiscal period is annual one year applicable accounting period that the Indirect Cost Rate was developed (not the contract period). The Indirect Cost Rate is based on the consultant's one-year applicable accounting period for which financial statements are regularly prepared by the consultant.

I have reviewed the proposal to establish an Indirect Cost Rate(s) for the **fiscal period** as specified above and have determined to the best of my knowledge and belief that:

- All costs included in the cost proposal to establish the indirect cost rate(s) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) 48, Code of Federal Regulations (CFR), Chapter 1, Part 31 (48 CFR Part 31);
- The cost proposal does not include any costs which are expressly unallowable under the cost principles of 48 CFR Part 31;
- The accounting treatment and billing of prevailing wage delta costs are consistent with our prevailing wage policy as either direct labor, indirect costs, or other direct costs on all federally-funded A&E Consultant Contracts.
- All known material transactions or events that have occurred subsequent to year-end affecting the consultant's ownership, organization, and indirect cost rates have been disclosed as of the date of this certification.

I am providing the required and applicable documents as instructed on Exhibit 10-A.

Financial Management System:

Our labor charging, job costing, and accounting systems meet the standards for financial reporting, accounting records, and internal control adequate to demonstrate that costs claimed have been incurred, appropriately accounted for, are allocable to the contract, and comply with the federal requirements as set forth in [Title 23 United States Code \(U.S.C.\) Section 112\(b\)\(2\); 48 CFR Part 31.201-2\(d\); 23 CFR, Chapter 1, Part 172.11\(a\)\(2\)](#); and all applicable state and federal rules and regulations.

Our financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts;
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into separate cost

Consultant Annual Certification of Indirect Costs and Financial Management System

accounts;

- Ability to accumulate and segregate allowable direct costs by project, contract and type of cost;
- Internal controls to maintain integrity of financial management system;
- Ability to account and record costs consistently and to ensure costs billed are in compliance with FAR;
- Ability to ensure and demonstrate costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and federal and state requirement

Cost Reimbursements on Contracts:

I also understand that failure to comply with 48 CFR Part 16.301-3 or knowingly charge unallowable costs to Federal-Aid Highway Program (FAHP) contracts may result in possible penalties and sanctions as provided by the following:

- Sanctions and Penalties - [23 CFR Part 172.11\(c\)\(4\)](#)
- False Claims Act - [Title 31 U.S.C. Sections 3729-3733](#)
- Statements or entries generally - [Title 18 U.S.C. Section 1001](#)
- Major Fraud Act - [Title 18 U.S.C. Section 1031](#)

All A&E Contract Information:

- Total participation amount \$ 3,973,038.00 on all State and FAHP contracts for Architectural & Engineering services that the consultant received in the last three fiscal periods.
- The number of states in which the consultant does business is 1.
- Years of consultant's experience with 48 CFR Part 31 is 0.
- Audit history of the consultant's current and prior years (if applicable)

<input type="checkbox"/> Cognizant ICR Audit	<input type="checkbox"/> Local Gov't ICR Audit	<input type="checkbox"/> Caltrans ICR Audit
<input checked="" type="checkbox"/> CPA ICR Audit	<input type="checkbox"/> Federal Gov't ICR Audit	

I, the undersigned, certify all of the above to the best of my knowledge and belief and that I have reviewed the Indirect Cost Rate Schedule to determine that any costs which are expressly unallowable under the Federal cost principles have been removed and comply with [Title 23 U.S.C. Section 112\(b\)\(2\)](#), [48 CFR Part 31](#), [23 CFR Part 172](#), and all applicable state and federal rules and regulations. I also certify that I understand that all documentation of compliance must be retained by the consultant. I hereby acknowledge that costs that are noncompliant with the federal and state requirements are not eligible for reimbursement and must be returned to Caltrans.

Name**: Farzad TasbihgooTitle**: President

Signature: _____

Date of Certification (mm/dd/yyyy): 01/24/2022Email**: farzad@ztcgrp.comPhone Number**: 818-929-8162

**An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President, a Chief Financial Officer, or equivalent, who has authority to represent the financial information used to establish the indirect cost rate.

Note: ***Both prime and subconsultants as parties of a contract must complete their own Exhibit 10-K forms. Caltrans will not process local agency's invoices until a complete Exhibit 10-K form is accepted and approved by Caltrans Audits and Investigations.***

Distribution: 1) Original - Local Agency Project File
2) Copy - Consultant
3) Copy - Caltrans Audits and Investigations

Consultant Annual Certification of Indirect Costs and Financial Management System

EXHIBIT 10-K CONSULTANT ANNUAL CERTIFICATION OF
INDIRECT COSTS AND FINANCIAL MANAGEMENT SYSTEM

(Note: If a Safe Harbor Indirect Cost Rate is approved, this form is not required.)

Consultant’s Full Legal Name: Denise Duffy & Associates, Inc.

Important: Consultant means the individual or consultant providing engineering and design related services as a party of a contract with a recipient or sub-recipient of Federal assistance. Therefore, the Indirect Cost Rate(s) shall not be combined with its parent company or subsidiaries.

Indirect Cost Rate:

Combined Rate 160.91 % OR

Home Office Rate _____% and Field Office Rate (if applicable) _____%

Facilities Capital Cost of Money _____% (if applicable)

Fiscal period * 1/1/20 to 12/31/20

* Fiscal period is annual one year applicable accounting period that the Indirect Cost Rate was developed (not the contract period). The Indirect Cost Rate is based on the consultant’s one-year applicable accounting period for which financial statements are regularly prepared by the consultant.

I have reviewed the proposal to establish an Indirect Cost Rate(s) for the **fiscal period** as specified above and have determined to the best of my knowledge and belief that:

- All costs included in the cost proposal to establish the indirect cost rate(s) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) 48, Code of Federal Regulations (CFR), Chapter 1, Part 31 (48 CFR Part 31);
- The cost proposal does not include any costs which are expressly unallowable under the cost principles of 48 CFR Part 31;
- The accounting treatment and billing of prevailing wage delta costs are consistent with our prevailing wage policy as either direct labor, indirect costs, or other direct costs on all federally-funded A&E Consultant Contracts.
- All known material transactions or events that have occurred subsequent to year-end affecting the consultant’s ownership, organization, and indirect cost rates have been disclosed as of the date of this certification.

I am providing the required and applicable documents as instructed on Exhibit 10-A.

Financial Management System:

Our labor charging, job costing, and accounting systems meet the standards for financial reporting, accounting records, and internal control adequate to demonstrate that costs claimed have been incurred, appropriately accounted for, are allocable to the contract, and comply with the federal requirements as set forth in [Title 23 United States Code \(U.S.C.\) Section 112\(b\)\(2\); 48 CFR Part 31.201-2\(d\); 23 CFR, Chapter 1, Part 172.11\(a\)\(2\);](#) and all applicable state and federal rules and regulations.

Our financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts;
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into separate cost

Local Assistance Procedures Manual

Exhibit 10-K

Consultant Annual Certification of Indirect Costs and Financial Management System

accounts;

- Ability to accumulate and segregate allowable direct costs by project, contract and type of cost;
- Internal controls to maintain integrity of financial management system;
- Ability to account and record costs consistently and to ensure costs billed are in compliance with FAR;
- Ability to ensure and demonstrate costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and federal and state requirement

Cost Reimbursements on Contracts:

I also understand that failure to comply with 48 CFR Part 16.301-3 or knowingly charge unallowable costs to Federal-Aid Highway Program (FAHP) contracts may result in possible penalties and sanctions as provided by the following:

- Sanctions and Penalties - [23 CFR Part 172.11\(c\)\(4\)](#)
- False Claims Act - [Title 31 U.S.C. Sections 3729-3733](#)
- Statements or entries generally - [Title 18 U.S.C. Section 1001](#)
- Major Fraud Act - [Title 18 U.S.C. Section 1031](#)

All A&E Contract Information:

- Total participation amount \$ _____ on all State and FAHP contracts for Architectural & Engineering services that the consultant received in the last three fiscal periods.
- The number of states in which the consultant does business is 1.
- Years of consultant's experience with 48 CFR Part 31 is 21.
- Audit history of the consultant's current and prior years (if applicable)

<input checked="" type="checkbox"/> Cognizant ICR Audit	<input type="checkbox"/> Local Gov't ICR Audit	<input type="checkbox"/> Caltrans ICR Audit
<input type="checkbox"/> CPA ICR Audit	<input type="checkbox"/> Federal Gov't ICR Audit	

I, the undersigned, certify all of the above to the best of my knowledge and belief and that I have reviewed the Indirect Cost Rate Schedule to determine that any costs which are expressly unallowable under the Federal cost principles have been removed and comply with [Title 23 U.S.C. Section 112\(b\)\(2\)](#), [48 CFR Part 31](#), [23 CFR Part 172](#), and all applicable state and federal rules and regulations. I also certify that I understand that all documentation of compliance must be retained by the consultant. I hereby acknowledge that costs that are noncompliant with the federal and state requirements are not eligible for reimbursement and must be returned to Caltrans.

Name**: Denise DuffyTitle**: PresidentSignature: Denise Duffy
Digitally signed by Denise Duffy
DN: cn=Denise Duffy, o=CD&A, Inc., ou,
email=mechevante@ddaplanning.com, c=US
Date: 2022.03.11 12:45:13 -0800
Date of Certification (mm/dd/yyyy): 03/08/2022Email**: dduffy@ddaplanning.comPhone Number**: 831-373-4341

**An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President, a Chief Financial Officer, or equivalent, who has authority to represent the financial information used to establish the indirect cost rate.

Note: ***Both prime and subconsultants as parties of a contract must complete their own Exhibit 10-K forms. Caltrans will not process local agency's invoices until a complete Exhibit 10-K form is accepted and approved by Caltrans Audits and Investigations.***

Distribution: 1) Original - Local Agency Project File
2) Copy - Consultant
3) Copy - Caltrans Audits and Investigations



EXHIBIT 10-O1 CONSULTANT PROPOSAL DBE COMMITMENT

1. Local Agency: County of Monterey 2. Contract DBE Goal: 0%
 3. Project Description: Construction Management Services for Bradley Road Bridge Scour Repair Project
 4. Project Location: Bradley Road Bridge, County of Monterey
 5. Consultant's Name: MNS Engineers, Inc. 6. Prime Certified DBE:

7. Description of Work, Service, or Materials Supplied	8. DBE Certification Number	9. DBE Contact Information	10. DBE %
Local Agency to Complete this Section			11. TOTAL CLAIMED DBE PARTICIPATION 0 %
17. Local Agency Contract Number: <u>3852</u> 18. Federal-Aid Project Number: <u>BHLO - 5944 (100)</u> 19. Proposed Contract Execution Date: <u>May 24, 2022</u> 20. Consultant's Ranking after Evaluation: <u>1</u>	IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.		
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.			12. Preparer's Signature: <u></u> 13. Date: <u>04/27/22</u> 14. Preparer's Name: <u>Greg Chelini, PE</u> 15. Phone: <u>805.692.6921</u> 16. Preparer's Title: <u>Vice President</u>
23. Local Agency Representative's Signature: <u></u> Feb 27, 2023			
Local Agency Representative's Name: <u>Jose Luis Gomez</u> (831) 755-4816 Phone: _____			
Project Manager II Local Agency Representative's Title			

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.



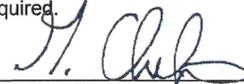


EXHIBIT B-1– FEDERAL PROVISIONS
CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

ATTACHMENT I
FEE SCHEDULE

EXHIBIT 10-O2 CONSULTANT CONTRACT DBE COMMITMENT

1. Local Agency: County of Monterey 2. Contract DBE Goal: 7%
 3. Project Description: Construction Management Services for Bradley Road Bridge Scour Repair Project
 4. Project Location: Bradley Road Bridge, County of Monterey
 5. Consultant's Name: MNS Engineers, Inc. 6. Prime Certified DBE: 7. Total Contract Award Amount: \$ 999,967
 8. Total Dollar Amount for ALL Subconsultants: \$ 318,500 9. Total Number of ALL Subconsultants: Three

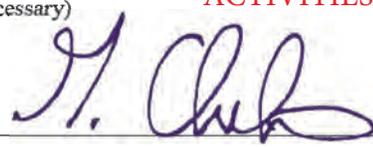
10. Description of Work, Service, or Materials Supplied	11. DBE Certification Number	12. DBE Contact Information	13. DBE Dollar Amount
Local Agency to Complete this Section			
20. Local Agency Contract Number: <u>3852</u>	14. TOTAL CLAIMED DBE PARTICIPATION		\$
21. Federal-Aid Project Number: <u>BHLO - 5944 (100)</u>			0 %
22. Contract Execution Date: <u>May 24, 2022</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.	
 23. Local Agency Representative's Signature	<u>Feb 27, 2023</u> 24. Date	 15. Preparer's Signature	<u>04/27/22</u> 16. Date
<u>Jose Luis Gomez</u> 25. Local Agency Representative's Name	<u>(831) 755-4816</u> 26. Phone	<u>Greg Chelini, PE</u> 17. Preparer's Name	<u>805.692.6921</u> 18. Phone
<u>Project Manager II</u> 27. Local Agency Representative's Title		<u>Vice President</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 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352

1. Type of Federal Action:		2. Status of Federal Action:		3. Report Type:	
<input 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
<input type="checkbox"/> a. bid/offer/application	<input type="checkbox"/> b. initial award	<input type="checkbox"/> c. post-award			
			<input type="checkbox"/> a. initial		
			<input type="checkbox"/> b. material change		
			For Material Change Only:		
			year _____ quarter _____		
			date of last report _____		
4. Name and Address of Reporting Entity			5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:		
<input type="checkbox"/> Prime	<input type="checkbox"/> Subawardee		Tier _____, if known		
Congressional District, if known _____			Congressional District, if known _____		
6. Federal Department/Agency:			7. Federal Program Name/Description:		
			CFDA Number, if applicable _____		
8. Federal Action Number, if known:			9. Award Amount, if known:		
10. Name and Address of Lobby Entity (If individual, last name, first name, MI)			11. Individuals Performing Services (including address if different from No. 10) (last name, first name, MI)		
(attach Continuation Sheet(s) if necessary)					
12. Amount of Payment (check all that apply)			14. Type of Payment (check all that apply)		
\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned			<input checked="" 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 _____		
13. Form of Payment (check all that apply):					
<input type="checkbox"/> a. cash					
<input checked="" type="checkbox"/> b. in-kind; specify: nature _____					
Value _____					
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 12:					
(attach Continuation Sheet(s) if necessary)					
16. Continuation Sheet(s) attached: Yes <input type="checkbox"/> No <input type="checkbox"/>					
17. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying reliance was placed by the tier 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.			Signature: 		
			Print Name: <u>Greg Chelini, PE</u>		
			Title: <u>Vice President</u>		
			Telephone No.: <u>805.692.6921</u> Date: <u>2/15/2022</u>		
			Authorized for Local Reproduction Standard Form - LLL		
Federal Use Only:					

N/A NO LOBBYING ACTIVITIES

Standard Form LLL Rev. 04-28-06

Distribution: Orig- Local Agency Project Files

EXHIBIT B-1- FEDERAL PROVISIONS
 CALTRANS LOCAL ASSISTANCE PROCEDURES MANUAL

Local Assistance Procedures Manual

Exhibit 15-H
 Proposer/Contractor Good Faith Effort

- C. The items of work made available to DBE firms including those unbundled contract work items into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation in order to meet or exceed the DBE contract goal.

Items of Work	Proposer or Bidder Normally Performs Item (Y/N)	Breakdown of Items	Amount (\$)	Percentage Of Contract
Pacific Crest Engineering (Materials Testing)	Pick Yes	Materials Testing	\$90,000	15.8 %
	Pick			%
	Pick			%
	Pick			1%

- 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:

None

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

Pacific Crest Engineering, Inc., Elizabeth Mitchell, Principal Geotechnical Engineer, elizabeth@pacengineering.net, Ph 831.722.9446
 444 Airport Boulevard, Suite 106; Watsonville, CA 95076

- E. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining information related to the plans, specifications and requirements for the work which was provided to DBEs:

Registered DBEs were researched via the Caltrans DBE database search. DBEs with the required qualifications were contacted via email and phone.



Local Assistance Procedures Manual

Exhibit 15-H
Proposer/Contractor Good Faith Effort

F. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining bonding, lines of credit or insurance, 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:

None

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

<https://dot.ca.gov/programs/civil-rights/dbe-search>

Website DBE search.

Several DBE firms were selected.

H. Any additional data to support a demonstration of good faith efforts:

N/A





Local Assistance Procedures Manual

Exhibit 15-H
Proposer/Contractor Good Faith Effort

EXHIBIT 15-H: PROPOSER/CONTRACTOR GOOD FAITH EFFORTS

Cost Proposal Due Date November 21, 2021 PE/CE

Federal-aid Project No(s) RFP No. 10757 Bid Opening Date November 21, 2021 CON

The County of Monterey established a Disadvantaged Business Enterprise (DBE) goal of 7 % for this contract. The information provided herein shows the required good faith efforts to meet or exceed the DBE contract goal.

Proposers or bidders submit the following information to document their good faith efforts within five (5) calendar days from cost proposal due date or bid opening. Proposers and bidders are recommended to submit the following information even if the Exhibit 10-O1: Consultant Proposal DBE Commitments or Exhibit 15-G: Construction Contract DBE Commitment indicate that the proposer or bidder has met the DBE goal. This form protects the proposer's or 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.

The following items are listed in the Section entitled "Submission of DBE Commitment" of the Special Provisions, **please attach additional sheets as needed:**

- 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	

- 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
Pacific Crest Engineering, Inc. (Materials Testing)	10/21/21	Emails (10/28/21; 11/02/21)