

Attachment D



**COUNTY OF MONTEREY
DEPARTMENT OF PUBLIC WORKS,
FACILITIES AND PARKS
1441 SCHILLING PLACE, SOUTH - 2ND FLOOR
SALINAS, CALIFORNIA 93901-4527
(831) 755-4800**

REQUEST FOR PROPOSALS #10964

BRIDGE DESIGN SERVICES BORONDA ROAD BRIDGE REPLACEMENT PROJECT COUNTY OF MONTEREY, CALIFORNIA

**COUNTY PROJECT NO. 1181
FEDERAL HIGHWAY BRIDGE PROGRAM – LOCAL
PROJECT NO. BRLO-5944(150)**

**COUNTY OF MONTEREY
DEPARTMENT OF PUBLIC WORKS, FACILITIES AND PARKS**

**Proposals are due by 4:00 p.m. (PST)
Thursday, January 22, 2026**

Approved as to form:

Signed by:

Mary Grace Perry

76A18B0BA72D498...

Mary Grace Perry
Deputy County Counsel

Date: December 4, 2025

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1.0 INTENT

- 1.1 The County of Monterey Department of Public Works, Facilities and Parks, hereinafter referred to as “COUNTY”, is soliciting proposals from a qualified organization(s), hereinafter referred to as “CONTRACTOR”, to provide bridge design services for the Boronda Road Bridge Replacement project in Carmel Valley, California (Project).
- 1.2 This solicitation is intended for a single, exclusive AGREEMENT.

2.0 BACKGROUND

- 2.1 The Boronda Road Bridge is a one lane bridge across the Carmel River. It is located approximately 0.5 miles south of the intersection of Boronda Road and Carmel Valley Road. The bridge was designed and built by the County of Monterey in approximately 1946. No as-built plans are available.
- 2.2 In 1997, the COUNTY received funding to evaluate replacement of the bridge under the California Department of Transportation’s (Caltrans) Seismic Retrofit Program. Through a competitive solicitation, Dokken Engineering, Inc. (Dokken) was selected to perform these evaluations. In its Design Strategy Report, dated January 28, 1998, Dokken concluded that bridge replacement was the most suitable alternative and Caltrans concurred. Preliminary design drawings and an Environmental Impact Report were prepared. Because of public resistance and work load the COUNTY ultimately delayed the project.
- 2.3 In 2023, Caltrans directed the COUNTY to reinitiate the project. In October 2024, Dokken prepared an update to its 1998 report and is presented in Appendix I to this RFP. In July 2025, Caltrans approved a scope change from seismic retrofit to replacement.
- 2.4 Bridge Details: Bridge details are described in Appendix I to this RFP.
- 2.5 Federal funds will be utilized to design and construct the Project. Consequently, the following is required and must be considered in responding to this RFP:
- National Environmental Policy Act (NEPA) environmental clearance
 - Full conformance to the Uniform Relocation, Assistance and Real Property Acquisition Policies Act of 1970 (i.e., the “Uniform Act”) for all right of way acquisition procedures, and preparation of a Right of Way Certification
 - Federal Highway Administration (FHWA) Buy America compliance
 - Inclusion of FHWA Form 1273 in the contract documents and the Agreement along with Mandatory Federal Language described in Exhibit 12-G of the Local Assistance Procedures Manual (LAPM)
 - Plans, Specifications, and Estimate (PS&E) pursuant to Chapter 12 of the LAPM
 - Construction Engineering (CE)/Contract Administration in conformance with Chapter 16 of the LAPM

3.0 CALENDAR OF EVENTS

3.1 A calendar of events related to this solicitation is presented below:

Release RFP	December 4, 2025
Deadline for Written Questions	January 8, 2026
Posted Response to Written Questions	January 15, 2026
Proposal Package Submittal Deadline	January 22, 2026
Notification of Selection (Approximate)	March 2026
Estimated AGREEMENT Date	April 2026

3.2 Prospective CONTRACTORS who received notification of this solicitation by means other than through a COUNTY of Monterey mailing, shall contact the person designated in Section 4.0 COUNTY POINT OF CONTACT herein to request to be added to the mailing list. Inclusion on the mailing list is the only way to ensure timely notification of any addenda and/or information that may be issued prior to the solicitation submittal date. It is the contractors' sole responsibility to ensure that they receive any and all addenda for this RFP by either informing the COUNTY of their mailing information or by regularly checking the COUNTY's Solicitation Center web page at:

<https://www.COUNTYofmonterey.gov/government/departments-i-z/public-works-facilities-parks/public-works/projects-out-to-bid>

3.3 Addenda will be posted on the website the day they are released.

4.0 COUNTY POINT OF CONTACT

4.1 Questions and correspondence regarding this solicitation shall be directed to:

Kyle Oyama, Project Manager III
COUNTY of Monterey
Department of Public Works, Facilities and Parks
1441 Schilling Place South, 2nd Floor
Salinas, CA 93901-4527
Phone: (831) 755-5090
Email: oyamak@COUNTYofmonterey.gov

- 4.2 Questions regarding this solicitation shall be submitted in writing (e-mail is acceptable and preferable). Answers to questions received will be issued via an Addendum to this RFP and posted on the COUNTY's Solicitation Center website.
- 4.3 The deadline for submitting written questions regarding this solicitation is indicated in Section 3.0 CALENDAR OF EVENTS herein. Questions submitted after the deadline will not be answered.
- 4.4 Prospective CONTRACTORS shall not contact COUNTY officers or employees with questions or suggestions regarding this solicitation except through the designated contact listed above. Any unauthorized contact may be considered undue pressure and cause for disqualification of the CONTRACTOR.

5.0 SCOPE OF WORK

- 5.1 CONTRACTOR Minimum Work Performance Percentage: CONTRACTOR shall perform not less than fifty percent (50%) of the original total Agreement price with its own personnel.
- 5.2 Specialized Design Issues: The Project requires a diversity of expertise and the ability to deal with several specialized design issues. Of particular interest to the COUNTY are the qualifications and experience of the individual(s) who will be directly involved in the Project, specifically as they relate to the Caltrans Federal Highway Bridge Program (HBP)
- 5.3 A sample Scope of Work is provided in Appendix II.
- 5.4 CONTRACTOR shall advocate for the COUNTY and ensure the product produced is in the best interest of the COUNTY. CONTRACTOR shall deliver products on or ahead of schedule and within proposed budget.
- 5.5 All work shall be performed in conformance with all applicable COUNTY, State, and Federal laws, including but not limited to COUNTY Standards, Caltrans State Standard Plans and Specifications, Manual on Uniform Traffic Control Devices, and ADA, as may be revised and amended from time to time.

6.0 REQUIRED CONTENT/PROPOSAL FORMAT

- 6.1 **Content and Layout:** CONTRACTOR'S proposal shall be organized per the listing below, and provide the information requested as applicable to the proposed services. The proposal shall include, at a minimum, the following information in the format indicated. Each attachment must be clearly labeled in the upper right corner: RFP No. 10964 Attachment "X":
- 6.2 **Cover Letter:** Proposal package shall be accompanied by a cover letter not exceeding two (2) pages providing firm and contact information.

- 6.3 Signed RFP Signature Page (Attachment A):** Proposals shall be submitted with the completed signature page provided in Appendix III of this RFP. Signatures shall be manual and in BLUE INK. Notations must be typed or written in BLUE ink. Errors may be crossed out and corrections printed in ink or typed adjacent to said correction and must be initialed in BLUE ink by the person signing the proposal package.
- 6.4 Signed Addenda (Attachment B):** Include all addenda released for this solicitation. Proposals submitted without signed addenda shall be deemed non-responsive. Signatures shall be manual and in BLUE INK. Prices and notations must be typed or written in BLUE INK. Errors may be crossed out and corrections printed in ink or typed adjacent to said correction and must be initialed in BLUE INK by the person signing the proposal package.
- 6.5 General Firm Information (Attachment C):** Provide general information about your firm which, at minimum, includes the information listed below and following the outline provided below:
- 6.5.1 Firm Name and Address, Year Established:** Provide the year the firm (or branch office, if appropriate) was established under current name.
- 6.5.2 Data Universal Numbering System (DUNS) Number:** Insert the Data Universal Numbering System (DUNS) number issued by Dun and Bradstreet Information Services. Firms must have a DUNS number.
- 6.5.3 Ownership Type:** Enter the type of ownership or legal structure of the firm (sole proprietor, partnership, corporation, limited liability corporation, joint venture, etc.).
- 6.5.4 Point of Contact:** Provide the point of contact information for a representative of the firm that COUNTY can contact for additional information. Representative shall be authorized to speak on behalf of the firm regarding contractual and policy matters.
- 6.5.5 Former Firm Name(s):** Indicate any previous names for the firm (or branch office) during the last five (5) years. Indicate the year the firm name change or changes was/were effective and the associated DUNS number. This information is used to review past performance on Federal contracts.
- 6.5.6 Employee by Discipline:** Specify all staff members anticipated to work on the Project, including their job titles, their area of specialty, role/responsibility and licenses and/or certifications they hold.
- 6.5.7 Litigation History:** Provide a description of litigation to which your firm has been a party to in the past five (5) years. Please include the following details:
- Name of case/court case number
 - Date filed
 - Court in which case was filed
 - Judgment or result
- 6.6 Organizational Chart of Proposed Project Team: (Attachment D):** Provide an organizational chart illustrating CONTRACTOR'S Project team. The chart shall show the names and roles of all key personnel and the firm they are associated with if they are a subcontractor. The chart shall provide a clear picture of the working relationship between all key personnel on the proposed team.

6.7 Resume(s) of Key Personnel for this Contract: (Attachment E): Provide resume(s) for each key person on the Project team. COUNTY will be looking at each proposed team member's relevant technical expertise listed in the Scope of Work. COUNTY will also check that key personnel have the appropriate licenses, registrations, and certifications to support design of tasks listed in COUNTY's Scope of Work (Appendix II). Indicate whether some or all team members have previously worked together on similar projects.

6.8 Project Experience and References: (Attachment F):

6.8.1 References: CONTRACTOR shall describe at least three (3) projects for which it provided services similar to the services being solicited herein. For each project, the following shall be provided:

- Project Name
- Brief Project Description

6.8.2 Include information about scope, schedule, and record of performance. The description shall discuss the entire project delivery team, i.e. subcontractors and their respective roles. Include any relevant experience with Caltrans LAPM, LAPG, FHWA and ADA. Information should discuss the type of CEQA/NEPA document to be prepared for the project as well as the regulatory permits obtained. At a minimum, each project shall include the following:

- Client name
- Client contact information
- Include telephone number and e-mail address of the client's project manager.
- Size of project
- Name of general contractor on project
- Specify the specialty area

6.9 Project Management Approach (one [1] page Limit): (Attachment G): Provide a description of the approach and the steps and methods used to ensure Project will be constructed per the approved plans and specifications. Include methods or steps used to minimize Project change orders and claims.

6.10 Schedule Management Approach (one [1] page Limit): (Attachment H): Provide a schedule showing Project tasks, milestones, and task durations and dependencies. To assess duration and resources, Project planning and scheduling of tasks should be done using conventional project management software (e.g., Microsoft Project) and presented in Gantt chart format.

6.11 Cost Management Approach (one [1] page Limit): (Attachment I): Provide a cost management approach. Describe your firm's value engineering methodology.

6.12 Fee Schedule: (Attachment J):

- 6.12.1 The method of payment for the Agreement is by “Cost-Plus-Fixed-Fee” with some prevailing wage work for non-professional work. A sample cost proposal is provided in Appendix IV.
- 6.12.2 CONTRACTOR shall complete Attachment J, Fee Schedule and submit it with its proposal package. Fees may be negotiated after the tentative award announcement is made for this solicitation. If fee negotiations with CONTRACTOR determined to be most qualified are not successful, and/or the fees discussed are outside the budgetary constraints for the Project, COUNTY reserves the right to suspend negotiations with the most qualified firm, and proceed to second most qualified firm, and so on.
- 6.12.3 CONTRACTOR’S fee estimate shall be provided in a separate sealed envelope. Selection of CONTRACTOR shall be based on qualifications per the Selection Criteria listed in Section 9.0 of this RFP.

6.13 Exceptions Submittal (Attachment K, if applicable)

Submit any exceptions to this solicitation on separate pages, and clearly identify at the top of each page, “EXCEPTION TO MONTEREY COUNTY RFP NO. 10964.” Each exception shall reference the page number and section number, as appropriate. CONTRACTOR shall note that the submittal of an exception does not obligate COUNTY to revise the terms of the RFP or Agreement.

7.0 SUBMITTAL INSTRUCTIONS/CONDITIONS

- 7.1 **Submittal Identification Requirements:** The Solicitation Number RFP No. 10964 Proposal shall be sealed and bear on the outside, prominently displayed in the lower left corner CONTRACTOR’S company name. CONTRACTOR shall include one (1) original hard copy, two (2) hard copies, and one (1) CD or Thumb Drive with pdf files of submittal materials; and one (1) original Attachment J, Fee Schedule, in a separate sealed envelope.
- 7.2 **Mailing Address:** Proposals shall be delivered to or mailed to COUNTY at the mailing address indicated on RFP No. 10964 Front Cover page to the attention of COUNTY Point of Contact (Section 4.0 of this RFP).
- 7.3 **Due Date:** Proposal packages must be received by COUNTY on or before the time and date specified in the RFP. It is the sole responsibility of the CONTRACTOR to ensure that the proposal package is received at or before the specified time. Postmarks and facsimiles are not acceptable. Proposal packages received after the deadline shall be rejected and returned unopened.
- 7.4 **Shipping Costs:** Unless stated otherwise, the Free on Board (FOB) for receivables shall be destination. Charges for transportation, containers, packaging, and other related shipping costs shall be borne by the sender.
- 7.5 **Acceptance:** Proposals are subject to acceptance at any time within ninety (90) days after opening. COUNTY reserves the right to reject any and all proposal packages, or part of any

proposal package, to postpone the scheduled deadline date(s), to make an award in its own best interest, and to waive any informalities or technicalities that do not significantly affect or alter the substance of an otherwise responsible proposal package and that would not affect a CONTRACTOR'S ability to perform the work adequately as specified.

- 7.6 **Ownership:** All submittals in response to this solicitation become the property of the COUNTY.
- 7.7 **Compliance:** Proposal packages that do not follow the format, content and submittal requirements as described herein, or fail to provide the required documentation, may receive lower evaluation scores, or be deemed non-responsive.

8.0 SELECTION CRITERIA

- 8.1 **Introduction:** The selection of CONTRACTOR and subsequent Agreement award will be based on the criteria contained in this RFP, as demonstrated in the submitted proposal package. CONTRACTOR shall submit information sufficient for the COUNTY to easily evaluate proposals with respect to the selection criteria. The absence of required information may cause the proposal to be deemed non-responsive and may be cause for rejection.
- 8.2 **Evaluation Process:** Proposals will be evaluated by a COUNTY Selection Committee (Committee). The Committee may be composed of COUNTY staff and other parties that may have expertise or experience in the services described herein. The Committee will review the submittals and rank the proposers. The evaluation of the proposals shall be within the sole judgment and discretion of the Committee. All contacts during the evaluation phase shall be through the COUNTY Point of Contract only. Proposers shall neither contact nor lobby evaluators during the evaluation process. Attempts by a Proposer to contact members of the Committee may jeopardize the integrity of the evaluation and selection process and risk possible disqualification of the Proposer.
- The Committee will evaluate each proposal meeting the qualification requirements set forth in this RFP. Proposers should bear in mind that any proposal that is unrealistic in terms of the technical or schedule commitments may be deemed reflective of an inherent lack of technical competence or indicative of a failure to comprehend the complexity and risk of the COUNTY's requirements as set forth in this RFP. Unopened cost proposals will be returned at the conclusion of procurement process. Upon acceptance of a cost proposal and successful contract negotiations, staff will recommend a contract be awarded.
- 8.3 **Evaluation Criteria:** Proposals will be evaluated according to the rating scale presented in Table 8.1 below. Evaluation Criterion will be scored on a zero-to-five-point rating. Evaluation Criteria scores will then be multiplied according to their assigned weight to arrive at a weighted score for each proposal. A proposal with a high weighted total will be deemed of higher quality than a proposal with a lesser-weighted total. The final maximum score for any project is five hundred (500) points.

Table 8.1. Proposal Rating Scale

Score	Rating	Rating Description
0	Not Acceptable	Non-responsive, fails to meet RFP specifications. The approach has no probability of success. For mandatory requirement this score will result in disqualification of proposal.
1	Poor	Below average, falls short of expectations, is substandard to that which is the average or expected norm, has a low probability of success in achieving project objectives per RFP.
2	Fair	Has a reasonable probability of success; however, some objectives may not be met.
3	Average	Acceptable, achieves all objectives in a reasonable fashion per RFP specification. This will be the baseline score for each item with adjustments based on interpretation of proposal by Evaluation Committee members.
4	Above Average/ Good	Very good probability of success, better than that which is average or expected as the norm. Achieves all objectives per RFP requirements and expectations.
5	Excellent/ Exceptional	Exceeds expectations, very innovative, clearly superior to that which is average or expected as the norm. Excellent probability of success and in achieving all objectives and meeting RFP specification.

Table 8.2. Summary of Proposal Evaluation Criteria and Weighting

No.	Proposal Evaluation Criteria	Weight
1	Completeness of Response	Pass/Fail
2	Qualifications & Experience	25
3	Organization & Approach	25
4	Scope of Services to be Provided	20
5	Schedule of Work	15
6	Conflict of Interest Statement	Pass/Fail
7	Local Presence	5
8	References	10
	Total	100

8.4 Completeness of Response (Pass/Fail): Responses to this RFP must be complete. Responses that do not include the proposal content requirements identified within this RFP and subsequent addenda and do not address each of the items listed below will be considered incomplete, be rated a Fail in the Evaluation Criteria and will receive no further consideration. Responses that are rated a Fail and are not considered may be picked up at the delivery location within 14 calendar days of contract award and/or the completion of the competitive process.

8.5 Qualifications & Experience (25 points): Relevant experience, specific qualifications, and technical expertise of the firm and sub-consultants to conduct traffic engineering services on both federal and nonfederal-aid projects.

8.6 Organization & Approach (25 points)

8.6.1 Describes familiarity with Project and demonstrates understanding of work completed to date and Project objectives moving forward.

8.6.2 Roles and Organization of Proposed Team

- Proposes adequate and appropriate disciplines of Project team.
- Some or all of team members have previously worked together on similar project(s).
- Overall organization of the team is relevant to COUNTY needs.

8.6.3 Project and Management Approach

- Team is managed by an individual with appropriate experience in similar projects. This person's time is appropriately committed to the Project.
- Team successfully addresses Site Planning and Programming efforts.
- Project team and management approach responds to Project issues. Team structure provides adequate capability to perform both volume and quality of needed work within Project schedule milestones.

8.6.4 Roles of Key Individuals on the Project Team

- Proposed team members, as demonstrated by enclosed resumes, have relevant experience for their role in the Project.
- Key positions required to execute the Project team's responsibilities are appropriately staffed.

8.6.5 Working Relationship with COUNTY

- Team and its leaders have experience working in the public sector and knowledge of public sector procurement process.
- Team leadership understands the nature of public sector work and its decision-making process.
- Proposal responds to need to assist COUNTY during the Project.

8.7 Scope of Services to be Provided (20 points)

8.7.1 Detailed Scope of Services to be provided

- Proposed scope of services is suitable for all phases of the work.
- Scope addresses all known Project needs and appears achievable in the timeframes set forth in the Project schedule.
- A sample scope of work is provided in Appendix II.

8.7.2 Project Deliverables

- Deliverables are appropriate to schedule and scope set forth in above requirements.

8.7.3 Cost Control and Budgeting Methodology

- Proposer has a system or process for managing cost and budget.
- Evidence of successful budget management for a similar project.

8.8 Schedule of Work (15 points)

8.8.1 Schedule shows completion of the work within or preferably prior to the COUNTY overall time limits as specified in Appendix V.

8.8.2 The schedule serves as a Project timeline, stating all major milestones and required submittals for project management and Federal-Aid compliance.

8.8.3 The schedule addresses all knowable phases of the Project, in accordance with the general requirements of this RFP.

8.9 Conflict of Interest Statement (Pass/Fail)

8.9.1 Discloses any financial, business or other relationship with the COUNTY that may have an impact upon the outcome of the contract or the construction project.

8.9.2 Lists current clients who may have a financial interest in the outcome of this contract or the construction project that will follow.

8.9.3 Discloses any financial interest or relationship with any construction company that might submit a bid on the construction project.

8.10 Local Presence (5 points): A statement addressing firm's presence within the COUNTY or surrounding area.

8.11 References (10 points): Provide as reference the name of at least three (3) agencies you currently or have previously consulted for in the past three (3) years.

8.12 Weighted Scoring: Weighted scores for each Proposal will be assigned utilizing Table 8.3 below.

Table 8.3. Weighted Score Calculation

No.	Evaluation Criteria	Rating (0-5)	Weight	Score (=Rating*Weight)
1	Completeness of Response	N/A	Pass/Fail	Pass/Fail
2	Qualifications & Experience		25	
3	Organization & Approach		25	
4	Scope of Services to be Provided		20	
5	Schedule of Work		15	
6	Conflict of Interest Statement	N/A	Pass/Fail	Pass/Fail
7	Local Presence		5	
8	References		10	
Total:			100	

9.0 CONTRACT AWARD

9.1 No Guaranteed Value: COUNTY does not guarantee a minimum or maximum dollar value for any Agreement resulting from this solicitation.

9.2 Board of Supervisors: The award made from this solicitation is subject to approval by the COUNTY of Monterey Board of Supervisors.

9.3 Incurred Costs: COUNTY is not liable for any cost incurred by CONTRACTOR responding to this solicitation.

- 9.4 Notification: CONTRACTORS who have submitted a proposal package will be notified of the final decision and ranking of proposers as soon as determined by COUNTY.
- 9.5 In COUNTY's Best Interest: The award resulting from this solicitation will be made to the CONTRACTOR that submits a response that, in the sole opinion of COUNTY, best serves the overall interest of COUNTY.

10.0 SEQUENTIAL CONTRACT NEGOTIATION

- 10.1 COUNTY will pursue Agreement negotiations with CONTRACTOR who submits the best proposal or is deemed the most qualified in the sole opinion of COUNTY, and which is in accordance with the criteria as described within this solicitation. If the Agreement negotiations are unsuccessful, in the opinion of either COUNTY or CONTRACTOR, COUNTY may pursue Agreement negotiations with the entity that submitted a proposal which COUNTY deems to be the next best qualified to provide the services, or COUNTY may issue a new solicitation or take any other action which it deems to be in its best interest.

11.0 AGREEMENT TERMS AND CONDITIONS

- 11.1 CONTRACTOR selected through the solicitation process will be expected to execute a formal Agreement with COUNTY for the provision of the requested services. The Agreement shall be written by COUNTY in a standard format approved by the Office of the COUNTY Counsel, substantially similar to the "**PROFESSIONAL SERVICES AGREEMENT**" provided in Appendix VI. Submission of a signed proposal package and the **RFP SIGNATURE PAGE** will be interpreted to mean CONTRACTOR HAS AGREED TO ALL THE TERMS AND CONDITIONS set forth in the pages of this solicitation and the standard provisions included in the Agreement.
- 11.2 The term of the Agreement will be for a period of three (3) years with the option to extend the Agreement for two (2) additional one (1) year periods.
- 11.3 COUNTY reserves the right to cancel the Agreement, or any extension of the Agreement, without cause, with a thirty-day (30) written notice, or immediately with cause.
- 11.4 If this RFP includes options for renewal or extensions, CONTRACTOR must commence negotiations for rate changes a minimum of ninety (90) days prior to the expiration of the Agreement. Both parties shall agree upon rate extensions or changes in writing. The COUNTY does not have to give a reason if it elects not to extend or renew the Agreement.

12.0 COLLUSION

- 12.1 CONTRACTOR shall not conspire, attempt to conspire, or commit any other act of collusion with any other interested party for the purpose of secretly, or otherwise, establishing an understanding regarding rates or conditions to the solicitation that would bring about any unfair conditions.

13.0 RIGHTS TO PERTINENT MATERIALS

- 13.1 All responses, inquiries, and correspondence related to this solicitation and all reports, charts, displays, schedules, exhibits, and other documentation produced by the CONTRACTOR that are submitted as part of the submittal will become the property of the COUNTY when received by the COUNTY and may be considered public information under applicable law. Any proprietary information in the submittal must be identified as such and marked "CONFIDENTIAL INFORMATION" or "PROPRIETARY INFORMATION". The COUNTY will not disclose proprietary information to the public, unless required by law; however, the COUNTY cannot guarantee that such information will be held confidential.

APPENDIX I: FINAL STRATEGY REPORT ADDENDUM

MONTEREY COUNTY SEISMIC RETROFIT

ADDENDUM TO 1998 FINAL STRATEGY REPORT

FOR

BORONDA ROAD BRIDGE OVER CARMEL RIVER

BR. NO. 507 (44C-99)

05-MON-COUNTY ROAD



**110 Blue Ravine Rd
Folsom, CA 95630**

October 2024



This document is an addendum to the Final Strategy Report issued in January 1998 for Boronda Road Bridge over Carmel River located in Monterey County.

Background

A Seismic Retrofit Strategy Meeting was held with Caltrans on December 3, 1997, where Caltrans approved allowing the County to retrofit or replace the existing bridge. Meeting minutes for this meeting were included in the 1998 Final Strategy Report, both found in Appendix C.

As the County moved forward with the project, significant public opposition arose to replacing the bridge. Subsequently, the project was put on hold.

In April 2024, the County and Dokken Engineering (Dokken) met with Caltrans to discuss the previously prepared report and steps needed to move the project forward. Caltrans agreed to accept the previously prepared report and requested the cost comparison between the seismic retrofit and bridge replacement be updated. Meeting minutes from this meeting are included in Appendix B.

Existing Bridge

The existing superstructure was constructed in 1946 and is a 162' long, four span steel structure. The bridge is approximately 12.5' wide consisting of one 9' wide travel lane and 1.75' wide curbs on each side of the lane. The existing bridge width and railing do not meet current standards. The narrow width of the bridge does not safely permit pedestrian and vehicle access simultaneously, resulting in vehicles waiting for pedestrians to cross the bridge before traversing. Additionally, the narrow bridge width limits emergency vehicle access while local resident evacuate during an emergency. The area is susceptible to wildfires as well as flooding during the 100-year event. Previous studies indicate the existing bridge would not pass the 100 year storm event.

This bridge is the only bridge across the Carmel River for local residents. In 1998, the bridge was found to be structurally deficient for seismic loading. In addition, the latest bridge inspection report dated May 2, 2023, noted surface rust on the girders and floor beams and recommends the steel superstructure to be cleaned and repainted. Due to the age of the bridge, lead is anticipated and should be given special attention. The County and Dokken visited the site on August 2024. During this site visit, undermining of the pier footings was observed. A previous scour mitigation project, at an unknown date, added concrete skirts at the base of the piers (see Appendix D, Photos 6 and 9). Narrow abutment seats were also observed (Photo 10), which do not meet current Caltrans Seismic Design Criteria support length requirements.

Seismic Retrofit

The 1998 proposed retrofit strategy is to place 36" diameter CISS piles on each side of each pier, connecting them with a concrete cap. Additionally, anchor bolts at the piers would need to be replaced and supplementary anchor bolts are required at the abutments. It is recommended to increase the concrete cap dimensions from the 1998 retrofit strategy to satisfy the latest Seismic Design Criteria bent cap dimensions and pile reinforcement anchorage requirements. The rehabilitation would also require the bridge to be painted. The cost for this retrofit alternative is estimated at \$2.0M (see Appendix A). This alternative would improve the bridge performance under seismic loads but would not address other safety and geometric deficiency concerns.

Replacement

The proposed alternative to replace the existing structure is a 157'-0" long, two span, cast-in-place prestressed concrete box girder structure. The bridge width would be 30', allowing for two 11' wide lanes, two 2' wide shoulders and 2' wide concrete barriers on each side. The bridge would be supported on seat type abutments and two 48" diameter CISS piles at the pier. The replacement strategy is estimated at \$2.6M (see Appendix A). This alternative addresses flooding and other safety concerns.



Summary

The proposed replacement alternative would cost approximately \$544,000 (26%) more than the retrofit. Cost estimates include 10% for mobilization and 25% for contingency.

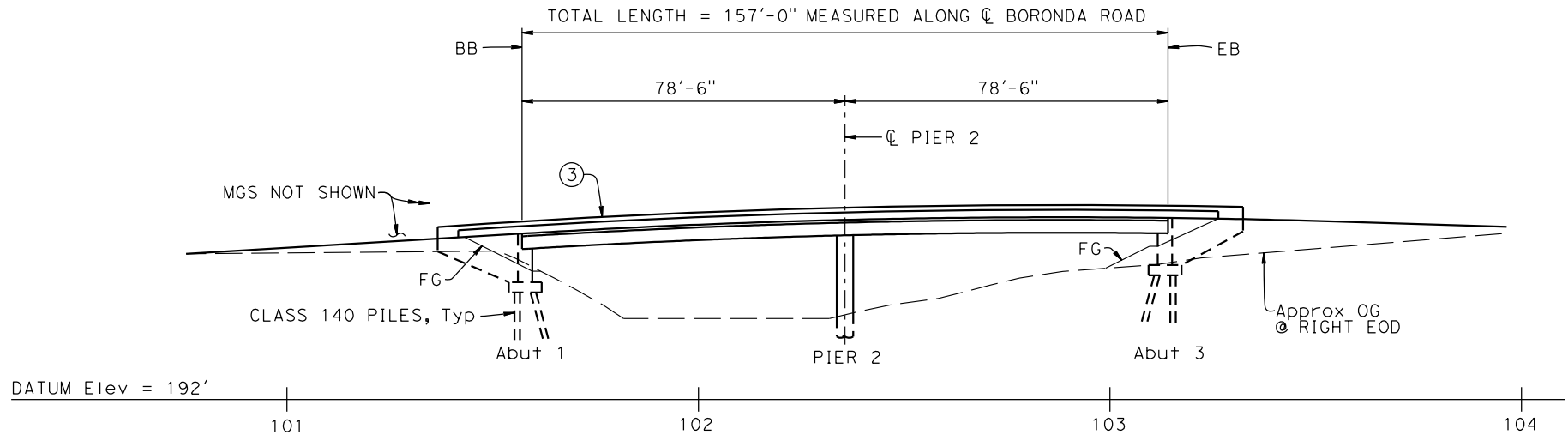
The bridge retrofit would not address noted existing bridge deficiencies, including the narrow one-lane bridge width and substandard hydraulic conveyance. The 78 year old bridge is also past its design life. The County requests the bridge be replaced in lieu of retrofit.

APPENDIX A

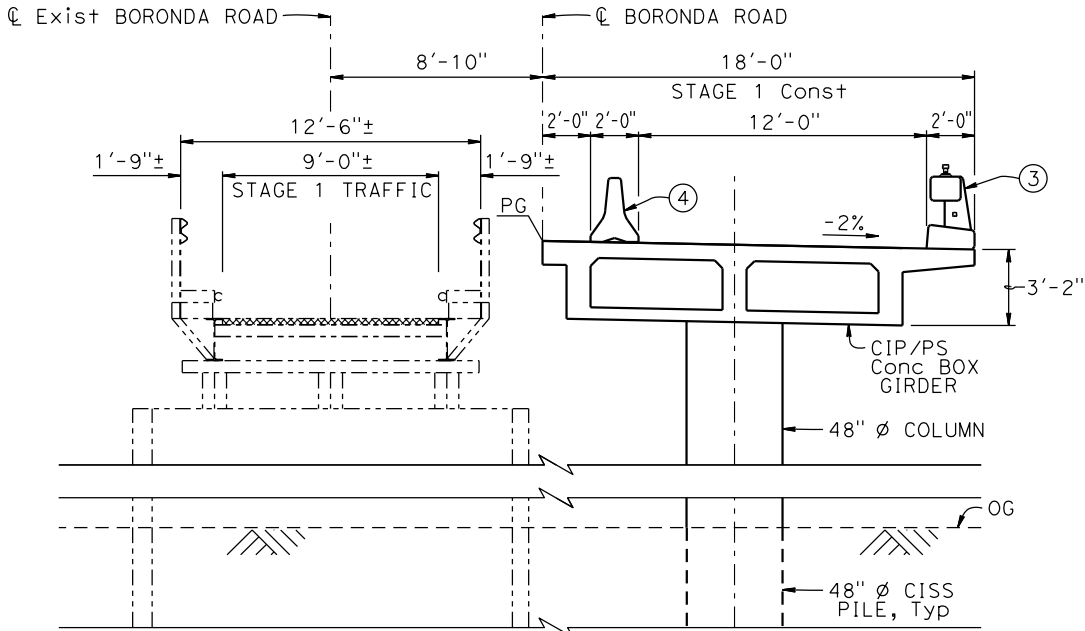
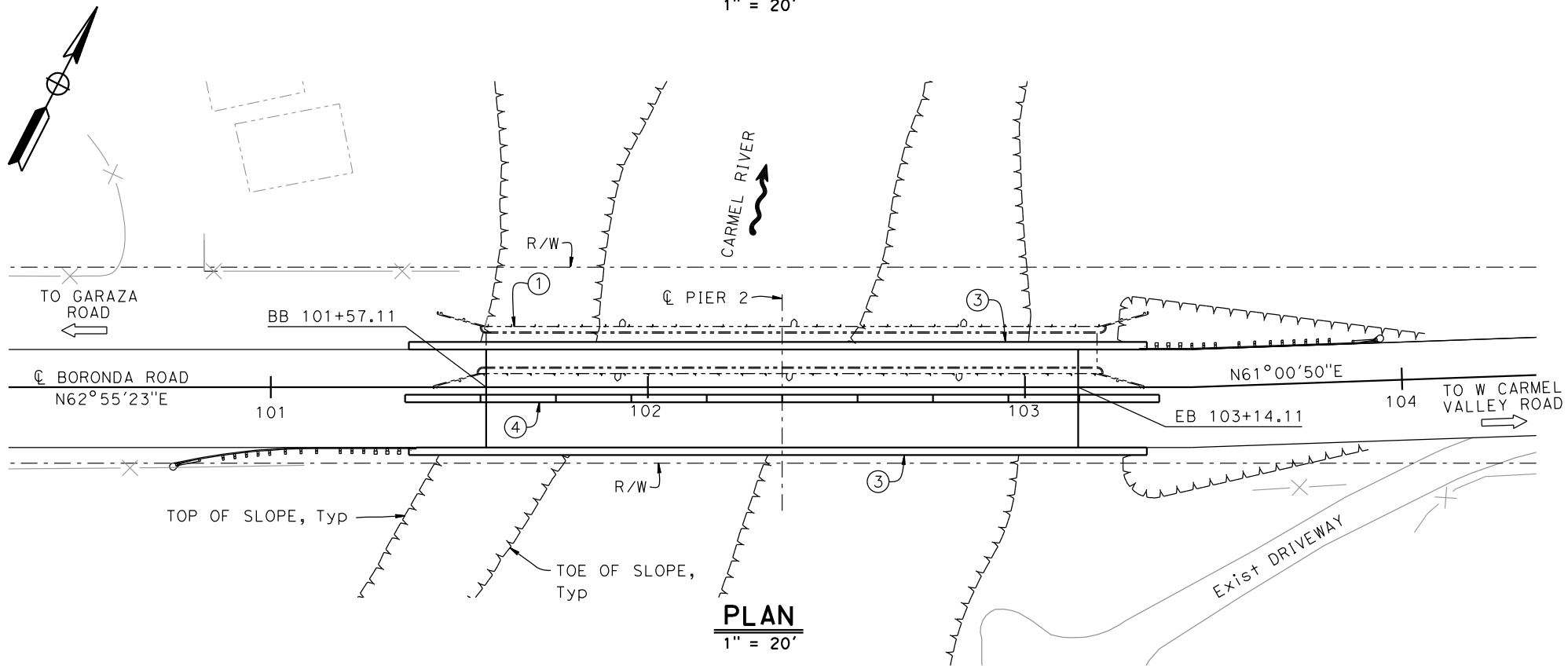
ADVANCED PLANNING STUDY PLANS & ESTIMATES

DATE OF ESTIMATE	=	OCTOBER 3, 2024
STRUCTURE DEPTH	=	3'-2"
LENGTH	=	157'-0"
WIDTH	=	30'-0"
TOTAL COST INCLUDING	=	\$2,612,000
10% mobilization &		
25% CONTINGENCY		

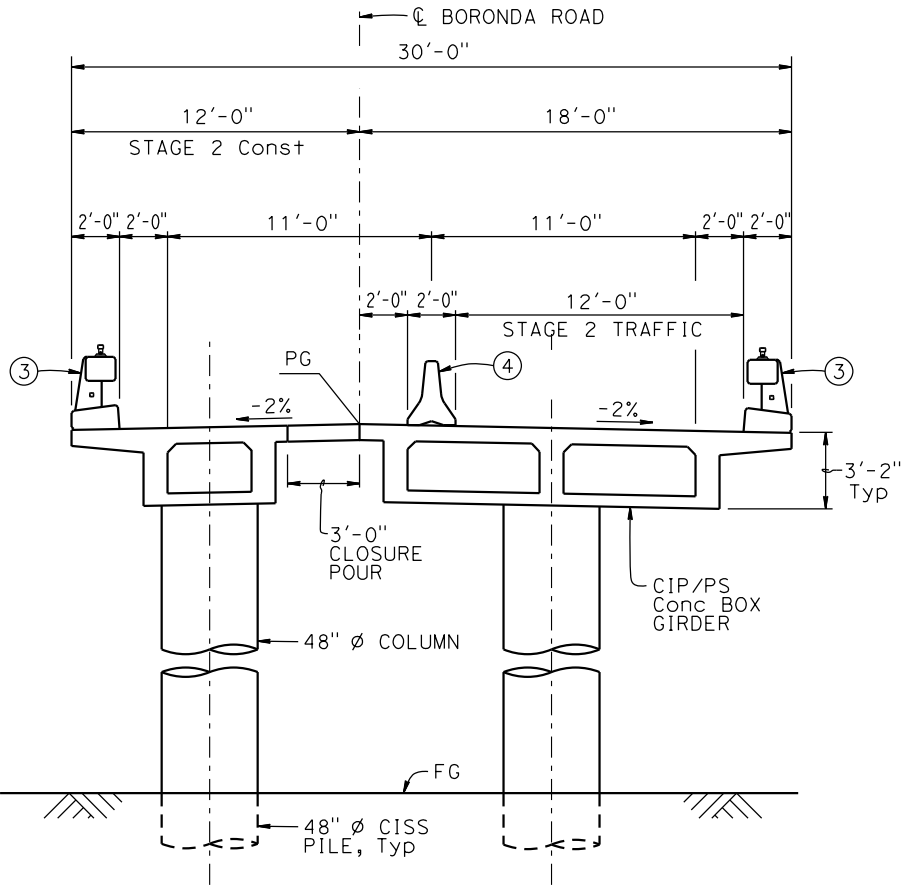
- LEGEND:
- EXISTING STRUCTURE
 - X--- EXISTING FENCE
 - ① REMOVE EXISTING BRIDGE No. 44C0099
 - ② MGS
 - ③ CONCRETE BARRIER TYPE 85
 - ④ TEMPORARY BARRIER SYSTEM



ELEVATION
1" = 20'



TYPICAL SECTION - STAGE 1
1/4" = 1'-0"



TYPICAL SECTION - STAGE 2
1/4" = 1'-0"

Submitted by _____	Date _____
DESIGN BY N. ORTIZOGA	CHKD BY _____
DRAWN BY E. FAZEL	CHKD BY _____
SPECIFICATIONS WRITTEN BY _____	CHKD BY _____
Approval Recommended by _____	Deputy Public Works Director, Engineering



DOKKEN
ENGINEERING

3054 Gold Canal Drive
Rancho Cordova, CA 95670
(916) 858-0642



MONTEREY COUNTY PUBLIC WORKS

BRIDGE DESIGN

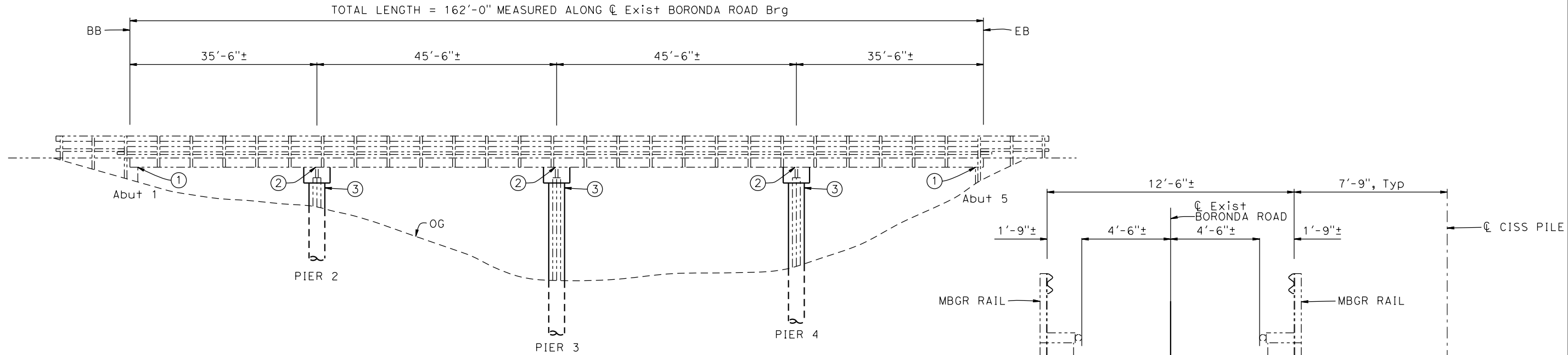
312 EAST ALISAL STREET
SALINAS, CALIFORNIA 93901
(408) 755-4800/FAX 755-4958

ADVANCED PLANNING STUDY

BORONDA ROAD BRIDGE

BRIDGE REPLACEMENT

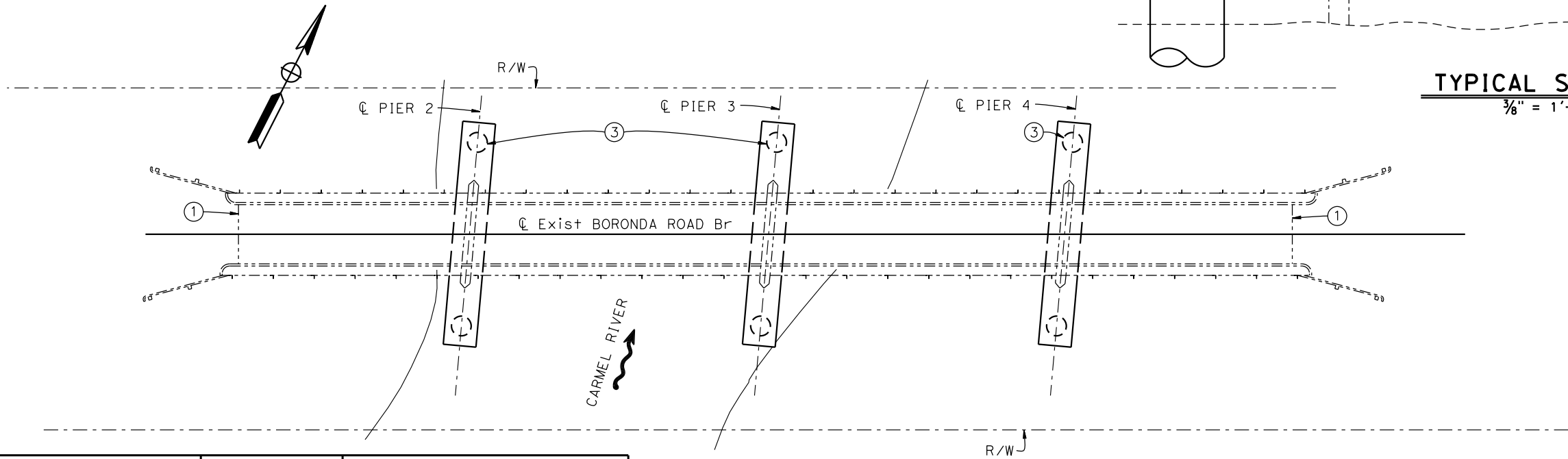
DATE	DWG. NO.		SHEET
SCALE	CONTRACT NO. 98010		OF



DATE OF ESTIMATE	=	OCTOBER 3, 2024
STRUCTURE DEPTH	=	1'-9" ±
LENGTH	=	162'-0" ±
WIDTH	=	12'-8 1/2" ±
TOTAL COST INCLUDING	=	\$2,068,000
10% mobilization &		
25% CONTINGENCY		

ELEVATION
1" = 10'

TYPICAL SECTION
3/8" = 1'-0"



- LEGEND:
- EXISTING STRUCTURE
 - ① ABUTMENT BEARING RETROFIT
 - ② PIER BEARING RETROFIT
 - ③ PIER RETROFIT

Submitted by _____		Date _____	
DESIGN BY _____ N. ORTIZOGA	CHKD BY _____		
DRAWN BY _____ E. FAZEL	CHKD BY _____		
SPECIFICATIONS WRITTEN BY _____	CHKD BY _____		
Approval Recommended by _____ Deputy Public Works Director, Engineering			



PLAN
1" = 10'



MONTEREY COUNTY PUBLIC WORKS

BRIDGE DESIGN

312 EAST ALISAL STREET
SALINAS, CALIFORNIA 93901
(408) 755-4800/FAX 755-4958

ADVANCED PLANNING STUDY

BORONDA ROAD BRIDGE
SEISMIC RETROFIT

DATE	DWG. NO.		SHEET
SCALE	CONTRACT NO. 98010		OF

GENERAL PLAN ESTIMATE

X

ADVANCE PLANNING ESTIMATE

RCVD BY:

IN EST:

OUT EST:

BRIDGE: Boranda Road Bridge Over Carmel River

BR. No.: TBD

DISTRICT: 05

TYPE: Cast-in-Place Prestressed Concrete Box Girder

RTE:

CO: MON

CU:

PM:

EA:

LENGTH: 157.00

WIDTH: 30.00

AREA (SF)= 4,710

DESIGN SECTION: Dokken

OF STRUCTURES IN PROJECT :

EST. NO.

PRICES BY : N. Ortigoza

COST INDEX:

PRICES CHECKED BY : T. Osterkamp

DATE: 10/8/2024

QUANTITIES BY: N. Ortigoza

DATE: 10/8/2024

	CONTRACT ITEMS		UNIT	QUANTITY	PRICE	AMOUNT
120320	TEMPORARY BARRIER SYSTEM		LF	220	\$ 120.00	\$ 26,400.00
192003	STRUCTURE EXCAVATION (BRIDGE)	F	CY	171	\$ 270.00	\$ 46,040.00
193003	STRUCTURE BACKFILL (BRIDGE)	F	CY	169	\$ 245.00	\$ 41,523.00
048258	FURNISH PILING (CLASS 140, ALTERNATIVE W)		LF	1600	\$ 80.00	\$ 128,000.00
048259	DRIVE PILE (CLASS 140, ALTERNATIVE W)		EA	32	\$ 2,000.00	\$ 64,000.00
495149	FURNISH 48" CAST-IN-STEEL SHELL CONCRETE PILING		LF	110	\$ 1,800.00	\$ 198,000.00
495150	DRIVE 48" CAST-IN-STEEL SHELL CONCRETE PILE		EA	2	\$ 70,000.00	\$ 140,000.00
500001	PRESTRESSING CAST-IN-PLACE CONCRETE		LS	1	\$ 49,000.00	\$ 49,000.00
510051	STRUCTURAL CONCRETE, BRIDGE FOOTING	F	CY	48	\$ 1,300.00	\$ 62,400.00
510053	STRUCTURAL CONCRETE, BRIDGE	F	CY	259	\$ 1,600.00	\$ 414,400.00
510054	STRUCTURAL CONCRETE, BRIDGE (POLYMER FIBER)	F	CY	133	\$ 1,700.00	\$ 226,100.00
519100	JOINT SEAL (MR 2")		LF	80	\$ 110.00	\$ 8,745.00
520102	BAR REINFORCING STEEL (BRIDGE)	F	LB	74000	\$ 2.40	\$ 177,600.00
600097	BRIDGE REMOVAL		LS	1	\$ 83,000.00	\$ 83,000.00
XXXXX	ROCK SLOPE PROTECTION		CY	100	\$ 170.00	\$ 17,000.00
729011	ROCK SLOPE PROTECTION FABRIC (CLASS 8)		SQYD	100	\$ 65.00	\$ 6,500.00
839639A	CONCRETE BARRIER TYPE 85	F	LF	422	\$ 500.00	\$ 211,000.00
						\$ -
						\$ -

ROUTING

1. DES SECTION
2. OFFICE OF BRIDGE DESIGN - NORTH
3. OFFICE OF BRIDGE DESIGN - CENTRAL
4. OFFICE OF BRIDGE DESIGN - SOUTH
5. OFFICE OF BRIDGE DESIGN - WEST
6. OFFICE OF BRIDGE DESIGN SOUTHERN CALIFORNIA

NOTES:

SUBTOTAL	\$ 1,899,708.00
MOBILIZATION (@ 10 %)	\$189,971
SUBTOTAL BRIDGE ITEMS	\$2,089,679
CONTINGENCIES (@ 25%)	\$522,400
BRIDGE TOTAL COST	\$2,612,079
COST PER SQ. FOOT	\$555
GRAND TOTAL	\$2,612,079
BUDGET ESTIMATE AS OF 10/8/24	\$2,612,000

Escalated Budget Estimate to Midpoint of Construction *

Escalation Rate per Year

4.89%

Years Beyond Midpoint	Escalated Budget Est.
1	\$2,740,000
2	\$2,874,000
3	\$3,015,000

Years Beyond Midpoint	Escalated Budget Est.
4	\$3,162,000
5	\$3,317,000

* Escalated budget estimate is provided for information only, actual construction costs may vary. Escalated budget estimates provided do not replace Departmental policy to update cost estimates annually.

GENERAL PLAN ESTIMATE

X

ADVANCE PLANNING ESTIMATE

RCVD BY:

IN EST:

OUT EST:

BRIDGE:

Boranda Road Bridge Over Carmel River

BR. No.:

44C0099

DISTRICT:

05

TYPE:

Seismic Retrofit

RTE:

CU:

CO:

MON

EA:

PM:

LENGTH:

162.00

WIDTH:

12.70

AREA (SF)=

2,057

DESIGN SECTION:

Dokken

OF STRUCTURES IN PROJECT :

EST. NO.

PRICES BY :

N. Ortigoza

COST INDEX:

PRICES CHECKED BY :

T. Osterkamp

DATE:

10/8/2024

QUANTITIES BY:

N. Ortigoza

DATE:

10/8/2024

	CONTRACT ITEMS		UNIT	QUANTITY	PRICE	AMOUNT
495133	FURNISH 36" CAST-IN-STEEL SHELL CONCRETE PILING		LF	360	\$ 850.00	\$ 306,000.00
495134	DRIVE 36" CAST-IN-STEEL SHELL CONCRETE PILE		EA	6	\$ 60,000.00	\$ 360,000.00
510053	STRUCTURAL CONCRETE, BRIDGE	F	CY	62	\$ 2,800.00	\$ 173,600.00
511106	DRILL AND BOND DOWEL		LF	30	\$ 250.00	\$ 7,500.00
520102	BAR REINFORCING STEEL (BRIDGE)	F	LB	64749	\$ 3.00	\$ 194,247.00
590111	CLEANS AND PAINT STRUCTURAL STEEL (EXISTING BRIDGE)		LS	1	\$ 450,000.00	\$ 450,000.00
750501	MISCELLANEOUS METAL (BRIDGE)	F	LB	100	\$ 125.00	\$ 12,500.00
						\$ -

ROUTING

1. DES SECTION

2. OFFICE OF BRIDGE DESIGN - NORTH

3. OFFICE OF BRIDGE DESIGN - CENTRAL

4. OFFICE OF BRIDGE DESIGN - SOUTH

5. OFFICE OF BRIDGE DESIGN - WEST

6. OFFICE OF BRIDGE DESIGN SOUTHERN CALIFORNIA

SUBTOTAL	\$ 1,503,847.00
MOBILIZATION (@ 10 %)	\$150,385
SUBTOTAL BRIDGE ITEMS	\$ 1,654,231.70
CONTINGENCIES (@ 25%)	\$413,600
BRIDGE TOTAL COST	\$2,067,832
COST PER SQ. FOOT	\$1,005
GRAND TOTAL	\$2,067,832
BUDGET ESTIMATE AS OF 10/8/24	\$2,068,000

NOTES:

Escalated Budget Estimate to Midpoint of Construction *

Escalation Rate per Year

4.89%

Years Beyond Midpoint	Escalated Budget Est.
1	\$2,169,000
2	\$2,275,000
3	\$2,386,000

Years Beyond Midpoint	Escalated Budget Est.
4	\$2,503,000
5	\$2,625,000

* Escalated budget estimate is provided for information only, actual construction costs may vary. Escalated budget estimates provided do not replace Departmental policy to update cost estimates annually.

2

APPENDIX B
MEETING MINUTES
APRIL 29, 2024



MONTEREY COUNTY SEISMIC RETROFIT BORONDA ROAD BRIDGE OVER CARMEL RIVER MEETING MINUTES

DATE/TIME Monday, April 29, 2024; 1:30 pm

LOCATION: Conference Call / Teams Meeting

FROM: Tim Osterkamp, PE

ATTENDEES:

Douglas Poochigian	County of Monterey
Erich Rauber	County of Monterey
Enrique Saavedra	County of Monterey
Tim Osterkamp	Dokken Engineering
Nancy Ortigoza	Dokken Engineering
Jeremy Wright	Caltrans, Local Assistance
Cori Marsalek	Caltrans, Local Assistance
Reinie Jones	Caltrans, Local Assistance
Diana Garrett	Caltrans, Local Assistance

TOPICS DISCUSSED:

The California Transportation Commission (CTC) does not consider the Boronda Road Bridge retrofit project complete since it was never closed out, and the bridge was neither retrofitted or replaced. Therefore, Monterey County is seeking to restart the project. The project was originally initiated using Proposition 1B funding. The proposed retrofit strategy in 1997 was to place CISS piles on each side of the existing pier, connecting them with a cap beam. The retrofit would be expensive, so replacement of the bridge was also being considered. A Seismic Retrofit Strategy Meeting was held on December 3, 1997 at Caltrans Office of Structures. Caltrans approved replacement of the bridge at this meeting. The final strategy report was issued in January 1998.

As the County moved forward with replacement, local opposition to bridge replacement resulted in a NEPA determination of no build. However, the County is now willing to push the replacement forward again and use the Schulte Bridge Replacement Project as a successful example for the locals.

Caltrans was asked if the 1997-98 seismic analysis and retrofit strategy would need to be revisited due to changes in the seismic code since 1998, or if the previously approved strategy would be accepted. Jeremy agreed that the previous Strategy Report would be accepted. Jeremy has a copy of the report, but requested a copy of the seismic retrofit strategy meeting.

Jeremy asked if the County would like to revisit the retrofit strategy or replace the bridge. Advancements in bridge seismic behavior understanding could potentially lessen the retrofit scope. The County would prefer to replace the bridge, but continue with the current retrofit strategy if the bridge must be retrofitted instead of replaced.



Final determination of replacement verse retrofit will be dependent on cost comparison of the two approaches. Dokken will develop updated cost estimates of the 1997-98 retrofit strategy and compare to a two or three span bridge replacement cost.

Boronda Road Bridge is currently HBP nominated as a seismic retrofit and paint project. Cost comparison of retrofit verse replacement will include the cost of painting the existing bridge. If replacement is cost effective a change in HBP funding scope can be made with a 6A. This would allow the County to start the project as a bridge replacement in HBP, not rehabilitation/seismic retrofit. Type selection will be needed but rehabilitation would not need to be considered. The previous field review performed in 1997 will be honored for HBP Chapter 6 requirements; thus, the planned May 3rd meeting is not needed. A field review meeting will still be needed for environmental purposes and completing the PES.

Reinie asked if replacement is selected can funding for NEPA replacement studies be requested since the previous NEPA resulted in a no-build. Caltrans will need to look into this. An alternative approach may be to repay the \$100K previously spent and start fresh.

Dokken is helping for this phase only. Project will go through the federal RFP process to select future consultant.

ACTION ITEMS:

1. Dokken to develop updated retrofit and bridge replacement cost estimates.

APPENDIX C

FINAL STRATEGY REPORT JANUARY

1998

MONTEREY COUNTY SEISMIC RETROFIT

TASK ORDER NO. 1

FINAL STRATEGY REPORT

FOR

BORONDA ROAD BRIDGE OVER CARMEL RIVER

BR. NO. 507 (44C-99)

05-MON-COUNTY ROAD

Prepared By:

 **DOKKEN**
ENGINEERING
3054 Gold Canal Drive
Rancho Cordova, CA 95670

January 28, 1998

MONTEREY COUNTY SEISMIC RETROFIT STRATEGY MEETING MINUTES

Boronda Road Bridge, 507 (44C-99)

DATE: December 3, 1997

LOCATION: Caltrans Office of Structures, Room 514

ATTENDEES:

NAME	AGENCY	PHONE
Michael Kim	CALTRANS - Structures, Local Assistance	(916) 227-8050
Dinh Le	CALTRANS - District 5, Local Assistance	(805) 549-3572
David Wang	Parikh Consultants	(408) 945-1011
Douglas Poochigion	Monterey County, P.W.	(408) 755-4888
Andrew Gaspar	Monterey County, P.W.	(408) 755-4807
John Maniscalco	Dokken Engineering	(916) 858-0642
Nick Panayotou	CALTRANS - Construction, OSC	(916) 227-8984
Saad El-Azazy	CALTRANS - OEE	(916) 227-8124
Steve Wiman	CALTRANS - OSD	(916) 227-8797
Richard A. Dokken	Dokken Engineering	(916) 858-0642
Eric Tsai	Dokken Engineering	(408) 751-1701
Henry Fang	Dokken Engineering	(916) 858-0642
Hashim Hamzawi	Dokken Engineering	(916) 858-0642
Ali A. Hemmati	Dokken Engineering	(916) 858-0642
Brent Meyer	Dokken Engineering	(916) 858-0642

Boronda Road Bridge Bridge No. 44C-99 (County No. 507)

John Maniscalco gave a brief description of the existing bridge and some of the basic problems associated with the existing load path and connections.

David explained that the liquefaction potential was moderate to low, pile capacity was based on assumed length of 20' because of the lack of adequate as-built information. Seismically the bridge is less than 0.3 miles from the Tularcitos-Navy Fault that can produce a magnitude 7.0 earthquake with a peak rock acceleration of 0.6g at the site.

Eric Tsai stated that the analysis is based on the Static Equivalent method. The pile loads at the piers exceeded their capacity and the bearings failed in shear. The proposed strategy was to place CISS piles on either side of each pier, connecting them with a cap beam. The bolts at the abutments would need to be replaced. Mike Kim suggested that only the center pier should be retrofitted in order to save money. Eric explained that the weight of the concrete pier will fail the piles under seismic loading and that the existing steel girders cannot span 80' without the pier. Saad suggested replacing the structure. Mike said the county could choose to retrofit the bridge or replace it using the estimated cost of the retrofit. Eric presented the study result for replacement option. The cost for replacement is estimated at \$560,000 compared with \$330,000 for retrofit. Mike mentioned that it is up to the county to make the decision. Douglas Poochigion commented that the cost for replacement seemed to be low since the environmental mitigation measures may be significant. The environmental concerns could lengthen the design time and add cost to the structure. There was discussion that if the bridge was not eligible for replacement, the county would be responsible for the entire cost for the extra width. The funding issue should be resolved before the county decides to replace the bridge. Saad El-Azazy questioned whether a spread footing could be done instead of the CISS pile. Eric said this option was studied and found more costly due to a potential scouring problem, environment concerns and construction difficulties in water. Saad said the replacement should be the strategy since the replacement cost is not much higher than the retrofit option. Also, the bridge is a one-lane bridge with high ADT that justifies a wider bridge. Caltrans approved replacement of this bridge.

Action Items:

- Dokken Engineering will further investigate replacement options and provide cost estimate.
- Dokken Engineering will revise retrofit cost estimate.
- LSA to provide environmental review and permitting as directed by the County.
- Parikh to provide geotechnical information and report for replacement.
- Sandis Humber Jones to provide surveying and utility coordination as directed by Dokken Engineering.
- Norm Braithwaite to provide hydraulic study of replacement.

MONTEREY COUNTY SEISMIC RETROFIT

TASK ORDER NO. 1

FINAL STRATEGY REPORT

FOR

**BORONDA ROAD BRIDGE
OVER CARMEL RIVER**

BR. NO. 507 (44C-99)

05-MON-COUNTY ROAD

 **DOKKEN**
ENGINEERING
3054 Gold Canal Drive
Rancho Cordova, CA 95670

January 1998

FINAL STRATEGY REPORT
TASK ORDER NO. 1

BORONDA ROAD BRIDGE OVER CARMEL RIVER

Br. No. 507 (44C-99)
05-Mon-County Road

TABLE OF CONTENTS

Introduction..... 1
Field Review 2
Geotechnical 2
Design Criteria 2
As-Built Analysis 5
Structural Deficiencies 5
Proposed Retrofits..... 6
Retrofit Analysis 6
Impact of Proposed Retrofit..... 6
Recommendation..... 6

- Appendices:
- A – Selected Maintenance Reports
 - B – Geotechnical Information
 - C – Bridge General Plan Estimate
 - D – Replacement Strategy

(Insert location map here)

FINAL STRATEGY REPORT



Boronda Road Bridge over Carmel River Br. No. 507 (44C-99)

INTRODUCTION

The Boronda Road Bridge is a one lane bridge across the Carmel River. It is located 0.5 miles south of the intersection of Boronda Road and Carmel Valley Road.

The bridge was designed and built by Monterey County in approximately 1946.

The superstructure is a 162' long, four span steel structure. There are two steel "I" girders (S21x58) spaced 9' apart with transverse floorbeam (S6x12.25) at 18" c/c supporting 3" steel open grating. It has a total width of 12.7'. The girders are continuous with fixed bearing at pier 3 and expansion bearings at abutments and piers 2 and 4. The bearing consists of a sliding plate welded under the girder and bolted to the steel bent cap. Slotted holes are provided at expansion bearings to accommodate thermal movement.

The abutment is a seat type of concrete structure with wing walls consisting of steel soldier piles (steel angle) and perforated steel laggings.

The concrete pier is 18" thick and 13' wide with three steel columns spaced at 4'-6" extending 2' above the concrete top. There is a transverse steel beam on top of the steel columns as a cap beam supporting the superstructure. Based on the previous bridge maintenance report, the three steel columns are actually piles extended into the ground. Thus, three piles are assumed for each pier. The pile is made from double L6x6x1/2.

There are one 6" diameter and another 2-½" diameter steel utility pipes attached to the underside of the bridge and goes into wing wall at abutment.

No as-built plans are available. Selected maintenance reports are included in Appendix A.

The bridge is under the jurisdiction of Monterey County.

FIELD REVIEW

Bridge site inspection was done on September 11, 1997. Representatives from Monterey County, Caltrans District 5, Parikh Consultants, LSA and Associates, and Dokken Engineering met at the site.

After the field review, a "Field Review Report" was prepared and submitted (under separate cover). The report included field observations as well as appendices for Field Review by Dokken, Geotechnical Report by Parikh Consultants, and Preliminary Assessment Report by LSA and Associates.

Photographs showing some features of the bridge follow.

GEOTECHNICAL

The geotechnical information as presented by Parikh Consultants is included in Appendix B. Accordingly, the site was assigned a maximum credible rock acceleration of 0.6g associated with a magnitude 7 event with a soil profile type D per ATC-31 R3-8 ARS curve. The spectrum is increased by 20% due to the proximity to fault. Liquefaction probability is moderate to low.

DESIGN CRITERIA

Existing materials specifications are as follows:

AASHTO 1940

Reinforced Concrete	$f_c = 1,000 \text{ psi}$
	$f_s = 18,000 \text{ psi}$
	$n = 10$
Structural steel	$F_s = 18,000 \text{ psi}$

- Bridge Design Specification (1983 AASHTO with interims/revisions by Caltrans)
- Bridge Design Aids
- Bridge Design Details
- Bridge Design Practice
- Memo to designers
- ACI 318-95
- AISC –ASD Ninth edition 1989

Computer programs utilized for analysis:

- COLX – Pier moment-curvature analysis



VIEW OF CONCRETE PIER LOOKING SOUTH



VIEW OF ANCHOR BOLTS UNDER GIRDER



VIEW OF UTILITY PIPE AT SOUTH ABUTMENT



VIEW OF DECK STEEL GRATING

Existing material properties assumed for dynamic analysis:

Concrete

General $f_c = 5,000$ psi

Reinforcing bars

General $f_y = 44,000$ psi

Structural steel

Sections (A7) $f_y = 30,000$ psi

Anchor bolts $f_y = 30,000$ psi

AS-BUILT ANALYSIS

Since no as-built plans are available, field measurement was used for the analysis of the existing structure included determining weight, geometry and section properties of various components of the structure.

During a seismic event, the various components of the structure are subjected to seismic forces in different magnitudes depending, among other things, on their location with respect to the seismic load path. These members are identified and their strengths (capacities) are determined. They included the capacities of abutment backwall and piles, bearings, piers and their footings and piles in the appropriate directions.

The structure is analyzed by the Static Equivalent Force method. According to the geotechnical investigation, the existing structure is supported by steel piles at pier locations. The pile is made of two L6x6x1/2 welded together into a Z-shaped pile. The average penetration length of the existing pile is 20' as per County's engineer. The concrete pier is not embedded deep into the ground and the piles are weak in the longitudinal direction. The earthquake load from superstructure and pier self weight inertia are acting on the free standing pier.

Comparison is made between the demand and capacity for each critical member and demand/capacity (D/C) ratios are presented in Table 1.

STRUCTURAL DEFICIENCIES

1. *Abutments* — The existing abutment is adequate to resist the longitudinal and transverse earthquake loads. However, the anchor bolts and weld for the bearing plate are substandard.
2. *Bearings* — The anchor bolts are substandard for the shear forces in both directions. The weld for the bearing plate is adequate.
3. *Bents* — The steel piles will yield under the longitudinal earthquake force. In the transverse direction, the pile will be overload in compression, which means the piers will collapse.
4. *Scour* — Minor scour was observed at piers 3 and 4.

PROPOSED RETROFIT

The proposed retrofit scheme (see Figure 1) for this bridge consist of the following:

1. *Abutment Retrofit:* Add new anchor bolts (A325 1" dia.) at bearing, drill slotted holes through the bottom flange into concrete, grout holes after bolts are set.
2. *Foundation Retrofit:* No retrofit is recommended due to the environmental concern.
3. *Pier:* Replace the existing anchor bolts with A325 7/8" diameter bolts. Install 36" dia CISS piles at piers 2, 3 and 4. New concrete cap beam between CISS piles to support the superstructure.

The cost of alternative is estimated at \$323,000 or \$157.00 per square foot (see Appendix C).

RETROFIT ANALYSIS

The retrofit scheme, new piles and bearing connection will strengthen the piers to ensure no structure collapse.

IMPACT OF PROPOSED RETROFITS

Aesthetics: New piles and cap beam will be visible.

Traffic: The retrofit does not involve any work on the bridge deck and all the retrofit work at the piers and abutments can be carried out from the undersides.

Utilities: No utilities will be affected during retrofit construction.

Restrictions to Construction: There is limited access to the bridge abutment works from both ends for equipment and hauling the material needed for construction. Because this road is the only access across the Carmel River for the nearby residents, it must be kept open at all times.

RECOMMENDATION

Because of the following reasons, Dokken Engineering concurs with Caltrans decision to replace this structure:

1. The cost associated with the bridge retrofit is high(\$323,000 and \$157/square foot).
2. The existing barrier does not meet current standards.
3. The existing bridge width does not meet current standards.
4. The structure floods during the 100-year event.
5. This bridge is the only bridge across the Carmel River for local residents.

The Replacement Strategy in appendix D contains a completed bridge replacement field review form, including the bridge general plan.

APPENDIX D

PHOTOS FROM AUGUST 21, 2024

SITE VISIT

Photos from August 21, 2024 Site Visit



Photo 1: Looking west. Note narrow bridge width and lack of sidewalks.



Photo 2: Looking east

Photos from August 21, 2024 Site Visit



Photo 3: Looking east. New bridge will be widened to the south.



Photo 4: Looking west

Photos from August 21, 2024 Site Visit



Photo 5: Low clearance under east abutment



Photo 6: Looking east. Note skirt around bottom of pier from previous scour mitigation project.

Photos from August 21, 2024 Site Visit



Photo 7: West approach



Photo 8: East approach

Photos from August 21, 2024 Site Visit

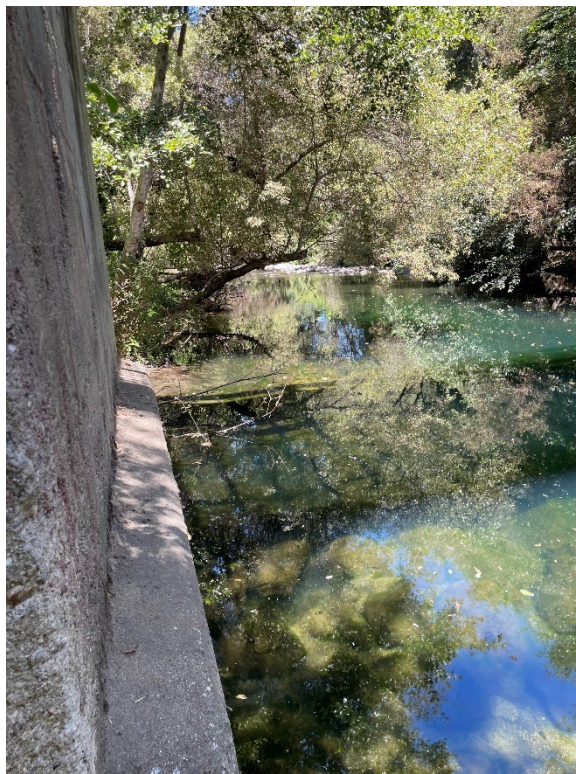


Photo 9: Base of west pier. Note added concrete skirt.



Photo 10: Anchor bolts at east abutment

APPENDIX II: SCOPE OF WORK

The following is a sample scope of services. CONTRACTOR shall suggest deviations as necessary to complete the plans, specifications, and cost estimates for the proposed Project in accordance with COUNTY, Caltrans, and AASHTO requirements.

Final deliverables shall be provided in PDF format. Plans shall be plotted directly from AutoCAD to pdf, so that pdf files are of a high quality using electronic bookmarks. Upon request, electronic files (MSWord, Excel, HEC-RAS, AutoCAD Civil 3D format, MS Project, etc.) with all supporting files shall also be provided to COUNTY. Plans shall be prepared and provided in AutoCAD Civil 3D.

All meetings will be held virtually (Microsoft Teams) unless specified as otherwise.

Task 1. Project Management

Task 1.1. Project Controls

CONTRACTOR shall manage the Project Team, monitor schedule and budget, and prepare monthly progress reports and invoices.

Task 1.2. Kick Off Meeting and Field Investigation

CONTRACTOR shall coordinate an initial field review with the COUNTY Project manager and other Project stakeholders to review the proposed project and to highlight and record significant project features. The CONTRACTOR shall conduct a visual on-site field investigation to identify existing conditions and establish preliminary design assumptions and parameters. CONTRACTOR shall review as-built information as available. The field investigation shall be coordinated such that it is on the same day as the kick-off meeting. CONTRACTOR'S project manager and project engineer shall attend.

Task 1.3. Progress Meetings

CONTRACTOR project manager and appropriate staff shall meet with the COUNTY Project Manager and others as necessary to manage and deliver the Project. One-hour meetings shall be scheduled virtually monthly to keep the COUNTY informed of the status of the Project and to gain timely decisions from the COUNTY. Initially, more frequent meetings shall be required and should be scheduled on an as needed basis. CONTRACTOR shall prepare meeting agendas and meeting notes in a format specified by the COUNTY. Assume a total of 40 meetings.

Deliverables:

- Meeting notes and meeting agendas
- Monthly updated Project schedule

Task 2. 35% Design – Preliminary Engineering**Task 2.1. Preliminary Bridge Design**

CONTRACTOR shall evaluate the roadway alignment as well as address hydraulic constraints, debris load, constructability, geotechnical constraints, environmental considerations, maintenance, schedule, and cost.

Conceptual level cost estimates shall be provided. CONTRACTOR shall consider how the Project will be constructed and whether a detour, low water crossing or temporary bridge will be required. Road closures shall be minimized to the extent possible.

Task 2.2. Type Selection Report

After concurrence from the COUNTY on the recommended design, the CONTRACTOR shall prepare a Type Selection Report for review and approval by Caltrans. Preliminary engineering includes layouts of the Project to an approximate 35% level of completion.

CONTRACTOR shall develop a preliminary design of the Project including:

- Geometric alignment of the roadway, vertical and horizontal profiles
- Bridge span length and width
- Proposed detour alignments, if applicable
- Preliminary foundation concepts
- Preliminary slope stability considerations
- Draft construction schedule
- 35% design cost estimate
- Right of Way considerations

Deliverables

- Type Selection Report, Draft and Final version.

Task 3. Survey**Task 3.1. Survey and Mapping**

All survey work shall be performed under the responsible charge of a California licensed Professional Land Surveyor (SURVEYOR) who will execute the project “Acknowledgment of Survey Monument Preservation Responsibility” form. A copy of said executed form shall be delivered electronically to the County Surveyor (goetzmk@countyofmonterey.gov).

Provide aerial and ground surveys including:

- Color ortho image with 0.25’ pixel resolution, DTM, contours, and a “surface” in Civil 3D. This aerial map shall be compiled to the Base Map.
- Ground control for the aerial map and all control for the “densification” of the aerial map. The Project control shall be established by a static occupation and processed using

National Geodetic Survey OPUS with the horizontal datum being the North American Datum of 1983, National Adjustment of 2011, Epoch date of 2010.00, abbreviated NAD83(2011) Epoch 2010.00. The projection used shall be the California Coordinate System of 1983 (CCS83), Zone 4. The vertical datum shall be NAVD88. All coordinate values of the control on the ground shall be on said horizontal and vertical datums. Sufficient control points shall be established and with some set-in strategic locations to survive to start of the construction phase, roughly five years into the future. The survey control points shall be compiled to the Base Map and the survey base map deliverable shall include a Survey Control Sheet showing the location and coordinates of these control stations. The control sheet shall show locations with aerial imagery as a background so that their locations can easily be ascertained.

- Provide ground surveys and mapping for areas in dense vegetation, under and on the temporary bridge, geotechnical investigation bore holes, conforms, surface evidence of underground utilities, overhead wire locations near the existing crossing and one hundred feet on each side of the existing crossing.
- Include all grade breaks, tops and toes in the dirt areas.
- Include hardscape features, such as: edge of pavement, crown of road, and temporary bridge abutments, and fences.
- Field survey point densification in the vicinity of the Project's construction footprint: temporary bridge, road and channel locations.
- Ordinary High-Water Mark (OHWM) shall be shown within the study area. The OHWM shall be established in accordance with Army Corps of Engineers guidelines by the CONTRACTOR and these marks shall be located by the SURVEYOR.

Task 3.2. Hydraulic Cross Sections

SURVEYOR shall survey channel cross sections in sufficient number and detail, upstream and downstream of the crossing, necessary to perform hydraulic analysis for preparation of a location hydrology and hydraulics study. These cross sections shall be compiled to the Base Map and provided in a data format compatible with the hydraulic/hydrologic analysis.

Task 3.3. Right-of-Way Establishment

SURVEYOR shall perform a complete boundary retracement survey to accurately determine the County Road right-of-way within the Project limits. Sufficient survey monuments and other survey evidence shall be found and tied into the survey. This may require the survey to extend outside the Project limits. This right of way shall be compiled to the Base Map.

Task 3.4. Easement Plotting

Provide re-establishment of recorded easement deeds (per review of the preliminary title reports). Easement locations shall be shown on the Base Map. Procure preliminary title reports for nearby assessor parcels.

Task 3.5. Base Map

Provide a Base Map to be used as the basis for design of the Project. The Base Map shall be delivered in Autodesk Civil 3D compatible DWG format.

Task 3.6. Survey Monument Preservation and Pre-Construction Record of Survey

SURVEYOR shall perform a pre-construction field survey in compliance with California Business and Professions Code Section 8771(b). All monuments of record and any found that are not of record shall be located and referenced prior to construction, and a pre-construction Record of Survey shall be filed with the County Recorder. By graphics and notation, the Record of Survey shall show the methods used to re-establish the County Road right-of-way lines along with the survey control points set for the Project. Other critical boundary and/or easement lines shall also be shown. This map shall meet the requirements for a pre-construction survey and documentation. The COUNTY shall waive the checking and recording fees for this map.

Task 3.7. Survey Monument Preservation and Post-Construction Record of Survey

SURVEYOR shall perform a post construction field survey in compliance with California Business and Professions Code Section 8771(c). The survey shall set or reset monuments to perpetuate the location of monuments or points shown on the pre-construction survey. Monumentation will include at least two (2) permanent monuments set in the road surface on the centerline of the right-of-way of Boronda Road. A Record of Survey showing the post-construction survey shall be filed with the County Recorder. Other critical boundary and/or easement lines shall also be shown. This map shall meet the requirements for a post-construction survey and documentation. The COUNTY shall waive the checking and recording fees for this map.

Task 3.8. Legal Descriptions and Exhibits

Provide plats and legal descriptions with exhibits graphically showing the areas described. The legal description shall be used for the acquisition of new right of way by the COUNTY and/or joint use agreements. The COUNTY will conduct appraisals and acquisitions.

Task 4. Geotechnical Investigations**Task 4.1. Geotechnical Data Collection**

Pre-field activities include developing a field exploration plan, contacting Underground Services Alert (USA), and notifying utilities as necessary. CONTRACTOR shall provide traffic control, as necessary, for any field exploration. Boring locations and depths shall be determined based on the site investigation and bridge requirements.

CONTRACTOR shall perform laboratory tests on selected samples collected from drilling. Testing shall be performed in accordance with the applicable ASTM or Caltrans standards. Selected soil samples obtained during the field exploration shall be tested in a Caltrans-certified laboratory to evaluate certain physical properties that will be necessary to complete the engineering analysis. The types and numbers of tests may vary depending on the results of the field exploration program.

Task 4.2. Geotechnical Report

CONTRACTOR shall prepare the Geotechnical Report. The report shall include a description of the Project and analyses performed, field and laboratory data collected, and graphics showing the site location, the locations of the field explorations relative to the proposed improvements, and an interpreted subsurface profile. The Geotechnical Report shall also include a discussion of local geology, slope stability, and potential for geologic hazards (seismicity, faulting, slope instability, settlement, and liquefaction).

The Geotechnical Report shall present final recommendations for design of the Project including seismic design criteria, bearing capacity and lateral earth-pressures for the Project's structures, slope gradients and setbacks, and geotechnical material specifications. Recommendations shall be made to support the new bridge structure and adjacent slopes that may be affected by the Project. Recommendations shall include foundation type (shallow or deep), abutments, retaining walls, etc. based on structure type chosen and as determined by geotechnical site condition requirements.

If deep foundations (piles) are needed, at a minimum the following shall also be included in the Geotechnical Report, as applicable:

- Recommended foundation type (CIDH or other).
- Liquefaction potential and the need to consider down-drag forces, seismic settlement, loads due to lateral spreading, or friction reducers in the pile design.
- Deep foundation analyses, minimum pile embedment and diameter, pile spacing and group effects, specified pile tip elevation, and estimated settlement. Lateral load versus deflection curve for selected pile foundations.
- Lateral loading on piles due to lateral spread, if determined appropriate by geotechnical seismic evaluation.
- Anticipated pile driving and/or CIDH pile drilling conditions for the foundation type selected.
- Lateral load resistance of pile foundations.

The Geotechnical Report shall identify the corrosion potential of foundation soil, reinforced concrete substructures, and structural steel based on test data and Caltrans design methods. The report shall also provide construction considerations regarding excavation characteristics of the soil and/or rock encountered, suitability of excavated on-site soil for reuse as compacted structural fill or structural backfill, temporary slopes, shoring, dewatering and/or stream diversions, and stability as well as requirements for temporary cuts or shoring adjacent to existing roadways, structures, or property.

Task 5. Hydrologic and Hydraulic Report

A concise Hydrologic and Hydraulic report shall be completed for the bridge that includes hydraulic information for the design, base and overtopping floods (discharges and water surface elevations), and recommendations regarding bank protection. CONTRACTOR shall estimate the size and type of debris in the channel. The report shall identify potential scour depths along the channel to assess the stability of the existing stream channel slopes and future stability of the bridge along with any other relevant hydraulic considerations necessary to design the bridges.

Task 6. Post-Construction Stormwater Design (OPTIONAL)

This task shall include preparing calculations in conformance with applicable water quality regulations. The CONTRACTOR shall also prepare a memo documenting the roadway drainage design and analysis including post-construction hydromodification to satisfy post-construction requirements.

Task 7. 65% Design

Task 7.1. 65% PS&E

CONTRACTOR shall submit 65% plans, contract items list, and engineer's estimate to the COUNTY. The COUNTY will review the 65% submittal and submit comments to the CONTRACTOR. CONTRACTOR shall create a log showing how all comments were addressed as part of the 95% submittal package.

CONTRACTOR shall prepare the roadway civil design to conform to standard Caltrans and COUNTY requirements. The 65% submittal shall include Title Sheet, Typical Sections, Tree Removal and Trimming, Project Control, Layouts, Profiles, Construction Details, Diversion and Dewatering Plan, Drainage Plans, Utility Plans and Details, Traffic Handling, Stage Construction (if applicable), Erosion Control/Water Pollution Control Plans, Pavement Delineation, Detour Plans, Sign Plans, and any other required drawing sheets. The structure plan sheets shall include General Plan, Foundation Plan, Cross-Sections, Typical Section, miscellaneous details, and Log of Test Borings. CONTRACTOR shall identify temporary easements and/or permanent right-of-way modifications to construct the Project.

The engineer's estimate shall be updated from the preliminary costs based on updated quantities and unit costs compiled from recent bid data and adjusted for COUNTY-specific construction costs.

The bridge design shall be in accordance with the AASHTO LRFD Specifications with Caltrans amendments and applicable sections of the Bridge Memos to Designers and Bridge Design Aids manuals. The design shall meet COUNTY, Caltrans, FHWA, and AASHTO standards in effect at the time the design occurs.

Seismic design shall be performed in accordance with the applicable edition of the Caltrans Seismic Design Criteria. Detailing of plans shall be in accordance with Caltrans Design Details Manual. Both the design and detailing shall be based on the use of the current Caltrans Standard Plans and Standard Specifications.

65% Deliverables

- 65% Draft Plans in PDF
- Engineer's Estimate of Construction Costs in MS Excel format
- Design Exceptions in MS Word.

Task 7.2. Independent Bridge Check

An independent design check shall be conducted before the 95% Design Submittals in accordance with Caltrans' design procedures. The plans shall be reviewed for compatibility between COUNTY Design standards, Caltrans Memo to Designers, and AASHTO standards. The Geotechnical Engineer shall review the plans prior to the 95% Draft PS&E Submittal for compliance with the geotechnical recommendations.

Task 7.3. Design Exceptions

CONTRACTOR shall prepare Project design exceptions, if necessary, for approval by COUNTY. Assume up to 2 design exceptions.

Task 8. 95% Design

Task 8.1. 95% Specifications

CONTRACTOR shall prepare the technical specifications based on the latest Caltrans Standard Special Provisions (SSPs). The COUNTY will provide "boiler plate" documents, including the notice to bidders, proposal, bond forms, and agreement. Required mitigation measures and permitting requirements from the environmental permits shall be included in the specifications.

Task 8.2. 95% Design

The 95% plans shall be submitted to the COUNTY based on comments received on the 65% submittal. The submittal shall include the plans, specifications, and engineer's estimate of probable costs. A preliminary construction schedule shall be submitted. The COUNTY shall

review the 95% submittal and submit comments to the CONTRACTOR. CONTRACTOR shall create a log showing how all comments were addressed as part of the final PS&E package submittal. The roadway plans shall be advanced to include construction area signs sheet, additional detailing for roadway conforms, grading, landscaping, drainage details, and additional structural details as needed.

95% Deliverables

- 95% Draft Plans in PDF
- Technical Special Provisions in MS Word format
- Engineer's estimate of probable construction costs in MS Excel format
- Estimated construction schedule in MS Project format

Task 9. 100% PS&E

Upon receipt of comments from the 95% PS&E submittal to the COUNTY, and other jurisdictional agencies, which will be routed through the COUNTY, final revisions shall be made. CONTRACTOR shall incorporate appropriate comments in the plans, specifications, and estimate and log all comments and identify how each comment was addressed. The engineer's estimate shall be updated based on final quantities and unit costs updated based on the most recent bid data and adjusted for COUNTY-specific construction costs.

CONTRACTOR shall perform an independent QA/QC review of the Final 100% submittal package and incorporate appropriate revisions prior to submittal to the COUNTY. CONTRACTOR shall update the plans and specifications to the Caltrans standards applicable at the time of "RFA for CON". The Final submittal shall include a detailed construction schedule with an estimate of working days.

100% PS&E Deliverables

- Electronic Microsoft Word file of specifications
- Final Technical Special Provisions signed by the Registered Engineer
- Electronic Microsoft Excel file of Construction Cost Estimate
- Estimated construction schedule with estimated working days calculation (MS Project format)
- Resident Engineer's File
- AutoCAD Project plans
- PDF copies of each deliverable stamped and signed by a licensed engineer as required.

Task 10. Bid Period Consultation

CONTRACTOR shall provide bidding assistance to the COUNTY including interpretation of the contract documents, assisting the COUNTY in preparing addenda to the PS&E, and attending one (1) in-person pre-bid construction meeting.

Bid period Deliverables

- Prepare addenda as needed
- Respond to RFI's as needed

Task 11. Utility Coordination

The COUNTY shall obtain utility atlas maps and coordinate with utilities, identify relocation liability, coordinate utility agreements, and meet with utility representatives. The COUNTY shall obtain relocation plans from the utilities. The COUNTY shall provide this information to CONTRACTOR.

CONTRACTOR shall identify potential conflicts, develop conflict exhibits for each utility, and incorporate existing and proposed utility relocation information into the plans and specifications. At least one plan sheet shall be provided in the PS&E submittals that shows the existing utilities and proposed relocations.

Task 12. Environmental Support

A Preliminary Environmental Study (PES) has been prepared for the Project. CONTRACTOR shall prepare the required NEPA and CEQA environmental documents for the Project. The signed PES and specific environmental requirements and considerations is provided in Appendix VII.

Task 13. Permit Compliance

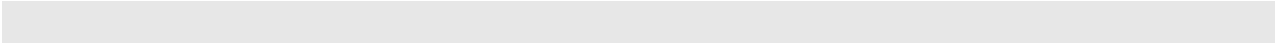
CONTRACTOR shall prepare the Environmental Commitment Record. CONTRACTOR shall check plans and specifications against the permit conditions and measures to ensure compliance with the agency requirements.

This task shall also include the preparation of calculations and an application for a rainfall erosivity waiver to be submitted by the COUNTY. Along with the rainfall erosivity waiver, CONTRACTOR shall prepare a Project Water Pollution Control Program (WPCP) which shall be in effect for construction activities between April and October. CONTRACTOR shall ensure the Project working days in the specifications match the rainfall erosivity waiver such that any work extending beyond the end of the rainfall erosivity waiver requiring a Stormwater Pollution Prevention Plan (SWPPP) shall be CONTRACTOR's responsibility. CONTRACTOR shall then prepare a Project plan sheet detailing the best management practices (BMP) and erosion control features outlined in the WPCP. It is assumed any fee for the rainfall erosivity waiver shall be paid by the COUNTY.

Task 14. Construction Support

CONTRACTOR shall provide engineering services during construction including the following:

- Attend a pre-construction meeting
- General interpretation of plans and specifications
- Review and comment on shop plan drawings, submittals, and mix designs
- Response to RFIs

- Construction site observations
 - Development of plan revisions as needed
 - Preparation of as-built drawings
- 

APPENDIX III: SIGNATURE PAGE

COUNTY OF MONTEREY	RFP No. 10964
PUBLIC WORK, FACILITIES AND PARKS	ISSUE DATE: December 4, 2025
	
RFP TITLE: BRIDGE DESIGN SERVICES, BORONDA ROAD BRIDGE REPLACEMENT, MONTEREY COUNTY, CALIFORNIA	
PROPOSALS ARE DUE IN THE OFFICE OF PUBLIC WORKS, FACILITIES AND PARKS BY: 4:00 P.M., PST, January 22, 2026	MAILING ADDRESS: COUNTY OF MONTEREY PUBLIC WORKS, FACILITIES AND PARKS 1441 SCHILLING PLACE SOUTH, 2nd FLOOR SALINAS, CA 93901-4527
QUESTIONS ABOUT THIS RFQ/RFP SHOULD BE DIRECTED TO: Kyle Oyama, oyamak@COUNTYofmonterey.gov	
CONTRACTOR MUST INCLUDE THE FOLLOWING IN EACH PROPOSAL: 1. Proposal (as required by this RFP) – One (1) original hard copy, two (2) hard copies, and one (1) CD or thumb drive with PDF files of submittal 2. Fee Schedule (Attachment J) - One (1) original hard copy (sealed in a separate envelope)	
☐ ALL REQUIRED CONTENT AS DEFINED PER SECTION 8.1 HEREIN	
This Signature Page must be included with your submittal to validate your Proposal. Proposals submitted without this page will be deemed non-responsive.	
☐ CHECK HERE IF YOU HAVE ANY EXCEPTIONS TO THIS SOLICITATION	
CONTRACTOR MUST COMPLETE THE FOLLOWING TO VALIDATE PROPOSAL	
I hereby agree to furnish the articles and/or services stipulated in my Proposal at the price quoted, subject to the instructions and conditions in the Request for Proposals. I further attest that I am an official officer representing my firm and authorized with signatory authority to present this Proposal.	

Company Name: _____ Date: _____

Signature: _____ Printed Name: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: () _____ Fax: () _____ Email: _____

License No. (If applicable): _____

License Classification (If applicable): _____

APPENDIX IV: SAMPLE COST PROPOSAL



SAMPLE COST PROPOSAL 1

COST-PLUS-FIXED FEE OR LUMP SUM OR FIRM FIXED PRICE CONTRACTS

(DESIGN, ENGINEERING AND ENVIRONMENTAL STUDIES)

Note: Mark-ups are Not Allowed ☐ Prime Consultant ☐ Subconsultant ☐ 2nd Tier Subconsultant

Consultant _____

Project No. _____ Contract No. _____ Date _____

DIRECT LABOR

Classification/Title	Name	Hours	Actual Hourly Rate	Total
				\$ 0.00
				\$ 0.00
				\$ 0.00
				\$ 0.00

LABOR COSTS

a) Subtotal Direct Labor Costs \$ 0.00

b) Anticipated Salary Increases (see page 2 for calculation) _____

c) TOTAL DIRECT LABOR COSTS [(a) + (b)] \$ 0.00

INDIRECT COSTS

d) Fringe Benefits (Rate: 0.00%) e) Total Fringe Benefits [(c) x (d)] \$ 0.00

f) Overhead (Rate: 0.00%) g) Overhead [(c) x (f)] \$ 0.00

h) General and Administrative (Rate: 0.00%) i) Gen & Admin [(c) x (h)] \$ 0.00

j) TOTAL INDIRECT COSTS [(e) + (g) + (i)] \$ 0.00

FIXED FEE

k) TOTAL FIXED FEE [(c) + (j)] x fixed fee 0.00%] \$ 0.00

l) CONSULTANT’S OTHER DIRECT COSTS (ODC) – ITEMIZE (Add additional pages if necessary)

Description of Item	Quantity	Unit	Unit Cost	Total
Mileage Costs				\$ 0.00
Equipment Rental and Supplies				\$ 0.00
Permit Fees				\$ 0.00
Plan Sheets				\$ 0.00
Test				\$ 0.00

l) TOTAL OTHER DIRECT COSTS \$ 0.00

m) SUBCONSULTANTS’ COSTS (Add additional pages if necessary)

Subconsultant 1: _____

Subconsultant 2: _____

Subconsultant 3: _____

Subconsultant 4: _____

m) TOTAL SUBCONSULTANTS’ COSTS \$ 0.00

n) TOTAL OTHER DIRECT COSTS INCLUDING SUBCONSULTANTS [(l)+(m)] \$ 0.00

TOTAL COST [(c) + (j) + (k) + (n)] \$ 0.00

NOTES:

- 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 the Federal cost principles. Subconsultants will provide their own cost proposals.
- The cost proposal format shall not be amended. 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.
- Anticipated salary increases calculation (page 2) must accompany.

SAMPLE COST PROPOSAL 1

COST-PLUS-FIXED FEE OR LUMP SUM OR FIRM FIXED PRICE CONTRACTS

(CALCULATIONS FOR ANTICIPATED SALARY INCREASES)

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

Direct Labor Subtotal per Cost Proposal	Total Hours per Cost Proposal		Avg Hourly Rate	5 Year Contract Duration
\$250,000.00	500	=	\$50.00	Year 1 Avg Hourly Rate

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

	Avg Hourly Rate		Proposed Escalation			
Year 1	\$50.00	+	2%	=	\$51.00	Year 2 Avg Hourly Rate
Year 2	\$51.00	+	2%	=	\$52.02	Year 3 Avg Hourly Rate
Year 3	\$52.02	+	2%	=	\$53.06	Year 4 Avg Hourly Rate
Year 4	\$53.06	+	2%	=	\$54.12	Year 5 Avg Hourly Rate

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

	Estimated % Completed Each Year	Total Hours per Cost Proposal		Total Hours per Year	
Year 1	20.0%	5000	=	1000	Estimated Hours Year 1
Year 2	40.0%	5000	=	2000	Estimated Hours Year 2
Year 3	15.0%	5000	=	750	Estimated Hours Year 3
Year 4	15.0%	5000	=	750	Estimated Hours Year 4
Year 5	100%	5000	=	500	Estimated Hours Year 5
Total	100%	Total	=	5000	

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

	Avg Hourly Rate (calculated above)	Estimated hours (calculated above)		Cost per Year	
Year 1	\$50.00	1000	=	\$50,000.00	Estimated Hours Year 1
Year 2	\$51.00	2000	=	\$102,000.00	Estimated Hours Year 2
Year 3	\$52.02	750	=	\$39,015.00	Estimated Hours Year 3
Year 4	\$53.06	750	=	\$39,795.30	Estimated Hours Year 4
Year 5	\$54.12	500	=	\$27,060.80	Estimated Hours Year 5
Total Direct Labor Cost with Escalation			=	\$257,871.10	
Direct Labor Subtotal before Escalation			=	\$250,000.00	
Estimated total of Direct Labor Salary Increase			=	\$7,871.10	Transfer to Page 1

NOTES:

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

SAMPLE COST PROPOSAL 1

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:

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: _____ Title *: _____ \$ 0.00

Signature : _____ Date of Certification (mm/dd/yyyy): _____

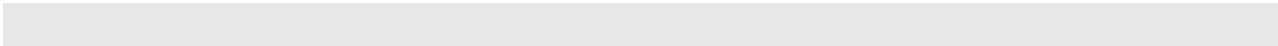
Email: _____ Phone Number: _____

Address: _____

*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:

APPENDIX V: COUNTY PLANNING SCHEDULE



Appendix V: Planning Schedule
RFP No. 10964 Bridge Design Services
Boronda Road Bridge Replacement
County Project No. 1181

ID	Task Name	Duration	Start	Finish	2025		2026		2027		2028		2029		2030		2031		2032		2033	
					H1	H2	H1	H2	H1	H2	H1	H2	H1	H2	H1	H2	H1	H2	H1	H2	H1	H2
1	CONSULTANT SELECTION	136 days	11/27/25	6/4/26																		
11	ENVIRONMENTAL DOCUMENTS	650 days	8/28/26	2/22/29																		
14	DESIGN & PERMITTING	1160 days	6/5/26	11/14/30																		
25	RIGHT OF WAY	390 days	2/23/29	8/22/30																		
27	CONSTRUCTON	540 days	11/15/30	12/9/32																		
33	PROJECT COMPLETE	0 days	12/9/32	12/9/32																		

APPENDIX VI: SAMPLE PROFESSIONAL SERVICES AGREEMENT

The COUNTY of Monterey Agreement for Professional Services with Surveyors, Architects, Engineers & Design Professionals with all terms and conditions may be viewed at:

<https://www.COUNTYofmonterey.gov/home/showpublisheddocument/139258/638779912688970000>

APPENDIX VII: SPECIFIC ENVIRONMENTAL REQUIREMENTS

Rauber, Erich

From: Vidal, Kelso J@DOT <kelso.vidal@dot.ca.gov>
Sent: Friday, October 31, 2025 11:02 AM
To: Rauber, Erich; Oyama, Kyle
Cc: Rizo, Edgard; Garrett, Diana@DOT; Saavedra, Enrique M.
Subject: PES form for Boronda Bridge 5944 (150)
Attachments: 5943 (150) _Boronda_PESv2.pdf; Caltrans D5 Local Assistance Cultural Resources Requirements.pdf; 106 Compliance for Native American Consultation.pdf; D5NMFSPBO_Checklist_Template_2025-06.docx; D5NMFSPBO_Notification_Template_2025-06.docx

This Message Is From an External Sender

[CAUTION: This email originated from outside of the County. Do not click links or open attachments unless you recognize the sender and know the content is safe.]

Hello Kyle,

I was directed to provide more detail to Local Agencies/ consultants so there is less deviation from what Caltrans requires. Any questions or clarity needed, just reach out. Please sign the page 9 of the PES and return at your convenience. Thanks- kelso

Attached is a signed Preliminary Environmental Study (PES) form for the proposed Boronda Bridge Replacement project; 5944 (150). As indicated on the PES form, the following studies (or memos) will need to be prepared and provided to Caltrans for review and approval. The studies must include all areas of construction including temporary access, staging, utility relocations, detours, mitigation, etc. To assist the County with obtaining NEPA clearance, Caltrans has applied Standard Provisions to a few resources to avoid the need for a memo/report (p 11 & 12). Below is a list of memo/reports that will be required:

Traffic Memo

A traffic memo is being requested because the proposed project is adding a new traffic lane to the bridge. A memo to analyze traffic impacts is required. This memo should justify how the AADT will or will not increase at this location. In addition, this memo should discuss any queuing or lack of. This memo should be no longer than 12 pages. This memo could also reference any traffic report analysis completed for the project.

Noise Memo:

Temporary noise impacts from construction should be evaluated with findings reported in a technical memorandum. Include dB rating for that equipment (bulldozer, pile driving ect),

using those values and distance to the sensitive receptor, and provide appx dB level the receptor may experience during construction.

In addition, this project is constructing a bridge with an additional lane which may introduce permanent traffic noise closer to a sensitive receptor/s. This memo must capture the location of sensitive receptors (residences, school, place of worship) and provide a justified conclusion if future noise levels will exceed existing levels by 12dB +, or approach/ exceeds noise abatement criteria. This noise memo should be limited to twelve pages. The outline for a resource memo should have the following headings : 1) Project name, FPN and brief project description 2) Affected Environment 3) Environmental Consequences 4) Avoidance and Minimization measures 5) attached mapping.

Floodplain

The FIRM map confirms the project is within the base floodplain (100-year) of Carmel River. An analysis must be conducted to verify if the new structure will or will not impact the base floodplain. A Location Hydraulic Study (LHS) is required to evaluate potential impacts to the base floodplain. The template for the LHS is attached.

- This project also requires a Summary Floodplain Encroachment Report (SFER). The SFER is based on results of the LHS's impact(s) on the base floodplain. If the LHS concludes that there is no encroachment and or minimal impact, a SFER is completed. A template for the SFER is attached.

Biological Resources (Section 7):

The regulatory agencies USFWS and NMFS have approved use of the Programmatic Biological Assessments (PBA) and have issued Programmatic Biological Opinions (PBO) which can accelerate the Section 7 consultation process. These PBOs are applicable for many Local Assistance projects that involve CRLF, Smiths Blue, and Steelhead/ cohos. To confirm eligibility, these Regulatory agencies require worksheets (attached) to be completed and returned to Caltrans for verification. In situations where the PBO is not applicable, then a Biological Assessment (BA) will need to be submitted.

- Wetland delineation and permitting is legally mandated if wetland presence is determined on a property and may be impacted by development. This report is submitted to USACE for Section 404 permitting.
- In addition, a species list must be generated through USFWS' iPac database. If the search results identify a federally listed species with a likelihood of existing at (or near) the project location, then a Biological Assessment will be required.

The BA templates can be found at the link below. Note: USFWS and NMFS require different formatted documents.

<https://dot.ca.gov/-/media/dot-media/programs/environmental-analysis/documents/ser/usfws-ct-chklist-all.docx>

<https://dot.ca.gov/-/media/dot-media/programs/environmental-analysis/documents/ser/nmfs-ba-chklst-ally.docx>

Visual Impact Assessment:

The result from the Visual Questionnaire determines the level of analysis. Based on the visual point value associated with this project, which was 21 points, it is recommended a memo be prepared. A resource memo should be limited to no more than twelve pages. Simulations are not required for this level of analysis. Please refer to the link below for the Visual Memo template.

<https://dot.ca.gov/-/media/dot-media/programs/design/documents/via-memo-annotated-outline-ally.docx>

Cultural Resources (Section 106) see attached guidance.

Caltrans is responsible for environmental review, consultation, and coordination on this project, as assigned by FHW A pursuant to 23 USC 326. The environmental document to be prepared would be a Categorical Exclusion (CE) Determination with required technical studies. Caltrans will prepare the NEPA environmental determination when the requested environmental reports/ memos have been submitted and deemed complete. Once the NEPA CE is issued, note that your agency is still required to provide the following when available:

- Permits
- Regulatory (waters) permits & supporting biological documentation
- Environmental Commitments Record (ECR)
- Mitigation monitoring or final reports

You are welcome to contact me if you have any questions regarding the environmental requirements for this project. I can be reached at (805) 478-8952 or kelso.vidal@dot.ca.gov



EXHIBIT 6-A PRELIMINARY ENVIRONMENTAL STUDY (PES)

Federal Project No.: BRLO-5944 (150) ID#0524000014
(Federal Program Prefix-Project No., Agreement No.)Final Design: _____
(Expected Start Date)To: Diana Garrett
(District Local Assistance Engineer)
D5 San Luis Obispo
(District)
50 Higuera St, SLO, CA 93401
(Address)
Diana.garrett@dot.ca.gov
(Email Address)From: Monterey County
(Local Agency)
Kyle Oyama
(Project Manager's Name and Telephone No.)
1441 Schilling Place, Salinas, CA 93901
(Address)
oyamak@co.monterey.ca.us
(Email Address)Is this Project "ON" the
State Highway System? ☐ Yes
☒ NoIF YES, STOP HERE and contact the District Local Assistance Engineer
regarding the completion of other environmental documentation.Federal State Transportation Improvement Program
(FSTIP)

(Currently Adopted Plan Date)

(Page No. ___ attach to this form)

<https://dot.ca.gov/programs/financial-programming/office-of-federal-programming-data-management-ofpdm>Programming
for FSTIP:

Preliminary Engineering

Right of Way

Construction

_____ \$ _____	_____ \$ _____	_____ \$ _____
(Fiscal Year) (Dollars)	(Fiscal Year) (Dollars)	(Fiscal Year) (Dollars)

Project Description as Shown in RTP and FSTIP:

Detailed Project Description:

The bridge is approximately 12.5' wide consisting of one 9 wide travel lane and 1.75' wide curbs on each side of the lane. The existing bridge width and railing do not meet current standards. The narrow width of the bridge does not safely permit pedestrian and vehicle access simultaneously, resulting in vehicles waiting for pedestrians to cross the bridge before traversing. In addition, emergency vehicles can not cross. Project will remove the bridge and abutments. New bridge style TBD. New bridge will be appx 30-feet wide to accommodate two lanes.

Preliminary Design Information:

Does the project involve any of the following? Please check the appropriate boxes and delineate on an attached map, plan, or layout including any additional pertinent information.

Yes No

☒ ☐ Widen existing roadway
☒ ☐ Increase number of through lanes
☐ ☒ New alignment
☐ ☒ Capacity increasing—other
(e.g., channelization)

☒ ☐ Realignment
☐ ☒ Ramp or street closure
☐ ☐ Bridge work

☒ ☐ Vegetation removal
☒ ☐ Tree removal

Yes No

☒ ☐ Ground disturbance
☒ ☐ Road cut/fill
☒ ☐ Excavation: anticipated
maximum depth _____

☒ ☐ Drainage/culverts
☐ ☒ Flooding protection
☒ ☐ Stream channel work

☒ ☐ Pile driving

☒ ☐ Demolition

Yes No

☒ ☐ Easements
☒ ☐ Equipment staging
☒ ☐ Temporary access road/detour
☒ ☐ Utility relocation
☒ ☐ Right of way acquisition
(if yes, attach map with APN)

☐ ☒ Disposal/borrow sites

☐ ☒ Part of larger adjacent project

☐ ☒ Railroad

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Exhibit 6-A
Preliminary Environmental Study (PES) Form

Required Attachments:

- ☐ Regional map ☒ Project location map ☐ Project footprint map (existing/proposed right of way)
- ☐ Engineering drawings (existing and proposed cross sections), if available ☐ Borrow/disposal site location map, if applicable
(Note: all maps (except project location map and regional maps) should be consistent with the project description (minimum scale: 1" = 200').)
- ☒ GeoTracker Printout for Hazardous Materials (<http://geotracker.waterboards.ca.gov/>).
- ☒ Federal Threatened and Endangered Species List from USFWS (<http://ecos.fws.gov/ipac/>).
- ☒ Federal Threatened and Endangered Species List from NMFS (<http://www.westcoast.fisheries.noaa.gov/maps/data/california> species listtools.html).
- ☒ Current Photos of Project Site ☒ FEMA map ☒ VIA Questionnaire

Examine the project for potential effects on the environment, direct or indirect and answer the following questions. The "construction area," as specified below, includes all areas of ground disturbance associated with the project, including staging and stockpiling areas and temporary access roads.

Each answer must be briefly documented on the "Notes" pages at the end of the PES Form.

A. Potential Environmental Effects	Yes	To Be Determined	No
General			
1. Will the project require future construction to fully utilize the design capabilities included in the proposed project?	☐	☐	☒
2. Will the project generate public controversy?	☐	☒	☐
Noise			
3. Is the project a Type I project as defined in 23 CFR 772.5(h); "construction on new location or the physical alteration of an existing highway, which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes"?	☐	☐	☒
4. Does the project have the potential for adverse construction-related noise impact (such as related to pile driving)?	☐	☒	☐
Air Quality			
5. Is the project in a NAAQS non-attainment or maintenance area?	☐	☐	☒
6. Is the project exempt from the requirement that a conformity determination be made? (If "Yes," state which conformity exemption in 40 CFR 93.126, or 40 CFR 93.128 (check one box below and identify the project type if applicable): ☒ 40 CFR 93.126 ☐ 40 CFR 93.128 Project type: _____	☒	☐	☐
7. Is the project exempt from regional conformity? (If "Yes," state which conformity exemption in 40 CFR 93.127, Table 3 applies): _____	☒	☐	☐
8. If project is not exempt from regional conformity, (If "No" on Question #7) Is project in a metropolitan non-attainment/maintenance area?	☒	☐	☐
Is project in an isolated rural non-attainment area?	☐	☐	☒
Is project in a CO, PM10 and/or PM2.5 non-attainment/maintenance area?	☐	☐	☒
Hazardous Materials/Hazardous Waste			
9. Is there potential for hazardous materials (including underground or aboveground tanks, etc.) or hazardous waste (including oil/water separators, waste oil, asbestos-containing material, lead-based paint, ADL, etc.) within or immediately adjacent to the construction area?	☒	☐	☐
Water Quality/Resources			
10. Does the project have the potential to impact water resources (rivers, streams, bays, inlets, lakes, drainage sloughs) within or immediately adjacent to the project area?	☒	☐	☐

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11. Is the project within a designated sole-source aquifer?	☐	☐	☒
Coastal Zone			
12. Is the project within the State Coastal Zone, San Francisco Bay, or Suisun Marsh?	☐	☐	☒
Floodplain			
13. Is the construction area located within a regulatory floodway or within the base floodplain (100-year elevation of a watercourse or lake)?	☒	☐	☐
Wild and Scenic Rivers			
14. Is the project within or immediately adjacent to a Wild and Scenic River System?	☐	☐	☒
Biological Resources			
15. Is there a potential for federally listed threatened or endangered species, or their critical habitat or essential fish habitat to occur within or adjacent to the construction area?	☒	☐	☐
16. Does the project have the potential to directly or indirectly affect migratory birds, or their nests or eggs (such as vegetation removal, box culvert replacement/repair, bridge work, etc.)?	☒	☐	☐
17. Is there a potential for wetlands to occur within or adjacent to the construction area?	☒	☐	☐
18. Is there a potential for agricultural wetlands to occur within or adjacent to the construction area?	☐	☐	☒
19. Is there a potential for the introduction or spread of invasive plant species?	☒	☐	☐
Sections 4(f) and 6(f)			
20. Are there any historic sites or publicly owned public parks, recreation areas, wildlife or waterfowl refuges (Section 4(f)) within or immediately adjacent to the construction area?	☐	☐	☒
21. Does the project have the potential to affect properties acquired or improved with Land and Water Conservation Fund Act (Section 6(f)) funds?	☐	☐	☒
Visual Resources			
22. Does the project have the potential to affect any visual or scenic resources?	☐	☒	☐
Relocation Impacts			
23. Will the project require the relocation of residential or business properties? (If the answer to questions 23-32 is "yes," then Title VI Implementation and outreach may be triggered)	☐	☒	☐
Land Use, Community, and Farmland Impacts			
24. Will the project require any right of way, including partial or full takes? Consider construction easements and utility relocations.	☒	☐	☐
25. Is the project inconsistent with plans and goals adopted by the community?	☐	☐	☒
26. Does the project have the potential to divide or disrupt neighborhoods/communities?	☐	☐	☒
27. Does the project have the potential to disproportionately affect low-income and minority populations?	☐	☐	☒
28. Will the project require the relocation of public utilities?	☒	☐	☐
29. Will the project affect access to properties or roadways?	☐	☒	☐
30. Will the project involve changes in access control to the State Highway System (SHS)?	☐	☐	☒
31. Will the project involve the use of a temporary road, detour, or ramp closure?	☐	☐	☒
32. Will the project reduce available parking?	☐	☐	☒
33. Will the project construction encroach on state or federal lands?	☐	☐	☒
34. Will the project convert any farmland to a different use or impact any farmlands?	☐	☐	☒
Cultural Resources			
35. Is there National Register listed, or potentially eligible historic properties, or archaeological resources within or immediately adjacent to the construction area? (Note: Caltrans PQS answers question #35)	☐	☒	☐
36. Is the project adjacent to, or would it encroach on Tribal land?	☐	☐	☒

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For Sections B, C, and D, check appropriate box to indicate required technical studies, coordination, permits, or approvals.

B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☒ Traffic <i>Check one:</i> ☐ Traffic Study ☒ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☒ Caltrans ☐ Caltrans	☐ Approval ☒ Approval ☐ Approval
☒ Noise <i>Check as applicable:</i> ☒ Traffic Related ☒ Construction Related <i>Check one:</i> ☐ Noise Study Report ☐ NADR ☒ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☒ Caltrans ☐ Caltrans	☐ Approval ☐ Approval ☒ Approval ☐ Approval
☐ Air Quality <i>Check as applicable:</i> ☐ Traffic Related ☐ Construction Related <i>Check one:</i> ☐ Air Quality Report ☐ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans ☐ FHWA ☐ Caltrans ☐ Regional Agency	☐ Approval ☐ Approval ☐ Approval ☐ Conformity Finding (23 USC 327 CEs, EAs, EISs) ☐ Conformity Finding (23 USC 326 CEs) ☐ PM10/PM2.5 Interagency Consultation
☐ Hazardous Materials/ Hazardous Waste <i>Check as applicable:</i> ☐ Initial Site Assessment (Phase 1) ☐ Preliminary Site Assessment (Phase 2) ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans ☐ Cal EPA DTSC ☐ Local Agency	☐ Approval ☐ Approval ☐ Approval ☐ Review Database ☐ Review Database
☐ Water Quality/Resources <i>Check as applicable:</i> ☐ Water Quality Assess. Report ☐ Technical Memorandum ☐ Discussion in ED Only	☐ Caltrans ☐ Caltrans ☐ Caltrans	☐ Approval ☐ Approval ☐ Approval
☐ Sole-Source Aquifer (Districts 5, 6 and 11)	☐ EPA (S.F. Regional Office)	☐ Approval of Analysis in ED
☐ Coastal Zone	☐ CCC	☐ Coastal Zone Consistency Determination

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B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals
☒ Floodplain		
<i>Check as applicable:</i>		
☒ Location Hydraulic Study	☒ Caltrans	☒ Approval
☐ Floodplain Evaluation Report	☐ Caltrans	☐ Approval
☒ Summary Floodplain Encroachment Report	☒ Caltrans	☒ Approval
	☐ Caltrans	☐ Only Practicable Alternative Finding
	☐ FHWA	☐ Approves significant encroachments and concurs in Only Practicable Alternative Findings
☐ Wild and Scenic Rivers		
	☐ River Managing Agency	☐ Wild and Scenic Rivers Determination
☒ Biological Resources		
<i>Check as applicable:</i>		
☐ NES, Minimal Impact	☐ Caltrans	☐ Approval
☐ NES		
☒ BA	☒ Caltrans	☒ Approves for Consultation
	☒ USFWS	☐ Section 7 Informal/Formal Consultation
	☒ NOAA Fisheries	
☐ EFH Evaluation	☐ NOAA Fisheries	☐ MSA Consultation
☒ Bio-Acoustic Evaluation	☐ NOAA Fisheries	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☒ Wetlands		
<i>Check as applicable:</i>		
☐ WD and Assessment	☒ Caltrans	☒ Approval
	☐ ACOE	☐ Wetland Verification
	☐ NRCS	☐ Agricultural Wetland Verification
	☐ Caltrans	☐ Wetlands Only Practicable Alternative Finding
☒ Invasive Plants		
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ Section 4(f)		
<i>Check as applicable:</i>		
	☐ Caltrans	☐ Determine Temporary Occupancy
☐ De minimis	☐ Caltrans	☐ De minimis finding
☐ Programmatic 4(f) Evaluation Type: _____	☐ Caltrans	☐ Approval
☐ Individual 4(f) Evaluation	☐ Caltrans	☐ Approval
	☐ Agency with Jurisdiction	
	☐ SHPO	
	☐ DOI	
	☐ HUD	
	☐ USDA	
B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/Approvals

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☐ Section 6(f)	☐ Agency with Jurisdiction ☐ NPS	☐ Determines Consistency with Long-Term Management Plan
	☐ NPS	☐ Approves Conversion
☒ Visual Resources		
☒ Technical Memorandum	☒ Caltrans	☒ Approval
☐ Minor VIA	☐ Caltrans	☐ Approval
☐ Moderate VIA	☐ Caltrans	☐ Approval
☐ Advance/Complex VIA	☐ Caltrans	☐ Approval
☐ Relocation Impacts		
<i>Check one:</i>		
☐ Relocation Impact Memo	☐ Caltrans	☐ Approval
☐ Relocation Impact Study	☐ Caltrans	☐ Approval
☐ Relocation Impact Report	☐ Caltrans	☐ Approval
☐ Land Use and Community Impacts		
<i>Check one:</i>		
☐ CIA	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
☐ Construction/Encroachment on State Lands		
<i>Check as applicable:</i>		
☐ SLC Jurisdiction	☐ SLC	☐ SLC Lease
☐ Caltrans Jurisdiction	☐ Caltrans	☐ Encroachment Permit
☐ SP Jurisdiction	☐ SP	☐ Encroachment Permit
☐ Construction/Encroachment on Federal Lands		
	☐ Federal Agency with Jurisdiction	☐ Encroachment Permit
☐ Construction/Encroachment On Indian Trust Lands	☐ Bureau of Indian Affairs	☐ Right of Way Permit
☐ Farmlands		
<i>Check one:</i>		
☐ CIA	☐ Caltrans	☐ Approval
☐ Technical Memorandum	☐ Caltrans	☐ Approval
☐ Discussion in ED Only	☐ Caltrans	☐ Approval
<i>Check as applicable:</i>		
☐ Form AD 1006	☐ NRCS	☐ Approves Conversion
	☐ CDOC	☐ Approves Conversion
☐ Conversion to Non-Agri Use	☐ ACOE	

Local Assistance Procedures Manual
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B. Required Technical Studies and Analyses	C. Coordination	D. Anticipated Actions/Permits/ Approvals
☒ Cultural Resources (PQS completes this section)		
	☐ Caltrans PQS	☐ Screened Undertaking
☒ APE Map	☐ Caltrans PQS and DLAE	☐ Approves APE Map
	☐ Local Preservation Groups and/or Native American Tribes	☐ Provides Comments Regarding Concerns with Project
☒ HPSR ☒ ASR ☐ HRER	☒ Caltrans	☒ Approves for Consultation
☐ Finding of Effect Report	☐ Caltrans	☐ Concurs on No Effect, No Adverse Effect with Standard Conditions
	☐ SHPO	☐ Letter of Concurrence on Eligibility, No Adverse Effect without Standard
☐ MOA	☐ Caltrans	☐ Approves MOA
	☐ SHPO	☐ Approves MOA
	☐ ACHP (if requested)	☐ Approves MOA
☐ Permits Copies of permits and a list of mitigation commitments are mandatory submittals following NEPA approval.		
	☐ ACOE	☐ Section 404 Nationwide Permit
	☐ ACOE	☐ Section 404 Individual Permit
	☐ Caltrans/ACOE/EPA ☐ USFWS ☐ NOAA Fisheries	☐ NEPA/404 Integration MOU
	☐ ACOE	☐ Rivers and Harbors Act Section 10 Permit
	☐ USCG	☐ USCG Bridge Permit
	☐ RWQCB	☐ Section 401 Water Quality Certification
	☐ CDFW	☐ Section 1602 Streambed Alteration Agreement
	☐ RWQCB	☐ NPDES Permit
	☐ CCC ☐ Local Agency	☐ Coastal Zone Permit
	☐ BCDC	☐ BCDC Permit

Notes: Additional studies may be required for other federal agencies.

Local Assistance Procedures Manual**Exhibit 6-A**
Preliminary Environmental Study (PES) Form

ACHP	=	Advisory Council on Historic Preservation	HRER	=	Historical Resources Evaluation Report
ACOE	=	U.S. Army Corps of Engineers	HUD	=	U.S. Housing and Urban Development
ADL	=	Aerially Deposited Lead	MOA	=	Memorandum of Agreement
APE	=	Area of Potential Effect	MSA	=	Magnuson-Stevens Fishery Conservation and Management Act
APN	=	Assessor Parcel Number	NEPA	=	National Environmental Policy Act
ASR	=	Archaeological Survey Report	NADR	=	Noise Abatement Decision Report
BA	=	Biological Assessment	NES	=	Natural Environment Study
BCDC	=	Bay Conservation and Development Commission	NHPA	=	National Historic Preservation Act
BE	=	Biological Evaluation	NOAA	=	National Oceanic and Atmospheric Administration
BO	=	Biological Opinion	NMFS	=	National Marine Fisheries Service
Cal EPA	=	California Environmental Protection Agency	NPDES	=	National Pollutant Discharge Elimination System
CCC	=	California Coastal Commission	NPS	=	National Park Service
CDFW	=	California Department of Fish and Wildlife	NRCS	=	Natural Resources Conservation Service
CDOC	=	California Department of Conservation	PM10	=	Particulate Matter 10 Microns in Diameter or Less
CE	=	Categorical Exclusion	PM2.5	=	Particulate Matter 2.5 Microns in Diameter or Less
CIA	=	Community Impact Assessment	PMP	=	Project Management Plan
CWA	=	Clean Water Act	PQS	=	Professionally Qualified Staff
DLAE	=	District Local Assistance Engineer	ROD	=	Record of Decision
DOI	=	U.S. Department of Interior	RTIP	=	Regional Transportation Improvement Program
DTSC	=	Department of Toxic Substances Control	RTP	=	Regional Transportation Plan
EA	=	Environmental Assessment	RWQCB	=	Regional Water Quality Control Board
ED	=	Environmental Document	SER	=	Standard Environmental Reference
EFH	=	Essential Fish Habitat	SEP	=	Senior Environmental Planner
EIS	=	Environmental Impact Statement	SHPO	=	State Historic Preservation Officer
EPA	=	U.S. Environmental Protection Agency	SLC	=	State Lands Commission
FEMA	=	Federal Emergency Management Agency	SP	=	State Parks
FHWA	=	Federal Highway Administration	TIP	=	Transportation Improvement Program
FONSI	=	Finding of No Significant Impacted	USCG	=	U.S. Coast Guard
FTIP	=	Federal Transportation Improvement Program	USDA	=	U.S. Department of Agriculture
HPSR	=	Historic Property Survey Report	USFWS	=	U.S. Fish and Wildlife Service
			WD	=	Wetland Delineation

E. Preliminary Environmental Document Classification (NEPA)

Based on the evaluation of the project, the environmental document to be developed should be:

Check one:

- ☐ Environmental Impact Statement (*Note: Engagement with participating agencies in accordance with 23 USC 139 required*)
- ☐ Compliance with 23 USC 139 regarding Participating Agencies required
- ☐ Complex Environmental Assessment
- ☐ Routine Environmental Assessment
- ☐ Categorical Exclusion without required technical studies.
- ☒ Categorical Exclusion with required technical studies

(if Categorical Exclusion is selected, check one of the following):

- ☒ Section 23 USC 326
- ☒ 23 CFR 771 activity (c) (28)
- ☐ 23 CFR 771 activity (d) ()
- ☐ Activity listed in the Section 23 USC 326
- ☐ Section 23 USC 327

F. Public Availability and Public Hearing

Check as applicable:

- ☒ Not Required
- ☐ Notice of Availability of Environmental Document
- ☐ Public Meeting
- ☐ Notice of Opportunity for a Public Hearing
- ☐ Public Hearing Required

G. Signatures**Local Agency Staff and/or Consultant Signature**

(Signature of Preparer)

(Date)

(Telephone No.)

(Name)

Local Agency Project Engineer Signature

This document was prepared under my supervision, according to the *Local Assistance Procedures Manual*, Exhibit 6-B, "Instructions for Completing the Preliminary Environmental Study Form."

(Signature of Local Agency)

(Date)

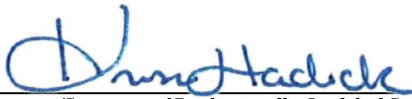
(Telephone No.)

Local Assistance Procedures Manual

Exhibit 6-A
Preliminary Environmental Study (PES) Form

Caltrans District Professionally Qualified Staff (PQS) Signature

- ☐ Project does not meet definition of an "undertaking"; no further review is necessary under Section 106 ("No" Section A, #35).
- ☐ Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA and based on the information provided in the PES Form, the project does not have the potential to affect historic properties ("No" Section A, #35).
- ☐ Project is limited to the type of activity listed in Attachment 2 of the Section 106 PA, but the following additional procedures or information is needed to determine the potential for effect ("To Be Determined" Section A, #35):
- ☐ Records Search ☐ _____ ☐ _____ ☐ _____
- ☐ Project meets the definition of an "undertaking"; all properties in the project area are exempt from evaluation per Attachment 4 of the Section 106 PA ("No" Section A, #35).
- ☒ The proposed undertaking is considered to have the potential to affect historic properties; further studies for 106 compliance are indicated in Sections B, C, and D of this PES Form ("Yes" Section A, #35).



(Signature of Professionally Qualified Staff)

10/01/2025

(Date)

805-458-1238

(Telephone No.)

The following signatures are required for all CEs, routine and complex EAs, and EISs:

Caltrans District Senior Environmental Planner (or Designee) and DLAE Signatures

I have reviewed this Preliminary Environmental Study (PES) Form and determined that the submittal is complete and sufficient. I concur with the studies to be performed and the recommended NEPA Class of Action.



(Signature of Senior Environmental Planner or Designee)

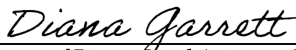
10/24/25

(Date)

805-478-8952

(Telephone No.)

(Name)



(Signature of District Local Assistance Engineer or Designee)

10/30/25

(Date)

805-406-4046

(Telephone No.)

Diana Garrett

(Name)

- ☐ HQ DEA Environmental Coordinator concurrence _____. Email concurrence attached.
(date)

Attachment A: Notes to Support the Conclusions of the PES Form

1. No, the project will not require future construction to fully utilize the design capabilities of the proposed project.
2. No, it is not anticipated that the project will generate public controversy on environmental grounds. The County will perform outreach to the community throughout the life of the project.
3. No, the project is not considered a Type 1 project as defined in 23 CFR 772.5(h).
4. Yes, the project has the potential for adverse construction-related noise impacts to the surrounding residential neighborhood. Construction will only occur during the County's allowable daytime construction hours and will comply with all applicable local noise ordinances and regulations. The County will ensure the project plans and specifications incorporate Section 14-8 of the Caltrans Standard Specifications (Noise Control). IF piles are driven, we will have to look into for analysis and AMMs.
5. No, the project is not in a NAAQS non-attainment or maintenance area.
6. No, the project is not exempt from the requirement that a conformity determination be made.
7. No, the project is not exempt from regional conformity.
8. No, the project is not in a metropolitan non-attainment/maintenance area, is not in an isolated rural non-attainment area, and is not in a CO, PM10 and/or PM2.5 non-attainment/maintenance area.
9. Yes, there is potential for hazardous materials/waste within or immediately adjacent to the construction area. The County will test the existing bridge for lead-based paint and asbestos-containing material and if present will incorporate appropriate provisions into the contract specifications. **Apply Caltrans Standard Provision # 14-9.02 and 14-11.08 and 14-11.09 and 14- 11.16**
10. Yes, the project has the potential to impact Boronda Creek. The County will ensure the project plans and specifications incorporate Section 13, Water Pollution Control, of the Caltrans Standard Specifications, implement BMPS, and require a Stormwater Pollution Prevention Plan or Water Pollution Control Plan be prepared. The project will also comply with the water quality protection measures required by regulatory permitting agencies.
11. No, the project is not within a designated sole-source aquifer.
12. No, the project is not within the State Coastal Zone, San Francisco Bay, or Suisun Marsh.
13. Yes, the project is within the 100-year floodplain of Boronda Creek.
14. No, the project not within or immediately adjacent to a Wild and Scenic River System.
15. Yes, there is a potential for the following federally listed species to occur: California reg-legged frog, western pond turtle, and steelhead.
16. Yes, there is potential for the project to affect migratory birds (or their nests or eggs) due to vegetation removal and bridge work. Vegetation will take place outside of nesting bird season if possible. If vegetation removal takes place during nesting bird season, a biologist will conduct a nesting bird survey in the 7 days prior to removal. If active nests are found, a no-work buffer surrounding the nest will be determined in consultation with CDFW. The no-work buffer will remain in place until the biologist has confirmed the young are foraging independently or the nest has failed.
17. Yes, there is potential for wetlands to occur within or adjacent to the construction area.

18. No, there is no potential for agricultural wetlands to occur within or adjacent to the construction area.
19. Yes, there is potential for the introduction of invasive plant species at the project site, however the plans and specifications will require that all BMPs and landscaping materials be free of invasive species. If invasive species are found at the project site they will be properly disposed of.
20. No, there are no historic sites or publicly owned public parks, recreation areas, or wildlife or waterfowl refuges (Section 4[f]) within or immediately adjacent to the construction area.
21. No, the project does not have the potential to affect properties acquired or improved with Land and Water Conservation Fund Act (Section 6[f]) funds.
22. Yes. Based on the **Attached VIA Questionnaire**, minor visual changes are anticipated to occur. Minor public concern may be expected. A Visual Memo is appropriate in this situation. Visual simulations are not necessary. Memo should be restricted to appx 10 pages.
23. No, the project will not require the relocation of residential or business properties.
24. Yes temporary construction easements.
25. No, the project is not inconsistent with plans and goals adopted by the community.
26. No, the project does not have the potential to divide or disrupt neighborhoods/communities.
27. No, the project does not have the potential to disproportionately affect low-income and minority populations.
28. Yes, the project will require the relocation of the following public utilities: water, sewer, gas, electrical, and telephone. These services must notify customers well in advance of any service disconnect.
29. Yes, the project will temporarily affect access to properties or roadways. Vehicle, pedestrian, and bicycle access to the adjacent properties will be maintained apart from brief periods necessary to facilitate construction. The County will provide advance notification of the construction work schedule to the community and stakeholders. A traffic control plan will be incorporated into the Traffic plans and specifications. All traffic control devices will comply with the California Manual on Uniform Traffic Control Devices. There will be continued access during duration of construction.
30. No, the project will not involve changes in access control to the State Highway System.
31. This is the only access to the community it serves. Access across creek is required at all times.
32. The project will not permanently reduce the available parking.
33. No, the project construction will not encroach on state or federal lands.
34. No, the project will not convert any farmland to a different use or impact any farmlands.
35. A portion of the adjacent RSP of stone was used and will be reworked into the final project.
36. No the project is not adjacent to Tribal land.

Caltrans District 5 Local Assistance Environmental Section 106 Documentation

Introduction

This information is being provided to you because this project has the potential to affect historic properties¹ (see PES form).

The Local Agency will need to hire qualified Cultural Resources consultants to prepare documents for compliance with Section 106 of the National Historic Preservation Act of 1966 (as amended) (NHPA) and Caltrans Programmatic Agreement (PA) with the Federal Highway Administration, California State Historic Preservation Officer (SHPO), and the Advisory Council on Historic Preservation.

Guidance for consultant qualifications can be found online at [Caltrans' Standard Environmental Reference website \(Volume 2, Chapter 1, Section 1.3.7\)](#).

Guidance for completing Section 106 documents may also be found online at [Caltrans' Standard Environmental Reference website](#). Conformity to Caltrans' templates for all documentation is required. Moreover, all Section 106 documentation will require review by Caltrans Professionally Qualified Staff (PQS).

In Section B of the PES form, PQS have identified which Cultural Resources studies will be required for this project. Note that this is a preliminary opinion and may change as more project description and Cultural Resources information becomes available.

Area of Potential Effects (APE) Map

The first step in the process is to prepare a map showing the Area of Potential Effects (APE). The APE map may be prepared and submitted for review ahead of the Cultural Resources consultants starting work.

The APE map depicts the area that will be potentially affected by the project, including but not limited to, staging areas, access roads, utility relocation, temporary bridges, right-of-way acquisition and temporary construction easements². Under direction of the PQS, the APE map should include the boundary of historic resources that are located within or immediately adjacent to the project area. The primary number, trinomial, or designation should be listed.

The map should be plotted on an aerial photograph or other base at a scale of approximately 1 inch = 200 ft. A maximum size of 11 inches by 17 inches is preferred, using multiple sheets as necessary. Typically, one APE line is depicted that includes all areas of direct impact, the entirety of all parcels from which there will be a right-of-way acquisition or temporary easement for construction or detour, and the boundary of any architectural history or archaeological properties. In addition to the APE boundary, and location of historic properties, the Area of Direct Impact should be delineated.

The APE map should have a title block that includes the project name, federal ID number, and three signature lines: Caltrans PQS, Local Assistance Engineer, and Local Agency Representative.

¹ Historic Properties are defined as properties listed in, or meet the criteria for listing in, the [National Register of Historic Places](#)

² A fuller explanation of the APE map delineation requirements can be found in the PA Attachment 3,

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Caltrans will review and sign the APE map prior to reviewing studies as the APE map informs these reports. However, note that if historic properties are identified or the project scope changes, the APE map may require revision.

Cultural Resource Reports

Following completion of the APE map, Cultural Resources studies will need to be prepared by your consultants for submission to Caltrans³. At this time, your archaeological consultant should complete a records search and Sacred Lands File (SLF) search. Once results are received, please transmit to the assigned Environmental Planner. The Local Assistance Archaeologist will then initiate consultation with Native American tribes under Section 106. Refer to the *Caltrans District 5 Local Assistance Environmental Section 106 Compliance for Native American Consultation* document for further information.

Please follow the PES form or any subsequent advice from Caltrans PQS regarding what studies are required. The different reports are summarized below. Additionally, Figure 1 overleaf provides a flow chart of how the Section 106 process may be navigated.

Archaeological Survey Report (ASR), Exhibit 5.1*

Written by a professionally-qualified archaeologist, this report documents the efforts to identify archaeological resources within the Archaeological APE. It will also document the required Native American outreach efforts.

Historic Resource Evaluation Report (HRER), Exhibit 6.2*

Written by a professionally qualified architectural historian, this report documents the efforts to identify and evaluate built environment resources for the National Register of Historic Places within the Architectural APE. Each evaluation requires its own DPR form⁴ appended to the HRER. After District review, this requires a 30-day review at SHPO.

When there are no resources requiring evaluation, the HRER will not be required. Caltrans PQS are available to confirm to your consultants whether resources may be exempted from evaluation or when historic evaluations are simple enough that DPR forms can be submitted without a HRER.

Historic Property Survey Report (HPSR), Exhibit 2.6*

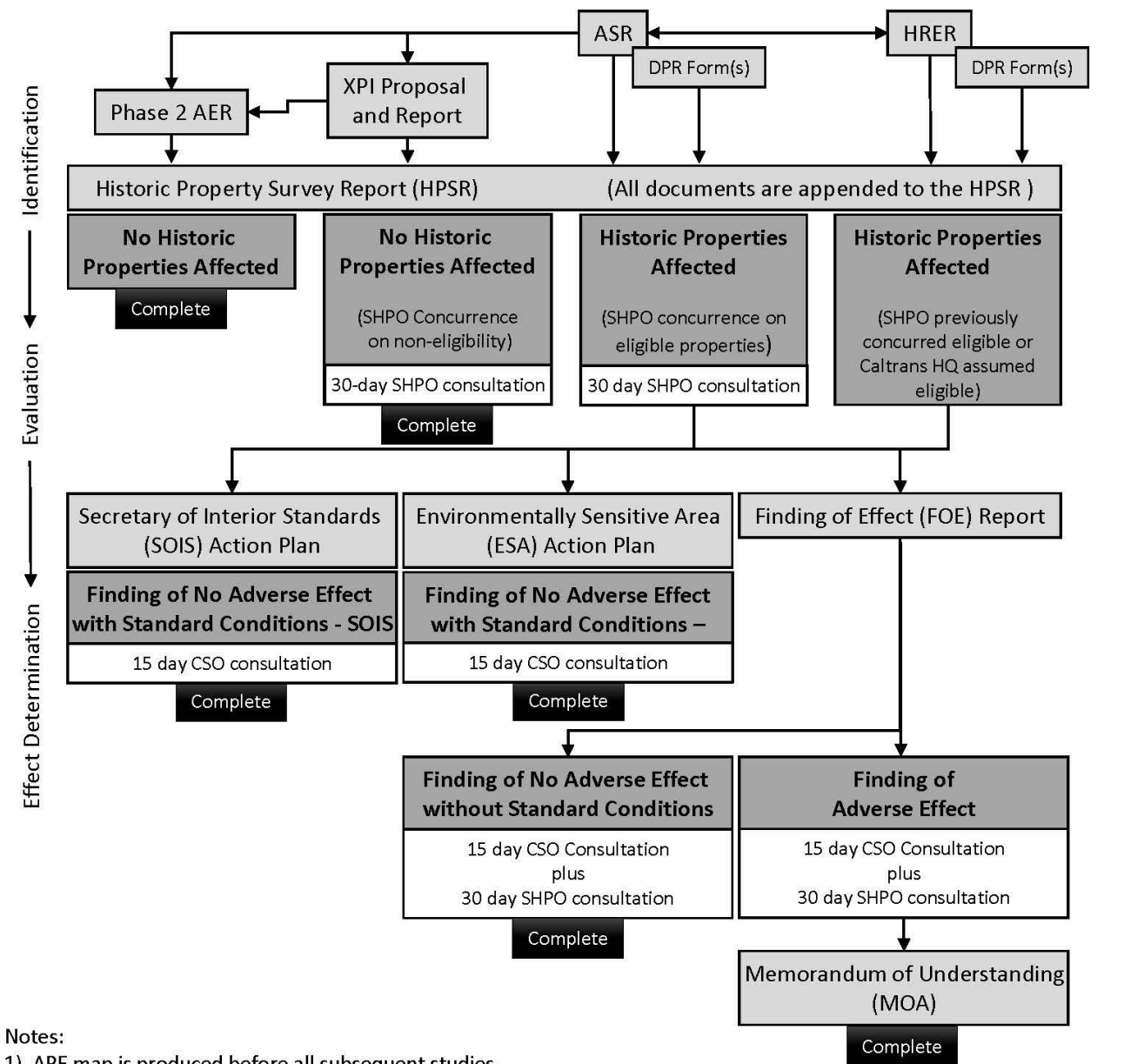
The HPSR serves as a summary report, to which the ASR and HRER, along with additional documentation defined below, are attached. Please use the [HPSR short form](#).

*Exhibits can be found on the Caltrans SER website at <https://dot.ca.gov/programs/environmental-analysis/standard-environmental-reference-ser/volume-2-cultural-resources>

³ Reports should not be submitted until the APE map is signed by Caltrans

⁴ Department of Parks and Recreation 523 Form

Caltrans District 5 Local Assistance Environmental Section 106 Documentation



- Notes:
- 1) APE map is produced before all subsequent studies.
 - 2) Historical Archaeology may be covered in both the ASR and HRER
 - 3) Where special circumstances, such as restricted access or large property size, preclude complete evaluation of a property, Caltrans may assume eligibility through Stipulation VIII.C3 or C4 of the PA. This is undertaken through an exchange of emails between PQS and Caltrans HQ although information from the Local Agency and/or consultant may be required to inform this process. Alternatively, for archaeological sites, Caltrans may request a phased approach be undertaken. The phased approach defers evaluation until sufficient information is available and requires a Phased Implementation Plan. If an adverse effect is predicted, then a Programmatic Agreement will also need to be prepared, agreed, and signed by SHPO.

Document
Consultation Duration
Finding for the Undertaking
Section 106 Complete

Figure 1: Flow Chart showing Section 106 process

Caltrans District 5 Local Assistance Environmental Section 106 Documentation

XPI Proposal, Testing and Report, Exhibits 5.2 & 5.3*

An Extended Phase I (XPI) identifies archaeological resources through sub-surface testing. This may be required to confirm the presence or absence of a site(s), to define site boundaries or in areas of high sensitivity for buried archaeological deposits. A proposal (Exhibit 5.2) explaining and describing the field methods to be used needs to be approved by Caltrans PQS prior to any testing. A report (Exhibit 5.3) on the results will then be prepared and submitted for Caltrans PQS review.

Archaeological Evaluation Report (AER), Exhibits 5.4 & 5.5*

The Archaeological Evaluation Report, also known as Phase II, provides the basis for determining whether an archaeological site is eligible for inclusion in the National Register. A proposal (Exhibit 5.4) describing the methods of evaluation needs to be approved by Caltrans PQS. The report (Exhibit 5.5) will then present the results of the excavation and provide recommendations on the eligibility of the site.

Data Recovery, Exhibits 5.6, 5.7, & 5.8*

Data Recovery is warranted as a mitigation measure when the project is assumed to or will have an adverse effect to an archaeological site. A Data Recovery Plan (DRP) (Exhibit 5.6) is a technical appendix to a FAE and/or a MOA. The purpose of a Data Recovery Plan is to demonstrate that Caltrans' level of effort appears justified, and the expected costs are not unreasonable. The Archaeological Data Recovery Proposal (Exhibit 5.7), also referred to as a Phase III Proposal, is different from the DRP in that it builds on the DRP research design and provides a work plan with more detailed information concerning project schedule, personnel, and cost. An Archaeological Data Recovery Report (Exhibit 5.8), also referred to as a Phase III Report, serves to communicate data recovery findings.

Post-Review Discovery Plan, Exhibits 5.11 & 5.12*

A Discovery Plan (Exhibit 5.11) is appropriate if the potential for discovery of cultural resources during construction is likely and outlines the process that Caltrans and the Local Agency will implement to address potential adverse effect in the event that such resources are encountered. It is also possible to conduct a reasonable and good faith effort to identify historic properties during the planning phase of a project and still encounter previously unrecorded archeological resources during the project's implementation. In these instances, a Post-Review Discovery – Without Plan (Exhibit 5.12) will be followed.

Finding of Effect (FOE)

When Caltrans PQS has determined that a No Historic Properties Affected Finding is not appropriate, then the effects of the project on historic properties must be assessed. There are two effect findings - No Adverse Effect and Adverse Effect. A Finding of No Adverse Effect can be with or without standard conditions (SOIS or ESA). Please consult with Caltrans PQS to determine the appropriate finding:

a) Finding of No Adverse Effect - Secretary of Interior Standards (SOIS) (Exhibit 2.12*). This plan uses the Secretary of the Interior's Standards for the Treatment of Historic Properties. It is

Caltrans District 5 Local Assistance Environmental Section 106 Documentation

typically used to protect and preserve eligible built environment properties. Following District review, this requires a 15-day review at Caltrans HQ, Sacramento (CSO).

b) Finding of No Adverse Effect - Environmentally Sensitive Area (ESA) (Exhibit [2.11*](#)). This plan protects archaeological sites or historic properties that need some measure of active protection during the implementation of a project. Following District review, this requires a 15-day review at CSO.

c) Finding of No Adverse Effect (Exhibit [2.8*](#)). This is used when the project's effects are not adverse but the standard conditions (SOIS or ESA) cannot be used or are preferred not to be used. Following District review, this requires a 15-day review at CSO, followed by a 30-day review at SHPO.

d) Finding of Adverse Effect (Exhibit [2.9*](#)). This document is completed when the project will have an adverse effect to a historic property. Following District review, this requires a 15-day review at CSO, followed by a 30-day review at SHPO.

Memorandum of Agreement (MOA) and Agreement Documents (Exhibit [2.10*](#))

When an Adverse Effect to Historic Properties can't be avoided, CSO and SHPO enter into a Memorandum of Agreement (MOA) to resolve the adverse effects. A MOA is a legally binding document that is also signed by secondary stakeholders including Caltrans District 5 and the Local Agency. There is no standard review time for the SHPO to sign a MOA.

Caltrans D5 Local Assistance Environmental Section 106 Compliance for Native American Consultation

This document outlines procedures and protocol for conducting Native American consultation as part of Section 106 compliance for Caltrans District 5 Office of Local Assistance (OLA). The goal is to ensure meaningful consultation with Native American Tribes, including both Federally and non-Federally recognized Tribes consistent with legal and regulatory requirements, and respectful of tribal sovereignty and cultural heritage through good faith consultation efforts.

Native American Tribes hold a special consultative role in the context of federal and state historic preservation compliance due to their unique relationship to archaeological sites, sacred/ceremonial areas, and traditional cultural properties and landscapes.

Roles and Responsibilities

Caltrans Local Assistance Archaeologist

The Caltrans Local Assistance Archaeologist is responsible for overseeing and conducting all aspects of Section 106 consultation with Native American Tribes. This includes preparing and sending consultation letters, coordinating and participating in consultation activities, and ensuring compliance with Caltrans protocols throughout the process. The Caltrans Local Assistance Archaeologist manages the entire consultation process, maintaining consistency and ensuring that tribal concerns are adequately captured and addressed.

Caltrans Environmental Generalist

The Generalist remains the main point of contact for communication for Local Agencies and their Consultants. The Generalist will coordinate the scheduling of consultation meetings. The Local Assistance Generalists have been trained in and abide by confidentiality practices surrounding cultural resources and tribal knowledge.

Local Agencies

Local Agencies are responsible for collaborating with Caltrans Local Assistance Archaeologist and the Tribes during the consultation process. They must provide project information, participate in meetings, and assist with the coordination of any necessary site visits. Local Agencies are encouraged to establish strong working relationships with tribal governments, in cooperation with Caltrans, to promote effective cross-jurisdictional planning and collaboration among all parties and stakeholders.

Cultural Consultants

Cultural consultants engaged by the Local Agency are responsible for providing expertise on archaeological and cultural resource management and issues. They will present cultural resource findings, cultural sensitivity analyses, and recommendations during the consultation process.

Consultation Process

Step 1: Preparation for Consultation

Before Caltrans Local Assistance Archaeologist can initiate consultation, the following preparatory steps must be completed:

- Area of Potential Effects (APE) Approval: The APE must be approved by Caltrans D5 Local Assistance Archaeologist and D5 OLA.
- Sacred Lands File Search: Caltrans will perform a Sacred Lands File search through the Native American Heritage Commission (NAHC).
- NWIC Record Search: The Local Agency or their consultants are responsible for obtaining the

Northwest Information Center (NWIC) record search results. The results must be transmitted to Caltrans.

Step 2: Sending Consultation Letters

Once the above preparatory steps are complete, the Caltrans Local Assistance Archaeologist will prepare and transmit consultation letters to the Tribes identified by the NAHC. These letters will provide a general project description, any resources that have been previously identified, Sacred Lands File search results, mapping, and invite the Tribes to participate in the consultation process under Section 106. After 14 days, Caltrans Local Assistance Archaeologist will follow-up with tribes who did not respond to the original letter.

Consultation logs will be prepared and maintained by the Caltrans Local Assistance Archaeologist. The consultation log and associated documents will be transmitted to the Local Agency after follow-up communications are conducted. During preparation of Section 106 documents that include Native American consultation sections, please request updated consultation logs for inclusion in the document. As consultation is ongoing, these sections may need updating.

Step 3: Responding to Tribal Requests for Consultation

If a Tribe requests consultation or information about the project, a virtual meeting will be scheduled with the participation of the Caltrans Local Assistance Archaeologist, the Local Agency, the Cultural Consultants, and the Tribe. The meeting will have four parts:

1. Discussion of Project Elements: During the meeting, the Local Agency will present the project elements through visuals and answer any questions from the Tribe.
2. Archaeological and Cultural Resource Discussion: Cultural consultants will present any archaeological findings, site sensitivity analyses, or other relevant information. APE maps or other visuals should be utilized.
3. Section 106 Compliance Planning: The meeting will conclude with a discussion of the Section 106 compliance plan, including the proposed finding for the project or plans for further technical studies. The Caltrans Local Assistance Archaeologist will generally present on this topic.
4. Questions, comments, or concerns can be addressed in an open discussion at the end of the meeting.

Step 4: Site Visits

If warranted, a site visit may be arranged following the virtual meeting. The site visit will include representatives from the Caltrans Local Assistance Archaeologist, the Local Agency, their consultants, and the Tribe. The purpose of the visit is to allow for an on-the-ground evaluation of the project area and to facilitate further discussion of cultural resources.

Step 5: Ongoing Consultation

Consultation with Native American Tribes should be an ongoing process throughout the life of the project. Early and frequent consultation is required, especially if there are changes to the project description or scope. The Caltrans Local Assistance Archaeologist will determine when updated consultation is necessary and will coordinate as needed.

Tribal members may participate in identification, evaluation, mitigation, and minimization efforts, through survey and sub-surface identification, data recovery, monitoring, and document review. If Tribes request to participate in document review, it does not run concurrently with Caltrans review, and will occur after Caltrans has ensured the document meets Section 106 standards. Local agencies may need to contract directly with Tribes for their services.

Compliance with NEPA and Section 106 Responsibilities

In California, the FHWA has assigned, and Caltrans has assumed, all the U.S. Department of Transportation's responsibilities under the National Environmental Policy Act (NEPA) and serves as both the Lead Federal Agency and Federal Agency Official for federal-aid highway projects. This arrangement is codified in both the NEPA Assignment Memoranda of Understanding (NEPA MOU) and the Section 106 Programmatic Agreement (106 PA). Under these agreements, Caltrans assumes the lead on project-level consultations with Native American Tribes.

In carrying out both its NEPA and Section 106 responsibilities, Caltrans is responsible and accountable for conducting consultation with Native American Tribes in a manner that recognizes the federal government-to-government relationship and is respectful of tribal sovereignty. Caltrans' federally assigned responsibilities also apply to all locally sponsored transportation projects that receive federal aid highway funds (the Local Assistance Program). Caltrans oversees all Local Assistance projects to ensure compliance with federal standards under both NEPA and Section 106, including tribal engagement and consultation.

If requested by the Tribe, consultation can also occur directly from the Tribe with FHWA through government-to-government consultation.

Conclusion

The Section 106 consultation process with Native American Tribes is a critical component of Section 106 compliance. All consultation activities must be conducted with the involvement of the Caltrans Local Assistance Archaeologist and in accordance with Caltrans protocols. By engaging Tribes early and often, Caltrans and Local Agencies can ensure that tribal concerns are adequately addressed, and that projects are developed in a manner that respects and protects cultural resources whenever possible and takes into account tribal perspectives.

Caltrans District 5 NMFS PBA

Project Checklist / Notification

Instructions: Edit Title for whichever is relevant (Checklist or Notification). Do not delete components of this template because this is part of the PBO. Delete Instructions when complete.

Checklist or Notification (check appropriate) & Date Submitted:

☐

Checklist Date:

☐

Notification Date:

Project Name:		
Hwy/PM:	EA:	County:
Federal Nexus:	Biologist:	
Watershed(s) ¹ :		
Affected Waterbody(ies):		

Covered Species ESU-DPS/Resource/Habitat (check all applicable):

☐

CCC Coho

☐

CCC Coho CH

☐

Migratory Habitat

☐

CCC Steelhead

☐

CCC Steelhead CH

☐

Rearing Habitat

☐

SCCC Steelhead

☐

SCCC Steelhead CH

☐

Spawning Habitat

☐

SC Steelhead

☐

SC Steelhead CH

☐

Riparian Habitat

☐

Pacific Coast Salmon EFH

☐

Pacific Coast Groundfish EFH

☐

Coastal Pelagic Species EFH

Programmatic Category (relative to pre-construction coordination/approval from NMFS):

☐

1 (pre-coordination not required)

☐

2 (pre-coordination and approval required)

Project Activities Potentially Affecting Covered Species (check all applicable):

☐

Geotechnical Drilling

☐

Road Widening & New Lanes

☐

Building Staging Areas & Access Roads

☐

Repairing & Rehabilitating Culverts & Bridges

☐

Constructing Temporary Stream Crossings

☐

Replacing Culverts

☐

Dewatering & Diverting Water Around Work Areas

☐

Replacing & Installing Bridges

☐

Removing & Relocating Species

☐

Pile Driving

☐

Clearing Sediment & Debris

☐

Installing Fish Passage Improvements

☐

Bank Stabilization, Scour & Erosion Control

☐

Installing Aquatic Habitat Features

☐

Vegetation Management

☐

Revegetation

Anticipated Key Project Milestone Dates (relevant to PBO):

Category 1 Documentation Complete:
Category 2 Early Coordination with NMFS (start date):
Category 2 Project Notification Report Target Submittal:
Category 2 NMFS Approval Target Due:
Construction Period (Start [Award] – Close [Acceptance]):

Project Description and justification for category assignment (added pages as needed):

¹ SF Coastal South, Monterey Bay, Pajaro, Salinas-Estrella, Central Coastal, Santa Maria-Cuyama, San Antonio, Santa Ynez, Santa Barbara Coastal

Caltrans District 5 NMFS PBA

Project Notification

Instructions: Add Checklist as a "Cover Page". Do not delete components of this template because this is part of the PBO. Copy/add info if project will impact more than one ESU-DPS-Resource/Watershed/Waterbody/Habitat Type. Add pages for relevant attachments, including title pages for the attachment. Insert all pages into one combined document for submitting to NMFS. Delete instructions when complete.

ESU-DPS-Resource/Watershed/Waterbody/Habitat Type¹:

Anticipated Category 2 Adverse Impacts²:

Check Box	Impact Type	Linear (ft)	Area (ac)	Volume (CY)
☐	Covered Species present during geotech drilling			
☐	Temporary staging/storage/access			
☐	Temporary stream crossing			
☐	Temporary dewatering/diversion			
☐	Temporary disturbance for habitat improvements			
☐	Total temporary aquatic impacts			
☐	Total temporary riparian impacts			
☐	Handling Covered Species			
☐	Net change in natural substrate			
☐	Net change in LWD			
☐	Perpetuate existing hard armoring			
☐	Net change in hard armoring			
☐	Net change in aquatic vegetation			
☐	Net change in riparian vegetation			
☐	Modify fish passage or improve existing barrier			
☐	Aquatic habitat improvement			
☐	Pile driving when Covered Species present			
☐	Other:			

Description of Anticipated Adverse Impacts:

Site-Specific Avoidance/Minimization Measures (other than Program-Wide and Activity-Specific BMPs from PBO):

Description of Improvements, Beneficial Effects and Mitigation Measures (if relevant):

¹ See Checklist or Notification Page 1.

² Per Species ESU-DPS/Protected Habitat/Watershed/Waterbody/Habitat Type; impacts to relevant Protected Resources.

Caltrans District 5 NMFS PBA
Project Notification

Instructions: Add Checklist as a "Cover Page". Do not delete components of this template because this is part of the PBO. Copy/add info if project will impact more than one ESU-DPS-Resource/Watershed/Waterbody/Habitat Type. Add pages for relevant attachments, including title pages for the attachment. Insert all pages into one combined document for submitting to NMFS. Delete instructions when complete.

Relevant Attachments:

☐	Impact Map	☐	Concept Mitigation Plan
☐	Project Plans	☐	Hydroacoustic Analysis
☐	Hydraulic Study	☐	Fish Passage Plan
☐	Contractor's Dewatering/Diversion Plan	☐	Mitigation and Monitoring Plan
☐	Fish Handling & Relocation Plan	☐	Other: