STATE OF CALIFORNIA
STANDARD AGREEMENT
STD 213 (rev 9/01)
Division Of Procurement And Contracts (DPAC) A&E Boiler Revision Date 6/11/13

Department Of Transportation

AGREEMENT NUMBER	REGISTRATION NUMBER
07A3435	

1. This Agreement is entered into between the State Agency and the Contractor named below:

STATE AGENCY'S NAME
STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION (Hereinafter referred to as "Department" or "Caltrans")

CONSULTANT'S NAME
TranSystems Corporation (Hereinafter referred to as "the Consultant")

2. The term of this Agreement is from August 22, 2013 or upon Caltrans approval, whichever is later, through August 14, 2017.

3. The maximum amount of this Agreement is: $5,000,000.00 Five Million Dollars and No Cents

4. The parties agree to comply with the terms and conditions of the following exhibits/attachments which are by this reference made a part of the Agreement.

Exhibit A – Scope Of Work And Deliverables	4	Pages
Exhibit B – Budget Detail And Payment Provisions	7	Pages
Exhibit C – General Terms And Conditions 610 (Electronic File: GTC 610*)	1	Page
Exhibit D – Special Terms And Conditions	27	Pages
Exhibit E – Additional Provisions	10	Pages
Exhibit F – Prevailing Wage Requirements	7	Pages
Attachment 1 – Scope Of Work	18	Pages
Attachment 2 – Cost Proposal	33	Pages
Attachment 3 – Sample Task Order Format	5	Pages
Attachment 4 – DBE Participation (form ADM-0227F A&E)	1	Page
Attachment 5 – Disadvantaged Business Enterprises Utilization Report (form ADM-3069)	2	Pages
Attachment 6 – Federal Prevailing Wage Determinations	17	Pages

Items shown with an Asterisk (*) are hereby incorporated by reference and made part of this Agreement as if attached hereto. These documents can be viewed at http://www.ols.dgs.ca.gov/standard+language/default.htm.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR (herein referred to as "the Consultant")

CONSULTANT'S NAME *(If other than an individual, state whether a corporation, partnership, etc.)*
TranSystems Corporation

BY *(Authorized Signature)*

DATE SIGNED *(Do not type)* 8/16/13

PRINTED NAME AND TITLE OF PERSON SIGNING
Jamal Salman, Principal

ADDRESS
6 Hutton Centre Drive, Suite 1250, Santa Ana, CA 92707

STATE OF CALIFORNIA

AGENCY NAME
Department of Transportation

BY *(Authorized Signature)*

DATE SIGNED *(Do not type)* 8/22/13

PRINTED NAME AND TITLE OF PERSON SIGNING
Liz Salinas, Branch Chief

ADDRESS
Division of Procurement and Contracts, MS 65
1727 30th Street
Sacramento, CA 95816

California Department of General Services Use Only

☒ Exempt per: PCC 10430(d)

EXHIBIT A
SCOPE OF WORK AND DELIVERABLES

I. SCOPE OF WORK

The Consultant shall perform professional and technical highway design, landscape architectural, and hydraulic engineering services on an "as needed" basis to support the development and construction of proposed Caltrans transportation facilities.

A. The work to be performed under this Agreement is described in Attachment 1.

B. The services shall be performed in District 7, in Southern Los Angeles County.

C. This Agreement will commence on August 22, 2013 or upon approval by Caltrans, whichever is later and no work shall begin before that time. This Agreement is of no effect unless approved by Caltrans. The Consultant shall not receive payment for work performed prior to approval of the Agreement and before receipt of notice to proceed by the Caltrans Contract Manager. This Agreement shall expire on August 14, 2017. The services shall be provided during working hours, Monday through Friday, except holidays or as stipulated in Task Orders. The parties may amend this Agreement as permitted by law.

D. All inquiries during the term of this Agreement will be directed to the project representatives identified below:

EXHIBIT A
SCOPE OF WORK AND DELIVERABLES

THE DEPARTMENT	THE CONSULTANT
Caltrans Contract Manager: Theresa Cong	Consultant Contract Manager: Jamal Salman
District/Division: Office of Consultant Services, MS 2	Office/Branch:
Address: 100 S. Main Street	Address: 6 Hutton Centre Drive, Suite 1250
Los Angeles, CA 90012	Santa Ana, CA 92707
Phone: 213-897-3409	Phone: 714-708-6883
Fax: 213-897-0618	Fax: 714-662-3025
e-mail: Theresa.Cong@dot.ca.gov	e-mail: jssalman@transystems.com

E. Work Guarantee

Caltrans does not guarantee, either expressly or by implication, that any work or services will be required under this Agreement.

F. Licenses and Permits

1. The Consultant shall obtain at its expense all license(s) and permit(s) required by law for accomplishing any work required in connection with this Agreement.

2. In the event the Consultant fails to keep in effect at all times all required license(s) and permit(s), Caltrans may, in addition to any other remedies it may have, terminate this Agreement upon occurrence of such event.

II. TASK ORDER

A. Specific projects will be assigned to the Consultant through issuance of Task Orders. See sample Task Order format, Attachment 3.

B. After a project to be performed under this Agreement is identified by Caltrans, Caltrans will prepare a draft Task Order. The draft Task Order will identify the scope of services, expected results, project deliverables, period of performance, project schedule and will designate a Caltrans Project Coordinator. The draft Task Order will be delivered to the

EXHIBIT A
SCOPE OF WORK AND DELIVERABLES

Consultant for review. The Consultant shall return the draft Task Order within no more than ten (10) calendar days along with a cost estimate including a written estimate of the number of hours per staff person, any anticipated reimbursable expenses, and total dollar amount. The Consultant agrees that each cost estimate shall be the product of a good faith effort exercise of engineering judgment. After agreement has been reached on the negotiable items, the finalized Task Order shall be signed by both Caltrans and the Consultant. If Caltrans and Consultant are unable to reach agreement, Caltrans may terminate this Agreement in accordance with the provisions of Exhibit D, entitled "Termination."

C. Task Orders may be negotiated for a Firm Fixed Price or for specific rates of compensation, both of which must be based on the labor and other rates set forth in the Consultant's Cost Proposal, Attachment 2.

D. A Task Order is of no force or effect until returned to Caltrans and signed by an authorized representative of Caltrans. No expenditures are authorized on a project and work shall not commence until a Task Order for that project has been executed by Caltrans.

E. The Consultant shall not commence performance of work or services on a Task Order until it has been approved by Caltrans and notification to proceed has been issued by the Caltrans Contract Manager. No payment will be made for any work performed prior to approval or after the period of performance of the Task Order.

F. If the Consultant fails to satisfactorily complete a deliverable according to the schedule set forth in a Task Order, no payment will be made until the deliverable has been satisfactorily completed.

G. The period of performance for Task Orders shall be in accordance with dates specified in the Task Order. No Task Order will be written which extends beyond the expiration date of this Agreement.

H. The total amount payable by Caltrans for an individual Task Order shall not exceed the amount agreed to in the Task Order. Task Orders and/or Task Order Revisions require written approval by the Consultant and Caltrans.

EXHIBIT A
SCOPE OF WORK AND DELIVERABLES

I. If applicable, when a subsequent agreement for the same or similar scope of work is executed within three (3) months prior to the termination of this Agreement, no additional Task Orders shall be executed under this Agreement upon the effective date of the subsequent agreement.

J. Task Orders may not be used to amend this Agreement and may not exceed the scope of work under this Agreement.

III. CONSULTANT REPORTS AND/OR MEETINGS

A. The Consultant shall submit progress reports at least once a month. The report should be sufficiently detailed for the Caltrans Contract Manager to determine if the Consultant is performing to expectations and is on schedule, to provide communication of interim findings and to afford occasions for airing difficulties or special problems encountered so remedies can be developed. Separate detail shall be provided for each on-going Task Order.

B. Progress reports shall identify the total number of hours worked by the Consultants' and Subconsultants' personnel by use of the Caltrans Work Breakdown Structure (WBS) level element(s). The WBS is included in the Guide to Project Delivery Workplan Standards, which can be found at http://www.dot.ca.gov/hq/projmgmt/guidance.htm.

C. The Consultant's Contract Manager shall meet with the Caltrans Contract Manager as needed to discuss progress on the Agreement.

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

I. FUNDING REQUIREMENTS

A. It is mutually understood between the parties that this Agreement may have been written before ascertaining the availability of congressional or legislative appropriation of funds for the mutual benefit of both parties in order to avoid program and fiscal delays that would occur if the Agreement were executed after that determination was made.

B. This Agreement is valid and enforceable only if sufficient funds are made available to Caltrans by the United States Government or the California State Legislature for the purpose of this program. In addition, this Agreement is subject to any additional restrictions, limitations, conditions, or any statute enacted by the Congress or the State Legislature that may affect the provisions, terms, or funding of this Agreement in any manner.

C. It is mutually agreed that if the Congress or the State Legislature does not appropriate sufficient funds for the program, this Agreement shall be amended to reflect any reduction in funds.

D. Caltrans has the option to terminate the Agreement under the 30-day termination clause pursuant to Exhibit D, section III.

E. Pursuant to Government Code, Section 927.13(d), no late payment penalty shall accrue during any time period for which there is no Budget Act in effect, nor on any payment or refund that is the result of a federally mandated program or that is directly dependent upon the receipt of federal funds by a state agency.

II. COMPENSATION AND PAYMENT

A. The Consultant will be reimbursed for hours worked at the hourly rates specified in the Consultant's Cost Proposal, (See Attachment 2). The specified hourly rates shall include direct salary costs, employee benefits, prevailing wages, employer payments, overhead, and fee. These rates are not adjustable for the performance period set forth in this Agreement.

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

B. In addition, the Consultant will be reimbursed for direct costs, other than salary costs, that are identified in an executed Task Order.

C. Consultant shall be responsible for any future adjustments to prevailing wage rates including, but not limited to, base hourly rates and employer payments as determined by the Department of Industrial Relations. The Consultant is responsible for paying the appropriate rate, including escalations that take place during the term of the Agreement.

D. A mistake, inadvertence, or neglect by the Consultant in failing to pay the correct rates of prevailing wage will be remedied solely by the Consultant and will not, under any circumstances, be considered as the basis of a claim against Caltrans on the Agreement.

E. In compliance with 49 CFR 26.37, revised on February 28, 2011, a Disadvantaged Business Enterprises Utilization Report (form ADM-3069) is required, as specified in this Agreement.

1. The Consultant shall submit a Disadvantaged Business Enterprises Utilization Report (form ADM-3069), Attachment 5, with each invoice. Also refer to Exhibit D, Special Terms and Conditions.

2. Failure to provide the Disadvantaged Business Enterprises Utilization Report (form ADM-3069) with the invoice will result in twenty-five percent (25%) of the dollar value of the invoice being withheld from payment until the form is submitted. The amount will be returned to the Consultant when a satisfactory Disadvantaged Business Enterprises Utilization Report (form ADM-3069) is submitted to the Caltrans Contract Manager.

F. Transportation and subsistence costs to be reimbursed shall be the actual costs incurred, but not to exceed the rates stipulated in the "Caltrans Travel Guide, Consultant/Contractors Travel Policy." See http://www.dot.ca.gov/hq/asc/travel/ch12.htm.

G. Progress payments:

1. Progress payments will be made monthly in arrears based on services provided at specific hourly rates and allowable direct cost incurred

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

for Task Orders negotiated with specific rates of compensation. Progress payments for Firm Fixed Price Task Orders will be based on the percentage of work completed.

2. To determine allowable incurred Subconsultant costs that are eligible for reimbursement, in addition to reimbursement for actual costs that are incurred, Caltrans will allow Subconsultant costs that are treated by the Consultant as accrued due to such costs having been billed to the Consultant and recognized by the Consultant and Caltrans as valid, undisputed, due and payable.

3. By submitting accrued but unpaid Subconsultant costs for reimbursement, the Consultant agrees that within ten (10) days of receipt of reimbursement, the full amount submitted as a reimbursable accrued Subconsultant cost shall be paid to the Subconsultant.

H. The Consultant shall not commence performance nor will payment be made for any work performed prior to approval of this Agreement by State and written notification to proceed has been issued by the Caltrans Contract Manager, nor will any payment be made for work performed after the expiration date of this Agreement.

I. The Consultant will be reimbursed in arrears for services satisfactorily rendered and approved by the Caltrans Contract Manager, as promptly as fiscal procedures will permit upon receipt by the Caltrans Contract Manager of itemized invoices in triplicate. Separate invoices itemizing all costs are required for all work performed under each Task Order.

J. Invoices shall be submitted showing the Caltrans WBS level element for each billable hour increment and/or detail of work performed on each milestone, on each project as applicable. Task Orders and invoicing shall include, but are not limited to, the WBS elements for defined/related services and products. The WBS is included in the Guide to Project Delivery Workplan Standards, which can be found at http://www.dot.ca.gov/hq/projmgmt/guidance.htm. Incomplete invoices shall be returned unpaid to the Consultant for correction. Caltrans shall not pay disputed portions of invoices.

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

K. When prevailing wage rates apply, the Consultant must submit with each invoice a certified copy of the payroll for compliance verification. Invoice payment will not be made until the payroll has been verified and the invoice approved by the Caltrans Contract Manager.

L. The sample invoice format can be found at http://caltrans-opac.ca.gov/aeinfo.htm**.** Invoices shall reference this Agreement number, project title, and Task Order number. Invoices shall be submitted no later than 45 calendar days after completion of each billing period. Any credit, as provided under this Agreement, due Caltrans must be reimbursed by the Consultant prior to the expiration or termination of this Agreement. Invoices shall be mailed to the Caltrans Contract Manager or Consultant Service Unit at the following address:

DEPARTMENT OF TRANSPORTATION
Office of Consultant Services, MS 2
Attention: Theresa Cong
100 S. Main Street
Los Angeles, CA 90012

M. 49 CFR 18.23 requires that federal funds must be expended within 90 days of the expiration of the funding period. Accordingly, the invoices for approved monthly services must be submitted by the Consultant and received by the Caltrans Contract Manager within 45 calendar days of the completion of the approved monthly services specified in each Task Order. If Caltrans does not receive invoices from the Consultant by the required deadline, Caltrans may reduce the payment on the invoice based on the formula set forth in Government Code 927.6 to offset in part the loss of federal funds encumbered for this Agreement.

N. The final Task Order invoice shall state the final cost and all credits due Caltrans. The final invoice should be submitted within 60 calendar days after Caltrans Contract Manager notifies the Consultant Contract Manager of completion of the services. Should Caltrans dispute any of the costs billed in the final Task Order invoice, Caltrans shall pay the undisputed portions of the invoice as provided in this Section II. Caltrans will not pay for charges that are in dispute until final resolution of the cost-related disputes.

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

O. Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

P. The total amount payable by Caltrans, for all Task Orders resulting from this Agreement, shall not exceed $5,000,000.00. It is understood and agreed that this total is an estimate, and that the actual amount of work requested by Caltrans may be less. There is no guarantee, either expressed or implied, as to the actual dollar amount that will be authorized under this Agreement through Task Orders. In no event shall Task Orders be issued that will exceed this maximum.

Q. Any written report prepared as a requirement of this Agreement shall contain, in a separate section of such written report, the number and dollar amounts of all agreements and subagreements relating to the preparation of those reports if the combined costs for work by nonemployees of the State exceed $5,000.00.

R. Prime Consultant's Indirect Cost Rates (ICR) indicated in Attachment 2, Cost Proposal, are based on 48 CFR, Part 31.

S. Attachment 2, Cost Proposal, is subject to a Certified Public Accountant (CPA) Indirect Cost (Overhead) Audit Workpaper Review and/or audit. Caltrans, at its sole discretion, may review and/or audit and approve CPA ICR documentation. Attachment 2 shall be adjusted by the Consultant and approved by the Caltrans Contract Manager to conform to the Workpaper Review recommendations or audit recommendations. The Consultant agrees that individual terms of cost identified in the audit report shall be incorporated into the Agreement by this reference if directed by Caltrans at its sole discretion. Refusal by the Consultant to incorporate the Workpaper Review recommendations or audit recommendations will be considered a breach of the Agreement terms and cause for termination of the Agreement, per Exhibit D, section III.

T. Limitations: Use of the rate(s) contained in this Agreement is subject to any statutory or administrative limitations and is applicable to a given contract only to the extent that funds are available. Acceptance of the rate(s) agreed to herein is predicated upon the following conditions:

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

1. That no costs other than those incurred by the Consultant or allocated to the Consultant were included in its indirect cost pool as finally accepted and that such costs are legal obligations of the Consultant and allowable under the governing cost principles.

2. That the same costs that have been treated as indirect costs have not been claimed as direct costs.

3. That similar types of costs have been accorded consistent accounting treatment to all clients (state, federal, local government, commercial/private) under similar circumstances, and

4. That the information provided by the Consultant which was used as a basis for acceptance of the rate(s) agreed to herein is not subsequently found to be materially inaccurate.

The elements of indirect cost and the type of distribution base(s) used in computing provisional rates are subject to revision when final rates are established. Also, the rates cited in this Agreement are subject to audit.

U. At the discretion of Caltrans, the indirect rate(s) and related workpapers may be reviewed by Caltrans Division of Audits & Investigations (A&I) to verify the accuracy and CPA's compliance with 48 CFR, Part 31 and related laws and regulations, and to determine if the audit report format is acceptable.

V. Any subagreement in excess of $25,000.00, entered into as a result of this Agreement, shall contain all of the provisions of this clause.

III. COST PRINCIPLES

A. The Consultant agrees that Title 48 Code of Federal Regulations (CFR), Part 31, Contract Cost Principles and Procedures (48 CFR 31 et seq.), shall be used to determine the allowability of individual terms of cost.

B. The Consultant also agrees to comply with Federal procedures in accordance with Title 49 CFR, Part 18, Uniform Administrative

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS

Requirements for Grants and Cooperative Agreements to State and Local Governments (49 CFR 18).

C. Any costs for which payment has been made to the Consultant that are determined by subsequent audit to be unallowable under 48 CFR 31 or 49 CFR 18 are subject to repayment by the Consultant to Caltrans.

D. Any subagreement in excess of $25,000.00, entered into as a result of this Agreement, shall contain all the provisions of this clause.

EXHIBIT C
GENERAL TERMS AND CONDITIONS

NOTE: In this Exhibit C – GTC 610, the General Terms and Conditions are included in this Agreement by reference and made part of this Agreement as if attached hereto. See http://www.ols.dgs.ca.gov/Standard+Language/default.htm.

The following language is to be included in lieu of the Standard Indemnification Clauses used in DGS GTC – 610 General Terms and Conditions.

Indemnification

The Consultant agrees to indemnify, defend, and hold harmless Caltrans, its officers, agents, and employees from any and all claims, demands, costs, or liability arising from or connected with the services provided hereunder due to negligent or intentional acts, errors, or omissions of the Consultant. The Consultant will reimburse Caltrans for any expenditure, including reasonable attorney fees, incurred by Caltrans in defending against claims ultimately determined to be due to negligent or intentional acts, errors, or omissions of the Consultant.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

I. AMENDMENT (CHANGE IN TERMS)

A. No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties, and approved as required. No oral understanding or agreement not incorporated in Agreement is binding on any of the parties.

B. The Consultant shall only commence work covered by an amendment after the amendment is executed and notification to proceed has been provided by the Caltrans Contract Manager.

C. There shall be no change in the Consultant's Contract Manager or members of the project team, as listed in the cost proposal, which is a part of this Agreement, without prior written approval by the Caltrans Contract Manager. If the Consultant obtains approval from the Caltrans Contract Manager to add or substitute personnel, the Consultant must provide the Personnel Request Form, a copy of the SF330 or resume for the additional or substituted personnel, along with a copy of the certified payroll for that person.

II. DISPUTES

A. The Consultant shall continue with the responsibilities under this Agreement during any work dispute. Any dispute concerning a question of fact arising under this Agreement that is not disposed of by agreement shall be decided by a committee consisting of the Caltrans Contract Manager and the Caltrans Contract Officer who may consider written or verbal information submitted by the Consultant.

B. Any dispute not resolved by the committee consisting of the Caltrans Contract Manager and Caltrans Contract Officer may be reviewed by the Consultant Claims Review Committee (CCRC). The CCRC will consist of the Division Chief of Project Delivery (Chairperson), Deputy Director of Administration and the Chief Counsel of Legal Services or their designees. Additional members or their designees may serve on the committee.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

C. No later than 30 calendar days after Caltrans Contract Manager notifies the Consultant Contract Manager that all deliverables necessary to complete the plans, specifications and estimate (PS&E) have been completed, the Consultant may request review by the CCRC of unresolved claims or disputes that are not resolved by the Caltrans Contract Manager and Caltrans Contract Officer under subsection II.A. above. The request for review will be submitted in writing through the Caltrans Contract Officer to the Chairperson, CCRC. A meeting by the CCRC will be scheduled after the Chairperson concurs. After the meeting, the CCRC will make recommendations to the Deputy Director of the functional program area, who will make the final decision for Caltrans.

D. Neither the pendency of a dispute nor its consideration by the committee will excuse the Consultant from full and timely performance in accordance with the terms of this Agreement.

III. TERMINATION

This section regarding termination is in addition to GTC 610.

A. Caltrans reserves the right to terminate this Agreement immediately in the event of breach or failure of performance by the Consultant, or upon 30 calendar days written notice to the Consultant if terminated for the convenience of Caltrans.

B. Caltrans may terminate this Agreement and be relieved of any payments except as provided for under early termination should the Consultant fail to perform the requirements of this Agreement at the time and in the manner herein provided. In the event of such termination, Caltrans may proceed with the work in any manner deemed proper by Caltrans. All costs to Caltrans shall be deducted from any sum due the Consultant under this Agreement and the balance, if any, shall be paid to the Consultant upon demand.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

IV. EARLY TERMINATION OF THIS AGREEMENT OR TASK ORDER(S), OR SUSPENSION OF THIS AGREEMENT

General Conditions

A. In the event this Agreement is terminated, suspended, or a Task Order is terminated for the convenience of Caltrans, the Consultant shall be paid for the percentage of the work completed, relative to the total work effort called for under this Agreement, and for termination costs. No billable costs will be considered payable under the Agreement during suspension.

B. Within 30 calendar days of the date the Consultant is notified of the early termination of Task Order(s) issued against this Agreement for the convenience of Caltrans, the Consultant shall prepare and submit to the Caltrans Contract Manager, for approval, two (2) separate supplemental cost proposals:

1. A final revised cost proposal for all project-related costs for the revised termination date, and

2. A cost proposal specifically addressing the termination settlement costs only.

V. CONSULTANT'S DELIVERABLES UNDER EARLY TERMINATION

The Consultant shall provide all project-related documents and correspondence required as part of the Scope of Work/Deliverables or included in Task Orders. Project-related documents shall be described, listed, and identified as part of the final revised cost proposal. Project-related documents shall include all documents that are in complete and final form and which have been accepted as complete by Caltrans, or documents in draft and/or incomplete form for those deliverables, which are in progress by the Consultant and have not been accepted as complete. All documents must be received and accepted before the settlement cost invoice is paid.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

VI. INVOICE SUBMITTAL UNDER EARLY TERMINATION

Separate final invoices for project-related costs and termination settlement costs shall be submitted no later than 30 calendar days after the date the Consultant is notified of acceptance of the final cost proposals by the Caltrans Contract Manager. Invoices shall be submitted in accordance with EXHIBIT B. The invoice for termination settlement costs shall include the following, to the extent they are applicable: lease termination costs for equipment and facilities approved under the terms of this Agreement; equipment salvage costs for equipment valued over $500.00; rental costs for unexpired leases, less the residual value of the lease; cost of alterations and reasonable restorations required by the lease; settlement expenses, e.g., accounting, legal, clerical, storage, transportation, protection and disposition of property acquired or produced under this Agreement, indirect costs, such as payroll taxes, fringe benefits, occupancy costs, and immediate supervision costs related to wages and salaries, incurred as settlement costs.

VII. TERMINATION ISSUES FOR SUBCONSULTANTS, SUPPLIERS, AND SERVICE PROVIDERS

The Consultant shall notify any Subconsultant and service or supply vendor providing services under this Agreement of the early termination date of this Agreement. Failure to notify any Subconsultant and service or supply vendor shall result in the Consultant being liable for the termination costs incurred by any Subconsultant and service or supply vendor for work performed under this Agreement, except those specifically agreed to in the termination notice to the Consultant.

VIII. COST PRINCIPLES UNDER EARLY TERMINATION

Termination settlement expenses will be reimbursed in accordance with 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31. Subpart 31.205-42 (c) dealing with initial costs is not applicable to Architectural and Engineering Agreement terminations.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

IX. DISPUTES UNDER EARLY TERMINATION CONDITIONS

Disputes under early termination conditions shall be resolved in accordance with this Exhibit.

X. CONSULTANT CLAIMS AGAINST THIS AGREEMENT OR TASK ORDER(S) UNDER EARLY TERMINATION

The Consultant agrees to release Caltrans from any and all further claims for services performed arising out of this Agreement or its early termination, upon acceptance by the Consultant of payment in the total amount agreed upon as full and final payment of its costs from performance and early termination of this Agreement or Task Order(s).

XI. NON-DISCRIMINATION

This section regarding non-discrimination is in addition to GTC 610.

A. During the performance of this Agreement, the Consultant and its Subconsultants shall not unlawfully discriminate, harass or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), medical condition (cancer), age, marital status, denial of family and medical care leave, and denial of pregnancy disability leave. Consultants and Subconsultants shall insure that the evaluation and treatment of their employees and applicants for employment are free of such discrimination and harassment. The Consultant and Subconsultants shall comply with the provision of the Fair Employment and Housing Act (Government Code, Section 12900 et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285.0 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code, Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations are incorporated into this Agreement by reference and made a part hereof as if set forth in full. The Consultant and its Subconsultants shall give

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

B. Appendix A, relative to nondiscrimination on federally assisted projects, is attached hereto and made a part of this Agreement. (See the last three pages of this Exhibit D.)

C. The Consultant shall comply with the nondiscrimination program requirements of Title VI of the Civil Rights Act of 1964. Accordingly, 49 CFR Part 21, and 23 CFR Part 200 is applicable to this Agreement by reference.

D. The Consultant shall include the nondiscrimination and compliance provisions of this clause in all subagreements to perform work under this Agreement.

XII. RETENTION OF RECORD/AUDITS

A. For the purpose of determining compliance with Government Code Section 8546.7, the Consultant, Subconsultants, and Caltrans shall maintain all books, documents, papers, accounting records, and other evidence pertaining to the performance of the Agreement, including but not limited to, the costs of administering the Agreement. All parties shall make such materials available at their respective offices at all reasonable times during the Agreement period and for three (3) years from the date of final payment under the Agreement. Caltrans, the State Auditor, FHWA, or any duly authorized representative of the Federal government having jurisdiction under Federal laws or regulations (including the basis of Federal funding in whole or in part) shall have access to any books, records, and documents of the Consultant that are pertinent to the Agreement for audits, examinations, excerpts, and transactions, and copies thereof shall be furnished if requested.

B. Any subagreement in excess of $25,000.00, entered into as a result of this Agreement, shall contain all the provisions of this clause.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

XIII. SUBCONTRACTING

A. Nothing contained in this Agreement or otherwise, shall create any contractual relation between the State and any subconsultants, and no subagreement shall relieve the Consultant of its responsibilities and obligations hereunder. The Consultant agrees to be as fully responsible to the State for the acts and omissions of its subconsultants and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Consultant. The Consultant's obligation to pay its subconsultants is an independent obligation from the State's obligation to make payments to the Consultant.

B. The Consultant shall perform the work contemplated with resources available within its own organization and no portion of the work shall be subcontracted without written authorization by the Caltrans Contract Manager, except that which is expressly identified in the Consultant's Cost Proposal.

C. Any subagreement in excess of $25,000, entered into as a result of this Agreement, shall contain all the provisions stipulated in this Agreement to be applicable to subconsultants unless otherwise noted.

D. Contractor shall pay its subconsultants within ten (10) calendar days from receipt of each payment made to the Consultant by the State.

E. Any substitution of subconsultants must be approved in writing by the Caltrans Contract Manager in advance of assigning work to a substitute subconsultant.

XIV. EQUIPMENT PURCHASE

A. Prior authorization in writing by the Caltrans Contract Manager shall be required before the Consultant enters into any non-budgeted purchase order or subagreement exceeding $500.00 for supplies, equipment, or Consultant services. The Consultant shall provide an evaluation of the necessity or desirability of incurring such costs.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

B. For purchase of any item, service or consulting work not covered in the Consultant's Cost Proposal and exceeding $500.00, with prior authorization by the Contract Manager, three (3) competitive quotations must be submitted with the request or the absence of bidding must be adequately justified.

C. The Consultant shall maintain an inventory record for each piece of non-expendable equipment purchased or built with funds provided under the terms of this Agreement. The inventory record of each piece of such equipment shall include the date acquired, total cost, serial number, model identification (on purchased equipment), and any other information or description necessary to identify said equipment. Non-expendable equipment so inventoried are those items of equipment that have a normal life expectancy of one (1) year or more and an approximate unit price of $5,000.00 or more. In addition, theft-sensitive items of equipment costing less than $5,000.00 shall be inventoried. A copy of the inventory record must be submitted to Caltrans on request by Caltrans.

D. Any equipment purchased by the Consultant will be returned to Caltrans at the end of this Agreement or, if not returned to Caltrans, it will be disposed of as agreed to by both parties. Both Caltrans and Consultant agree to comply with State Administrative Manual, Section 3520, Disposal of Surplus Personal Property, if Caltrans determines that Caltrans will not retain the equipment.

E. 49 CFR, Part 18 requires a credit to Federal funds when participating equipment with a fair market value greater than $5,000.00 is credited to the project.

F. Any subagreement entered into as a result of this Agreement shall contain all the provisions of this clause.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

XV. INSPECTION OF WORK

The Consultant and any Subconsultants shall permit Caltrans and the FHWA to review and inspect the project activities at all reasonable times during the performance period of this Agreement including review and inspection on a daily basis.

XVI. SAFETY

A. The Consultant shall comply with OSHA regulations applicable to the Consultant regarding necessary safety equipment or procedures. The Consultant shall comply with safety instructions issued by the District Safety Officer and other State representatives. The Consultant's personnel shall wear white hard hats and orange safety vests at all times while working on the construction project site.

B. Pursuant to the authority contained in Section 591 of the Vehicle Code, Caltrans has determined that within such areas as are within the limits of the project and are open to public traffic, the Consultant shall comply with all of the requirements set forth in Divisions 11, 12, 13, 14, and 15 of the Vehicle Code. The Consultant shall take all reasonably necessary precautions for safe operation of its vehicles and the protection of the traveling public from injury and damage from such vehicles.

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

D. Any subagreement, entered into as a result of this Agreement, shall contain all of the provisions of this clause.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

XVII. INSURANCE

A. The Consultant shall furnish to Caltrans Certificates of Insurance for the minimum coverage set forth below. The Consultant shall be fully responsible for all policy deductibles and any self-insured retention. All insurance shall be with an insurance company with an A.M. Best's Financial Strength Rating of A– or better with a Financial Size Category of VI or better.

B. Required Coverages and Limits:

1. Workers Compensation (statutory) and Employers Liability Insurance:

   $1,000,000 for bodily injury for each accident

   $1,000,000 policy limit for bodily injury by disease

   $1,000,000 for each employee for bodily injury by disease

   If there is an exposure of injury to the Consultant's employees under the U.S. Longshoremen's and Harbor Workers' Compensation Act, the Jones Act, or under laws, regulations, or statutes applicable to maritime employees, coverage shall be included for such injuries or claims.

   If work is performed on State owned or controlled property the policy shall contain a waiver of subrogation in favor of the State. The waiver of subrogation endorsement shall be provided in addition to the certificate of insurance.

2. Commercial General Liability Insurance with limits no less than:

   $1,000,000 per occurrence

   $2,000,000 products completed operations aggregate

   $2,000,000 general aggregate

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

The policy's general aggregate shall apply separately to the Consultant's work under this Agreement by evidencing a per project aggregate endorsement separately attached to the certificate of insurance.

The policy shall include coverage for liabilities arising out of premises, operations, independent consultants, products, completed operations, personal & advertising injury, and liability assumed under an insured Agreement. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Consultant's limit of liability. The policy must include:

> Caltrans, State of California, its officers, agents, employees and servants are included as additional insureds, but only with respect to work performed under this Agreement.

This endorsement must be supplied under form acceptable to the Office of Risk and Insurance Management.

3. Automobile liability, including owned, non-owned and hired autos, with limits not less than $1,000,000 combined single limit per accident. The same additional insured designation and endorsement required for general liability is to be provided for this coverage.

4. A $1,000,000 umbrella or excess liability shall include premises/operations liability, products/completed operations liability, and auto liability coverage. The umbrella or excess policy shall contain a clause stating that it takes effect (drops down) in the event the primary limits are impaired or exhausted.

5. Professional Liability insurance with limits no less than:

   $1,000,000 per claim

   $2,000,000 in the aggregate

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

The policy's retroactive date must be shown on the certificate and must be before this contract is executed or before the beginning of contract work.

Additionally, the Consultant shall maintain, or make a good faith effort to maintain, the Professional Liability insurance for a period of three (3) years after its performance under this Agreement.

C. The insurance above shall be maintained in effect at all times during the term of this Agreement. If the insurance expires during the term of the Agreement, a new certificate must be submitted to the Caltrans Contract Manager not less than ten (10) days prior to the expiration of insurance. Failure to maintain the required coverage shall be sufficient grounds for Caltrans to terminate this Agreement for cause, in addition to any other remedies Caltrans may have available. Inadequate or lack of insurance does not negate the Consultant's obligations under the Agreement.

D. The Consultant shall provide to the Caltrans Contract Manager within five (5) business days following receipt by Consultant a copy of any cancellation or non-renewal of insurance required by this Agreement. In the event Consultant fails to keep in effect at all times the specified insurance coverage, Caltrans may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event, subject to the provisions of the Agreement.

E. Any required endorsements requested by Caltrans must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.

F. Any required insurance contained in this Agreement shall be primary and not in excess of or contributory to any other insurance carried by Caltrans.

G. Caltrans will not be responsible for any premiums or assessments on the policy.

H. For Agreements with hazardous activities, new certificates of insurance are subject to the approval of DGS, and the Consultant agrees that no work or services shall be performed prior to such approval.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

I. The Consultant shall require all subconsultants to carry insurance based on the cost of the subcontract and the potential risk to Caltrans of the subcontracted work. Notwithstanding any coverage requirements for subconsultants, the Consultant shall be responsible for ensuring sufficient insurance coverage for all work performed under the Agreement, including the work of subconsultants.

XVIII. DAMAGES DUE TO ERRORS AND OMISSIONS

A. Architect-Engineer Consultants shall be responsible for the professional quality, technical accuracy, and coordination of all services required under this Agreement. A firm may be liable for Caltrans costs resulting from errors or deficiencies in designs furnished under its Agreement.

B. When a modification to a construction contract is required because of an error or deficiency in the services provided under this A&E Agreement, the Caltrans Contract Officer (with the advice of technical personnel and legal counsel) shall consider the extent to which the A&E Consultant may be reasonably liable.

C. The Caltrans Contract Officer shall enforce the liability and collect the amount due, if the recoverable cost will exceed the administrative cost involved or is otherwise in Caltrans' interest. The Caltrans Contract Officer shall include in the Agreement file a written statement of the reasons for the decision to recover or not to recover the costs from the firm.

XIX. OWNERSHIP OF PROPRIETARY PROPERTY

For the purposes of this section (Ownership of Proprietary Property) the following definitions shall apply:

Work: As delineated in Attachment 1 (Scope of Work) of the Agreement.

Work Product: As defined as Deliverable in Attachment 1 (Scope of Work) of the Agreement, including but not limited to, all Work and Deliverables conceived or made, or made hereafter conceived or made, either solely or jointly with others during the term of this Agreement and during a period of

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

six (6) months after the termination thereof, which relates to the Work commissioned or performed under this Agreement.

Inventions: Any idea, design, concept, technique, invention, discovery, improvement or development regardless of patentability made solely by the Consultant or jointly with the Consultant's Subcontractor and/or the Consultant's Subcontractor's employee's with one or more employees of the Department of Transportation (hereinafter referred to as "Caltrans"), during the term of this Agreement and in performance of any Work under this Agreement, provided that either the conception or reduction to practice thereof occurs during the term of this Agreement and in performance of Work issued under this Agreement.

A. Ownership of Work Product and Rights

1. Ownership of Work Product

   All Work Product derived by the Work performed by the Consultant, its employees or by any of the Consultant's Subcontractor's employees under this Agreement, shall be owned by Caltrans and shall be considered works made for hire by the Consultant's Subcontractor for Caltrans. Caltrans shall own all United States and international copyrights in the Work Product.

   As such, all Work Product shall contain, in a conspicuous place, a copyright designation consisting of a "c" in a circle followed by the four-digit year in which the Work Product was produced, followed by the words "California Department of Transportation." For example, a Work Product created in the year 2003 would contain the copyright designation © 2003 California Department of Transportation.

2. Vesting of Copyright Rights

   Consultant, its employees or any of Consultant's Subcontractor's employees agrees to perpetually assign, and upon creation of each Work Product automatically assigns, to Caltrans, its successors and assigns, ownership of all United States and international copyrights in each and every Work Product, insofar as any such Work Product, by operation of law, may not be considered work made for hire by

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

the Consultant's Subcontractor from Caltrans. From time to time upon Caltrans' request, the Consultant's Subcontractor and/or its employees shall confirm such assignments by execution and delivery of such assignments, confirmations or assignment, or other written instruments as Caltrans may request. Caltrans, its successors and assigns, shall have the right to obtain and hold in its or their own name(s) all copyright registrations and other evidence of rights that may be available for Work Product. Consultant hereby agrees to waive all moral rights relating to identification of authorship restriction or limitation on use, or subsequent modifications of the Work.

B. Inventions

1. Vesting of Patent Rights

The Consultant, its employees and any Consultant's Subcontractor hereby agrees to assign to Caltrans, its successors, and assigns, all Inventions, together with the right to seek protection by obtaining patent rights therefore and to claim all rights or priority there under, and the same shall become and remain Caltrans' property regardless of whether such protection is sought. The Consultant, its employees and Consultant's Subcontractor shall promptly make a complete written disclosure to Caltrans of each Invention not otherwise clearly disclosed to Caltrans in the pertinent Work Product, specifically pointing out features or concepts that the Consultant, its employees and Consultant's Subcontractor believes to be new or different. The Consultant, its employees and Consultant's Subcontractor shall, upon Caltrans' request and at Caltrans' expense, cause patent applications to be filed thereon, through solicitors designated by Caltrans, and shall sign all such applications over to Caltrans, its successors, and assigns. The Consultant, its employees and Consultant's Subcontractor shall give Caltrans and its solicitors all reasonable assistance in connection with the preparation and prosecution of any such patent applications and shall cause to be executed all such assignments or other instruments or documents as Caltrans may consider necessary or appropriate to carry out the intent on this Agreement.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

2. Agency

In the event that Caltrans is unable for any reason whatsoever to secure the Consultant's, its employees' and/or Consultant's Subcontractor's signature to any lawful or necessary document required or desirable to apply for or prosecute any United States application (including renewals or divisions thereof), Consultant, its employees and Consultant's Subcontractor hereby irrevocably designates and appoints Caltrans and its duly authorized officers and agents, as its agent and attorney-in-fact, to act for and on Consultant, its employees and Consultant's Subcontractor's behalf and stead, to execute and file such applications and to do all other lawfully permitted acts to further the prosecution and issuance of any copyrights, trademarks or patents thereon with the same legal force and effect as if executed by Consultant, its employees and/or Consultant's Subcontractor. Caltrans shall have no obligations to file any copyright, trademark or patent applications.

3. Avoidance of Infringement

In performing services under this Agreement, Consultant and its employees agree to avoid designing or developing any items that infringe one or more patents or other intellectual property rights of any third party. If Consultant or its employees becomes aware of any such possible infringement in the course of performing any Work under this Agreement, Consultant or its employees shall immediately notify Caltrans in writing.

C. Additional Provisions

Subcontractors

Consultant shall affirmatively bind by contract any of its subcontractors or service vendors (hereinafter "Consultant's Subcontractor") providing services under this Agreement to conform to the provisions of Exhibit D, section XIX. Consultant's Subcontractor shall then provide the signed contract to the Consultant, who shall provide it to the Caltrans Contract Manager prior to the commencement of any work. In performing services under this Agreement, Consultant's Subcontractor agrees to

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

avoid designing or developing any items that infringe one or more patents or other intellectual property rights of any third party. If Consultant's Subcontractor becomes aware of any such possible infringement in the course of performing any Work under this Agreement, Consultant's Subcontractor shall immediately notify the Consultant in writing, Consultant will then immediately notify Caltrans in writing.

XX. OWNERSHIP OF DATA

A. Upon completion of all work under this Agreement, all intellectual property rights, ownership and title to all reports, documents, plans, specifications, and estimates produced as part of this Agreement will automatically be vested in Caltrans and no further agreement will be necessary to transfer ownership to Caltrans. The Consultant shall furnish Caltrans all necessary copies of data needed to complete the review and approval process.

B. It is understood and agreed that all calculations, drawings and specifications, whether in hard copy or machine readable form, are intended for one-time use in the construction of the project for which this Agreement has been entered into.

C. The Consultant is not liable for claims, liabilities or losses arising out of, or connected with, the modification or misuse by Caltrans of the machine readable information and data provided by the Consultant under this Agreement; further, the Consultant is not liable for claims, liabilities or losses arising out of, or connected with, any use by Caltrans of the project documentation on other projects, for additions to this project, or for the completion of this project by others, excepting only such use as may be authorized, in writing, by the Consultant.

D. Any subagreement in excess of $25,000.00, entered into as a result of this Agreement, shall contain all of the provisions of this clause.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

XXI. CLAIMS FILED BY CALTRANS CONSTRUCTION CONTRACTOR

A. If claims are filed by the Caltrans construction contractor relating to work performed by the Consultant's personnel and additional information or assistance from the Consultant's personnel is required in order to evaluate or defend against such claims, the Consultant agrees to make its personnel available for consultation with Caltrans construction contract administration and legal staff and for testimony, if necessary, at depositions and at trial or arbitration proceedings.

B. The Consultant's personnel that Caltrans considers essential to assist in defending against construction contractor claims will be made available on reasonable notice from Caltrans. Consultation or testimony will be reimbursed at the same rates, including travel costs, that are being paid for the Consultant's personnel services under this Agreement.

C. Services of the Consultant's personnel in connection with Caltrans' construction contract claims will be performed pursuant to a written supplement, if necessary, extending the termination date of this Agreement in order to finally resolve the claims.

D. Any subagreement in excess of $25,000.00, entered into as a result of this Agreement, shall contain all of the provisions of this clause.

XXII. CONFIDENTIALITY OF DATA

A. All financial, statistical, personal, technical, or other data and information relative to Caltrans' operations, which is designated confidential by Caltrans and made available to the Consultant in order to carry out this Agreement, shall be protected by the Consultant from unauthorized use and disclosure.

B. Permission to disclose information on one occasion or public hearing held by Caltrans relating to this Agreement shall not authorize the Consultant to further disclose such information or disseminate the same on any other occasion.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

C. The Consultant shall not comment publicly to the press or any other media regarding this Agreement or Caltrans' actions on the same, except to Caltrans staff, Consultant's own personnel involved in the performance of this Agreement, at public hearings, or in response to questions from a Legislative committee.

D. The Consultant shall not issue any news release or public relations item of any nature whatsoever regarding work performed or to be performed under this Agreement without prior review of the contents thereof by Caltrans and receipt of Caltrans' written permission.

E. All information related to the construction estimate is confidential and shall not be disclosed by the Consultant to any entity, other than Caltrans.

F. Any subagreement, entered into as a result of this Agreement, shall contain all of the provisions of this clause.

XXIII. STANDARD OF CARE

Consultant represents that it possesses all necessary training, licenses, experience, and certifications to perform the Scope of Work, and shall perform all services in accordance with the degree of skill and care ordinarily used by competent practitioners of the same professional discipline under similar circumstances, and localities, taking into consideration the contemporary state of the practice and the project conditions.

XXIV. EVALUATION OF CONSULTANT

The Consultant's performance will be evaluated by Caltrans. A copy of the evaluation will be sent to the Consultant for comments. The evaluation, together with the comments, shall be retained by Caltrans.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

XXV. STATEMENT OF COMPLIANCE

The Consultant's signature affixed herein and dated shall constitute a certification under penalty of perjury under the laws of the State of California that the Consultant has, unless exempt, complied with the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Code of Regulations, Section 8103.

XXVI. DEBARMENT AND SUSPENSION CERTIFICATION

A. The Consultant's signature affixed herein shall constitute a certification under penalty of perjury under the laws of the State of California, that the Consultant or any person associated therewith in the capacity of owner, partner, director, officer or manager:

1. Is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency;

2. Has not been suspended, debarred, voluntarily excluded, or determined ineligible by any federal agency within the past three (3) years;

3. Does not have a proposed debarment pending; and

4. Has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years.

B. Any exceptions to this certification must be disclosed to Caltrans. Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining bidder responsibility. Disclosures must indicate the party to whom the exceptions apply, the initiating agency, and the dates of agency action.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

XXVII. CONFLICT OF INTEREST

A. During the term of this Agreement, the Consultant shall disclose any financial, business, or other relationship with Caltrans or the California Transportation Commission that may have an impact upon the outcome of this Agreement or any ensuing Caltrans construction project. The Consultant shall also list current clients who may have a financial interest in the outcome of this Agreement or any ensuing Caltrans construction project which will follow.

B. The Consultant hereby certifies that it does not now have nor shall it acquire any financial or business interest that would conflict with the performance of services under this Agreement.

C. The Consultant hereby certifies that neither the Consultant nor any firm affiliated with the Consultant will bid on any construction contract or on any Agreement to provide construction inspection for any construction project resulting from this Agreement. An affiliated firm is one, which is subject to the control of the same persons, through joint ownership or otherwise.

D. Except for Subconsultants whose services are limited to providing surveying or materials testing information, no Subconsultant who has provided design services in connection with this Agreement shall be eligible to bid on any construction contract or on any Agreement to provide construction inspection for any construction project resulting from this Agreement.

E. Any subagreement in excess of $25,000.00, entered into as a result of this Agreement, shall contain all of the provisions of this clause.

XXVIII. REBATES, KICKBACKS OR OTHER UNLAWFUL CONSIDERATION

The Consultant warrants that this Agreement was not obtained or secured through rebates, kickbacks or other unlawful consideration either promised or paid to any state agency employee. For breach or violation of this warranty,

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

Caltrans shall have the right, in its discretion, to terminate this Agreement without liability, to pay only for the value of the work actually performed, or to deduct from this Agreement price or otherwise recover the full amount of such rebate, kickback or other unlawful consideration.

XXIX. PROHIBITION OF EXPENDING STATE OR FEDERAL FUNDS FOR LOBBYING

A. The Consultant certifies, to the best of his or her knowledge and belief, that:

1. No State or Federal appropriated funds have been paid or will be paid, by or on behalf of the Consultant, to any person for influencing or attempting to influence an officer or employee of any State or Federal agency, a Member of the State Legislature or United States Congress, an officer or employee of the Legislature or Congress, or any employee of a Member of the Legislature or Congress in connection with the awarding of any State or Federal agreement, the making of any State or Federal grant, the making of any State or Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any State or Federal agreement, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal Agreement, grant, loan, or cooperative agreement, the Consultant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

B. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

penalty of not less than $10,000.00 and not more than $100,000.00 for each such failure.

C. The Consultant also agrees by signing this document that he or she shall require that the language of this certification be included in all lower tier subagreements, which exceed $100,000.00, and that all such subrecipients shall certify and disclose accordingly.

XXX. CONSULTANT CODE OF BUSINESS ETHICS AND CONDUCT (Dec. 2007)

A. Definition

United States, as used in this clause, means the 50 States, the District of Columbia, and outlying areas.

B. Code of Business Ethics and Conduct

1. Within 30 calendar days after contract award, the Consultant shall:

   a. Have a written code of business ethics and conduct; and

   b. Provide a copy of the code to each employee engaged in performance of the contract.

2. The Consultant shall promote compliance with its code of business ethics and conduct.

C. Awareness Program and Internal Control System for Other Than Small Businesses

This paragraph C does not apply if the Consultant has represented itself as a small business concern pursuant to the award of this contract. The Consultant shall establish within 90 days after contract award:

1. An ongoing business ethics and business conduct awareness program; and
2. An internal control system.

   a. The Consultant's internal control system shall:

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

(1) Facilitate timely discovery of improper conduct in connection with Government contracts; and

(2) Ensure corrective measures are promptly instituted and carried out.

b. For example, the Consultant's internal control system should provide for:

(1) Periodic reviews of company business practices, procedures, policies, and internal controls for compliance with the Consultant's code of business ethics and conduct and the special requirements of Government contracting.

(2) An internal reporting mechanism, such as a hotline, by which employees may report suspected instances of improper conduct, and instructions that encourage employees to make such reports;

(3) Internal and/or external audits, as appropriate; and

(4) Disciplinary action for improper conduct.

D. Subcontracts

The Consultant shall include the substance of this clause, including this paragraph D, in subcontracts, except when the subcontract:

1. Is for the acquisition of a commercial item; or
2. Is performed entirely outside the United States.

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

APPENDIX A — FEDERAL FUNDING REQUIREMENTS

I. COMPLIANCE WITH REGULATIONS

The Consultant shall comply with regulations relative to Title VI (nondiscrimination in federally-assisted programs of the Department of Transportation – Title 49 Code of Federal Regulations Part 21 – Effectuation of Title VI of the 1964 Civil Rights Act). Title VI provides that the recipients of federal assistance will implement and maintain a policy of nondiscrimination in which no person in the state of California shall, on the basis or race, color, national origin, religion, sex, age, disability, be excluded from participation in, denied the benefits of or subject to discrimination under any program or activity by the recipients of federal assistance or their assignees and successors in interest.

II. NON-DISCRIMINATION

The Consultant, with regard to the work performed by it during the Agreement shall act in accordance with Title VI. Specifically, the Consultant shall not discriminate on the basis or race, color, national origin, religion, sex, age, or disability in the selection and retention of Subconsultants, including procurement of materials and leases of equipment. The Consultant shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the U.S. DOT's Regulations, including employment practices when the Agreement covers a program whose goal is employment.

III. SOLICITATIONS FOR SUBAGREEMENTS, INCLUDING PROCUREMENTS OF MATERIALS AND EQUIPMENT

In all solicitations, either by competitive bidding or negotiation made by the Consultant for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential Subconsultant or supplier shall be notified by the Consultant of the

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

Consultant's obligations under this Agreement and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.

IV. INFORMATION AND REPORTS

The Consultant shall provide all information and reports required by the Regulations, or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and facilities as may be determined by the State Department of Transportation or any duly authorized representative of the Federal Government to be pertinent to ascertain compliance with such regulations or directives. Where any information required of a Consultant is in the exclusive possession of another who fails or refuses to furnish this information, the Consultant shall so certify to the State Department of Transportation, or any duly authorized Federal Agency as appropriate, and shall set forth what efforts it has made to obtain the information.

V. SANCTIONS FOR NONCOMPLIANCE

In the event of the Consultant's noncompliance with the nondiscrimination provisions of this Agreement, the State Department of Transportation shall impose such Agreement sanctions as it or any Federal funding agency may determine to be appropriate, including, but not limited to:

A. Withholding of payments to the Consultant under the Agreement until the Consultant complies, and/or

B. Cancellation, termination or suspension of the Agreement, in whole or in part.

VI. INCORPORATION OF PROVISIONS

The Consultant shall include the provisions of paragraphs (1) through (6) in every subagreement, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto. The Consultant will take such action with respect to any Subconsultant procurement as the State Department of Transportation or any

EXHIBIT D
SPECIAL TERMS AND CONDITIONS

Federal funding agency may direct as a means of enforcing such provisions including sanctions for noncompliance: Provided, however, that in the event a Consultant becomes involved in, or is threatened with, litigation with a Subconsultant or supplier as a result of such direction, the Consultant may request the State Department of Transportation to enter into such litigation to protect the interest of the State, and, in addition, the Consultant may request the United States to enter into such litigation to protect the interests of the United States.

FM 94 1984M

EXHIBIT E
ADDITIONAL PROVISIONS

I. DBE INFORMATION AND CONTRACT GOAL REQUIREMENT FOR DBE PARTICIPATION

A. This Agreement is subject to Title 49, Code of Federal Regulations, Part 26 (49 CFR 26), entitled "Participation by Disadvantaged Business Enterprises (DBEs) in Department of Transportation Financial Assistance Programs," in the award and administration of federally assisted Agreements. The regulations in their entirety are incorporated by reference and made part of this Agreement as if attached hereto.

B. A DBE is a firm that has been certified as a DBE as specified in 49 CFR 26. Only the participation of certified DBEs will count toward any contract goal.

C. The contract goal for DBE participation for this Agreement is fifteen percent (15 %). Participation by DBE prime and Subconsultants shall be in accordance with the information contained in the Disadvantaged Business Enterprise (DBE) Information form (ADM 0227F A&E) attached hereto and incorporated as part of this Agreement.

D. Non-compliance by Consultant or Subconsultant(s) with the requirements of the regulations is a material breach of this Agreement and may result in termination of the Agreement or other such appropriate remedy for a breach of this Agreement, as Caltrans deems appropriate.

E. Consultant or subconsultant shall not discriminate on the basis of race color, national origin or sex in the performance of this Agreement. Each subcontract signed by and between Consultant and Subconsultant(s) in the performance of this Agreement must include this assurance.

II. SUBCONSULTANTS

A. Consultant shall perform the work contemplated with resources available within its own organization and no portion of the work shall be subcontracted without written authorization by the Caltrans Contract Manager.

EXHIBIT E
ADDITIONAL PROVISIONS

B. Any subcontract in excess of $25,000, entered into as a result of this Agreement shall contain all the provisions stipulated in this Agreement to be applicable to subconsultants.

C. Any substitution of Subconsultant(s) must be approved in writing by the Caltrans Contract Manager in advance of assigning work to a substitute Subconsultant(s).

D. Nothing contained in this Agreement or otherwise shall create any contractual relation between the State and any Subconsultant(s), and no subcontract shall relieve Consultant of its responsibilities and obligations hereunder. Consultant agrees to be as fully responsible to the State for the acts and omissions of its Subconsultant(s) and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by Consultant. Consultant's obligation to pay its Subconsultant(s) is an independent obligation from the State's obligation to make payments to Consultant. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subconsultant.

III. PERFORMANCE OF DBE CONSULTANTS AND OTHER DBE SUBCONSULTANTS/SUPPLIERS

A. A DBE performs a Commercially Useful Function (CUF) when it is responsible for execution of the work of the Agreement and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a CUF, the DBE must also be responsible for materials and supplies used on the Agreement, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a CUF, evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the Agreement is commensurate with the work it is actually performing, and other relevant factors.

B. A DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, Agreement, or project through which funds are passed in order to obtain the appearance of DBE participation. In

EXHIBIT E
ADDITIONAL PROVISIONS

determining whether a DBE is such an extra participant, examine similar transactions, particularly those in which DBEs do not participate.

C. If a DBE does not perform or exercise responsibility for at least thirty percent (30%) of the total cost of its Agreement with its own work force, or the DBE subcontracts a greater portion of the work of the Agreement than would be expected on the basis of normal industry practice for the type of work involved, presume that it is not performing a CUF.

D. DBE Subconsultants shall perform the work and supply the materials that they have listed in their response to the Agreement award requirements specified on form ADM 0227F A&E, attached, unless Consultant has received prior written authorization to perform the work with other forces or to obtain the materials from other sources as set forth in the section below entitled "DBE Substitution."

E. Consultant shall not be entitled to any payment for such work or material unless it is performed or supplied by the listed DBE or by other forces (including those of Consultant) pursuant to prior written authorization of the Caltrans Contract Manager.

IV. EXCLUSION OF RETENTION

A. In conformance with 49 CFR 26.29 (b) (1), the retention of proceeds required by Public Contract Code (PCC), Section 10261 shall not apply.

B. In conformance with Public Contract Code (PCC) Section 7200 (b), in subcontracts between Consultant and a Subconsultant and in subcontracts between a Subconsultant and any Subconsultant thereunder, retention proceeds shall not be withheld, and the exceptions provided in PCC Section 7200 (c), shall not apply. At the option of Consultant, Subconsultant(s) may be required to furnish payment and performance bonds issued by an admitted surety insurer.

C. Any subcontract entered into as a result of this Agreement shall contain all of the provisions of this section.

EXHIBIT E
ADDITIONAL PROVISIONS

V. PAYMENT TO DBE AND NON-DBE SUBCONSULTANT(S)

A. Consultant shall pay its DBE Subconsultant(s) and non-DBE Subconsultant(s) within ten (10) calendar days from receipt of each payment made to Consultant by the State.

B. Prior to the fifteenth of each month, Consultant shall submit documentation to the Caltrans Contract Manager showing the amount paid to DBE trucking companies listed in Consultant's DBE information. This monthly documentation shall indicate the portion of the revenue paid to DBE trucking companies, which is claimed toward DBE participation. Consultant shall also obtain and submit documentation to the Caltrans Contract Manager showing the amount paid by DBE trucking companies to all firms, including owner-operators, for the leasing of trucks. The DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. The records must confirm that amount of credit claimed toward DBE participation conforms to the requirements of section VIII below entitled, "DBE Substitutions."

C. Consultant shall also submit to the Caltrans Contract Manager documentation showing the truck number, name of owner, California Highway Patrol CA number and if applicable, the DBE certification number of the truck owner for all trucks used during that month for which DBE participation will be claimed. This documentation shall be submitted on the Monthly DBE Trucking Verification form provided to Consultant by the Caltrans Contract Manager.

D. Consultant shall return all moneys withheld in retention from a Subconsultant within 30 calendar days after receiving payment for work satisfactorily completed, even if other Agreement work is not completed and has not been accepted in conformance with the terms of the Agreement. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to Consultant or Subconsultant in the event of a dispute involving late payment or non-payment to Consultant or deficient subcontract performance or noncompliance by a Subconsultant.

EXHIBIT E
ADDITIONAL PROVISIONS

VI. DBE RECORDS

A. Consultant shall maintain records of all subcontracts entered into with certified DBE Subconsultant(s) and records of materials purchased from certified DBE supplier(s). The records shall show the name and business address of each DBE Subconsultant or vendor and the total dollar amount actually paid each DBE Subconsultant or vendor, regardless of tier. The records shall show the date of payment and the total dollar figure paid to all firms. DBE (prime) Consultant shall also show the date of work performed by their own forces along with the corresponding dollar value of the work.

B. The Consultant shall prepare and submit a Disadvantaged Business Enterprises Utilization Report (form ADM-3069), Attachment 5, to the Caltrans Contract Manager with every invoice (refer to Exhibit B, Budget Detail and Payment Provisions).

VII. DBE SUBSTITUTIONS

A. Consultant may not substitute a listed DBE Subconsultant, supplier or, if applicable, a trucking company, without the prior written approval of the Caltrans Contract Manager. Failure to obtain approval of substitute subconsultants before work is performed, supplies are delivered, or services are rendered may result in payment being denied by Caltrans.

B. Consultant must make an adequate good faith effort (GFE) to find another certified DBE Subconsultant to substitute for the original DBE Subconsultant. GFE shall be directed at finding another DBE Subconsultant to perform at least the same amount of work under the Agreement as the DBE Subconsultant that was substituted or terminated to the extent needed to meet the contract goal for DBE participation established for the Agreement.

C. The requirement that DBEs must be certified by the Statement of Qualification due date does not apply to DBE substitutions after award of the Agreement. DBEs substituted after award must be certified at the time of the substitution.

EXHIBIT E
ADDITIONAL PROVISIONS

D. Consultants shall submit requests for substitution to the Caltrans Contract Manager. Authorization to use other Subconsultants or suppliers may be requested for the following reasons:

1. Listed DBE, after having had a reasonable opportunity to do so, fails or refuses to execute a written Agreement, when such written Agreement, based upon the terms and conditions for this Agreement or on the terms of such Subconsultant's or supplier's written proposal, is presented by Consultant.
2. Listed DBE becomes bankrupt or insolvent.
3. Listed DBE fails or refuses to perform subcontract or furnish listed materials.
4. Consultant stipulated that a bond was a condition of executing subcontract and listed DBE Subconsultant failed or refuses to meet the bond requirements of Consultant.
5. Work performed by listed Subconsultant is substantially unsatisfactory and is not in substantial conformance with scope of work to be performed, or Subconsultant is substantially delaying or disrupting the progress of work.
6. When it would be in the best interest of the State.

E. At a minimum, Consultant's substitution request to the Caltrans Contract Manager must include a:

1. Written explanation of the substitution reason and, if applicable, Consultant must also include the reason a non-DBE Subconsultant is proposed for use.
2. Written description of the substitute business enterprise, including its business status, DBE certification number, and status as a sole proprietorship, partnership, corporation, or other entity.
3. Written notice detailing a clearly defined portion of the work identified both as a task and as a percentage share/dollar amount of the overall Agreement that the substitute firm will perform.

F. Prior to the approval of Consultant's substitution request, the Caltrans Contract Manager must give written notice to the Subconsultant being

EXHIBIT E
ADDITIONAL PROVISIONS

substituted by Consultant. A copy of the notice sent by the Caltrans Contract Manager must be sent to the Division of Procurement and Contracts (DPAC). The notice must do all of the following:

1. Give the reason Consultant is requesting substitution of the listed Subconsultant;
2. Give the listed Subconsultant five working days within which to submit written objections to DPAC and copies to the Caltrans Contract Manager;
3. Notify the Subconsultant that if a written objection is not received or received past the due date, such failure will constitute consent to the substitution; and
4. Be served by certified or registered mail to the last known address of the listed Subconsultant.

The listed Subconsultant, who has been so notified, shall have five working days within which to submit written objections of the substitution to the Caltrans Contract Manager. Failure to submit a written objection shall constitute the listed Subconsultant's consent to the substitution.

G. If written objections are filed by the listed Subconsultant, DPAC will render a written decision. DPAC shall give written notice of at least five (5) working days to the listed Subconsultant of a hearing by Caltrans on Consultant's request for substitution.

VIII. DBE CERTIFICATION AND DE-CERTIFICATION STATUS

A. If a DBE Subconsultant is decertified during the life of the Agreement, the decertified Subconsultant shall notify Consultant in writing with the date of decertification. If a Subconsultant becomes a certified DBE during the life of the Agreement, the Subconsultant shall notify Consultant in writing with the date of certification.

B. Consultant shall report any changes to the Caltrans Contract Manager within 30 days.

EXHIBIT E
ADDITIONAL PROVISIONS

IX. DBE ELIGIBILITY

A. The dollar value of work performed by a DBE is credited/counted toward the goal only after the DBE has been paid.

B. Credit for DBE Prime Consultants

Consultant, if a certified DBE, is eligible to claim all of the work toward the goal except that portion of the work to be performed by non-DBE Subconsultants.

C. Credit for Material or Supplies

Credit for materials or supplies purchased from DBEs will be as follows:

1. If the materials or supplies are obtained from a DBE manufacturer, one hundred percent (100%) of the cost of the materials or supplies will count toward the DBE goal. A DBE manufacturer is a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment required under the Agreement and of the general character described by the specifications.

2. If the materials or supplies are purchased from a DBE regular dealer, sixty percent (60%) of the cost of the materials or supplies will count toward the DBE goal. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Agreement are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this paragraph.

EXHIBIT E
ADDITIONAL PROVISIONS

3. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be by a long-term lease agreement and not an ad hoc or Agreement by Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this paragraph.

4. Credit for materials or supplies purchased from a DBE that is neither a manufacturer nor a regular dealer will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

D. Credit for DBE trucking companies will be as follows:

1. The DBE must manage and supervise the entire trucking operation for which it is responsible. There cannot be a contrived arrangement for the purpose of meeting the DBE goal.

2. The DBE must itself own and operate at least one fully licensed, insured and operational truck used on the Agreement.

3. The DBE receives credit for the total value of the transportation services it provides on the Agreement using trucks it owns, insures, and operates using drivers it employs.

4. The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the Agreement.

5. The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. The DBE does not receive credit for the total

EXHIBIT E
ADDITIONAL PROVISIONS

value of the transportation services provided by the lessee, since these services are not provided by the DBE.

6. For the purposes of this paragraph, a lease must indicate that the DBE has exclusive use and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, as long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

X. TERMINATION OF DBE

A. In conformance with 49 CFR 26.53 (f) (1) and 26.53 (f) (2):

1. Consultant shall not terminate for convenience a listed DBE Subconsultant and then perform that work with its own forces (personnel), or those of an affiliate, unless Consultant has received prior written authorization from the Caltrans Contract Manager to perform the work with other forces (other than Consultant's own personnel) or to obtain materials from other sources; and

2. If a DBE Subconsultant is terminated or fails to complete its work for any reason, Consultant will be required to make GFE to replace the original DBE Subconsultant with another DBE Subconsultant to the extent needed to meet the Agreement goal.

B. Noncompliance by Consultant with the requirements of this section is considered a material breach of this Agreement and may result in termination of the Agreement or other such appropriate remedies for a breach of this Agreement as Caltrans deems appropriate.

EXHIBIT F
PREVAILING WAGE REQUIREMENTS

I. STATE PREVAILING WAGE RATES

A. The Consultant shall comply with all of the applicable provisions of the California Labor Code requiring the payment of prevailing wages. The General Prevailing Wage Rate Determinations applicable to work under this Agreement are available and on file with the Department of Transportation's Regional/District Labor Compliance Officer. (http://www.dot.ca.gov/hq/construc/LaborCompliance/LCO_District_Map.pdf). These wage rates are made a specific part of this Agreement by reference pursuant to Labor Code Section 1773.2 and will be applicable to work performed at a construction project site. Prevailing wages will be applicable to all inspection work performed at Caltrans construction sites, at Caltrans facilities and at off-site locations that are set up by the construction contractor or one of its subcontractors solely and specifically to serve Caltrans projects. Prevailing wage requirements do not apply to inspection work performed at the facilities of vendors and commercial materials suppliers that provide goods and services to the general public.

B. General Prevailing Wage Rate Determinations applicable to this project may also be obtained from the Department of Industrial Relations Internet site at http://www.dir.ca.gov.

C. Payroll Records

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

   a. The information contained in the payroll record is true and correct.

EXHIBIT F
PREVAILING WAGE REQUIREMENTS

b. The employer has complied with the requirements of Sections 1771, 1811, and 1815 for any work performed by his or her employees on the public works project.

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

   a. A certified copy of an employee's payroll record shall be made available for inspection or furnished to the employee or the employee's authorized representative on request.

   b. A certified copy of all payroll records enumerated in paragraph (1) above, shall be made available for inspection or furnished upon request to a representative of Caltrans, the Division of Labor Standards Enforcement and the Division of Apprenticeship Standards of the Department of Industrial Relations. Certified payrolls submitted to Caltrans, the Division of Labor Standards Enforcement and the Division of Apprenticeship Standards shall not be altered or obliterated by the Consultant.

   c. The public shall not be given access to certified payroll records by the Consultant. The Consultant is required to forward any requests for certified payrolls to the Caltrans Contract Manager by both facsimile and regular mail on the business day following receipt of the request.

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

4. Any copy of records made available for inspection as copies and furnished upon request to the public or any public agency by Caltrans shall be marked or obliterated in such a manner as to prevent disclosure of each individual's name, address and social security

EXHIBIT F
PREVAILING WAGE REQUIREMENTS

number. The name and address of the Consultant awarded the Agreement or performing the Agreement shall not be marked or obliterated.

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

6. The Consultant or Subconsultant shall have ten (10) days in which to comply subsequent to receipt of written notice requesting the records enumerated in paragraph (1) above. In the event the Consultant or Subconsultant fails to comply within the ten-day period, he or she shall, as a penalty to Caltrans, forfeit twenty-five dollars ($25) for each calendar day, or portion thereof, for each worker, until strict compliance is effectuated. Such penalties shall be withheld by Caltrans from payments then due. A contractor is not subject to a penalty assessment pursuant to this section due to the failure of a subcontractor to comply with this section.

D. When prevailing wage rates apply, the Consultant must submit with each invoice a certified copy of the payroll for compliance verification. Invoice payment will not be made until the payroll has been verified and the invoice approved by the Caltrans Contract Manager.

E. Penalty

1. The Consultant and any Subconsultant under the Consultant shall comply with Labor Code Sections 1774 and 1775. Pursuant to Section 1775, the Consultant and any Subconsultant shall forfeit to the State or political subdivision on whose behalf the Agreement is made or awarded a penalty of not more than fifty dollars ($50.00) for each calendar day, or portion thereof, for each worker paid less than the prevailing rates as determined by the Director of Industrial Relations for the work or craft in which the worker is employed for any public work done under the Agreement by the Consultant or by any Subconsultant under the Consultant in violation of the requirements of the Labor Code and in particular, Labor Code Sections 1770 to 1780, inclusive.

EXHIBIT F
PREVAILING WAGE REQUIREMENTS

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

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

4. If a worker employed by a Subconsultant on a public works project is not paid the general prevailing per diem wages by the Subconsultant, the prime Consultant of the project is not liable for the penalties described above unless the prime Consultant had knowledge of that failure of the Subconsultant to pay the specified prevailing rate of wages to those workers or unless the prime Consultant fails to comply with all of the following requirements:

   a. The Agreement executed between the Consultant and the Subconsultant for the performance of work on public works projects shall include a copy of the requirements in Sections 1771, 1775, 1776, 1777.5, 1813, and 1815 of the Labor Code.

   b. The Consultant shall monitor the payment of the specified general prevailing rate of per diem wages by the Subconsultant to the employees by periodic review of the certified payroll records of the Subconsultant.

   c. Upon becoming aware of the Subconsultant's failure to pay the specified prevailing rate of wages to the Subconsultant's workers,

EXHIBIT F
PREVAILING WAGE REQUIREMENTS

the Consultant shall diligently take corrective action to halt or rectify the failure, including but not limited to, retaining sufficient funds due the Subconsultant for work performed on the public works project.

d. Prior to making final payment to the Subconsultant for work performed on the public works project, the Consultant shall obtain an affidavit signed under penalty of perjury from the Subconsultant that the Subconsultant had paid the specified general prevailing rate of per diem wages to the Subconsultant's employees on the public works project and any amounts due pursuant to Section 1813 of the Labor Code.

5. Pursuant to Section 1775 of the Labor Code, Caltrans shall notify the Consultant on a public works project within 15 days of receipt of a complaint that a Subconsultant has failed to pay workers the general prevailing rate of per diem wages.

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

F. Hours of Labor

Eight (8) hours labor constitutes a legal day's work. The Consultant shall forfeit, as a penalty to the State of California, twenty-five dollars ($25.00) for each worker employed in the execution of the Agreement by the Consultant or any Subconsultant under the Consultant for each calendar day during which such worker is required or permitted to work more than eight (8) hours in any one calendar day and 40 hours in any one calendar week in violation of the provisions of the Labor Code, and in particular Sections 1810 to 1815 thereof, inclusive, except that work performed by employees in excess of eight (8) hours per day, and forty (40) hours during any one week, shall be permitted upon compensation for all hours worked in excess of eight (8) hours per day and forty (40) hours in any week, at

EXHIBIT F
PREVAILING WAGE REQUIREMENTS

not less than one and one-half times the basic rate of pay, as provided in Section 1815.

G. Employment of Apprentices

1. Where either the prime contract or the subcontract exceeds $30,000, the Consultant and any subcontractors under him or her shall comply with all applicable requirements of Labor Code sections 1777.5, 1777.6 and 1777.7 in the employment of apprentices.

2. Contractors and subcontractors are required to comply with all Labor Code requirements regarding the employment of apprentices, including mandatory ratios of journey level to apprentice workers. Prior to commencement of work, Contractors and subcontractors are advised to contact the State Division of Apprenticeship Standards, P. O. Box 420603, San Francisco, California 94142-0603, or one of its branch offices, for additional information regarding the employment of apprentices and for the specific journey-to-apprentice ratios for the contract work. The prime Consultant is responsible for all subcontractors' compliance with these requirements. Penalties are specified in Labor Code Section 1777.7.

H. Any subagreement entered into as a result of this Agreement shall contain all of the provisions of this clause.

II. FEDERAL PREVAILING WAGES

A. The work herein proposed will be financed in whole or in part with Federal funds; therefore, all of the statutes, rules, and regulations promulgated by the Federal government are applicable to work financed in whole or in part with Federal funds and will be applicable to work performed at a construction project site.

EXHIBIT F
PREVAILING WAGE REQUIREMENTS

B. Federal Requirements

1. Federal Requirements for Federal-Aid Construction Projects provisions shall apply to this Agreement and are made a part of the Agreement.

2. The current Federal Prevailing Wage Determinations issued under the Davis-Bacon and related Acts shall apply to this Agreement and are made a part of the Agreement.

C. When prevailing wage rates apply, the Consultant must submit, with each invoice, a certified copy of the payroll for compliance verification. Invoice payment will not be made until the payroll has been verified and the invoice approved by the Caltrans Contract Manager.

D. If there is any conflict between the State prevailing wages and the Federal prevailing wages, the higher rate shall be paid.

E. Any subagreement entered into as result of this Agreement shall contain all of the provisions of this clause.

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

A. Purpose of Work

The Consultant shall perform professional and technical highway design, landscape architectural, and hydraulic engineering services on an "as-needed" basis to support the development and construction of proposed Caltrans transportation facilities. The contract is an on-call contract of **4** year duration. The Task Orders will be issued and executed for work during the first **3** years of the contract. During the remainder of the contract, new Task Orders will be issued only to allow the completion of work started or for providing design support (Engineer-of-Record) during construction phase of Consultant-designed projects.

Task Orders are based on the Caltrans Workplan Standards Guide (WSG). The latest Work Breakdown Structure (WBS) is found in the Guide to Project Delivery Workplan Standards, which is available from Caltrans' Publication Unit and on the Internet at

http//www.dot.ca.gov/hq/projmgmt/guidance.htm

All revisions to the current version of the WBS shall apply during the life of the contract. The standard Caltrans' WBS is on the Internet at

http://www.dot.ca.gov/hq/projmgmt/documents/wsg/WSG_10-2.pdf

The WBS activities represent the potential work activities that may be required of the Consultant to be used for the Agreement include the following:

WBS Code	WBS Description
0.100	PROJECT MANAGEMENT
0.100.10	PROJECT MANAGEMENT – PA&ED COMPONENT
0.100.15	PROJECT MANAGEMENT – PS&E COMPONENT
0.100.20	PROJECT MANAGEMENT-CONSTRUCTION COMPONENT
2.160	PERFORM PRELIMINARY ENGINEERING STUDIES AND DRAFT PROJECT REPORT
2.160.05.25	GEOMETRICS REVIEW
2.160.05.30	PROJECT SCOPE REVIEW
2.160.05.35	PROJECT COST ESTIMATE REVIEW
2.160.05.99	OTHER UPDATED PROJECT INFORMATION PRODUCTS
2.160.10	ENGINEERING STUDIES
2.160.10.10	TRAFFIC FORECASTS/MODELING
2.160.10.15	GEOMETRIC PLANS FOR PROJECT ALTERNATIVES
2.160.10.20	VALUE ANALYSIS
2.160.10.25	HYDRAULICS/HYDROLOGY STUDIES
2.160.10.30	HIGHWAY PLANTING DESIGN CONCEPTS

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

WBS Code	WBS Description
2.160.10.35	TRAFFIC OPERATIONAL ANALYSIS
2.160.10.45	UTILITY LOCATIONS DETERMINED FOR PRELIMINARY ENGINEERING
2.160.10.50	RAILROAD STUDY
2.160.10.55	MULTI-MODAL STUDY
2.160.10.60	PARK & RIDE STUDY
2.160.10.70	TRAFFIC STUDIES
2.160.10.75	UPDATED MATERIALS INFORMATION
2.160.10.90	HIGH OCCUPANCY VEHICLE REPORT
2.160.10.95	UPDATED PRELIMINARY TRANSPORTATION MANAGEMENT PLAN
2.160.10.99	OTHER ENGINEERING STUDIES
2.160.15	DRAFT PROJECT REPORT
2.160.15.05	COST ESTIMATES FOR ALTERNATIVES
2.160.15.10	FACT SHEET FOR EXCEPTIONS TO DESIGN STANDARDS
2.160.15.15	APPROVED EXCEPTIONS TO ENCROACHMENT POLICY
2.160.15.20	DRAFT PROJECT REPORT
2.160.15.25	DRAFT PROJECT REPORT CIRCULATION REVIEW & APPROVAL
2.160.15.99	OTHER DRAFT PROJECT REPORT PRODUCTS
2.160.30	ENVIRONMENTAL STUDY REQUEST [ESR]
2.160.30.05	MAPS FOR ESR
2.160.45	BASE MAPS AND PLAN SHEETS FOR PA&ED DEVELOPMENT
2.165	PERFORM ENVIRONMENTAL STUDIES AND PREPARE DRAFT ENVIRONMENTAL DOCUMENT
2.165.05.15	ALTERNATIVES FOR FURTHER STUDY
2.165.05.99	OTHER ENVIRONMENTAL SCOPING OF ALTERNATIVES IDENTIFIED FOR STUDIES IN PID
2.165.10	GENERAL ENVIRONMENTAL STUDIES
2.165.10.20	VISUAL IMPACT ASSESSMENT AND SCENIC RESOURCE EVALUATION
2.165.10.60	LOCATION HYDRAULIC & FLOODPLAIN STUDY REPORTS
2.170	PERMITS AGREEMENTS AND ROUTE ADOPTIONS DURING PA&ED COMPONENT
2.170.05	REQUIRED PERMITS
2.170.10	PERMITS
2.170.10.30	LOCAL AGENCY CONCURRENCE/PERMIT

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

WBS Code	WBS Description
2.170.10.40	WASTE DISCHARGE [NPDES] PERMIT[S]
2.170.10.95	OTHER PERMITS
2.170.15	RAILROAD AGREEMENTS
2.170.15.25	PUC EXHIBITS AND APPLICATION
2.170.15.99	OTHER RAILROAD AGREEMENT PRODUCTS
2.180	PREPARE AND APPROVE PROJECT REPORT AND FINAL ENVIRONMENTAL DOCUMENT
2.180.05	FINAL PROJECT REPORT
2.180.05.05	UPDATED DRAFT PROJECT REPORT
2.180.05.10	APPROVED PROJECT REPORT
2.180.05.15	UPDATED STORM WATER DATA REPORT
2.180.05.99	OTHER FINAL PROJECT REPORT PRODUCTS
3.185	PREPARE BASE MAPS AND PLAN SHEETS DURING PS&E DEVELOPMENT
3.185.05	UPDATED PROJECT INFORMATION
3.185.05.05	PROJECT CONCEPT REVIEW
3.185.05.10	UPDATED PROJECT INFORMATION
3.185.05.99	OTHER UPDATED PROJECT INFORMATION PRODUCTS
3.185.15	PRELIMINARY DESIGN
3.185.15.05	ROADWAY AND MISCELLANEOUS DESIGN
3.185.15.10	PROPOSED GEOMETRICS REVIEW
3.185.15.15	REQUESTS FOR EXCEPTIONS TO DESIGN STANDARDS
3.185.15.20	VALUE ANALYSIS
3.185.15.99	OTHER PRELIMINARY DESIGN PRODUCTS
3.185.20	ENGINEERING REPORTS
3.185.20.05	UPDATED TRAFFIC DATA ANALYSIS AND FORECASTS
3.185.20.10	PRELIMINARY HYDROLOGY AND HYDRAULIC REPORTS
3.185.20.20	PRELIMINARY PAVEMENT DESIGN REPORT
3.185.20.25	PRELIMINARY MATERIALS REPORT
3.185.20.30	SOUNDWALL DESIGN REPORT
3.185.20.35	UPDATED TRANSPORTATION MANAGEMENT PLAN FOR DESIGN PHASE
3.185.20.40	UTILITY LOCATIONS DETERMINED FOR DESIGN
3.185.20.99	OTHER ENGINEERING REPORTS PRODUCTS
3.185.25	RIGHT OF WAY REQUIREMENTS DETERMINATION
3.185.25.05	PROJECT REVIEW WITH AFFECTED AGENCIES

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

WBS Code	WBS Description
3.185.25.10	FEE AND EASEMENT REQUIREMENTS DETERMINATION
3.185.25.15	RIGHT OF WAY REQUIREMENTS MAPS
3.185.25.20	FINAL RAILROAD INVOLVEMENT DETERMINATION
3.185.25.25	WATER WELL ABANDONMENT NEEDS DETERMINATION
3.185.25.30	UTILITY CONFLICT MAPS
3.185.99	OTHER BASE MAPS AND PLAN SHEETS PRODUCTS
3.205	PERMITS AND AGREEMENTS DURING PS&E COMPONENT
3.205.05	REQUIRED PERMITS
3.205.10	PERMITS
3.205.10.30	LOCAL AGENCY CONCURRENCE/PERMIT
3.205.10.40	WASTE DISCHARGE [NPDES] PERMIT[S]
3.205.10.95	OTHER PERMITS
3.205.15	RAILROAD AGREEMENTS
3.205.15.25	PUC EXHIBITS AND APPLICATION
3.205.15.99	OTHER RAILROAD AGREEMENT PRODUCTS
3.230	PREPARE DRAFT PS&E
3.230.05	DRAFT ROADWAY PLANS
3.230.05.05	TITLE SHEET
3.230.05.10	TYPICAL CROSS SECTIONS
3.230.05.15	KEY MAP AND LINE INDEX
3.230.05.20	ROADWAY LAYOUTS
3.230.05.25	PROFILE AND SUPERELEVATION SHEETS
3.230.05.30	CONSTRUCTION DETAILS
3.230.05.35	CONTOUR GRADING PLANS
3.230.05.40	SUMMARY OF QUANTITIES SHEETS
3.230.05.45	NOISE BARRIER PLANS
3.230.05.50	RETAINING WALL PLANS
3.230.05.55	STANDARD PLANS SELECTION
3.230.05.60	STAGE CONSTRUCTION AND DETOUR PLANS OR TRAFFIC HANDLING PLANS
3.230.05.65	WATER POLLUTION CONTROL PLANS
3.230.05.70	ENGINEERING REPORTS
3.230.05.70.05	HYDROLOGY AND HYDRAULIC REPORTS
3.230.05.70.10	PRODUCTS REQUIRED TO READY SITE FOR SUBSURFACE EXPLORATION
3.230.05.70.20	PAVEMENT DESIGN REPORT

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

WBS Code	WBS Description
3.230.05.70.25	MATERIALS REPORT
3.230.05.99	OTHER DRAFT ROADWAY PLAN PRODUCTS
3.230.10	DRAFT HIGHWAY PLANTING PLANS
3.230.10.05	HIGHWAY PLANTING PLANS
3.230.10.15	PLANT LIST
3.230.10.20	IRRIGATION PLANS
3.230.10.30	IRRIGATION QUANTITY SHEETS
3.230.10.99	OTHER DRAFT ROADWAY PLAN PRODUCTS
3.230.15	DRAFT TRAFFIC PLANS
3.230.15.05	SIGNING AND PAVEMENT DELINEATION PLANS
3.230.15.10	CONSTRUCTION AREA SIGNS PLANS
3.230.15.15	TRAFFIC ELECTRICAL PLANS
3.230.15.99	OTHER DRAFT TRAFFIC PLAN PRODUCTS
3.230.20	TRANSPORTATION MANAGEMENT PLAN
3.230.25	DRAFT UTILITY PLANS
3.230.25.05	NEW FACILITY PLANS
3.230.25.10	UTILITY RELOCATION PLANS
3.230.25.99	OTHER DRAFT UTILITY PLAN PRODUCTS
3.230.30	DRAFT DRAINAGE PLANS
3.230.35	DRAFT SPECIFICATIONS
3.230.35.05	ROADWAY SPECIFICATIONS
3.230.35.10	HIGHWAY PLANTING SPECIFICATIONS
3.230.35.15	TRAFFIC SPECIFICATIONS
3.230.35.20	ELECTRICAL SPECIFICATIONS
3.230.35.25	UTILITY SPECIFICATIONS
3.230.35.30	HYDRAULIC SPECIFICATIONS
3.230.35.35	WATER POLLUTION CONTROL SPECIFICATIONS
3.230.35.40	EROSION CONTROL SPECIFICATIONS
3.230.35.99	OTHER DRAFT SPECIFICATION PRODUCTS
3.230.40	DRAFT PS&E QUANTITIES AND ESTIMATES
3.230.40.05	ROADWAY QUANTITIES AND ESTIMATES
3.230.40.10	HIGHWAY PLANTING QUANTITIES AND ESTIMATES
3.230.40.15	DRAINAGE QUANTITIES AND ESTIMATES
3.230.40.20	TRAFFIC QUANTITIES AND ESTIMATES
3.230.40.25	ELECTRICAL QUANTITIES AND ESTIMATES

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

WBS Code	WBS Description
3.230.40.30	UTILITY QUANTITIES AND ESTIMATES
3.230.40.35	WATER POLLUTION CONTROL QUANTITIES AND ESTIMATES
3.230.40.40	EROSION CONTROL QUANTITIES AND ESTIMATES
3.230.40.99	OTHER DRAFT PS&E QUANTITIES AND ESTIMATES PRODUCTS
3.230.55	STRUCTURES DRAFT PS&E INCORPORATION
3.230.60	UPDATED PROJECT INFORMATION FOR PS&E PACKAGE
3.230.60.05	UPDATED STORM WATER DATA REPORT
3.230.60.10	OTHER REVIEWS AND UPDATE OF PROJECT INFORMATION
3.230.90	NEPA DELEGATION
3.230.99	OTHER DRAFT PS&E PRODUCTS
3.255	CIRCULATE REVIEW AND PREPARE FINAL DISTRICT PS&E PACKAGE
3.255.05	CIRCULATED & REVIEWED DRAFT DISTRICT PS&E PACKAGE
3.255.10	UPDATED PS&E PACKAGE
3.255.10.05	UPDATED ROADWAY PS&E
3.255.10.10	UPDATED HIGHWAY PLANTING PS&E
3.255.10.15	UPDATED TRAFFIC PS&E
3.255.10.20	UPDATED HYDRAULIC PS&E
3.255.10.25	UPDATED TECHNICAL REPORTS
3.255.10.30	UPDATED UTILITY PS&E
3.255.10.35	UPDATED ELECTRICAL PS&E
3.255.10.99	OTHER UPDATED PS&E PACKAGE PRODUCTS
3.255.15	ENVIRONMENTAL REEVALUATION
3.255.20	FINAL DISTRICT PS&E PACKAGE
3.255.20.05	REVIEWED PLANS FOR DRAFTING STANDARDS COMPLIANCE
3.255.20.10	FINAL STRUCTURES SPECIFICATIONS AND ESTIMATE INCORPORATED INTO FINAL DISTRICT PS&E
3.255.20.15	REQUEST FOR FUNDS
3.255.30	MATERIALS INFORMATION HANDOUT
3.255.40	RESIDENT ENGINEER'S PENDING FILE
3.260.70	DRAFT CONTRACT COMMENT RESPONSE [DR]
4.200	UTILITY RELOCATION
4.200.15	APPROVED UTILITY RELOCATION PLAN
4.200.25	UTILITY RELOCATION MANAGEMENT
4.200.99	OTHER UTILITY RELOCATION PRODUCTS
5.270.20.50	TECHNICAL SUPPORT

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

WBS Code	WBS Description
5.285.05.05	NEED FOR CCO DETERMINATION
5.285.10	FUNCTIONAL SUPPORT
5.285.10.15	OTHER FUNCTIONAL SUPPORT
5.290.35	TECHNICAL SUPPORT

B. Work Product Approval

1. The Consultant shall only perform work that is authorized and described on written Task Order ("TO") that is signed by both Caltrans and the Consultant.
2. The Consultant shall maintain a complete project file for each TO performed under the Agreement. This file shall be made available to the Caltrans Contract Manager or designees during normal work hours and shall be transferred to Caltrans upon completion of work under the TO.
3. The Consultant shall carry out instructions as received from the Caltrans Contract Manager or designee(s) and shall cooperate with the State, Federal Highway Administration (FHWA) and any other Consultants working on the project.
4. The Consultant shall assist Caltrans in obtaining necessary approvals and permits. Consultant shall identify all necessary approvals and permits, prepare signature-ready permit applications and track the status of permit applications, as specified in each TO.
5. All work shall be performed in conformance with all applicable occupational health and safety standards and rules established by the State of California and the U.S. Government and safety instructions issued by Caltrans in the performance of Task Order work.
6. Additional standards for specific work may be included in the applicable TO. Such standards supplement but may not conflict with or modify the standards specified herein.
7. The Caltrans Contract Manager, in cooperation with the Caltrans Task Order Manager and Caltrans Project Manager, shall decide all questions which may arise as to the quality or acceptability of deliverables and work performed for the Agreement.

C. Location of Work

In general, the project development work shall be performed on projects to improve and repair the State's transportation system in District 7, in Southern Los Angeles County. This is approximately defined as all State Routes south of the east-west boundary line of State Route 10 (including State Route 10). The map below depicts approximate geographical area, followed by a list of potential projects included in the scope of work. The specific location of the work to be performed will be determined in each Task Order.

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

LIST OF POTENTIAL PROJECTS INCLUDED IN THE SCOPE OF WORK

EA	Co	Rte	Postmile back/ahead	
29380	LA	1	0	1
27540	LA	1	1	1
4T490	LA	1	2.1	2.2
29080	LA	1	2.7	12.1
27370	LA	1	8.2	8.6
3X390	LA	1	8.7	0
21720	LA	1	16	0
22050	LA	1	23.7	23.9
1661C	LA	1	29.6	30.7
25902	LA	5	0	0
21592	LA	5	0	1.5
28300	LA	5	1	1
21595	LA	5	5.8	6.8
2159F	LA	5	6.8	13.4
2159E	LA	5	13.4	14.6
27240	LA	5	14.9	16.8
25840	LA	5	16.5	36.4
29840	LA	5	17	79
22320	LA	5	17	45
28420	LA	5	18.2	26.7
27280	LA	10	2.1	7.9
25920	LA	10	5.5	14.8
28510	LA	10	17.2	17.5
24560	LA	10	18.5	18.6
1170U	LA	10	33.2	37.2
1193U	LA	10	37.2	42.4
29070	LA	47	0	2
27910	LA	57	4.3	4.8
28820	LA	60	0.3	3.1
29020	LA	60	4.4	11
3X710	LA	60	7.7	0
4H900	LA	60	20.6	0
22410	LA	60	21.5	23

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

EA	Co	Rte	Postmile back/ahead	
25510	LA	60	24.2	24.7
21060	LA	71	0.5	4.5
29010	LA	91	4	11
29810	LA	91	13.4	19.6
27570	LA	103	0	1
4Y850	LA	103	0.9	1.2
4T570	LA	105	0.5	0.5
3X350	LA	105	2.6	2.6
29740	LA	105	6.6	8
29720	LA	105	12.7	14.1
24060	LA	105	14.1	14.6
4T560	LA	107	4.1	4.1
26480	LA	110	2.6	2.9
27310	LA	110	9.8	14
27800	LA	110	20.5	20.9
28540	LA	187	7.5	8.1
27830	LA	405	3.4	4.5
1W320	LA	405	5.5	6.5
29370	LA	405	8	13
28740	LA	405	8.7	11.2
4Y700	LA	405	8.7	8.7
23400	LA	405	9.3	9.9
28850	LA	405	11.7	11.7
29000	LA	405	12.6	21.2
29360	LA	405	15	15
3X870	LA	405	20.6	20.7
27640	LA	405	23.5	23.7
29820	LA	605	5.8	15.5
28680	LA	605	19.2	20.1
28480	LA	710	4.9	24.9
24990	LA	710	4.9	24.9
29800	LA	710	4.9	24.9
27300	LA	710	6	6.4
23640	LA	710	6.1	6.8
25901	LA	710	6.6	22.1

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

EA	Co	Rte	Postmile back/ahead EA	
18312	LA	710	9.4	18.4
28920	LA	710	17.4	21
27870	LA	710	18.2	18.5
20212	LA	710	21.9	23.1

The above list is comprehensive but is not an exclusive list of projects. Consultant may be required to work on Safety Projects, Emergency Projects or other transportation projects within the geographic jurisdiction described above, including minor projects not listed above within the location of work described above.

D. Required Services

The Consultant is expected to perform and have the expertise and capacity to perform all of the following functions/activities:

1. Professional and technical engineering studies and document preparation in support of environmental documents required for project approval under State or Federal environmental laws or regulations, visual impact studies, and any additional studies and applications required for resource agency permits.
2. Incidental Geotechnical engineering work, to include foundation reports for sign structures replacement (standard plans for signs only), standard retaining walls, standard sound walls, or cut/fill recommendations for small side slope work. These activities specifically do not include any drilling services.
3. Traffic studies and analysis and Transportation management strategies.
4. Highway design.
5. Hydrology and hydraulic studies and reports; including Beach Erosion and Restoration (BEAR) documents and Coastal Engineering studies that would be required by the California Coastal Commission.
6. The development and production of Project Reports in accordance with Caltrans policies and procedures.
7. The development and production of contract Plans, Specifications and Estimates (PS&E) in accordance with Caltrans electronic specification and delineation policies and procedures
8. Coordination with utility companies, railroads, local, state, federal and other jurisdictions as may be required by Contract Task Order.
9. Landscape Architectural Services including preliminary design, Project Report and NBSSR reviews for landscape and aesthetic items, developing master plans,

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

environmental and visual assessments, presentation graphics, planting and irrigation design, erosion control and environmental mitigation work.

10. Preparation and coordination of permit applications from various federal, state or local resource agencies during the design (PS&E) phase of the project development.
11. Incidental right of way engineering.
12. Incidental professional and technical land surveying services during project development phase.
13. Engineering support services during construction phase (Engineer-of Record) for Consultant-designed projects.

E. Report and / or Meetings

1. The Consultant may be required to submit progress reports not more than once per month to allow the Caltrans Contract Manager to determine if the Consultant is performing to expectations or is on schedule, to provide communication of interim findings and to afford occasions for airing difficulties or special problems encountered so that remedies can be developed.
2. The Consultant shall meet with the Caltrans Contract Manager as needed to discuss progress on the Agreement.
3. Prior to completion of the Agreement, the Consultant shall hold a final meeting with the Caltrans Contract Manager to present findings, conclusions and recommendations and shall submit a comprehensive final report on the project.

F. Standards

1. All work shall be performed in accordance with current State Department of Transportation (Caltrans) Manuals and their current revisions, whose web address is listed in section G.2., below.
2. All project development, design, and related activities shall be conducted in accordance with current Caltrans manuals such as Highway Design Manual, Project Development Procedures Manual, CADD Users Manual, Project Plans Preparation Manual, Highway Capacity Manual, Manual of Traffic Controls, Standard Specification, Standard Plans, and Standard Special Provisions.

   Caltrans Internet Home Webpage
   http//www.dot.ca.gov/

   Caltrans Manuals Internet Webpage
   http//www.dot.ca.gov/manuals.htm.

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

Caltrans Publications Internet Webpage
http//caltrans-opac.ca.gov/publicat.htm

Caltrans Highway Design Manual
http//www.dot.ca.gov/hq/oppd/hdm/hdmtoc.htm

Caltrans Traffic Manual and MUTCD 2003 Supplement
http//www.dot.ca.gov/hq/traffops/signtech/signdel/trafficmanual.htm

Caltrans Project Development Procedures Manual
http//www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm

Caltrans CADD Users Manual
http//www.dot.ca.gov/hq/esc/oe/project_plans/indes.htm

Caltrans Safety Manual
http//www.dot.ca.gov/hq/opo/safety/safetymanual_toc.htm

3. Caltrans Contract Manager, in cooperation with Caltrans Task Order Manager and the District/Region Deputy District Director for Design, shall decide all questions which may arise as to the quality or acceptability of deliverables furnished and work performed for the contract.
4. Prior to initiating design activities, the Consultant shall prepare and obtain approval from the Caltrans Contract Manager for a quality control plan for how the quality of work will be achieved. The Consultant will complete the quality control plan and certify at the end that the all measures contained therein were completed. Caltrans will perform quality assurance on the quality control plan to assure that quality control was completed.
5. Consultant represents that it possesses all necessary training, licenses and permits to perform the Scope of Work, and that its performance of the Scope of Work will conform to the standards listed above or if no Standards listed, will conform to the standards of practice of a professional having experience and expertise in performing professional services of like nature and complexity of this Agreement's Scope of Work, working on similar, successfully completed projects. If the Consultant is familiar with standards or practices that exceed any standards set forth in the Agreement, the Consultant shall inform the Caltrans Contract Manager of the better standard or practice. The Caltrans Contract Manager, in his/her sole discretion, shall decide whether to adopt the recommended standard or practice in performance of the Scope of Work under the Agreement.

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

G. Availability and Work Hours

1. The Consultant shall begin the required work within three (3) working days after receiving a fully executed Task Order. Once the work begins, the work shall be prosecuted diligently until all required work has been completed satisfactorily.
2. Unless otherwise specified in the Task Order or directed by Caltrans Contract Manager, the normal workweek shall consist of 40 hours.
3. Overtime may be required. However, overtime shall be worked only when directed in writing by Caltrans Contract Manager or specifically required by the Task Order.

H. Personnel and Performance Requirements

The Consultant shall, throughout the life of the contract, retain within the Consultant's firm, or through subconsultants, a staff qualified to perform design engineering services described in this Scope of Work/Deliverables. The Consultant's personnel shall be capable of performing the types of work described with minimal instructions. Caltrans prior written approval is required for any substitutions or alterations to Consultant's originally proposed staff and project organization, as depicted on the proposed Consultant's Organization Chart.

1. Consultant Contract Manager - The Consultant's Contract Manager shall coordinate with Caltrans Contract Manager, in cooperation with the District Deputy Director for Design. The Consultant Contract Manager shall be accessible to Caltrans Contract Manager at all times during normal Caltrans working hours. The Consultant Contract Manager shall be a licensed Professional Civil Engineer in the State of California and shall have a minimum experience of five (5) years performing similar duties to work listed in this scope of work.
2. In addition to other specified responsibilities, The Consultant Contract Manager shall be responsible for all matters related to the Consultant's personnel, project development and design operations, including, but not limited to, the following:
   a. Reviewing, monitoring, training, and directing the Consultant's personnel.
   b. Assigning personnel to complete the required Task Order work as specified.
   c. Administering personnel actions.
   d. Maintaining project files.
   e. Developing, organizing, facilitating, and attending scheduled coordination meetings and preparation and distribution of meeting minutes.
   f. Implement and maintain quality control procedures to manage conflicts insure product accuracy and identify critical reviews and milestones.

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

g. Overseeing that all safety measures are in place.

3. Consultant Task Order Managers/Staff – The Consultant's Task Order Managers and technical staff have to be capable of assisting the Consultant's Contract Manager in all aspects of the required project development and design work. Depending on the substance of the Task Order, the Consultant's Task Order Managers or responsible technical staff shall fulfill one of the following licensing or degree requirements.
   - Registered Professional Engineer (RPE) in the State of California.
   - Registered Landscape Architect (RLA) in the State of California.
   - Registered Electrical Engineer (REE) in the State of California.
   - Bachelor of Science degree, with five years experience in transportation engineering and related fields may be substituted for professional license, subject to review and approval by Caltrans Contract Manager and Caltrans Task Order Manager.
4. Other transportation professionals and specialists should have appropriate certificates, licenses, college degrees and other professional affiliations in their related fields.
5. The responsible Professional Engineer signing technical reports, plans, components of the (PS&E) package, or any other deliverable requiring the signature of a licensed Professional Engineer registered in California shall be currently employed by the Consultant or its subconsultants at the time of deliverable submittal and through Caltrans review and acceptance process.
6. Any product or deliverable not fully approved by Caltrans bearing the signature of the Professional Engineer no longer employed shall be replaced by another product or deliverable bearing the signature of technically qualified and licensed replacement Professional Engineer. In such an eventuality, no additional time and/or cost will be allowed to the Consultant without prior written approval of Caltrans Contract Manager.
7. Professional Engineers whose signature appears on any technical document or deliverable that has not been fully approved by Caltrans and who is no longer currently employed by the Consultant or its subconsultants shall be replaced with a qualified Professional Engineer registered in California.
8. In responding to Caltrans Task Order and in consultation with Caltrans Contract Manager, the Consultant's Contract Manager shall identify the specific individuals proposed for the task and their job assignments. Caltrans Contract Manager may assign, if required, a Caltrans Task Order Manager or Lead Person to conduct or direct all work assigned under a single Task Order.

I. Orientation Provides by Caltrans

Caltrans may provide orientation for each Task Order as necessary. The orientation may consist of instructions on Caltrans procedures, practices, and requirements for the project development, and design work to be performed. However, the Consultant shall perform the

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

work in conformance with the requirements specified herein and detailed in executed Task Orders.

J. Equipment Requirements

Office Equipment and Supplies (Consultant's Office) - The Consultant shall have adequate office equipment and supplies to complete the required work. Equipment and supplies shall include, but are not be limited to, the following:

1. Computers, printers, plotters, and calculators.
2. Data processing systems, including software for
   - Processing digital terrain models in the Caltrans approved roadway design format (CaiCE and Civil 3D)
   - Coordinate geometry calculations. This software shall use/create coordinate geometry databases, naming and coding conventions in the Caltrans approved formats (CaiCE and Civil 3D).
3. Computer Aided Drafting equipment and software capable of producing engineering and technical drawings and documents in the Caltrans approved format (MicroStation).
4. Written documents shall be in Caltrans approved format (Microsoft Word).

K. Deliverables

Unless otherwise specified in the TO, the deliverables shall conform to the following:

1. All deliverables, milestones, and due dates shall be identified in each TO and shall be submitted to the address specified in each TO.
2. Written documents shall be submitted in both hardcopy and electronic files in the Caltrans' approved format (Microsoft Word) and shall conform to the requirements of the Caltrans.
3. For each Task Order, a milestone submittal schedule shall be prepared by the Caltrans Contract Manager. Milestones may be changed by written agreement between the Caltrans Contract Manager and the Consultant's Contract Manager. Prior to concluding such an agreement, the Caltrans Contract Manager will obtain the necessary internal Caltrans approvals.
4. The Consultant shall prepare and update the Work Break Down Structure (WBS) for each Task Order issued by the Caltrans Contract Manager showing a deliverables' schedule as well as other relevant data needed for Consultant's work control and Caltrans review of work status
5. The Consultant shall provide services in close liaison with Caltrans. Time is of the essence. Caltrans shall exercise review and approval functions through the Caltrans Contract Manager and /or Project Coordinator at key points, as specified in each TO. Milestone reviews shall be performed for the specific products and deliverables listed in each TO.

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

6. If the Consultant fails to submit the required deliverable items as set forth in each TO, Caltrans shall have the right to withhold payment, and/or to terminate the Agreement in accordance with the provisions of Exhibit D, Section III, Termination.
7. The Consultant shall obtain written approval for all deliverables identified. Format and content requirements for deliverables shall be specified in each TO.
8. Where the Consultant is required to prepare and submit studies, reports and plans to Caltrans as required by TOs and this Agreement, these shall be submitted in draft as scheduled, and the opportunity provided for Caltrans to direct revisions, prior to final submittal. The schedule for Caltrans' review of Consultant submittals shall be specified in each TO.

L. Materials to be provided by Caltrans

1. If available, Caltrans will provide for each Task Order appropriate site topographic maps, as-built drawings, reproducible project maps, aerial photographs.
2. If available, Caltrans will provide for each Task Order, appropriate background information.

M. Materials to be provided by the Consultant

Unless otherwise specified herein or in the Task Order, the Consultant shall provide all materials to complete the required work.

N. Monitoring and Review Procedure

1. Caltrans Contract Manager shall have the right, from time to time to monitor and review the progress and/or processes of the Consultant.
2. The Consultant shall meet with Caltrans Contract Manager a minimum of once per month to review procedures and progress.

O. Product Approval and Payment

1. All deliverables, plans, specifications, estimates, and documents produced by the Consultant as specified by the Task Order shall be subject to the approval and acceptance by Caltrans Contract Manager.
2. In the event of non-acceptance due to errors, omissions or non-compliance with Caltrans' Manuals and their current revisions, the Consultant shall make corrections at no cost to Caltrans.
3. Work that does not conform to the requirements specified herein and the applicable Task Order will be rejected and not be paid.

Scope of Work/Deliverables
Project Development & Design Services for Southern Los Angeles County

P. Conflict of Interest

All professional and technical engineering services such as design analysis, studies and deliverables produced by the Consultant shall be free of any conflict of interest and shall be subject to the approval and acceptance by Caltrans Contract Manager.

The Consultant and its subconsultants will not be eligible to bid on or otherwise compete for or accept awards for contracts for non-A&E construction or related construction services for projects identified in the SOQ or assigned Task Order(s). If the Consultant or any subconsultants are not assigned specific projects by the expiration of the Contract, either may bid or otherwise compete for and enter into contracts for non-A&E construction and related services for those projects.

In the event of non-acceptance of a deliverable due to discovery of conflict of interest, the Consultant shall provide replacement deliverables free of any actual or potential conflict of interest as a prerequisite to receiving payment for the deliverable. In the event it is not possible to provide a replacement deliverable, the Consultant shall not receive compensation for any deliverables that contains a conflict of interest.

One example of conflict of interest is:

- Providing both preparation and review of the same work on the same project for Caltrans or others.