

STATE OF CALIFORNIA  
**STANDARD AGREEMENT**

Department Of Transportation

STD 213 (rev 9/01)  
 Division Of Procurement And Contracts (DPAC) A&E Boiler Revision Date 08/01/14

|                             |                     |
|-----------------------------|---------------------|
| AGREEMENT NUMBER<br>08A2417 | REGISTRATION NUMBER |
|-----------------------------|---------------------|

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

Applied EarthWorks, Inc. (Hereinafter referred to as "the Consultant")

2. The term of this Agreement is from 09/30/2014 or upon Caltrans approval, whichever is later, through 06/30/2017.

3. The maximum amount of this Agreement is: \$3,500,000.00  
 Three Million Five Hundred Thousand 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                                     | 8 Pages  |
| Exhibit C – General Terms And Conditions 610 (Electronic File: GTC 610*)             | 1 Page   |
| Exhibit D – Special Terms And Conditions   | 25 Pages |
| Exhibit E – Additional Provisions  | 10 Pages |
| Attachment 1 – Scope Of Work   | 55 Pages |
| Attachment A – Project List  | 1 Page   |
| Attachment 2 – Cost Proposal   | 22 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  |

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.**

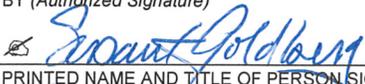
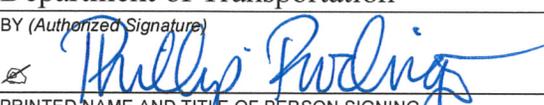
|  |                                      |   |
|--|--------------------------------------|---|
| <b>CONTRACTOR (herein referred to as "the Consultant")</b>   |                                      | <i>California Department of General Services<br/>Use Only</i> |
| CONSULTANT'S NAME (if other than an individual, state whether a corporation, partnership, etc.)<br>Applied Earth Works, Inc. |                                      |   |
| BY (Authorized Signature)<br>              | DATE SIGNED (Do not type)<br>9/25/14 |   |
| PRINTED NAME AND TITLE OF PERSON SIGNING<br>SUSANK. GOLDBERG, VICE PRESIDENT   |                                      |   |
| ADDRESS<br>3550 E. Florida Ave., Suite H<br>Hemet, CA 92544  |                                      |   |
| <b>STATE OF CALIFORNIA</b>   |                                      |   |
| AGENCY NAME<br>Department of Transportation  |                                      |   |
| BY (Authorized Signature)<br>              | DATE SIGNED (Do not type)<br>10/1/14 |   |
| PRINTED NAME AND TITLE OF PERSON SIGNING<br>Phillip Rodriguez, Branch Chief  |                                      |   |
| ADDRESS<br>Division of Procurement and Contracts, MS #65<br>1727 30 <sup>th</sup> Street<br>Sacramento, CA 95816             |                                      |   |
|  |                                      | <input checked="" type="checkbox"/> Exempt per: PCC 10430(d)  |

EXHIBIT A  
SCOPE OF WORK AND DELIVERABLES

I. SCOPE OF WORK

- A. The work to be performed under this Agreement is described in Attachment 1.
- B. The services shall be performed in San Bernardino and Riverside Counties.
- C. CONFLICT OF INTEREST SUPPORT WORK
  - 1. For services in which the Consultant cannot perform the work free of conflict of interest as defined in this Agreement, the Consultant agrees that Caltrans may obtain these services from another qualified Consultant, whose contract includes the same scope of work, or in any other manner permitted by law.
  - 2. Caltrans may require the Consultant to perform work as described herein but located outside the geographic limits of this Agreement when the consultant contractor for another Caltrans District cannot perform the work free of conflict of interest. For such work, Caltrans will select a consultant to perform the same work by assignment of a Task Order in the following order of priority:
    - a. The consultant contract covers the same District, but not the same geographic area as this Agreement;
    - b. The consultant contract covers the closest area geographically to the geographic jurisdiction of this Agreement;
    - c. The consultant contract covers the next closest area geographically to the geographic jurisdiction of this Agreement; and so on.
  - 3. Should the consultant for priority number 1 not exist or be unable to perform the work free of conflict of interest, then Caltrans shall select the consultant for priority number 2 to perform the work, and so on.
- D. This Agreement will commence on September 30, 2014 or upon approval by Caltrans, whichever is later and no work shall begin before

EXHIBIT A  
SCOPE OF WORK AND DELIVERABLES

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 June 30, 2017. The services shall be provided during working hours, Monday through Friday, or as stipulated in Task Order(s). The parties may amend this Agreement as permitted by law.

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

| THE DEPARTMENT   | THE CONSULTANT  |
|--|---|
| Caltrans Contract Manager:<br>Chee Ong   | Consultant Contract Manager:<br>Susan Goldberg            |
| District/Division: D-8/Division of<br>Environmental/Cultural Studies<br>Branch/MS# 645 | Office/Branch:  |
| Address: 464 W. 4th Street<br>San Bernardino, CA 92401                                 | Address: 3550 E. Florida Ave., Suite H<br>Hemet, CA 92544 |
| Phone: 909-383-6417  | Phone: 951-766-2000                                       |
| Fax: 909-383-6472  | Fax: 951-766-0020   |
| e-mail: Chee.Ong@dot.ca.gov  | e-mail: sgoldberg@appliedearthworks.com                   |

- F. Work Guarantee

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

- G. 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.

EXHIBIT A  
SCOPE OF WORK AND DELIVERABLES

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 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.

EXHIBIT A  
SCOPE OF WORK AND DELIVERABLES

- 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.
- 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, 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. 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.
- D. 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>. When prevailing wages apply to the services described in Attachment 1, transportation and subsistence costs shall be reimbursed at the minimum rates set by the Department of Industrial Relations (DIR) as outlined in the applicable Prevailing Wage Determination. See <http://www.dir.ca.gov>.
- E. Progress payments:
1. Progress payments will be made monthly in arrears based on services provided at specific hourly rates and allowable direct cost incurred 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

EXHIBIT B  
BUDGET DETAIL AND PAYMENT PROVISIONS

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.
- F. 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.
- G. 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.
- H. Invoices shall be submitted showing the Caltrans Work Breakdown Structure (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 Work Breakdown Structure (WBS) elements listed 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.
- I. 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.

EXHIBIT B  
BUDGET DETAIL AND PAYMENT PROVISIONS

Invoices shall be mailed to the Caltrans Contract Manager or Consultant Service Unit at the following address:

DEPARTMENT OF TRANSPORTATION  
D-8/Division of Environmental/Cultural Studies Branch/MS#645  
Attn: Chee Ong  
464 W 4<sup>th</sup> Street  
San Bernardino, CA 92401

- J. Task Orders will be encumbered with various types of funding. 49 CFR 18.23 requires that federal funds must be expended within 90 days of the expiration of the funding period. In addition, the encumbrances for state and local funds can be lost if not expended within specified time frames. 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 so that encumbered funds can be expended. If Caltrans does not receive invoices from the Consultant by the required deadline, and this results in a loss of funding, Caltrans will reduce the payment on the invoices in the amount of the loss.
- K. 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.
- L. Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.
- M. The total amount payable by Caltrans, for all Task Orders resulting from this Agreement, shall not exceed \$3,500,000.00. 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

EXHIBIT B  
BUDGET DETAIL AND PAYMENT PROVISIONS

authorized under this Agreement through Task Orders. In no event shall Task Orders be issued that will exceed this maximum.

- N. 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.
- O. Prime Consultant's Indirect Cost Rates (ICR) indicated in Attachment 2, Cost Proposal, are based on 48 CFR, Part 31.
- P. 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 the 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 included in the management letter or audit recommendations included in the audit report. Refusal by the Consultant to incorporate the Workpaper Review recommendations included in the management letter or audit recommendations included in the audit report will be considered a breach of the Agreement terms and cause for termination of the Agreement, per Exhibit D, section III.
  - 1. During a Caltrans' review of the indirect cost rate (ICR) audit workpapers created by a Consultant's independent CPA, Caltrans will work with the CPA and/or Consultant toward a resolution of issues that arise during the review. Each party agrees to use its best efforts to resolve any audit disputes in a timely manner. If Caltrans identifies significant issues during the review and is unable to issue a cognizant approval letter, Caltrans will reimburse the Consultant at a provisional ICR until a FAR compliant ICR [e.g. 48 CFR, Part 31; GAGAS (Generally Accepted Audited Standards); CAS (Cost Accounting Standards), if applicable; in accordance with procedures and guidelines of the AASHTO Audit Guide; and other applicable procedures and guidelines] is received and approved by Caltrans. Provisional rates will be as follows:

EXHIBIT B  
BUDGET DETAIL AND PAYMENT PROVISIONS

- a. If the proposed rate is less than 150% - the provisional rate reimbursed will be 90% of the proposed rate.
  - b. If the proposed rate is between 150% and 200% - the provisional rate reimbursed will be 85% of the proposed rate.
  - c. If the proposed rate is greater than 200% - the provisional rate reimbursed will be 75% of the proposed rate.
2. If Caltrans is unable to issue a cognizant approval letter per paragraph S.1. above, Caltrans may require Consultant to submit a revised independent CPA-audited ICR and audit report within three (3) months of the effective date of the management letter. Caltrans will then have up to six (6) months to review the Consultant's and/or the independent CPA's revisions.
  3. If the Consultant fails to comply with the provisions of this Section S, or if Caltrans is still unable to issue a cognizant approval letter after the revised independent CPA-audited ICR is submitted, overhead cost reimbursement will be limited to the provisional ICR that was established upon initial rejection of the ICR and set forth in paragraph S.1. above for all rendered services. In this event, this provisional ICR will become the actual and final ICR for reimbursement purposes under this Agreement.
  4. The Consultant may submit to Caltrans a final invoice only when all of the following items have occurred: (1) Caltrans approves or rejects the original or revised independent CPA-audited ICR; (2) all work under this Agreement has been completed to the satisfaction of Caltrans; and, (3) Caltrans has issued its final ICR review letter. The Consultant must submit its final invoice to Caltrans no later than 60 days after occurrence of the last of these three items.

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

EXHIBIT B  
BUDGET DETAIL AND PAYMENT PROVISIONS

- Q. Caltrans, at its sole discretion, may review and/or audit and approve either the Independent CPA's ICR documentation for the Consultant, or the Consultant's and/or Subconsultants' in-house developed ICRs at any time before the execution of this Agreement, while this Agreement is in effect, or after expiration of this Agreement up to the time limit set forth in Exhibit D, section XII, Retention of Records/Audits.
- R. 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:
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.

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

EXHIBIT B  
BUDGET DETAIL AND PAYMENT PROVISIONS

T. 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 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.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx>.

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 work under the Agreement has been completed, the Consultant may request review by the CCRC of 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, any Subconsultant, and by extension, the Consultant's Independent CPA, 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.

IX. DISPUTES UNDER EARLY TERMINATION CONDITIONS

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

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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 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.)

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- 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, Independent CPA Audited Indirect Cost Rate workpapers, and other evidence pertaining to the performance of the Agreement including, but not limited to, the costs of administering the Agreement. All parties, including the Consultant's Independent CPA, shall make such workpapers and 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, Subconsultants, and the Consultant's Independent CPA, that are pertinent to the Agreement for audits, examinations, workpaper review, excerpts, and transactions, and copies thereof shall be furnished if requested without limitation.
- 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.

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

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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.
- 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.

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- 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.

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

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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.

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

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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

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.

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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

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

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

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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 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

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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.

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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

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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.

XIX. 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.

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XX. 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.

XXI. 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.
- C. The Consultant shall not comment publicly to the press or any other media regarding this Agreement or Caltrans' actions on the same, except

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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.

XXII. 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.

XXIII. 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.

XXIV. 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.

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XXV. 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.

XXVI. 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.

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- C. All consultant personnel are required to complete security and privacy awareness training each year. See <http://itsecurity.dot.ca.gov/training>.
- 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.

XXVII. 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, 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.

XXVIII. 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,

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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 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.

XXIX. 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.

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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:
    - (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.

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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 of race, color, national origin, religion, sex, age, disability, be excluded from participation in, denied the benefits of or subject to discrimination under any program or activity by the recipients of federal assistance or their assignees and successors in interest.

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

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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 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

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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.

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- 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 twelve percent (12%). 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.

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- 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

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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.

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- 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.

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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.

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- 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

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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.

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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.

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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

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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.

**SCOPE OF WORK/DELIVERABLES**  
**Cultural & Paleontological Resource Support Services**  
**On-Call Contract Agreement**

A. Purpose of Work

The Consultant shall perform professional and technical services required for Cultural and Paleontological Resource Support Services, on an “as-needed” basis to support the Department of Transportation (Caltrans) in the development and construction of proposed Caltrans transportation facilities. The Caltrans Contract Manager shall assign specific work to the Consultant through the issuance of Task Orders describing in detail the services to be performed. The Consultant shall only perform work that is assigned in an authorized Task Order. Task Orders may include staff augmentation on a full or part-time basis in the offices of the District. This Contract does not guarantee that a Task Order shall be issued.

B. Location of Work

The work shall be performed on projects to improve the State transportation system throughout District 8 (San Bernardino and Riverside Counties) in California. The specific location of the work to be performed shall be identified in each Task Order. It may become necessary for Caltrans’ projects to extend into another adjoining District or Districts. In such instances, the project work shall not extend more than a thirty (30)-mile radius from the District boundary.

C. Required Services

1. Pursuant to an authorized Task Order, the Consultant shall provide Cultural and Paleontological Resource Support Services, and all necessary personnel, material, transportation, lodging, instrumentation, and the specialized facilities and equipment necessary to satisfy all appropriate agencies, and required to ensure compliance with all applicable Local, State, and Federal statutes, laws, codes, regulations, policies, procedures, ordinances, standards, specifications, performance standards, and guidelines, applicable to the Consultant's services and work product. Provided in Attachment A, is a list of proposed Caltrans projects; however, this list is not exclusive and it does not constitute a commitment that the projects will be initiated or completed or work assigned to the Consultant. Caltrans reserves the right to add or delete from this list projects that are within the geographical jurisdiction of this Contract set forth in “Location of Work” Section. Caltrans intends to utilize this Contract to complete a specific piece of work as long as it is located within Location of Work in this Contract utilizing the services described in this Scope of Work as specified in this Contract, detailed in a Task Order. In the future, Caltrans may find it necessary to create a separate contract (or contracts) that involves a specific project listed in this Contract and includes part of the work contained in this Contract. Caltrans reserves the right to

procure Architectural and Engineering (A&E) services involving the listed projects or unlisted projects (within the same geographical area) involving in whole or in part the same work using a project-specific agreement if the schedule to complete performance of the specific project extends beyond the term of this Agreement or the cost to complete the specific project exceeds the dollar balance remaining in the Agreement after accounting for amounts due to the Consultant for work previously performed. Should a project-specific agreement be procured under these provisions, the parties mutually agree that, in accordance with Exhibit D, section III, Termination, of this Agreement, Caltrans shall terminate for convenience the portion of the Agreement that includes the common scope of work identified in the project-specific agreement per Exhibit D, section III, Termination, of this Agreement. Such partial termination for convenience shall be processed by amendment to this Agreement. Unless otherwise required by law, regulation, or Caltrans policy or procedure, the Consultant may compete for these project-specific Contracts.

The required information and documentation shall be prepared for project environmental clearance under the National Environmental Policy Act (NEPA), the California Environmental Quality Act (CEQA), Section 106 of the National Historic Preservation Act (NHPA), the January 1, 2014 *First Amended Programmatic Agreement (PA) among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and Caltrans regarding compliance with Section 106 of the National Historic Preservation Act, as it Pertains to the Administration of the Federal-Aid Highway Program in California (PA)*, the Memorandum of Understanding (MOU) between the Federal Highway Administration and Caltrans concerning the State of California's Participation in the Surface Transportation Project Delivery Pilot Program, which became effective on July 1, 2007, (MAP-21 amended 23 USC 327 to establish a revised and permanent Surface Transportation Project Delivery Program. As a result, the Department entered into a memorandum of understanding pursuant to 23 USC 327 [NEPA Assignment MOU] with FHWA. The NEPA Assignment MOU became effective October 1, 2012), and other applicable statutes, laws, codes, regulations, and State and Federal policies, procedures, ordinances, standards, specifications, performance standards, and guidelines.

Activities required to conduct specialized studies in architectural history, California history, historical archaeology, ethnographic studies, and prehistoric archaeology shall include, but not be limited to, archaeological excavations and specialized data analyses (including, but not limited to, radiocarbon dating, obsidian hydration dating, identification and analysis of human remains, marine and terrestrial mammal bone, fish bone, and invertebrate remains, identification of macro and micro-botanical material, analysis of lithic artifacts, and geomorphologic analyses). Survey, recordation, and evaluation of standing architectural and engineering structures will sometimes be needed.

2. The proposed projects may vary in scope and size, and may encompass any type of improvement for the State transportation system including, but not limited to, roadway rehabilitation, widening and/or realignment of existing facilities, relocation of existing facilities, and construction of new facilities. The project location, project limits, purpose, expected results, project deliverables, period of performance, project schedule, and scope of work to be performed shall be described in each Task Order.
3. Consultant's Personnel may be required to spend time for extended assignments within State facilities. Caltrans may provide the office space at various Caltrans offices, assigned as "home base", when required by Task Order including, but not limited to, all utilities, office equipment, and office supplies typically used by the Caltrans personnel, to the Consultant personnel providing services under this Contract. The Consultant, including its Subconsultants, shall include a Field Office Indirect Cost Rate in its cost proposals and use the Field Office Indirect Cost Rate in billing Caltrans for those personnel utilizing Caltrans' (field) office facilities. If the Consultant, including its Subconsultants, does not currently have a Field Office Indirect Cost Rate or does not propose such a rate for this Contract, it will develop and use a Field Office Indirect Cost Rate to reflect an equitable distribution of allowable costs to this contract (as specified in 48 CFR 31.203(f)).
4. The Consultant's Cultural Resource Support Services shall be in support of State and Federal environmental laws and regulations. Reports shall become part of the required documentation for project approval under State and Federal environmental laws and regulations. These formal environmental compliance documents may include Categorical Exemption/Exclusion, Negative Declaration/FONSI (Finding of No Significant Impact) or EIS (Environmental Impact Statement)/EIR (Environmental Impact Report).
5. Caltrans shall be the lead State agency for environmental compliance for these projects under CEQA. Responsibilities with regards to NEPA, in most cases, shall be that of Caltrans, since these responsibilities have been assigned to Caltrans by the Federal Highway Administration (FHWA).
6. The appropriate protocols, procedures, and document formats are found in the Standard Environmental Reference (SER), Volume II of the Environmental Handbook. (<http://www.dot.ca.gov/ser/envhand.htm>).
7. When required, the Consultant shall utilize Native American Monitors/Advisors or Most-Likely Descendant as specified in the Task Order. Caltrans shall designate the appropriate Native American Monitors/Advisors or Most-Likely Descendants in the Task Orders. The Consultant shall comply with California Public Resources Code Section 5097.9 and Health and Safety Code Section 7050.
8. Cultural Resources Study Requirements - General

- a. Specialized services that the Consultant shall be prepared to perform itself or via a Subconsultant includes, but not be limited to, the following:
  - i. Historic and archaeological records searches.
  - ii. Archaeological surveys.
  - iii. Architectural history surveys in accordance with Office of Historic Preservation Standards (<http://ohp.parks.ca.gov/>).
  - iv. Recordation and evaluation of historic engineering structures (including, but not limited to, bridge and canals).
  - v. Ethnographic and ethnohistoric studies.
  - vi. Native American consultation and coordination.
  - vii. Identification, exposure, recovery, and documentation of prehistoric and historic archaeological materials and features.
  - viii. Recognition, interpretation, and recordation of natural soils; the recognition, interpretation and recordation of California Holocene and late Pleistocene natural and cultural stratigraphy and any associated cultural deposits (geomorphology/geoarchaeology), as well as late Holocene historic strata.
  - ix. Laboratory processing, cataloging, analysis, and preparation of recovered archaeological materials (artifacts and ecofacts) for permanent curation.
  - x. Technical studies including, but not limited to, radiocarbon dating, obsidian hydration and source analysis, vertebrate and invertebrate faunal analysis, micro- and macro-botanical specimen extraction and paleobotanical analysis, typological, technological, and functional analysis of historic and prehistoric artifacts (lithic, shell, bone, metal, ceramic, glass, and others).
  - xi. Preparation of maps, plans, soil or stratigraphic profiles, illustrations, photographs, and other records of archaeological and historical finds.
  - xii. Archaeological site stabilization and/or weatherization (including, but not limited to, the acquisition and placement of clean fill of specified particle size and the installation of rip-rap).
  - xiii. Systematic removal of cultural deposits within the area of direct impact to identify and record features, stratigraphy, and other structural components prior to destruction by construction.
  - xiv. Archaeological and/or Native American monitoring of highway construction activities.
  - xv. Identification of historic properties for eligibility to the National Register of Historic Places and/or as historical resources for the purposes of CEQA, including, but limited to, archaeological resource evaluations, cultural or historic resource evaluations, bridge evaluations, other engineering property evaluations, and historic architectural evaluations.
  - xvi. Research and development of thematic contexts for specific periods of significance to facilitate the identification and evaluation of specific cultural resource types.
  - xvii. Determinations of effects of undertakings on historic properties.

- xviii. Recommending, developing, and implementing measures to mitigate possible adverse effects and significant impacts to historic properties and historical resources.
  - xix. Recordations of historic buildings or structures in accordance with standards of the Historic American Buildings Survey (HABS) and/or the Historic American Engineering Record (HAER).
  - xx. Preparation of descriptive and interpretive reports, websites, videos, and displays including those for public interpretation and outreach.
  - xxi. developing GIS and Microsoft Access data consistent with existing District cultural resources databases
  - xxii. Collection of the field data necessary to enter points, lines, and polygons into the District cultural resources databases.
- b. Cultural resource compliance documents that the Consultant may be required to prepare include, but not be limited to:
- i. Historic Property Survey Reports (HPSR),
  - ii. Historical Resources Compliance Reports (HRCR),
  - iii. Determinations of Eligibility (DOE),
  - iv. Data Recovery Plans (DRP) and Historic Property Treatment Plans (TR),
  - v. Archaeological Evaluation Reports (AER) (includes previously identified as Phase II reports),
  - vi. Archaeological Survey Reports (ASR),
  - vii. Historic Resource Evaluation Reports (HRER)-Architectural or Engineering, Historic Resource Evaluation Reports (HRER)-Historic Archaeology,
  - viii. Extended Phase I Reports,
  - ix. Geoarchaeology/Geomorphology reports,
  - x. Ethnography Reports,
  - xi. Findings of Effect (FOE),
  - xii. Memorandums of Agreement (MOA),
  - xiii. Data Recovery (Phase III) Reports, and
  - xiv. Informational letter reports or memo as specified in the Task Order.
- c. Unless otherwise noted in the Caltrans Task Order, the following requirements shall apply to all cultural resource studies performed under this Contract. Specific requirements for surveys and excavations are outlined in this Contract.
- i. The Consultant shall obtain copies of appropriate USGS topographic maps/ Digital Ortho Quads (7.5').
  - ii. The Consultant shall be responsible for contacting appropriate historical societies or other groups for information about resources within the study area unless otherwise specified in the Task Order.
  - iii. Caltrans shall be responsible for initially contacting appropriate Native American groups to identify concerns about resources within the study area.

- iv. Caltrans shall coordinate with the appropriate Native American group if the project is on land controlled by a federally-recognized Tribe.
- v. The Consultant shall notify the Caltrans Contract Manager or Caltrans designee in writing at a minimum one (1) week before it begins any field work.
- vi. Unless otherwise specified in Task Order, the Consultant shall initiate field work within ten (10) business days of receipt of Caltrans' signed Task Order and Notice to Proceed.
- vii. Caltrans' prior written authorization is required for dissemination, in any form, confidential or sensitive information (including, but not limited to, prehistoric site locations) received or developed by the Consultant during the Consultant's investigation.

9. Archaeological Study Requirements - Phase I (Surveys)

- a. The Consultant shall undertake Phase I archaeological studies to identify archaeological (prehistoric and historic) and cultural (Native American or other ethnic) resources within the project Area of Potential Effects (APE) or Study Area. These resources shall include not only prehistoric, ethnographic, and historic archaeological sites, but possible historic architectural resources (including, but not limited to, buildings, structures, and objects) observed during field visits and formal surveys. In the latter case, the Consultant is responsible for notifying Caltrans regarding the location of potential historic architectural or engineering resources in or near the APE.
- b. Caltrans shall define the study area or APE for the undertaking. Unless otherwise specified in the Task Order, the Consultant shall conduct a records search at the appropriate California Historical Resources Information System office (CHRIS or Information Center). Information regarding the aerial extent for the records search shall be specified in the Task Order. The Consultant shall be required to incorporate record search information into GIS shapefiles, including, but not limited to, survey boundaries and archaeological site locations and boundaries. Specific details regarding shapefile attributes should be coordinated with the Caltrans Contract Manager, and in cooperation with the Caltrans Task Order Manager, or the relevant personnel concerned. The Consultant shall also scan any site records that Caltrans does not already have and provide those in .pdf or other specified format to Caltrans.
- c. The Consultant shall conduct pre-field research, examining appropriate archaeological, ethnographic, and historical documents for the project area.
- d. The following requirements pertain to the Consultant's field methods for Phase I investigations:
  - i. Physical, pedestrian survey coverage shall include 100% of the project area, unless otherwise specified in the Task Order or by the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager. Transect spacing shall be commensurate with the terrain and vegetation coverage; however, unless specified in the Task Order, transects shall be

- no greater than 50 feet apart. Surveys outside the existing Caltrans right-of-way shall take place only after Permits to Enter are obtained by Caltrans.
- ii. In areas previously determined to be sensitive for subsurface archaeological deposits, every effort shall be made during the Phase I survey to assess the subsurface stratigraphy of an area. Including, but not limited to, all cuts, animal burrows, waterway sidewalls, and any other extant access to the subsurface. These observations shall be supplied and accessed in the ASR.
  - iii. All prehistoric and historical archaeological sites shall be recorded following site recordation procedures described in the “Instructions for Recording Historical Resources” (Office of Historic Preservation, January, 1995) and Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm> ). At a minimum, a Primary Record (DPR 523A), Archaeological Site Record (DPR 523C), a Location Map (7.5’ Topo or Digital Ortho Quads (DPR 523J), and a Sketch Map (DPR 523K) for every archaeological site shall be provided to Caltrans and filed at the regional office of the CHRIS. Artifacts shall not be collected during the Phase I survey without written permission from the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager. The Consultant is required to obtain the Primary Number and Site Trinomial for each site from the CHRIS prior to the completion of the ASR; final California Department of Parks and Recreation (DPR) 523 forms shall contain the Primary Number and Site Trinomial and shall be submitted with the final ASR.
  - iv. Site Record updates are required for all previous recorded-archaeological sites in the APE or Study Area to ensure that the modern DPR 523 forms described in the DPR website, <http://ohp.parks.ca.gov/>, are used and all site information is current and accurate. At a minimum, a Continuation Sheet (DPR 523L) shall be provided to Caltrans and filed at the regional office of the CHRIS for every previously recorded archaeological site within the Study Area or APE and updated GPS data shall be supplied as well to both Caltrans and the CHRIS.
  - v. Isolates shall be recorded and mapped at the direction of the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, as specified in the Task Order. A Primary Record (DPR 523A) and a Location Map (DPR 523J) indicating isolate location shall be provided to Caltrans and filed at the regional office of the CHRIS. Isolates shall not be collected during the Phase I survey without permission from the Caltrans Contract Manager in cooperation the Caltrans Task Order Manager. Consultant is required to obtain the Primary Number for each isolate from the CHRIS; final DPR 523 forms shall contain the Primary Number and shall be submitted with the final ASR and provide the GPS data.

- vi. Project mapping shall include:
- Project Vicinity Map. This map is for general project orientation. By request, county base maps shall be provided by Caltrans in hard copy and/or in digital format.
  - Project Location Map (U.S.G.S. 7.5' topo or Digital Ortho Quads at its original/actual scale). This map depicts the area surveyed and location of all cultural resources identified.
  - Project Study Area/Area of Potential Effects (APE). This map depicts the proposed project boundaries in addition to the area of archaeological (and architectural survey, when appropriate) coverage. This map shall be a rectified aerial photo at a scale of at a minimum one inch equals 200 feet. The archaeological APE and architectural APE each shall be distinguished on the APE map unless otherwise specified. All cultural resources, and their boundaries, are plotted on this map. Caltrans shall provide base maps in hard copy and/or digital format.
  - Archaeological site map shall depict site boundaries, relative density of cultural material, and the location of all features and diagnostic artifacts. Site boundaries shall be depicted relative to the existing edge of pavement, right-of-way fence, and postmile markers. All site locations shall be recorded with a GPS instrument, as described in this Contract. Universal Transverse Mercator (UTM) coordinates shall be obtained and provided for several locations along the site boundary and for all major surface features.
- e. Unless otherwise specified in Caltrans' Task Order, the following records and reports shall be required for each Phase I investigation performed. Submittal requirements and review periods specified below shall apply unless otherwise specified in Caltrans' Task Order.
- i. Historic Architectural and Engineering Resource Information. Within ten (10) days of the conclusion of each field event, the Consultant shall notify Caltrans in writing of the presence of any architectural or engineering structures or features identified. A preliminary recommendation should also be made as to whether additional historic studies are needed, such as the preparation of an Historic Resource Evaluation Report (HRER). Photographs and a copy of the field map showing the location(s) of any historic architectural or engineering structures or features shall be submitted at that time.
- ii. Archaeological Site Records (DPR 523c forms). Caltrans may schedule a field review with the Consultant of all recorded archaeological sites prior to submittal of the draft site records. The purpose of the field review is to double-check all site descriptions, including locations and mapping information relative to the proposed project limits. Following

the field review, the Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft archaeological site records within the given time frame, as specified in the Task Order. For previously recorded sites, this submittal shall include all available previous versions of the site record. Caltrans shall provide a review of the draft site records and return it with comments to the Consultant within the timeframe specified in the Task Order after its receipt. Within the given time frame, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of two (2) copies, or the specific number of copies as specified in the Task Order, of each record to the appropriate Information Center to obtain permanent site trinomials, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.

- iii. When appropriate, the Consultant shall use the Caltrans Cultural Resource Database (CCRD) for documenting all cultural resources. The CCRD includes an Access database for creating DPR 523 forms, and an ArcView GIS Project for locational information. The Consultant shall contact the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager for instructions and questions regarding the CCRD and expected products.
- iv. Caltrans shall provide the Consultant with a current template of the CCRD front-end in Access, as well as a back-end file, and instructions on how to operate the CCRD. All DPR 523 forms shall be entered in this format. The final product delivered to Caltrans shall include a standard writeable CD labeled with project information and CD contents, containing:
  - the Consultant's backend file,
  - JPG images of any photographs used in the DPR forms, labeled by trinomial or primary number, and
  - PDF versions of all records entered in the CCRD, labeled by trinomial or primary number.
- v. The Consultant shall use Trimble Pathfinder Pro XR or XRS or comparable GPS unit to record the locations of all newly discovered archaeological sites. Evaluated historic buildings or engineering structures and their property boundaries may be located in space via GPS data or via polygons accurately mapped on a georeferenced or rectified map of known projection. Post-processed differential correction shall be performed on all GPS data files using data from an acceptable base

station or alternate source. Positions shall have a horizontal accuracy of less than one (1) foot. Features shall be collected as point, line or polygon based on type. The Consultant should request the most current Data Dictionary from Caltrans prior to field work. The final product delivered to Caltrans shall include a standard writeable CD labeled with project information and CD contents. This CD shall contain Trimble format raw data files (.ssf) and corrected data files (.cor). Corrected data shall be submitted in two formats:

- latitude/longitude, WGS 1984 datum, decimal-degree units, and
  - USGS UTM Projection, for the appropriate CA area, and have units in feet.
- vi. Draft ASR. Archaeological survey results shall be documented in an Archaeological Survey Report (ASR). If field survey results in the identification of sites, within the given time frame, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft ASR, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original draft ASR, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, photographs (with negatives or unprotected digital files), site records, and CHRIS search results. Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order. The document shall follow the outline and content of the ASR guidelines presented in Volume II of the Environmental Handbook. Caltrans shall provide a review of the draft and return it with comments to the Consultant within four (4) weeks or the timeframe specified in the Task Order after its receipt.
- vii. Final ASR. Within four (4) weeks, or as specified in the Task Order, after the receipt of Caltrans' comments on the Draft, the Consultant shall submit a specific number of copies, or the specific number of copies as specified in the Task Order, of the final ASR, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original Final ASR, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
- viii. All data shall be reviewed for completeness and accuracy prior to submission on CD.

10. Architectural and Engineering Resources - Phase I Survey
  - a. When appropriate and specified in a Task Order, the Consultant shall conduct an inventory of architectural and engineering resources within the APE or study area of the project.
    - i. DPR 523A, 523B, 523D, or 523E Form (<http://ohp.parks.ca.gov/>). The Consultant shall complete a 523A, 523B, 523D, or 523E form for each architectural or engineering resource or district recorded (if properties not exempt from evaluation, as specified in Attachment 4 of the PA, ([http://www.dot.ca.gov/ser/vol2/PA\\_04-EH.pdf](http://www.dot.ca.gov/ser/vol2/PA_04-EH.pdf))).
    - ii. The Consultant shall complete an HRER when there are architectural and/or engineering resources that are not exempt from evaluation.
    - iii. The HRER is a technical document used to document the identification and evaluation of buildings, structures, objects, bridges, districts, landscapes, irrigation systems, farms, industrial complexes, sites, roadways, railroads, canals, trails, and other built-environment resources within the APE, as well as evaluations of historical archaeological resources.
    - iv. After initiation of studies, the Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft HRER within the given time frame, as specified in the Task Order.
    - v. Caltrans shall provide a review of the draft HRER and return it with comments to the Consultant within the timeframe specified in the Task Order after its receipt.
    - vi. Within two (2) weeks, or as specified in the Task Order, after the receipt of Caltrans' comments on the draft HRER, the Consultant shall submit a minimum of ten (10) copies, or the specific number of copies as specified in the Task Order, of the final HRER, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original of the final HRER, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files).
    - vii. Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
  - b. The above documents are found on Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>).
11. Archaeological Study Requirements - Archaeological HRERs, Extended Phase I or Phase II Excavations, and Archaeological Evaluation Reports
  - a. Historical Resources Evaluation Report (HRER) - Archaeology
    - i. The HRER for archaeology is a technical document used to evaluate historical archaeological resources.

- ii. After study initiation, the Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft HRER within the given time frame, as specified in the Task Order.
  - iii. Caltrans shall provide a review of the draft HRER and return it with comments to the Consultant within the timeframe specified in the Task Order after its receipt.
  - iv. Within the given time frame, or as specified in the Task Order, after the receipt of Caltrans' comments on the draft HRER, the Consultant shall submit a specific number of copies, or the specific number of copies as specified in the Task Order, of the final HRER, incorporating all required changes and additions requested by Caltrans.
  - v. In addition, the Consultant shall submit one (1) reproducible original of the final HRER, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files).
  - vi. Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
- b. When Extended Phase I and/or Phase II archaeological excavation is necessary, the following requirements shall pertain to the Consultant's excavation activities:
- i. Extended Phase I investigations shall be performed primarily to determine whether there is an archaeological resource within the project APE (presence/absence testing). Extended Phase I excavations may also be needed to identify the geoarchaeological sensitivity and/or geomorphology of the project APE. Extended Phase I excavations may be conducted to determine the presence of subsurface deposits at a known archaeological site.
  - ii. Phase II test excavations shall be performed primarily to determine if an archaeological resource located within the project APE has the integrity and research potential for it to be determined eligible for listing on the National Register of Historic Places and/or the California Register of Historical Resources.
- c. Consultant's pre-field research should include:
- i. A visit to each site to be investigated.
  - ii. A comprehensive literature review of the appropriate regional studies conducted by other archaeologists to place investigation in proper temporal and regional context.
  - iii. A proposal, prepared in consultation with Caltrans, shall include a research design and work plan, curation plan, Native American coordination (for prehistoric sites), a budget, and appendices as described in the Environmental Handbook Vol. II Exhibit 5.4. (<http://www.dot.ca.gov/ser/envhand.htm>).

- iv. In the case of Phase II study, a research design and/or historic context of appropriate scale and depth requires a proposal that realistically identifies substantive regional research issues. The structure and content of this research design shall follow the guidance provided in Vol. II of Environmental Handbook.
- d. The Consultant shall provide its own equipment for the purpose of completing Extended Phase I or Phase II field and laboratory investigations. Caltrans may provide additional services and/or facilities, to be decided before implementation of any subsurface investigation, as defined in Caltrans' Task Order.
- e. After the completion of the field work, the Consultant may meet with the Caltrans Task Order Manager, as needed or if applicable, and in cooperation with the Caltrans Contract Manager, and the relevant Caltrans personnel, to determine the nature, depth, and necessity of any proposed ancillary studies (including, but not limited to, technological analysis of flaked stone, faunal analyses, C-14 dating, obsidian hydration, obsidian source studies, and pollen analysis) not specifically stated in the Task Order.
- f. The Consultant shall coordinate with the appropriate curation facility that shall store the recovered cultural materials for the purpose of obtaining a curation agreement, as appropriate, (<http://drarchaeology.com/regs/36cfr79.htm> ) (<http://ohp.parks.ca.gov/pages/1054/files/guide93.pdf> ). Curation arrangements and costs shall be included in the Consultant's proposals.
- g. Unless otherwise specified differently in Caltrans' Task Order, the following records and reports shall be required for each Extended Phase I or Phase II investigations performed. These submittals shall include a Microsoft Word file on rewriteable CD, or DVD. A PDF version shall also be submitted (refer to Task Order). These submissions shall contain all pertinent files unless specified otherwise in the Task Order. Submittal requirements and review periods specified below shall apply unless otherwise specified in Caltrans' Task Order.
  - i. Extended Phase I Proposal. After receipt of Caltrans' Task Order, the Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of an Extended Phase I proposal within the given time frame, as specified in the Task Order. Caltrans shall provide a review and return proposal with comments to the Consultant within the timeframe specified in the Task Order after its receipt. Within one (1) week, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the final proposal, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both

- MS Word and PDF versions and/or in the format specified in the Task Order.
- ii. Extended Phase I Report. The Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft Extended Phase I report within the given time frame, as specified in the Task Order. Caltrans shall provide a review and return report with comments to the Consultant within the timeframe specified in the Task Order after its receipt. Within the given time frame, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of ten (10) copies, or the specific number of copies as specified in the Task Order, of the final report, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
  - iii. Phase II Proposal. The Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of a Phase II within the given time frame, as specified in the Task Order. Caltrans shall provide a review and return proposal with comments to the Consultant within the timeframe specified in the Task Order after its receipt. Within two (2) weeks, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the final proposal, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
  - iv. Archaeological Evaluation Report (AER). The Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft AER within the given time frame, as specified in the Task Order. Caltrans shall provide a review and return report with comments to the Consultant within the timeframe specified in the Task Order after its receipt. Within the given time frame, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a specific number of copies, or the specific number of copies as specified in the Task Order,

- of the final report, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
- v. Site Record updates are required for all excavated archaeological sites to ensure modern 523 forms described in the DPR website, <http://ohp.parks.ca.gov/>, are used and all site information is current and accurate. At minimum, a Continuation Sheet (DPR 523L) describing the excavation location and extent and eligibility determinations (if applicable) shall be provided to Caltrans, filed at the regional office of the CHRIS, and appended to the appropriate report.
  - vi. Miscellaneous Documentation Extended Phase I or Phase II. Caltrans shall determine the final disposition of any collections recovered as a result of Extended Phase I or Phase II investigations. Copies of all field notes, level records, photographs, profiles, catalog sheets, analysis sheets, and all other pertinent records, research documents, and correspondence accumulated during the course of the investigation shall be kept in a file by the Consultant and shall be submitted to Caltrans upon the completion of the project. The file and its contents shall be well marked and organized. Originals may be sent to curation facility with archaeological collections or retained as specified in the Task Order.
  - h. Unless otherwise specified in Caltrans' Task Order, the following requirements shall pertain to the Consultant's archaeological excavations:
    - i. Excavation unit size, methodology, and recording procedures shall be specified in the Task Order.
    - ii. Field excavation screen size(s) shall be 1/8th inch unless otherwise specified in the Task Order.
    - iii. At a minimum, units shall be excavated to the depth of sterile subsoils, or when a significant reduction in cultural material occurs. In-field consultation between the Consultant and the Caltrans Contract Manager or Caltrans designee shall provide input on unit termination when appropriate. In some cases, the Consultant shall be required to excavate units well into sterile soil to determine the presence of deposits buried under alluvium or other deposited materials.
    - iv. All cultural items (including, but not limited to, faunal remains, ground stone, flaked stone, plant macrofossils, historic artifacts, recent historic items, and in some cases, fire-affected rock) shall be saved and cataloged as specified in the Task Order and in accordance with accepted professional standards. The accession number for each collection shall

- be consistent with cataloging procedures of the curatorial facility to which the collection shall be housed.
- v. After the completion of any unit, it shall be photographed and at a minimum one (1) wall shall be profiled. Soil sample collection for analysis shall be specified in the Task Order. The unit shall be back filled and only left open temporarily at the request of Caltrans for comparison with other units in the vicinity.
  - vi. The Consultant shall place safety coverings over each excavation unit left open and unattended. The covering should be of sufficient strength to prevent heavy equipment, cattle, horses, or humans from falling into the unit.
  - vii. Prior to excavation, the Consultant shall submit to Caltrans for review its proposed field forms, including, but not limited to, level records, photo logs, catalog sheets, and analysis sheets. Caltrans may require the Consultant to modify these field forms.
  - viii. A Native American Monitor, from an appropriate local group (or groups), may be present during any subsurface investigation of a known prehistoric archaeological site, whether it involves trenching, auger borings, shovel tests, or unit excavation. Caltrans shall advise the Consultant on Native American consultation matters. Caltrans shall determine the appropriate individual or individuals to serve as Native American monitors. Caltrans shall provide prior written approval for this type of service.
  - ix. The Consultant shall enter into a curation agreement for each project where the recovery of archaeological remains shall be involved. The Consultant shall coordinate with the selected curatorial facility in order to catalog and prepare collections in accordance with requirements of that curatorial facility. The curation facility shall meet the appropriate State and/or Federal standards. Curation requirements and responsibilities shall be detailed in Caltrans' Task Order. All materials subject to curation shall be appropriately accessioned and boxed by the Consultant and delivered (not shipped) to the selected curatorial facility. Delivery shall be coordinated with Caltrans.
12. Historical Property Survey Report (HPSR) and Historical Resources Compliance Report (HRCR)
- a. The HPSR is an umbrella document that summarizes efforts to identify cultural resources within the APE of the undertaking and efforts to determine if these resources are historic properties eligible to the National Register of Historic Places. The HPSR summarizes results of the ASR, HRER, AER, and Bridge Evaluation documents. The HPSR is the primary document used to fulfill the requirements of 36 CFR Part 800.4 and 800.11 for federal undertakings. The HPSR provides the consulting parties, including SHPO, information on efforts to identify and evaluate cultural resources to determine if they are historic

properties. The HPSR may also address the effects of the undertaking on historic properties.

- b. The Consultant may be required to prepare a Historical Property Survey Report (HPSR) on a project by project basis. Format for preparation of the HPSR is provided in Caltrans Environmental Handbook, Volume II (<http://www.dot.ca.gov/ser/envhand.htm>). The number of draft and final copies shall be specified in each Task Order. Time frame shall be specified in the appropriate Task Order.
  - c. The HRCR documents all historical resources located within the Project area; it discusses the results of the ASR, HRER, Bridge Evaluation, AER, and other study documents. The HRCR is prepared for CEQA-only projects (where there is no federal involvement). This includes local agency projects when Caltrans is the lead agency under CEQA. The number of draft and final copies shall be specified in each Task Order.
  - d. The Consultant may be required to prepare a Historical Resources Compliance Report (HRCR) on a project-by-project basis; this shall be specified in the Task Order. Time frames for deliverables shall be specified in each Task Order.
13. Finding of Effect (FOE)
- a. For Federal undertakings, the Consultant may be required to prepare a Finding of Effects (FOE), and if the finding is adverse, a Memorandum of Agreement (MOA) and Data Recovery Plan (DRP) or Treatment Plan (TP), if appropriate, may be required. Contents of the FOE, MOA, and DRP/TP shall conform to those specified in Caltrans Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm>).
  - b. The Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft FOE package within the given time frame, as specified in the Task Order. Caltrans shall provide a review of the FOE and return it with comments to the Consultant within the timeframe specified in the Task Order after its receipt. The Consultant shall make any required changes and return the document. Within the given time frame, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of ten (10) copies, or the specific number of copies as specified in the Task Order, of the final FOE package, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
14. Treatment Plan or Data Recovery Plan
- a. If the finding is adverse for an archaeological site, a Data Recovery or Treatment Plan is usually required.

- b. The Consultant shall be tasked to prepare a treatment or data recovery plan via Task Order.
  - c. The schedule of completion shall be specified in the Task Order.
  - d. The Data Recovery Plan shall follow the guidance specified in the Environmental Handbook, Vol. II, EXHIBIT 5.6 Data Recovery Plan Format and Content Guide (<http://www.dot.ca.gov/ser/envhand.htm> ).
15. Determination of Eligibility (DOE)
- a. A separate determination of eligibility (DOE) may be required for cultural resources. Should Caltrans determine that a resource cannot be avoided by a project; the Consultant may be required to prepare a separate document that addresses eligibility. The DOE shall conform to the specifications presented in Caltrans Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm> ).
  - b. The Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft DOE within the given time frame, as specified in the Task Order. Caltrans shall provide a review and return it with comments to the Consultant within the timeframe specified in the Task Order after its receipt. The Consultant shall make any required changes and return copies (as specified in the Task Order). Within the given time frame, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a specific number of copies, or the specific number of copies as specified in the Task Order, of the final DOE, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original of the final DOE, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
16. Phase III Data Recovery Excavations, Analysis, Reports, and Curation
- a. Phase III data recovery excavations shall be undertaken when it is necessary to mitigate adverse effects or substantial adverse change to archaeological sites found eligible for listing on the National Register of Historic Places or sites that are historical resources for purposes of CEQA. These excavations shall follow the Data Recovery/ Treatment Plan finalized and attached to the undertaking MOA.
  - b. The Consultant shall provide its own equipment for the purpose of completing Phase III field and laboratory investigations. Caltrans may provide additional services and/or facilities, to be decided before implementation of any subsurface investigation, as defined in Caltrans' Task Order.
  - c. The Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the proposal within the given time frame, as specified in the Task Order. Caltrans shall provide a

review and return proposal with comments to the Consultant within the timeframe specified in the Task Order after its receipt. Within the time frame, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of ten (10) copies, or the specific number of copies as specified in the Task Order, of the final proposal, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.

- d. The Consultant shall be responsive to the critical timing of the Phase III field effort. The field work shall be completed between the encumbering of construction funds and the beginning of construction.
- e. The Consultant shall start excavations on the date specified in the Task Order and complete the excavations by the date specified in the Task Order.
- f. The Consultant shall follow all standard requirements regarding data recovery reports in the Environmental Handbook, Vol. II (<http://www.dot.ca.gov/ser/envhand.htm> ). EXHIBIT 5.8 Archaeological Data Recovery (Phase III) Report Format and Content Guide.
- g. The Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the Draft Phase III report within the given time frame, as specified in the Task Order. Caltrans shall provide a review and return report with comments to the Consultant within the timeframe specified in the Task Order after its receipt.
- h. The final report shall incorporate all required changes. Within three (3) months, or as specified in the Task Order, after the receipt of Caltrans' comments, the Consultant shall submit a minimum of ten (10) copies, or the specific number of copies as specified in the Task Order, of the final report, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.
- i. Site Record updates are required for all excavated archaeological sites to ensure modern 523 forms described in the DPR website, <http://ohp.parks.ca.gov/>, are used, and all site information is current and accurate. At minimum, a Continuation Sheet (DPR 523L) describing the excavation location and extent and eligibility determinations (if applicable) shall be provided to Caltrans, filed at the regional office of the CHRIS, and appended to the appropriate report.
- j. Miscellaneous Documentation Phase III:

Caltrans shall approve the final disposition of any collection recovered as a result of Phase III investigations. If at all possible, this collection shall be curated with the Phase II collection generated earlier in the history of the project. Copies of all field notes, level records, photographs, profiles, catalog sheets, analysis sheets, and all other pertinent research, records and correspondence kept during the course of the investigation shall be kept in a file by the Consultant and shall be submitted to Caltrans upon the completion of the project, or to the appropriate curation facility as directed by Caltrans.

17. Archaeological Monitoring of Construction Activities
  - a. Unless otherwise specified in Caltrans' Task Order, the following requirements shall pertain to the Consultant's monitoring activities:
  - b. At the direction of the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, the Consultant shall undertake monitoring of construction activities to identify the presence or absence of intact subsurface cultural materials not previously identified within a construction area. If new cultural deposits are revealed during monitoring activities and it is determined, as directed by Caltrans, that data recovery effort are required, the Consultant may be responsible for conducting those efforts.
  - c. Consultant's Pre-construction Activities:
    - i. In most cases, the Consultant shall be required to attend a pre-construction meeting.
    - ii. A visit to each construction area to be monitored shall be undertaken in advance of construction.
    - iii. The Consultant shall review all of the archaeological reports that identified the need for construction monitoring. This includes a comprehensive literature review of archaeological reports for that area that characterize the potential types of archaeological deposits and their content that may be encountered during construction monitoring.
    - iv. The Consultant shall provide its own equipment for the purpose of completing all monitoring activities. Caltrans may provide additional services and/or facilities, to be decided before implementation of construction monitoring, as defined in Caltrans' Task Order.
    - v. The Consultant may be required to provide a Safety Plan prior to construction. The Consultant shall adhere to the Construction Company's Safety Plan and Caltrans' safety protocols and policies.
  - d. If monitoring results are negative for archaeological deposits, the Consultant shall submit to Caltrans a minimum of three (3) copies, or the specific number of copies as specified in the Task Order, of the draft Construction Monitoring Report (CMR) within three (3) weeks, or the given time frame, as specified in the Task Order, of completion of monitoring activities. The draft CMR shall include all required maps, stratigraphic profiles, and photographs. Caltrans shall provide a review of the draft CMR and return it with comments to the Consultant within the timeframe specified in the Task Order after its receipt. Within four (4) weeks, or as specified in the Task Order, after the receipt of

Caltrans' comments, the Consultant shall submit a minimum of ten (10) copies, or the specific number of copies as specified in the Task Order, of the final CMR, incorporating all required changes and additions requested by Caltrans. In addition, the Consultant shall submit one (1) reproducible original final CMR, or the specific number of copies as specified in the Task Order, including, but not limited to, all original maps, illustrations, and photographs (with negatives or unprotected digital files). Also, the Consultant shall submit an electronic version of the document on standard writeable CD in both MS Word and PDF versions and/or in the format specified in the Task Order.

- e. If intact cultural deposits are revealed during monitoring activities, the Consultant shall inform the Caltrans Resident Engineer of the necessity of halting work in the area of the deposits. Immediately thereafter, the Consultant shall contact the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager and consult on the eligibility of the identified deposits. If necessary, the Consultant may be directed to conduct data recovery efforts.
- f. If Caltrans determines that data recovery efforts are necessary, Caltrans may choose to issue a Task Order for the additional work, prepare a separate contract for the data recovery work, or may perform the work in-house.
- g. If Caltrans issues a Task Order for the data recovery work, the Consultant shall prepare a proposal within five (5) days of receipt of Caltrans' Task Order, unless this situation was anticipated and a plan is already in place. Unless otherwise specified in the Task Order, the Consultant's proposal shall outline the scope of work, schedule of investigation, purposes of the investigation, field and recordation techniques to be employed, analytical techniques to be employed, Native American consultation/monitoring efforts, curation requirements, appropriate safety measures to be taken, and a research design of appropriate scale and depth for the purposes of meeting the objectives of the investigation, as outlined in Caltrans' Task Order.

#### 18. Paleontological Study Requirements

Unless otherwise specified in the Task Order, the following requirements shall pertain to the CONSULTANT's paleontological efforts:

- a. At the direction of the Task Order Manager, and detailed in executed task orders, CONSULTANT shall undertake appropriate actions to address matters concerning identification, evaluation, and, as necessary, mitigation of paleontological resources.
- b. All CONSULTANT paleontological staff must meet the qualifications criteria as stated in CALTRANS' Standard Environmental Reference, Volume I, Chapter 8, Paleontology.
- c. CALTRANS shall approve the paleontological study area.

- d. CONSULTANT shall conduct pre-field research, conduct a records and literature search at the appropriate facilities and shall make results available to CALTRANS on request.
- e. As specified by the Task Order Manager, and detailed in executed task orders, CONSULTANT will prepare the proper level of documentation that may include: a Paleontological Identification Report (PIR), a Paleontological Evaluation Report (PER), Paleontological Mitigation Plan (PMP), Paleontological Mitigation Report (PMR), and a Paleontological Stewardship Summary (PSS). All reports shall be prepared within the guidelines presented in CALTRANS' Standard Environmental Reference, Volume I, Chapter 8, Paleontology (<http://www.dot.ca.gov/ser/vol1/sec3/physical/Ch08Paleo/chap08paleo.htm> )
  - i. Draft reports. CONSULTANT shall submit three (3) copies of the draft report(s) within the time frame specified in the Task Order. The draft report(s) shall include all illustrations, maps and site records. CALTRANS shall complete review of the draft within three (3) weeks after receipt.
  - ii. Final reports. CONSULTANT will submit the final report(s) within four (4) weeks after receipt of CALTRANS' comments (or as specified in Task Order). In addition, CONSULTANT will submit one (1) original copy of the report(s), including all original copy maps, illustrations and photographs (with negatives). This submittal shall include a computer disk(s) (Microsoft Word) as stipulated in the Task Order containing copies of all files.

19. Paleontological Monitoring of Construction Activities

Unless otherwise specified in the Task Order, the following requirements shall pertain to CONSULTANT's monitoring activities:

- a. At the direction of CALTRANS' Task Order Manager, and detailed in executed task orders, CONSULTANT shall undertake monitoring of construction activities to identify the presence or absence of intact subsurface paleontological deposits within the construction area. If paleontological deposits are revealed during monitoring activities and it is determined, in consultation with CALTRANS that data recovery efforts are required, CONSULTANT may be responsible for conducting those efforts.
- b. CONSULTANT's pre-field research should include:
  - i. A visit to each construction area to be monitored.

- ii. A review of the paleontological reports that identified the need for monitoring and a literature review of paleontological reports that characterize the content of the type of paleontological deposit that may be encountered during monitoring.
- c. CONSULTANT shall provide its own equipment for the purpose of completing all monitoring activities. CALTRANS may provide additional services and/or facilities, to be decided before implementation of monitoring, as defined in the Task Order.
- d. If monitoring results are negative for paleontological deposits, CONSULTANT shall submit three (3) draft copies of a Construction Monitoring Report (CMR) within three (3) weeks of completion of monitoring activities. The draft CMR shall include all required maps, stratigraphic profiles and photographs. CALTRANS shall complete review of the draft CMR within two (2) weeks of receipts. Within four (4) weeks after receipts of CALTRANS' comments, CONSULTANT shall submit ten (10) copies of the final report, incorporating changes and additions as requested by CALTRANS. In addition, CONSULTANT will submit one (1) unbound, reproducible original report including all original maps, illustrations and photographs (including negatives).
- e. If intact paleontological deposits are revealed during monitoring activities, CONSULTANT shall inform CALTRANS' Resident Engineer of the necessity of halting work in the area of the deposits. Immediately thereafter, CONSULTANT shall contact the Task Manager to determine necessity for conducting data recovery efforts.
- f. If CALTRANS determines that data recovery efforts are necessary, CALTRANS may choose to issue a Task Order for the additional work, to prepare a separate contract for the data recovery work, or to perform the work in-house. If CALTRANS issues a Task Order for the data recovery work, the CONSULTANT shall prepare a proposal within five (5) working days of receipt of CALTRANS' Task Order. Unless otherwise specified in the Task Order, CONSULTANT's proposal shall outline the scope of work, schedule of investigation, purposes of the investigation, field and recordation techniques to be employed, analytical techniques to be employed, curation requirements, appropriate safety measures to be taken, and a research design of appropriate scale and depth to place the proposed investigation in context for the purposes of meeting the objectives of the investigation, as outlined in the Task Order.

20. Public Information and Outreach for Prehistory and History

An outreach and information program may be initiated throughout the life of the project and may be prepared for public venues, schools, and museums, among other forums. The public information and outreach may include, but not be limited to: displays,

Internet websites, artifact reproductions, videos, lectures, training programs, reports, brochures, and non-technical publications for public audiences. All information provided to the public shall be approved by the Caltrans Contract Manager and the Task Order Manager, and in cooperation with the relevant Caltrans personnel, in writing prior to release. (Note: Most detailed archaeological and ethnographic information is exempt from both the State Public Records Act and Federal Freedom of Information Act and so, not subject to disclosure requirements. Also, use of CHRIS prohibits the distribution of such information to inappropriate entities.)

21. The Consultant shall not negotiate or make decisions in Caltrans' name. Caltrans shall retain responsibility for initiating and managing all final consultation, both informal and formal, regarding project, project impacts, project mitigation proposals, project mitigation, project compensation, project proposals, and any issues, with other Consultants, Local, State, and Federal resource and regulatory agencies, and other involved agencies. The Consultant shall be available (within 2 working day(s) written notice) to provide advice and to participate in such consultations as specified in each Task Order, as directed by the Caltrans Contract Manager, and at the request of Caltrans. Should specific permits or agreements be required, Caltrans may require the Consultant to prepare appropriate information.
  
22. When authorized by the Caltrans Contract Manager or directed by a Task Order, the Consultant may establish direct contact with governmental resource and regulatory agencies including, but not limited to: the U.S. Army Corps of Engineers; U.S. Fish and Wildlife Service; U.S. Forest Service; U.S. National Park Service; U.S. Department Of The Interior Bureau of Land Management; Federal Highway Administration; California Department of Fish and Wildlife; California Fish and Game Commission; California Department of Parks and Recreation; California State Water Quality Control Boards; California State Water Resources Control Boards; California Regional Water Resources Control Boards; California Coastal Commission; Native American Heritage Commission; Regional Clearinghouse of the California Historical Resources Information System; other agencies; institutions; researchers or groups; and others, for the purpose of obtaining information, expertise, and assistance in developing baseline data and resource inventories relative to the project.
  - a. Caltrans shall provide prior written approval for, and may participate in, any and all contacts, intra-agency scoping meetings or other meetings with resource or regulatory agencies to discuss the project, project impacts, project mitigation proposals, project mitigation, project compensation, project proposals. The Consultant shall maintain a record of all such contacts and shall transmit copies of these records to Caltrans, at a minimum, with the regular monthly progress reports.
  - b. The Consultant shall not commit Caltrans to any mitigation measures or mitigation compensation.
  - c. The Consultant shall not negotiate or make decisions in Caltrans' name. Caltrans shall retain responsibility for initiating and managing all final consultation, both informal and formal, with other Consultants; Local, State, and

Federal resource and regulatory agencies; and other involved agencies, regarding project, project impacts, project mitigation proposals, project mitigation, project compensation, project proposals, and any issues. The Consultant shall be available (within 2 working day(s) notice) to provide advice and to participate in such consultations as required in each Task Order, and as directed by the Caltrans Contract Manager. Should specific permits or agreements be required, Caltrans may require the Consultant to prepare appropriate information.

23. Coordination with other Consultants; Local, State, and Federal resource and regulatory agencies; and other involved agencies shall be required to achieve compatibility with the concerns and requirements of Caltrans and other resource or regulatory agencies. Coordination may be required with the following: other Consultants; Local, State, and Federal resource and regulatory agencies; U.S. Army Corps of Engineers; U.S. Fish and Wildlife Service; U.S. Forest Service; U.S. National Park Service; U.S. Department Of The Interior Bureau Of Land Management; Federal Highway Administration; California Department of Fish and Wildlife; California Fish and Game Commission; California Department of Parks and Recreation; California State Water Quality Control Boards; California State Water Resources Control Boards; California Regional Water Resources Control Boards; California Coastal Commission; Native American Heritage Commission; Regional Clearinghouse of the California Historical Resources Information System; other agencies; institutions; researchers or groups; and others as directed by the Caltrans Contract Manager.
  - a. Caltrans shall provide prior written approval for, and may participate in, any and all contacts, intra-agency scoping meetings or other meetings with resource or regulatory agencies to discuss the project, project impacts, project mitigation proposals, project mitigation, project compensation, project proposals. The Consultant shall maintain a record of all such contacts and shall transmit copies of these records to Caltrans, at a minimum, with the regular monthly progress reports.
  - b. The Consultant shall not commit Caltrans to any mitigation measures or mitigation compensation.
  - c. The Consultant shall not negotiate or make decisions in Caltrans' name. Caltrans shall retain responsibility for initiating and managing all final consultation, both informal and formal, with other Consultants; Local, State, and Federal resource and regulatory agencies; and other involved agencies, regarding project, project impacts, project mitigation proposals, project mitigation, project compensation, project proposals, and any issues. The Consultant shall be available (within 2 working day(s) notice) to provide advice and to participate in such consultations as required in each Task Order, and as directed by the Caltrans Contract Manager. Should specific permits or agreements be required, Caltrans may require the Consultant to prepare appropriate information.

24. Unless otherwise specified in the Task Order, the Consultant shall be responsible for obtaining Native American monitors or participants in coordination with Caltrans.
25. At Caltrans' request, the Consultant shall conduct a field review for Caltrans' environmental personnel of any resources identified during the Consultant's field studies.

D. Workplan Standards Guide Codes

Task Orders are based on the Caltrans Workplan Standards Guide (WSG). The latest WSG 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>. The WSG references the Work Breakdown Structure (WBS) categories, which are potential and related work activities applicable to this Contract. All revisions to the current version of the Work Breakdown Structure (WBS) shall apply during the life of this Contract.

The WBS activities below applicable to this Contract are set forth below:

- 100 Perform Project Management (Contract Management)
- 165.10.65 Perform Paleontology Study
- 165.20.05 Archaeological Survey
  - 165.20.05.05 Area of Potential Effects/Study Area Map
    - 165.20.05.10 Native American Consultation
    - 165.20.05.15 Records and Literature Search
    - 165.20.05.20 Field Survey
      - 165.20.05.25 Archaeological Survey Report (ASR)
      - 165.20.05.99 Other Archaeological Survey Products
  - 165.20.10.05 Native American Consultation (See Note 1)
    - 165.20.10.10 Extended Phase I Proposal
      - 165.20.10.15 Extended Phase I Field Investigation
      - 165.20.10.20 Extended Phase I Materials and Analysis
      - 165.20.10.25 Extended Phase I Report
      - 165.20.10.99 other Phase I Archaeological Study Products
  - 165.20.15 Phase II Archaeological studies
    - 165.20.15.05 Native American Consultation (See Note 2)
      - 165.20.15.10 Phase II Proposal
        - 165.20.15.15 Phase II Field Investigation
        - 165.20.15.20 Phase II Materials Analysis
        - 165.20.15.25 Phase II Report (See Note 3)
        - 165.20.15.99 Other Phase II Archaeological Study Products
  - 165.20.20 Historical and Architectural Resource Studies
    - 165.20.20.05 Preliminary Area of Potential Effects/Study Area Maps for Architecture
    - 165.20.20.10 Historic Resources Evaluation Report - Archaeology

- 165.20.20.15 Historic Resource Evaluation Report - Architecture (HRER) (See Note 4)
- 165.20.20.20 Bridge Evaluation
- 165.20.20.99 Other Historical and Architectural Resource Study Products
- 165.20.25 Cultural Resources Compliance Consultation Documents
- 165.20.25.05 Final Area of Potential Effects/Study Area Maps
- 165.20.25.10 PRC 5024.5 Consultation
- 165.20.25.15 Historic Property Survey Report/Historic Resources Compliance Report (HPSR)/(HRCR)
- 165.20.25.20 Finding of Effect (FOE)
- 165.20.25.25 Archaeological Data Recovery Plan/Treatment Plan/
- 165.20.25.30 Memorandum of Agreement (MOA)
- 165.20.25.99 Other Cultural Resources Compliance Consultation Products
- 235.05.05 Historical Structures Mitigation
- 235.05.10 Archaeological and Cultural Mitigation
- 235.05.25 Paleontology Mitigation
- 235.05.99 Other Environmental Mitigation Products
- 235.40 Updated Environmental Commitments Record
- 270.20.50 Technical Support
- 270.70 Updated Environmental Commitments Record

Notes:

- 1. (for Extended Phase I Activities)
- 2. (for Phase II)
- 3. (Archaeological Evaluation Report)
- 4. (and Engineering Properties)

E. Schedule of Performance and Time Requirements

Task Orders shall be issued and executed throughout the duration of this Contract. Task Orders shall be completed in the timeframe identified in the Task Order and prior to the expiration of the Contract.

Caltrans and the Consultant shall develop and agree to a schedule for the services and deliverables to be completed and delivered. All deliverables shall satisfy the Standards set forth in “Standards” Section in order to be accepted for payment.

F. Personnel Requirements

- 1. The Consultant, including the prime Consultant and all Subconsultants, shall throughout the life of the Contract, retain within its firm, a staff of people who shall be properly licensed and certified in accordance with the laws of the State of California and qualified to perform all aspects of the required work described in this Contract and all work specified in a Task Order.

The Consultant shall be prepared to provide additional personnel, as necessary, during the course of Contract performance to accommodate possible modifications and revisions to the work.

2. Consultant Contract Manager

The Consultant Contract Manager shall coordinate the work related matters and Consultant's operations under this Contract with the Caltrans Contract Manager and the Caltrans Task Order Manager, and in cooperation with the relevant Caltrans personnel.

The Consultant Contract Manager shall have a minimum of five (5) years of responsible experience performing the duties as a contract manager for similar Cultural Resource Support Services contracts. The Consultant Contract Manager shall be an employee of the prime Consultant.

In addition to other specified responsibilities, the Consultant Contract Manager shall be responsible for all matters related to the Consultant's personnel, Subconsultants, Cultural Resource Support Services work, and Consultant's operations including, but not limited to, the following:

- a. Ensuring that deliverables are clearly defined, acceptance tested and that criteria are specific, measurable, attainable, realistic and time-bound; and that the deliverables satisfy the acceptance tests and criteria.
- b. Supervising, reviewing, monitoring, training, and directing the Consultant's personnel.
- c. Assigning qualified personnel to complete the required Task Order work as specified on an as-needed basis in coordination with the Caltrans Contract Manager.
- d. Administering personnel actions for Consultant personnel and ensuring appropriate actions taken for Subconsultant personnel.
- e. Maintaining and submitting organized project files for record tracking and auditing.
- f. Developing, organizing, facilitating, and attending scheduled coordination meetings and preparation and distribution of meeting minutes.
- g. Implementing and maintaining quality control procedures to manage conflicts, insure product accuracy, and identify critical reviews and milestones.
- h. Assuring that all applicable safety measures are in place.
- i. Providing invoices in a timely manner and providing monthly Contract expenditures.
- j. Reviewing invoices for accuracy and completion before billing to Caltrans.
- k. Managing Subconsultants.
- l. Managing overall budget for Contract and provide report to the Caltrans Contract Manager.
- m. Monitoring and maintaining required DBE involvement.

n. Ensuring compliance with the provisions as specified in this Contract and each specific Task Order's requirements.

3. Consultant Task Order Manager

For each Task Order the Consultant shall provide a Consultant Task Order Manager to coordinate the Consultant Task Order operations with the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager.

The Consultant Task Order Manager shall be accessible to the Caltrans Contract Manager and the Caltrans Task Order Manager, at all times during normal Caltrans working hours that Task Order work is underway.

4. Consultant Personnel and Team Member Qualifications

The Consultant shall provide documents that proposed personnel meet the appropriate minimum qualifications as defined in the Caltrans Environmental Handbook, Volume II, Chapter 2 (<http://www.dot.ca.gov/ser/envhand.htm>); and Attachment 1 of the *The First Amended Programmatic Agreement among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and the California Department of Transportation Regarding Compliance with Section 106 of the National Historic Preservation Act as it Pertains to the Administration of the Federal-Aid Highway Program in California (PA)*; and the United States Secretary of the Interior's Professional Qualification Standards (36 CFR Part 61). The qualifications define minimum education and experience required to perform identification, evaluation, registration, and treatment activities for purposes of historic preservation for Federal Undertakings ([http://www.nps.gov/history/local-law/arch\\_stnds\\_9.htm](http://www.nps.gov/history/local-law/arch_stnds_9.htm) (broken link)). Personnel with expertise in GPS and ESRI GIS software will also be needed. Caltrans' prior written approval is required for all historians and archaeological personnel not identified on the Consultant's organization chart.

The Consultant team member shall be capable of assisting the Consultant Contract Manager in all aspects of the required work. The Consultant team member's required professional qualifications shall be identified in each Task Order.

5. In this Contract, a person who is authorized to review and approve Consultant Cultural Resource deliverables in place of the Consultant Contract Manager shall be hereafter referred to as the Cultural Resource responsible person. The Consultant Cultural Resource responsible person, who shall be a Principal Investigator (PI) or Project Archaeologist, signing the deliverables under this Contract, shall be currently employed by the Consultant or its Subconsultants at the time the deliverables are submitted to Caltrans for consideration under the review and acceptance process.

6. All deliverables under this Contract, not fully approved by Caltrans bearing the signature of the Cultural Resource responsible person, and who is no longer employed by the Consultant or its Subconsultants, shall be replaced by deliverables under this Contract bearing the signature of a qualified replacement Cultural Resource responsible person who is employed by the Consultant or its Subconsultants. In such an event, no additional time shall be allowed or cost reimbursed to the Consultant without the prior written approval of the Caltrans Contract Manager.
7. All of the Consultant's work shall be conducted under the direction of the Consultant Contract Manager who shall have the appropriate experience as described in this Contract. All deliverables under this Contract requiring the Cultural Resource responsible person's signature, shall be produced by the responsible Consultant personnel having appropriate experience, and shall be signed by a Cultural Resource responsible person.

G. Consultant Availability and Work Hours

The typical workday includes all hours worked as identified in the Task Order and also as directed by the Caltrans Contract Manager. Unless otherwise specified in the Task Order or directed by the Caltrans Contract Manager, the normal workday shall be Monday through Friday, from 7.30 a.m. to 4.15 p.m. or any combination of five (5) consecutive days which may include Saturday and/or Sunday, and the normal workweek shall consist of forty (40) hours. If Saturday and/or Sunday is part of a regular work week as determined by Caltrans, then the Saturday and/or Sunday work shall be treated as work performed on a regular workday and no overtime shall be paid for the first eight (8) hours on Saturday or Sunday.

If Caltrans determines that the work cannot be performed during normal business hours or the work is necessary at off hours to avoid danger to life or property, the Consultant's operations may be restricted to specific hours during the week. Night work may be required on projects involving high traffic areas. The Caltrans' construction contractor's operations may be restricted to specific hours during the week, which shall become the normal workday for Consultant's personnel. Any shift differential rate pay shall be reimbursed in accordance with the applicable Department of Industrial Relations (DIR) determination.

On days when work is not performed by the construction contractor, such as rainy or unsuitable weather days, Consultant's services shall not be provided unless authorized by the Caltrans Contract Manager, the Caltrans Task Order Manager, or other relevant Caltrans personnel.

## H. General Requirements

1. For each Task Order, the Consultant shall carry out instructions received from the Caltrans Contract Manager and in cooperation with the Caltrans Task Order Manager, and other relevant Caltrans personnel, and as directed by the Caltrans Contract Manager shall coordinate activities and work closely with multiple stakeholders including, but not limited to, Caltrans' various functional units, Caltrans' project managers, other entities with an interest in the project (including, but not limited to, FHWA), other consultants, other contractors, and firms contracted by Caltrans working on the same projects or adjacent projects. In the event an instruction or direction is unclear to the Consultant, the Consultant shall ask the Caltrans Contract Manager to clarify the instruction or direction. The work is a critical element of project planning and construction schedules, and shall be accomplished in a timely fashion. Projects having complex and overlapping schedules and therefore Project work may have overlapping and parallel (not serial order) schedules. Task Orders may be written for treatment of unanticipated finds encountered during project work. When unanticipated finds are encountered, a rapid response shall be necessary to avoid costly construction delays. Projects have complex and overlapping schedules and field work may be intermittent.
2. It is not the intent of the foregoing paragraph to relieve the Consultant of professional responsibility during the performance of this Contract. In instances where the Consultant believes a better standard solution to a task being performed or a problem/issue being addressed is possible, the Consultant shall promptly notify the Caltrans Contract Manager and/or Caltrans Task Order Manager of these concerns, together with the reasons therefore. However, Caltrans shall make all final decisions on the scope of the Consultant's activities and investigations.
3. The Consultant shall prepare the required, deliverables, backup documents, other documents, and other items required by this Contract according to requirements of this Contract and applicable Caltrans Manuals for the work.
4. The Consultant shall be required to work with other Caltrans Functional Units and Permitting Agencies (including, but not limited to, Regional Water Quality Control Board - RWQCB) as directed by the Caltrans Contract Manager and Caltrans Task Order Manager.
5. The Consultant shall work closely with the Caltrans Contract Manager and the Caltrans designee stated in the Task Order.
6. As directed and as a first order of work, the Consultant shall prepare and update a comprehensive Caltrans Work Breakdown Structure (WBS) for each Task Order issued by the Caltrans Contract Manager showing a deliverables schedule as well as other relevant data to monitor project progress, Consultant's work control, and Caltrans review of work status. The relevant data shall include a list of activities with budgeted cost, milestones, and target date for completion of each activity. The minimum number

of task details shall be identified in the Task Order. This workplan shall be updated once a month to show the approved baseline schedule and the actual progress schedule.

7. The Consultant's personnel shall be capable, competent, and experienced in performing the types of work in this Contract with minimal instructions. Personnel skill level should match the specific classifications and task complexity. The Consultant's personnel shall be knowledgeable about, and comply with, all applicable Local, State and Federal regulations.
8. The Consultant is required to submit a written request and obtain the Caltrans Contract Manager's prior written approval for any substitutions, additions, or modifications to the Consultant's originally proposed personnel and project organization, as depicted on the proposed Consultant's Organization Chart or the Consultant's cost proposals. Substituted staff is subject to the same qualification requirements as the staff replaced for the work being performed.
9. In responding to Caltrans' Task Order and in consultation with the Caltrans Contract Manager, the Consultant Contract Manager shall identify the specific individuals proposed for the task and their job assignments. The Consultant shall provide documentation that proposed personnel meet the appropriate minimum qualifications as required by this Contract.
10. The Consultant's personnel shall typically be assigned to and remain on specific Caltrans projects until completion and acceptance of the project by Caltrans. Personnel assigned by the Consultant shall be available at the start of a Task Order and after acceptance of the project by Caltrans.
11. After Caltrans' approval of the Consultant's personnel proposal and finalization of a Task Order, the Consultant may not add or substitute personnel without Caltrans' prior written approval.
12. Resumes containing the qualifications and experience of the Consultant's and Subconsultant's personnel, which include existing, additional, and substitute personnel, and copies of their minimum required certifications, shall be submitted to the Caltrans Contract Manager for review before assignment on a project or Task Order. The resume and copies of current certification for each candidate shall be submitted to the Caltrans Contract Manager within one (1) week of receiving the request.

The Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, may interview the Consultant's personnel for the qualifications and experience. The Caltrans Contract Manager's decision to select the Consultant's personnel shall be binding to the Consultant and its Subconsultants. The Consultant shall provide adequate qualified personnel to be interviewed by the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager within one (1) week of receiving the request.

The Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, shall evaluate the adequacy (quality and quantity) of the work performed by the Consultant's personnel, and determining whether the deliverables satisfy the acceptance tests and criteria. The Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, may reject any Consultant personnel determined by the Caltrans Contract Manager to lack the minimum qualifications. If at any time the level of performance is below expectations, the Caltrans Contract Manager may direct the Consultant to immediately remove Consultant personnel from the project specified in a Task Order and request another qualified person be assigned as needed. The substitute personnel shall meet the qualifications required by this Contract for performance of the work as demonstrated by a resume and copies of current certifications submitted by the Consultant. Substitute personnel shall receive prior written approval from the Caltrans Contract Manager. The Consultant shall not remove or replace any existing personnel assigned to Task Orders without the prior written consent of the Caltrans Contract Manager. The removal or replacement of personnel without the written approval from the Caltrans Contract Manager shall be violation of the Contract and may result in termination of the Contract per Exhibit D, Section III, Termination. Invoices with charges for personnel not pre-approved for work on the Contract and each Task Order by the Caltrans Contract Manager shall not be reimbursed.

13. When assigned consultant staff is on approved leave and required by the Caltrans Contract Manager, the Consultant Contract Manager shall provide a substitute employee until the assigned employee returns to work from the approved leave. The substitute personnel shall have the same classification, not exceed the billing rate and meet or exceed the qualifications and experience level of the previously assigned personnel, at no additional cost to Caltrans. Substitute personnel shall receive prior written approval from the Caltrans Contract Manager to work on this Contract.
14. Other project personnel not identified, shall also satisfy appropriate minimum qualifications for assigned Task Orders. Caltrans' prior written approval is required for all personnel not identified on the Consultant's organization chart or the Consultant's cost proposals.
15. The Consultant's timesheet/expenses shall be approved by the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, before submitting timesheets or expense reimbursement requests for payment.
16. The Consultant shall begin the required work per the Task Order period of performance, after receiving a fully executed Task Order and the issuance of the Notice to Proceed (NTP) from the Caltrans Contract Manager. Once the work begins, the work shall be prosecuted/performed diligently until all required work has been completed to the satisfaction of the Caltrans Contract Manager.
17. The work shall not be performed when conditions prevent a safe and efficient operation.

18. The Consultant Contract Manager, Task Order Manager, and Key Personnel shall be accessible to the Caltrans Contract Manager at all times during normal Caltrans working hours or after hours as required by the Caltrans Contract Manager.
19. The Caltrans Contract Manager may direct the Consultant's employees to work overtime to meet Task Order schedules. All overtime shall be pre-approved by the Caltrans Contract Manager in coordination with the Caltrans' Task Order Manager. Overtime shall be worked only when directed in writing by the Caltrans Contract Manager and specifically required by the Task Order, and shall only be paid to persons covered by the Fair Labor Standards Act.
20. The Consultant or its Subconsultants shall not incorporate any materials or equipment of a single or sole source origin without the advance written approval of Caltrans.
21. The Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, shall address all questions which may arise as to the quality or acceptability of deliverables furnished and work performed for this Contract.
22. Additional standards for specific work may be included in the Task Order. If such additional standards conflict with the standards specified in this Contract, the standards specified in this Contract shall prevail over the Task Order standards.
23. The Consultant may claim reimbursement for providing equipment or supplies. However, such claimed costs shall be in compliance with 48 Code of Federal Regulation, Chapter 1, Part 31 (Federal Acquisition Regulation - FAR cost principles) and be consistent with the Consultant's company-wide allocation policies and charging practices with all clients including federal government, state governments, local agencies, and private clients.
24. All staff augmentation Consultant personnel are required to complete security and privacy awareness training each year (see <http://itsecurity.dot.ca.gov/training> ) and sign a confidentiality and nondisclosure agreement.
25. The Consultant shall only provide incidental non-Architectural and Engineering (A&E) services, such as Computer Aid Drafting & Design (CADD) support, utilities location support, traffic control, office support, and field office support, provided (a) such services are necessary for the completion of the A&E tasks and/or deliverables performed by the Consultant described in executed Task Orders and covered by the work in this Contract and (b) the rendering of the services is approved in advance by the Caltrans Contract Manager. These incidental services shall only be provided to support the Consultant's personnel who are performing A&E services, tasks, and deliverables on this Contract. The Consultant shall not be paid or reimbursed for any incidental non-A&E services provided to Caltrans unless provided in the fashion described in this Contract and included in the executed Task Order. The Consultant is responsible for

ensuring that Task Orders include any incidental non-A&E services. Services to train Caltrans personnel shall not be provided by the Consultant under this Contract.

26. Consultant shall make every effort to choose the most cost effective alternatives in performing the work under this Contract. Utilizing the most cost-effective alternative includes, but not be limited to, personnel assignments, overtime, travel, per-diem and any reimbursable Other Direct Cost items. Cost effectiveness without sacrificing quality is of paramount importance.
27. The Consultant may not disclose any information to third parties without prior written approval of the Caltrans Contract Manager.
28. The Consultant shall include the Caltrans Contract Manager in written communications to other Caltrans personnel for any clarification on the scope of work.
29. The Consultant shall have the capability to send to and receive from Caltrans' electronic mail system and file transfer protocol system including, but not limited to, attachments for word processing, photographs, spreadsheets, and databases.
30. Caltrans shall not reimburse the Consultant for costs to relocate its personnel to the service area of this Contract. Caltrans shall not reimburse the Consultant for long-term per diem costs, unless preapproved by the Caltrans Contract Manager. Caltrans shall not reimburse the Consultant for out-of-state travel without prior written approval from the Caltrans Contract Manager.
31. The Consultant shall obtain the Caltrans Contract Manager's approval prior to making presentations at non-Caltrans sponsored conferences or workshops for any services provided under this Contract.
32. The Consultant shall notify the Caltrans Contract Manager or Caltrans designee in writing a minimum one (1) week before it begins any field work, unless the Task Order specifies some other notification date.

## I. Equipment Requirements

### 1. Office Equipment and Supplies (Consultant's Office):

Consultant shall have and provide adequate office equipment and supplies to complete the required work specified in this Contract. Such equipment and supplies shall include, but not be limited to, the following:

- a. Office Supplies.
- b. Computers with appropriate software, printers, plotters, fax machines, calculators, data collectors and their necessary attachments and accessories.

- c. Data processing systems, software packages, reference materials, or other tools, including hardware and software, used in providing deliverables. This includes, but not be limited to, the following:
  - i. Microsoft Office Software (including, but not limited to, Word, Excel, PowerPoint).
- d. Reference material, or other tools, used in providing deliverables.
- e. Caltrans shall not purchase any hardware, software, or other equipment (including, but not limited to, batteries, paper, and office supplies) that may be required for the Consultant to perform work requested in this Contract. The Caltrans Contract Manager shall approve any Consultant's request for electronic connections and compatibility with current Caltrans Windows-based networks and programs in writing prior to the use and/or installation of any electronic hardware and/or software.
- f. In-house printing, reproduction, and delivery services.

2. Field Equipment and Supplies:

Consultant shall have and provide adequate field tools, instruments, equipment, materials, supplies, and safety equipment to complete the required field work and meet or exceed Caltrans Specifications per the Caltrans Manuals. The tools, instruments, equipment, materials, supplies, and safety equipment needed for each Consultant field personnel may include, but not be limited to, the following:

- a. Sufficient vehicles suitable for the work to be performed and terrain conditions of the project sites. Vehicles shall be fully equipped with all necessary tools, instruments, equipment, materials, supplies, and safety equipment required for the efficient operation of the Consultants' field personnel. Each Vehicle shall have sufficient ground clearance to safely maneuver through highway construction sites while fully loaded with equipment and materials. Each vehicle shall have an overhead flashing amber light, visible from the rear, with a driver control switch. Vehicles without side windows shall not be used. All vehicles shall be clearly marked as to ownership. Each vehicle shall be equipped to meet Caltrans safety requirements.
- b. A laptop computer with appropriate software.
- c. Communication device: Mobile telephone, cell phone.
- d. Hand tools as appropriate for the requested field personnel work.
- e. All necessary safety equipment including fire extinguisher, hard-soled safety footwear, white hard hats, eye protection, hearing protection, and approved safety vests as appropriate for the requested field work to be performed safely and efficiently within operating highway and construction zone environments.
- f. Traffic control devices (including signs, sign bases, flags, and hand held signs) as required to perform the requested field personnel work.
- g. Traffic control devices (including signs, sign bases, flags, and hand held signs) as required to perform the requested field personnel work

3. The Consultant shall provide all necessary tools, instruments, equipment, materials, supplies, and safety equipment required to perform the work identified in each Task Order and this Contract accurately, efficiently, and safely.

J. Consultant Reports and/or Meetings

1. Progress reports shall set forth a schedule of Task Order milestones, the current status of progress toward each milestone (including, but not limited to, on schedule, off schedule with correction in place, or out of schedule with no current correction), and a schedule of deliverables.
2. When applicable, progress reports shall indicate an estimated percentage of work completed and a corresponding estimate of budget spent for work deliverables. The estimate of work completion and budget spent shall be for the same time period. If applicable, progress reports shall include actual DBE participation on a monthly and cumulative basis.
3. Monthly Progress Reports shall cover the same period of performance as the monthly invoices.
4. The Consultant Contract Manager shall be responsible for drafting of the minutes of the meetings and submit them to the Caltrans Contract Manager within one (1) week of the meeting for review and comment. The Consultant Contract Manager shall distribute a final version of meeting minutes within two (2) calendar days of final approval.
5. Consultant shall be available, on two (2) day(s)' written notice:
  - a. To meet with Caltrans; to participate in internal Project Development Team (PDT) meetings or other Caltrans meetings.
  - b. To attend public meetings (day and evening) where a Cultural Resource Support Services expert is required.
  - c. To participate in any public hearings necessary for the Project.
  - d. To provide technical expertise on an "as-needed" basis.

K. Standards

1. All work shall be performed in accordance with all applicable Local, State, and Federal statutes, laws, codes, regulations, policies, procedures, ordinances, standards, specifications, performance standards, and guidelines, including the latest Caltrans regulations, policies, procedures, manuals, standards, specifications, performance standards, directives, guidelines, handbooks, guidance documents, forms, templates, policy memo, methodologies, and other informational or directive publications, including compliance with State and Federal Highway Administration (FHWA) guidelines for implementing those requirements; and any permits, licenses, agreements

or certifications that apply to specific Task Orders; the terms and conditions of this Contract; and current Caltrans Manuals and any future revisions. Work not covered by the "Manuals" shall be performed as specified in the Task Order.

- a. The Consultant is responsible for obtaining, at its expense, all necessary manuals, reference documents, and other materials.
- b. Caltrans Manuals generally may be purchased from the Publication Distribution Unit. The Publications staff may be reached at (916) 263-0822, and the center is located at the following address:  
State of California  
California Department of Transportation  
Publication Distribution Unit  
1900 Royal Oaks Drive  
Sacramento, CA 95815-3800
- c. Manuals and documents that are not available from the Caltrans Publication Distribution Center or are not available from Caltrans' Internet web site may be requested from the Caltrans Contract Manager. Caltrans does not guarantee the availability of publications nor its Internet web pages. Required Manuals include:
  - i. <http://www.caltrans-opac.ca.gov/publicat.htm>
  - ii. <http://www.dot.ca.gov/manuals.htm>
- d. Caltrans' regulations, policies, procedures, manuals, standards, specifications, performance standards, directives, guidelines, handbooks, guidance documents, forms, templates, policy memo, methodologies, and other informational or directive publications, are dynamic documents. The Consultant is responsible to verify that the latest version or update is used.

## 2. Manuals, Documents, and Websites

The following manuals, documents and links to internet sites are referenced in association with the work in this Contract. The list is not all-inclusive, but is intended to illustrate the types of reference material and sources of information.

- a. Caltrans' Internet Home Webpage  
<http://www.dot.ca.gov/>
- b. California Health and Safety Code  
<http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=hsc>
- c. Caltrans' Manuals Internet Webpage  
<http://www.dto.ca.gov/manuals.htm>
- d. Caltrans Publications Internet Webpage  
<http://caltrans-opac.ca.gov/publicat.htm>

- e. Caltrans Safety Manual  
[http://www.dot.ca.gov/hq/opo/safety/safetymanual\\_toc.htm](http://www.dot.ca.gov/hq/opo/safety/safetymanual_toc.htm)
  - f. Workplan Standards Guide for the Delivery of Capital Projects  
[http://www.dot.ca.gov/hq/projmgmt/documents/wsg/WSG\\_10-2.pdf](http://www.dot.ca.gov/hq/projmgmt/documents/wsg/WSG_10-2.pdf)
  - g. Caltrans Standard Environmental Reference Webpage  
<http://www.dot.ca.gov/ser>
  - h. Caltrans Environmental Handbook  
<http://www.dot.ca.gov/ser/envhand.htm>
  - i. Caltrans Preliminary Environmental Analysis Report (PEAR) Handbook  
<http://www.dot.ca.gov/ser/pear.htm>
  - j. Environmental Policy Memos  
<http://www.dot.ca.gov/ser/memos.htm>
3. All studies shall be performed in accordance with the January 1, 2014 *First Amended Programmatic Agreement Among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and the California Department of Transportation Regarding Compliance with Section 106 of the National Historic Preservation Act, as it Pertains to the Administration of the Federal-Aid Highway Program in California (PA)*, the Memorandum of Understanding (MOU) between the Federal Highway Administration and the Caltrans concerning the State of California's Participation in the Surface Transportation Project Delivery Pilot Program, which became effective on July 1, 2007, (MAP-21 amended 23 USC 327 to establish a revised and permanent Surface Transportation Project Delivery Program. As a result, the Department entered into a memorandum of understanding pursuant to 23 USC 327 [[NEPA Assignment MOU](#)] with FHWA. The NEPA Assignment MOU became effective October 1, 2012), and other Caltrans regulations, policies, procedures, manuals, standards, specifications, performance standards, directives, guidelines, handbooks, guidance documents, forms, templates, policy memo, methodologies, other informational or directive publications, and formats, including compliance with all Federal Highway Administration (FHWA) requirements as implemented and interpreted by Caltrans.
4. All work performed under this Contract shall follow the protocols, procedures, and format specifications outlined in the Caltrans Environmental Handbook, Vol. II, and Vol. I, Chapter 8 (<http://www.dot.ca.gov/ser/envhand.htm> ) and the United States Secretary of Interior's Standards and Guidelines for Archaeology and Historic Preservation (Federal Register, Vol. 48, No. 190, September 1983) ([http://www.cr.nps.gov/local-law/arch\\_stnds\\_0.htm](http://www.cr.nps.gov/local-law/arch_stnds_0.htm) )

L. Field Safety

In addition to the requirements specified elsewhere in this Contract, the following also shall apply:

1. The Consultant shall maintain an awareness of health and safety requirements and enforce applicable regulations and contract provisions for the protection of the project personnel and the public. The Consultant's personnel shall comply with all safety provisions of Caltrans' Safety Manual and Caltrans' Code of Safe Practices. The Consultant shall comply with all Local, State, and Federal Occupational Safety and Health Administration (OSHA) statutes, laws, codes, regulations, policies, procedures, ordinances, standards, and guidelines, applicable to the work under this Contract, regarding safety equipment and procedures (including, but not limited to, use and operation).
2. Field work shall not be performed when conditions prevent a safe and efficient operation, and shall only be performed with written authorization by Caltrans.
3. The Consultant shall provide, at no cost to Caltrans, all safety equipment to perform the required services in a safe manner. The Consultant's personnel shall wear hard-soled safety footwear, white hard hats, eye protection, hearing protection, and approved safety vests at all times while working in the field.
4. The Consultant shall provide, at no cost to Caltrans, appropriate safety training for all the Consultant's and the Subconsultant's office, laboratory, and field personnel, including training required for performing the work in an office setting or in the field to work on and near highways in a safe manner.
5. The Consultant shall be solely responsible for the protection of health and safety of its personnel, Subconsultants, and Subconsultant's personnel in performance of this Contract.
6. Traffic Control
  - a. If specified in the Task Order, Caltrans shall provide Traffic Control to accomplish the work within Caltrans' right-of-way. When Caltrans is to provide Traffic Control, the Consultant shall request the Traffic Control in advance of the work to obtain proper clearance. Limited work hours, night work or weekend work may be necessitated by the closure schedule that is approved by Caltrans for work on State freeways or highways. For work outside of Caltrans' right-of-way, the Consultant shall provide Traffic Control in coordination with the appropriate local jurisdiction and/or private owners.
  - b. If the Task Order requires the Consultant to provide traffic control or traffic control devices, the Consultant shall fulfill the following requirements:

- i. Caltrans' Standard Specifications (dated 2010, including any future revision to this manual): This Contract cites specific portions of Caltrans's Standard Specifications. Only the sections of the Standard Specifications cited in this Contract are requirements and are hereby incorporated by this reference as if attached to this Contract. All other portions of the Standard Specifications are not applicable to this Contract. The Standard Specifications is accessible via the internet at <http://www.dot.ca.gov/hq/esc/oe/>
- ii. Submit a traffic-handling traffic control plan to the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager, for review and comment at a minimum ten (10) working days prior to the start of work. The traffic control plan also needs to be provided to Caltrans Permit Office for review and acceptance.
- iii. Comply with the traffic control requirements in Caltrans' "Standard Specifications" including future revision to this manual, Section 7 (Public Convenience, Public Safety) and Caltrans' "Standard Plans", Section 12, and one or more of the following Caltrans Standard Plans, as applicable: Plan No. T10 (Traffic Control System for Lane Closure on Freeways and Expressways); Plan No. T11 (Traffic Control System for Lane and Complete Closures on Freeways and Expressways); Plan No. T12 (Traffic Control System for Lane Closure on Multilane Conventional Highways); Plan No. T13 (Traffic Control System for Lane Closure on Two Lane Conventional Highways); Plan No. T14 (Traffic Control System for Ramp Closures. (Refer to: [http://www.dot.ca.gov/hq/esc/oe/project\\_plans/highway\\_plans/stdplans\\_US-customary-units\\_10/viewable\\_pdf/2010-Std-Plns-for-Web.pdf](http://www.dot.ca.gov/hq/esc/oe/project_plans/highway_plans/stdplans_US-customary-units_10/viewable_pdf/2010-Std-Plns-for-Web.pdf) ).
- iv. Obtain the necessary approvals and encroachment permits.
- v. The Consultant shall provide all labor, equipment, and materials that are required for placing, operating, maintaining, repairing, replacing, transporting and removing of traffic control and traffic control devices.
- vi. This work includes furnishing, placing and maintaining required signs, safety equipment, and traffic control and warning devices in accordance with the Manual of Traffic Controls published by Caltrans (<http://www.dot.ca.gov/hq/traffops/engineering/> ). The manufacturer of products on the list of Prequalified and Tested Signing and Delineation Materials shall furnish the Consultant a Certificate of Compliance in conformance with the provisions in Section 6, "Certificates of Compliance," of the Standard Specifications for each type of traffic product supplied. For those categories of materials included on the list of Prequalified and Tested Signing and Delineation Materials, only those products shown within the listing may be used in the work. Other categories of products, not included on the list of Prequalified and Tested Signing and Delineation Materials, may be used in the work provided they conform to the requirements of the Standard Specifications, Section 6.

- vii. Conduct operations so as to offer the least possible obstruction and inconvenience to the public and to have under traffic control no greater length or amount of work than can be prosecuted properly with due regard to the rights of the public. All public traffic shall be permitted to pass through the work with a minimum of inconvenience and delay.
- viii. Implement protective measures that are necessary to prevent accidents or damage or injury to the public. No operations shall create a condition hazardous to traffic or to the public.
- ix. If an accident or other incident (related to or not related to the work being done for Caltrans) occurs within, or close to the work being done for Caltrans, the Consultant shall immediately stop work and remove traffic controls from the highway unless public health, welfare and safety is endangered by unfinished work or by removal of the traffic control devices. After free traffic flow is restored, other work required by the Task Order may be resumed.
- x. Enter and leave the highway via existing ramps and crossover in the direction of public traffic. There shall be no movement across lanes.
- xi. All trucks or other mobile equipment leaving the public traffic lane to enter the work area shall slow down gradually in advance of the turnoff to allow following traffic an opportunity to slow down safely. The Consultant shall use flashing lights on the vehicle to indicate to oncoming traffic of vehicle slowing.
- xii. All work requiring traffic control requires the Consultant to apply for and obtain a lane closure number or prepare an adequate Traffic Management Plan (TMP) in coordination with the District Traffic Management (DTM), Division of Traffic Operations before the start of any work that may affect traffic. The Consultant shall request lane closure numbers in accordance with the procedures specified in the Encroachment Permit Projects Traffic Control Procedures” which is found at the following web site: [http://www.dot.ca.gov/hq/traffops/developserv/permits/encroachment\\_permits\\_manual/index.html](http://www.dot.ca.gov/hq/traffops/developserv/permits/encroachment_permits_manual/index.html). The Consultant shall use the “Request for Transportation Management Plan Datasheet” to request all lane closures necessary to complete the work. The Consultant shall submit the Request for Transportation Management Plan Datasheet to the Caltrans Contract Manager and the Caltrans Task Order Manager for review and approval. Once the Caltrans Contract Manager and the Caltrans Task Order Manager have reviewed the lane closure request, the Consultant shall then fax the “Request for Transportation Management Plan Datasheet” (see Appendix E on [http://www.dot.ca.gov/hq/traffops/systemops/tmp\\_lcs/index.htm](http://www.dot.ca.gov/hq/traffops/systemops/tmp_lcs/index.htm) ) to Caltrans' Division of Traffic Management (DTM). Additional time beyond the minimum seven (7) days advanced notice may be required for obtaining traffic control approval.

- xiii. Any damage caused by the Consultant to existing facilities, landscaping or irrigation within Caltrans' right-of-way shall be replaced in kind by the Consultant at the Consultant's expense.
- xiv. Unless otherwise specified in a Lane Closure Chart(s) and/or approved by the District Traffic Manager, Traffic Control shall occur only between 9:00 am and 3:00 p.m., Mondays through Friday except for holidays.

M. Orientation Provided by Caltrans

Caltrans may provide orientation regarding the requirements for this Contract and each Task Order as deemed necessary by Caltrans. The orientation may consist of instructions on Caltrans procedures, practices, and requirements for the specific work to be performed and sharing of project related files and notes. However, if the orientation instructions conflict with the contract or task order requirements, the Contract and the executed Task Order shall prevail over any instructions provided.

N. Monitoring and Review Procedure

1. The Caltrans Contract Manager shall have the unilateral right from time to time, or as requested by the Consultant, to monitor and review the progress and processes of the Consultant.
2. The Consultant shall meet with the Caltrans Contract Manager a minimum of once per month or on an as-needed basis to review procedures and progress.
3. The performance of the Consultant Contract Manager, key personnel, and team shall be evaluated by the Caltrans Contract Manager, as needed, but no less frequently than annually, and at the expiration of the Contract. Unsatisfactory reviews of specific consultant personnel may result in Caltrans request to replace the existing Consultant personnel with new personnel; the Consultant shall immediately replace personnel with individuals whose qualifications at a minimum equal those of the personnel replaced at no additional cost to Caltrans. Evaluation includes, but not be limited to, the following:
  - a. Job performance.
  - b. Quality of Work.
  - c. Timely submittal of reports, invoices, daily diaries, and other required documents.
  - d. Early detection of problems and timely resolutions.
  - e. Requesting timely approval for personnel changes and travel expenditure.
  - f. Responsiveness and ability to control costs.
  - g. DBE Participation.
  - h. Conflicts of interest.

Poor performance and any negative evaluations may result in replacement of the Consultant Contract Manager and/or key personnel; the need to replace key personnel shall reflect adversely on the Consultant's performance evaluation, and if warranted, may result in the termination of the Contract per Exhibit D, Section III, Termination.

O. Materials to be Provided or made available by Caltrans

Materials (if deemed applicable, necessary, and when available by Caltrans) that may be furnished or made available by Caltrans, and such materials shall be listed in the individual Task Orders, are for the Consultant's use only, and shall be returned at the end of the Contract. These materials may include:

1. Relevant and existing documents, if any are available, that are applicable to the current project within the project limits.
2. Appropriate background or reference information for each Task Order.
3. Project special provisions, full-size and reduced-size sets of project plans, materials information handout, and construction contract and proposal, as necessary.
4. Caltrans standardized forms.
5. The Consultant shall notify Caltrans, in writing, in advance of its need to enter upon private property or facility to perform work. The Consultant's notice shall specify the date, purpose, duration, location, and the time of day of the Consultant's activities. Caltrans shall provide Permits to Enter for private property access. The Consultant shall not perform work on private property outside of the Caltrans right-of-way until Caltrans has obtained an entry permit from the property owner. The Consultant is responsible for notifying the property owner 48 hours in advance of entering the property, unless otherwise specified in the Permit. The Consultant shall notify the Caltrans Contract Manager and the Caltrans Task Order Manager, within 48 hours if permission has been denied. The Consultant personnel shall carry the Permits to Enter on their person while performing work outside the Caltrans Right-of-Way. No work shall be performed by the Consultant outside the Caltrans Right-of-Way without Permits to Enter. The Consultant shall comply with all conditions imposed by the Caltrans Contract Manager and requirements set forth in the Permit to Enter. The Consultant shall be responsible for any damages that consultant did to owner property at Consultant's own expense.

The Consultant shall be responsible for obtaining all necessary approvals and permits for Task Order work performed on any property that Caltrans does not own or control, with the exception of private property. The Consultant shall identify all necessary approvals and permits, prepare signature-ready permit applications, and track the status of permit applications, as specified in each Task Order.

6. Appropriate site topographic maps, as-built drawings, blank Caltrans plan sheet overlays, electronic seed files, cell libraries, lane closure request forms, right-of-way alignments and survey limits, preliminary utility location maps, areas where focused studies are needed, Construction Contract Documents, and Shop Drawings, as available, for each Task Order.
7. Electronic templates of Task Order formats.
8. For Contract work on Caltrans' Right-of-Way, an executed contract constitutes the consultant's "Encroachment Permit." The consultant (prime as well as any subconsultants) shall carry a copy of the fully executed contract along with the pertinent Task Order(s) at all times while conducting work for Caltrans within Caltrans' Right-of-Way.
9. All pertinent correspondence and investigations.
10. The Caltrans Contract Manager may designate a Caltrans Task Order Manager to manage each specific Task Order.
11. The Caltrans Contract Manager, Caltrans' Task Order Manager or Caltrans designee shall review all Cultural Resource Support Services deliverables for compliance, substance, and quality.
12. Project Map depicting the Area of Potential Effects (APE) or Study Area.
13. Data and information from other relevant on-going and previous studies conducted and prepared by Caltrans.
14. Caltrans Cultural Resources Database (CCRD) Access template for documenting cultural resources within CCRD and creating DPR 523 site records.
15. Coordination with various public agencies and jurisdictions to obtain any necessary permits (except federal permits required for archaeological investigations on federal land).
16. Caltrans may coordinate with the Native American Heritage Commission (NAHC) to determine the Native American contacts and Most Likely Descendent, as appropriate.
17. Reproducible project map(s), aerial photographs, and/or Digital highway inventory photography program (DHIPP) aerial photos, if available.

Note: The Consultant is responsible for the return to Caltrans, in original condition, of all items provided for use under this Contract. The Consultant shall replace, at said Consultant's own expense, all lost or damaged Caltrans data or materials.

P. Materials to be Provided by the Consultant

Unless otherwise specified in this Contract, the Consultant shall provide all materials to complete the required work in accordance with the delivery schedule and cost estimate outlined in each Task Order.

When performing work within Railroad Company property, the Consultant is required to obtain sufficient and/or adequate insurance coverage that shall comply with the Railroad Company's requirements when performing work within their jurisdiction. The amount of insurance and types of coverage required by the Railroad Company may be above and beyond that required by Caltrans. The Consultant may be required to provide additional Railroad liability insurance including, but not limited to:

1. Commercial General Liability Insurance.
2. Business Automobile Coverage Insurance.
3. Worker Compensation and Employers Liability Insurance.
4. Railroad Protective Liability Insurance.
5. Umbrella or Excess Insurance.
6. Pollution Liability Insurance.

Q. Product Approval and Payment

1. The Consultant shall only perform work that is authorized and described in a written Task Order ("TO") that is signed by both Caltrans and the Consultant.
2. All deliverables, backup documents, other documents, and other items produced by the Consultant in the performance of this Contract, shall be subject to the approval and acceptance by the Caltrans Contract Manager and/or the Caltrans Task Order Manager, prior to invoicing and payment for these items.
3. In the event of non-acceptance due to errors, omissions or non-compliance with the current Caltrans Manuals and their current revisions, the Consultant shall make corrections to the satisfaction of the Caltrans Contract Manager at no cost to Caltrans. Caltrans shall withhold payment until the work is satisfactorily completed and approved by the Caltrans Contract Manager.

Caltrans shall not pay the Consultant for the Consultant's work that does not conform to the requirements specified in this Contract and the applicable Task Order and shall be corrected at the Consultant's expense at no additional cost to Caltrans.

R. General Deliverables

All deliverables, intermediate work products, and original documents including, but not limited to, original field notes, photographs, reports, documents, plans, data, data files, edits to field data, adjustment calculations, final results, drawings, specifications, estimates, studies, record search, records, books, maps, manuscripts, manuals, electronic software developed, databases, background information, spreadsheets, procedural scripts, marcos developed, and intellectual properties, developed pursuant to this Contract, shall become the property of Caltrans and shall be sent to Caltrans after completion of the Task Order and acceptance/approval of the work by the Caltrans Contract Manager or when requested by the Caltrans Contract Manager. The Consultant shall retain a copy of all documents furnished to Caltrans.

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

1. Data Format for Unprotected Electronic File Transfers.

The Consultant shall deliver unprotected and modifiable electronic files as specified in each Task Order.

2. The Consultant shall work in close liaison with the Caltrans Contract Manager and/or the Caltrans Task Order Manager. Time is of the essence. Caltrans shall exercise review and approval functions through the Caltrans Contract Manager and/or the Caltrans Task Order Manager, at key points, as specified in each Task Order. Milestone reviews shall be performed with the Caltrans Contract Manager and/or the Caltrans Task Order Manager, for the specific performance, products, and deliverables listed in each Task Order.

3. Consultant has total responsibility for and shall verify the accuracy and completeness of the deliverables, backup documents, other documents, and other items required by this Contract prepared by the Consultant or its Subconsultants for the projects as specified in this Contract and in each Task Order. All deliverables, backup documents, other documents, and other items required by this Contract shall be reviewed by Caltrans for conformity with project standards and the requirements in the Task Order and this Contract. The deliverables, backup documents, other documents, and other items required by this Contract are subject to Caltrans' review, approval, and acceptance. Reviews by Caltrans do NOT include detailed review or checking of major components, quantitative calculations, related details or accuracy of information. The responsibility for accuracy and completeness of such items remains solely that of the Consultant.

4. Quality Control Plan:

Prior to the work, the Consultant shall prepare the quality control plan and the minimum standard of work quality and obtain approval from the Caltrans Contract Manager, in effect for each and every Task Order during the entire time the work is being performed under the Contract. The Consultant shall complete the quality control plan and certify

at the completion of work that all measures contained therein were satisfied. Caltrans shall perform quality assurance on the quality control plan to assure that quality control was satisfied.

The Consultant's quality control plan shall establish a process whereby:

- a. All deliverables are reviewed for accuracy, completeness, and readability before submittal to Caltrans.
- b. Calculations and plans are independently checked, corrected and re-checked.
- c. All job-related correspondence and memoranda are routed and received by affected persons and then filed in the appropriate Task Order file.
- d. Field activities are routinely verified for accuracy and completeness, such that any discovered deficiencies do not become systemic or affect the result of a Task Order deliverable.

The Consultant shall provide an outline of the quality control program before a specific task begins and shall identify critical quality control reviews within each Task Order. The Caltrans Contract Manager shall periodically request evidence that the quality control/quality assurance plan is functioning. All deliverables, backup documents, other documents, and other items required by this Contract submitted to the Caltrans Contract Manager and the Caltrans Task Order Manager, for review shall be marked clearly as being fully checked or unchecked, and that the preparation of the material followed the quality control plan established for the work. The Quality Control/Quality Assurance (QC/QA) plan shall contain provisions for the development of appropriate "checklists" to maintain product quality and control. These "checklists" shall be delivered to the Caltrans Contract Manager with the QC/QA plan. The Consultant shall update these documents when directed by the Caltrans Contract Manager. Within thirty (30) calendar days of the Notice to Proceed (NTP), the Consultant shall submit to the Caltrans Contract Manager a job specific QC/QA plan and staffing plan.

5. The deliverables, backup documents, other documents, and other items required by this Contract shall be of a quality acceptable to the Caltrans Contract Manager and the Caltrans Task Order Manager. These items shall identify the preparer, the designated reviewers, and the criteria for acceptance. The deliverables shall satisfy the Caltrans acceptance criteria and tests. The work product shall be complete, of neat appearance, well-organized, technically and grammatically correct, independently checked for error, checked by designated reviewers (Caltrans and Consultant Personnel), shall conform to Caltrans' Standards. All deliverables shall be approved by the Caltrans Contract Manager in cooperation with the Caltrans Task Order Manager.

The minimum standard of appearance, organization, and content of deliverables, backup documents, other documents, and other items required by this Contract, shall be that of similar types produced by Caltrans and set forth in related Caltrans manuals.

6. The Consultant shall prepare a cost estimate showing task, subtask, personnel, personnel hours estimated for each task or subtask, and a schedule of deliverables.

7. All deliverables, backup documents, other documents, and other items under this Contract Agreement shall be prepared on Caltrans standardized forms. Necessary forms shall be provided by Caltrans for the Consultant's use.
8. All deliverables, backup documents, specifications and other written documents, plans, and other items under this Contract Agreement shall be submitted in both hardcopy and unprotected electronic files in the Caltrans-approved forms and in the Caltrans-approved and designated electronic formats in accordance with the guidelines in this Contract Agreement and each Task Order, and shall conform to Caltrans standards and the requirements of the Caltrans Office Engineer.
9. The Consultant shall also submit one (1) unprotected electronic copy of all deliverables, backup documents, other documents, and other items required by this Contract in a specified format (CD, DVD, and/or flash drive). The file formats shall be specified in each Task Order. Appropriate documentation shall accompany each digital device indicating the contents of each file.
10. When the Consultant is required to prepare and submit deliverables, backup documents, other documents, and other items required by this Contract and any approved Task Order to Caltrans, these documents shall be reviewed. They shall be submitted in draft as scheduled and the opportunity provided for Caltrans to provide comments and feedback, prior to final submittal. The specific schedule for Caltrans' review of the Consultant's submittals shall be specified in the Task Order.
11. If the Consultant fails to submit the required deliverables, backup documents, other documents, and other items required by this Contract and any approved Task Order, Caltrans shall have the right to withhold payment and/or terminate this Contract in accordance with the termination provisions of this Contract per Exhibit D, Section III, Termination. If the Contract is terminated, the Consultant shall, at Caltrans' request, return all materials recovered or developed by the Consultant under the Contract.
12. For each Task Order, a milestone submittal schedule shall be prepared by the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager. Milestones may be changed by written agreement between the Caltrans Contract Manager and the Consultant Contract Manager through an amendment to the Task Order.
13. The Consultant shall prepare and update the Caltrans WBS as set forth in this Contract for each Task Order issued by the Caltrans Contract Manager showing a deliverables schedule. It is expected that the Consultant shall complete and meet the agreed upon schedule for each Task Order. Failure to complete the work based on the agreed upon schedule in the Task Order may result in termination of the Task Order or this Contract; and Caltrans may have work completed in any way allowed by law.

14. The Consultant shall maintain a separate complete set of project files for each Task Order issued by the Caltrans Contract Manager performed under this Contract. The Consultant shall maintain two sets of these files. One set shall be maintained on site with the Consultant and the other set shall be updated by the Consultant monthly and delivered to the Caltrans Contract Manager and the Caltrans Task Order Manager. These files shall be indexed in accordance with Caltrans' Project Development Uniform File System ([http://www.dot.ca.gov/hq/oppd/pdpm/chap\\_pdf/chapt07.pdf](http://www.dot.ca.gov/hq/oppd/pdpm/chap_pdf/chapt07.pdf) ). These files shall be made available to the Caltrans Contract Manager during normal working hours and shall be transferred to Caltrans upon completion of work under the Task Order. If requested by the Caltrans Contract Manager and the Caltrans Task Order Manager, the Consultant shall provide these project files.
15. Deliverables specified in each Task Order shall be delivered to the attention and address indicated in each Task Order.

#### S. Cultural And Paleontological Resource Deliverables

1. The Consultant shall obtain written approval from Caltrans for all deliverables, backup documents, other documents, and other items required by this Contract. If there are no Caltrans standardized forms, the format and content requirements for all deliverables, backup documents, other documents, and other items required by this Contract shall be specified in each Task Order. All deliverables, backup documents, other documents, and other items required by this Contract to be used for the project includes, but not be limited to, the following:
  - a. DPR 523 Record Forms
  - b. Archaeological Survey Reports (ASR)
  - c. Historical Resources Evaluation Reports (HRER) - Archaeology
  - d. Historical Resources Evaluation Reports (HRER) - Architectural History
  - e. Proposals for Extended Phase I Studies
  - f. Extended Phase I Reports (XPI)
  - g. Phase II Test Excavation Reports (usually in form of Archaeological Evaluation Reports)
  - h. Proposals for Phase III Excavations
  - i. Phase III Excavation Reports
  - j. Extended Phase I, Phase II, and Phase III Preliminary Reports, if appropriate
  - k. Historic Property Survey Reports (HPSR)
  - l. Historical Resources Compliance Reports (HRCR)
  - m. Finding of Effects
  - n. Treatment Plan
  - o. Data Recovery Plan
  - p. ESA Action Plan
  - q. Construction Monitoring Report
  - r. Draft MOA
  - s. Public Information and Outreach Deliverables

- t. Miscellaneous Letter Reports and Memos
  - u. Paleontological Identification Report (PIR)
  - v. Paleontological Evaluation Report (PER)
  - w. Paleontological Mitigation Plan (PMP)
  - x. Paleontological Mitigation Report (PMR)
  - y. Paleontological Stewardship Summary (PSS)
2. All Cultural Resource Support Services deliverables, backup documents, other documents, and other items required by this Contract performed on computer shall be delivered to Caltrans including, but not limited to, the formats specified below:
- a. Text-based documents shall be submitted as an Adobe Portable Document Format (“pdf”) file using Adobe Acrobat Professional version 5 or later software. The pdf file shall be inclusive of all graphics (for example, but not limited to, page orientation, photographs or other images, charts, and tables) and be suitable for printing in final form. The pdf file shall:
    - i. Contain functioning bookmarks, indexes, tables of contents or other hyperlinks as required by the Task Order.
    - ii. Be configured (for example, but not limited to, bookmarks, thumbnails, annotations, signatures, and security settings) as required by the Task Order.
    - iii. Be optimized for use by Adobe Acrobat Reader 10 or newer.
  - b. Text-based documents shall also be submitted in Microsoft Word format, version 2007. The document shall include all graphics (for example, but not limited to, photographs, image graphics, charts, and tables). Photographs shall be in “jpeg” file format. Other image graphics shall be in “gif” format unless otherwise specified.
  - c. All graphics (for example, but not limited to, photographs or other drawings) shall be submitted separately from the pdf and Microsoft Word documents in archive-type file formats (for example, but not limited to, photographs and bitmapped drawings as “tif”, Microstation drawings as “dgn”, and vector drawings as “ai”) unless otherwise specified. The intent of this section is for the Consultant to provide Caltrans with a copy of each graphic in an uncompressed file format for archive purposes. The Consultant may suggest alternative formats that are compatible with this goal.
  - d. Spreadsheet files shall be submitted in Microsoft Excel format, version 2007.
  - e. Word processing files shall be submitted in Microsoft Word format, version 2007.
  - f. Database files shall be submitted in Microsoft Access format, version 2007.
  - g. The Consultant shall not format electronic files as “view only” or “read only” unless so specified in the Task Order.
  - h. Other - As specified in the Task Order.

T. Task Order

1. The Caltrans Contract Manager has the sole authority and responsibility to make amendments and revisions to the scope, schedule, cost or deliverables in a Task Order.
2. After a project to be performed under this Contract is identified by Caltrans, Caltrans shall prepare a draft Task Order, less the cost estimate. The draft Task Order shall identify (with specificity):
  - a. The purpose or goal of the Task Order, including the duties (if any) that is identified with Caltrans work breakdown system (WBS) activity codes.
  - b. The scope of services.
  - c. Expected results.
  - d. Project deliverables.
  - e. Performance criteria or performance tests for the services (which demonstrate that the project deliverables and schedule to submit deliverables satisfy the purpose or goal of the Task Order).
  - f. Period of performance, the Task Order term, dates of service or project schedule, and/or due dates.
  - g. Any milestone or tollgate deliverables (including, but not limited to, any deliverables that shall be delivered and accepted prior to subsequent work being performed).
  - h. Sufficient data to tie the Task Order to the Contract (including contract number, name of the Caltrans Contract Manager, and name of Requester).

The draft Task Order shall be delivered to the Consultant for review. The Task Order shall identify the Caltrans Project Manager.

3. The Consultant shall return the draft Task Order to the Caltrans Contract Manager within three (3) calendar days unless the time frame is extended by the Caltrans Contract Manager. The draft Task Order returned to Caltrans shall clarify deliverables, expected results, and project schedule, and it shall also contain a cost estimate including, at a minimum, the names of the individuals proposed for work on this task, the individuals' classifications, the duties the individual shall perform along with the Caltrans activity codes (WBS) for such duties, a written estimate of the number of hours per staff person under each duty or activity, any anticipated reimbursable expenses, an estimate of DBE utilization under this task, and total dollar amount shall be based on rates in Attachment 2, Cost Proposal of the Contract.
4. The cost estimate shall be in the format prescribed in the draft Task Order. The Consultant agrees that each cost estimate shall be the product of a good faith effort exercise of engineering judgment. Provided agreement is reached on the negotiable items, both Caltrans and the Consultant shall sign the finalized Task Order. If Caltrans and Consultant are unable to reach agreement, Caltrans may terminate the Contract. No payment shall be due or made for any work performed on an unsigned Task Order, and Caltrans shall not pay for any work described on the unsigned Task Order.

5. Caltrans shall provide to the Consultant electronic templates of Task Order formats and required boilerplate language.
6. All personnel to be used in the Task Order shall be among those identified in the Consultant's Cost Proposals.
7. At the Caltrans Contract Manager's direction, the Caltrans Task Order Manager shall assist the Caltrans Contract Manager in monitoring and verification of Consultant's performance and deliverables. The Caltrans Contract Manager shall have the ultimate responsibility and authority to verify Consultant's performance cost, schedule and deliverable.
8. The following shall apply to negotiated Task Orders:
  - a. The Consultant employee's headquarters and/or primary residence as defined in the Caltrans Travel Guide shall be identified in the Task Order for travel purposes or for the purpose of determining appropriate travel reimbursement.
  - b. The Caltrans Contract Manager's prior written approval is required for all domestic or international travel.

U. Conflict of Interest

1. All Cultural and Paleontological Resource Support Services provided by the Consultant and deliverables produced by the Consultant shall be free of any conflict of interest and shall be subject to the approval and acceptance of the Caltrans Contract Manager. The consultant shall inform the Caltrans Contract Manager of any 'perceived' conflict of interest as soon as discovered.
2. The Consultant shall not receive compensation for all services in which the Consultant is found to have a conflict of interest. In the event of non-acceptance due to discovery of conflict of interest, the Consultant shall provide replacement deliverables free of any conflict of interest prior to payment. In the event replacement deliverables are not possible, the Consultant shall not receive compensation for the deliverables containing conflict of interest.
3. The following is an example of a conflict of interest:

Providing cultural resource services for Caltrans on a particular parcel and representing the land owner of the same parcel regarding cultural resource issues.

V. Licenses and Permits

1. The Consultant shall be an individual or firm licensed to do business in California and shall obtain at its expense all license(s) and permit(s) required by law for accomplishing any work required in connection with this Contract.
2. If the Consultant is located within the State of California, a business license from the city/county of the Consultants headquarter is necessary however, if the Consultant is a corporation, a copy of the incorporation documents/letter from the Secretary of State's Office can be submitted.
3. In the event, any license(s) or permit(s) expire at any time during the term of this Contract, the Consultant agrees to provide Caltrans with a copy of the renewed license(s) or permit(s) within 30 days following the expiration date. 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 Contract upon occurrence of such event, per Exhibit D, Section III, Termination, of this agreement.

W. List of Abbreviated Terms

|       |   |
|-------|---|
| A&E   | Architecture and Engineering                              |
| AER   | Archaeological Evaluation Reports                         |
| APE   | Area of Potential Effects                                 |
| ASR   | Archaeological Survey Reports                             |
| CCRD  | Caltrans Cultural Resource Database                       |
| CEQA  | California Environmental Quality Act                      |
| CHRIS | California Historical Resources Information System office |
| CMR   | Construction Monitoring Report                            |
| CPM   | Critical path method                                      |
| DOE   | Determinations of Eligibility                             |
| DPR   | Department of Park Recreation                             |
| DRP   | Data Recovery Plan  |
| DTM   | Division of Traffic Management                            |
| FOE   | Findings of Effect  |
| FHWA  | Federal Highway Administration                            |
| HABS  | Historic American Buildings Survey                        |
| HAER  | Historic American Engineering Record                      |
| HRCR  | Historical Resources Compliance Reports                   |
| HRER  | Historic Resource Evaluation Reports                      |
| HPSR  | Historic Property Survey Reports                          |
| MOU   | Memorandum of Understanding                               |
| NAHC  | Native American Heritage Commission                       |
| NEPA  | National Environmental Policy Act                         |

|      |  |
|------|--|
| NHPA | Section 106 of the National Historic Preservation Act  |
| OSHA | Occupational Safety and Health Administration  |
| PA   | Programmatic Agreement Among the Federal Highway Administration, the Advisory Council on Historic Preservation, the California State Historic Preservation Officer, and the California Department of Transportation Regarding Compliance with Section 106 of the National Historic Preservation Act, as it Pertains to the Administration of the Federal-Aid Highway Program in California |
| PDT  | Project Development Team   |
| PER  | Paleontological Evaluation Report  |
| PIR  | Paleontological Identification Report  |
| PMP  | Paleontological Mitigation Plan  |
| PMR  | Paleontological Mitigation Report  |
| PSS  | Paleontological Stewardship Summary  |
| SER  | Standard Environmental Reference   |
| SHPO | State Historic Preservation Officer  |
| TP   | Plan Treatment Plan  |
| TR   | Historic Property Treatment Plans  |
| UTM  | Universal Transverse Mercator  |
| WBS  | Work Breakdown Structure   |
| XPI  | Extended Phase I   |

**Applied Earthworks, Inc.**  
**Agreement No. 08A2417**  
**ATTACHMENT A**  
**Page 1 of 1**

| EA    | Project ID  | Project Description   | Description of Location  |
|-------|-------------|---|--|
| 04351 | 0800000010  | REALIGN & WIDEN SR-58 TO 4 LANE EXPWY::Hinkley                            | IN HINKLEY, FR 2.4 MI W/O HIDDEN RIVER RD TO 0.7 MI E/O LENWOOD RD                                     |
| 34042 | 8130000063  | 395 Realignment   | FR 1.8 MI S/O DESERT FLOWER TO 0.5 MI S/O FARMINGTON RD  |
| 34770 | 08000000616 | CONSTRUCT 4-LANE EXPWY::Sbd 395 KRAMER - CMGC                             | FROM KERN CO LINE TO 7.5 MI E/O JCT 395 (KRAMER)   |
| 0M200 | 08000000467 | BOTH DIRECTIONS OF SR-371::RIV 371 Kirby Rd Shoulder                      | ON ROUTE 371 IN RIVERSIDE COUNTY FROM 0.1 MI E/O CARY ROAD TO 0.1 MI E/O KIRBY ROAD                    |
| 0N680 | 0800020093  | SHOULDER::WIDEN RAMP ROUTE 71/CHINO                                       | ON SR 71 ON THE SB GRAND AVE EXIT RAMP IN THE CITY OF CHINO HILLS                                      |
| 0N69U | 0812000307  | AND TRUCK DESCENDING LANE (WB) WITH STANDARD SHOULDERS::SR 60 Truck Lanes | IN RIVERSIDE COUNTY NEAR BEAUMONT ON RTE 60 FROM GILMAN SPRINGS RD TO 1.47 MILES W/O JACK RABBIT TRAIL |
| 0N970 | 08000000550 | WIDEN EXISTING SHOULDER TO 8', CONSTRUCT CENTERLINE RUMBLE                | NR ADELANTO FR 0.9 MI S/O KRAMER HILLS TO SR-58  |
| 0P390 | 0800001025  | CONSTRUCT CENTERLINE AND SHOULDER RUMBLE STRIPS::Route 18 WIDEN           | IN/NEAR ADELANTO FROM RTE 18/RTE 395 TO 0.9 MI W/O OASIS RD  |
| 0Q790 | 0800020481  | BRIDGE REPLACEMENT (BR #54 0889L&R)::Hoff Bridge Replacement              | NEAR ESSEX AT HOFF WASH (BR #54 0899 LT/RT) APPROX. 39 MI W/O JCT RTE 95                               |
| 0R120 | 0812000026  | REGRADE MEDIAN CROSS SLOPE::I-40 Regrade median, Segment 1                | NEAR BARSTOW FROM JCT 15/40 TO 1.4 MI E/O FORT CADY ROAD   |
| 0R160 | 0812000029  | REGRADE MEDIAN CROSS SLOPE::I-40 Regrade median, Segment 3                | NEAR LUDLOW FROM CRUCERO ROAD TO BADGER WASH   |