

## PROFESSIONAL SERVICES CONTRACT

THIS CONTRACT is entered into this \_\_\_ day of \_\_\_\_\_ 2018, between the CITY OF STOCKTON, a municipal corporation (“City”), and **ADKO ENGINEERING, INC.** whose address is **2267 LAVA RIDGE COURT, SUITE 100, ROSEVILLE, CA 95661** (“Consultant”) for the **BRIDGE REHABILITATION AND REPLACEMENT PROGRAM 2017/18 (PROJECT NO. PW1704/FEDERAL PROJECT NO. BPMPL-5008(177))**, hereinafter referred to as “Project”.

### RECITALS

- A. Consultant represents that it is licensed in the State of California and is qualified, willing and able to provide the services proposed in the SCOPE OF WORK section of this Contract.
- B. City finds it necessary and advisable to use the services of the Consultant for the purposes provided in this Contract.

**NOW THEREFORE**, in consideration of the mutual promises, covenants and conditions in this Contract, City and Consultant agree as follows:

**1. SCOPE OF SERVICES.** Subject to the terms and conditions set forth in this Contract, Consultant shall undertake and complete the services described in **Exhibit A**. Consultant shall provide said services at the time, place, and in the manner specified in Exhibit A and compatible with the standards of the profession. Consultant agrees that it shall produce a fully complete project that is acceptable to the City.

**2. COMPENSATION.** City shall pay Consultant for services outlined in **Exhibit A** according to the fee not to exceed the schedule detailed in **Exhibit B**, which is attached to this Contract and incorporated by this reference. Consultant agrees this fee is for full remuneration for performing all services and furnishing all staffing and materials called for in the scope of services. The payments shall be made on a monthly basis upon receipt and approval of Consultant’s invoice. Total compensation for services and reimbursement for costs shall not exceed **\$202,973.33** or as otherwise mutually agreed to in a Contract Change Order.

**3. INSURANCE.** During the term of this Contract, Consultant shall maintain in full force and effect at its own cost and expense the insurance coverage as set forth in the attached Exhibit D and shall otherwise comply with the other provisions of Exhibit D.

//  
//

Professional Services Contract – ADKO ENGINEERING, INC. – PROJECT NO. PW 1704 / FEDERAL PROJECT NO. BPMPL-5008(177)

(Updated 03/28/18)

**4. INDEMNITY AND HOLD HARMLESS.** With the exception that this section shall in no event be construed to require indemnification by Consultant to a greater extent than permitted under the public policy of the State of California, Consultant shall indemnify, and hold harmless City, its Mayor, Council, officials, and employees from and against any and all claims and causes of action which result in liabilities, judgments, awards, losses, damages, expenses, and costs (including reasonable attorneys' fees, expert and consultant fees, and other expenses of litigation) including, but not limited to, death or injury to persons, or damage to property, which arise out of any violation of federal, state, or municipal law or ordinance, to the extent damages are caused by the Consultant's negligent services provided under this Agreement, or are in any way caused by the negligent performance of work by the Consultant or Consultant's officers, agents, employees, or subcontractor. Consultant shall not be obligated to indemnify or defend City for claims finally determined by a court of law or arbitrator to arise from the negligence or willful misconduct of the City. It is the intent of the Parties that this indemnity obligation is at least as broad as is permitted under California law. To the extent California Civil Code sections 2782, et seq., limit the defense or indemnity obligations of Consultant to City, the intent hereunder is to provide the maximum defense and indemnity obligations allowed by Consultant under the law. The indemnity set forth in this section shall not be limited by insurance requirements or by any other provision of this Agreement.

With the exception that this section shall in no event be construed to require indemnification by Consultant to a greater extent than permitted under the public policy of the State of California, and in addition to the other indemnity obligations in this Agreement, Consultant shall indemnify, defend, and hold harmless City, its Mayor, Council, officials, representatives, and employees from and against claims, losses, expenses, and costs including, but not limited to, reasonable attorneys' fees, arising out of any claim brought against the City by an employee of Consultant, regardless of whether such claim may be covered by any applicable workers compensation insurance. Consultant's indemnification obligation is not limited in any way by any limitation on the amount or type of damages, compensation, or benefits payable by or for the Consultant under workers' compensation acts, disability acts, or other employee benefit acts.

**5. SCHEDULE AND TERM.** Consultant shall perform the scope of work as described in Exhibit A according to the schedule detailed in **Exhibit C**, which is attached to this Contract and incorporated by this reference. This contract shall commence on the date written above and shall expire on **December 31, 2023**, unless extended by mutual agreement through the issuance of a Contract Change Order.

- a. Invoices submitted by Consultant to City must contain a brief description of work performed, time used and City project number. Payment shall be made within thirty (30) days of approval of invoice by City.
- b. Upon completion of work and acceptance by City, Consultant shall have sixty (60) days in which to submit final invoicing for payment. An extension

may be granted by City upon receiving a written request thirty (30) days in advance of said time limitation. City shall have no obligation or liability to pay any invoice for work performed which Consultant fails or neglects to submit within sixty (60) days, or any extension thereof granted by the City, after work is accepted by City.

**6. CONFORMANCE TO APPLICABLE LAWS.** Consultant shall comply with all applicable Federal, State, and Municipal laws, rules, and ordinances. Consultant shall not discriminate in the employment of persons or in the provision of services under this Contract on the basis of any legally protected classification, including race, color, national origin, ancestry, sex or religion of such person.

a. TITLE VI

Title VI of the Civil Rights Act of 1964 requires that “no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.” (42 USC Section 2000d).  
<http://www.dol.gov/oasam/regs/statutes/titlevi.htm>.

The City of Stockton requires compliance with the requirements of Title VI in all of its programs and activities regardless of funding source.

b. DISCRIMINATION AND HARASSMENT POLICY

The City of Stockton has a Discrimination and Harassment Policy (Exhibit E). The purpose of this policy is to reaffirm the City’s commitment to demonstrating respect for all individuals by strictly prohibiting discrimination and harassment, including sexual harassment in the workplace, to define the types of behavior and conduct prohibited by this policy, and to set forth a procedure for reporting, investigating, and resolving complaints of discrimination and harassment in the workplace.

c. LABOR STANDARDS PROVISIONS/CALIFORNIA LABOR CODE

The bidder shall understand that conditions set forth in Chapter 1, Part 7, Division 2 of the California Labor Code shall be considered part of the contract agreement.

[https://leginfo.legislature.ca.gov/faces/codes\\_displayText.xhtml?lawCode=LAB&division=2.&title=&part=7.&chapter=1.&article=2](https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=LAB&division=2.&title=&part=7.&chapter=1.&article=2).

//  
 //  
 //

d. PREVAILING WAGE RATES

Consultant and any subcontractor shall pay each employee engaged in the trade or occupation not less than the prevailing hourly wage rate. In accordance with the provisions of Section 1770 of the Labor Code, the Director of Department of Industrial Relations of the State of California has determined the general prevailing rates of wages and employer payments for health and welfare, pension, vacation, travel time, and subsistence pay as provided for in Section 1773.1, apprenticeship or other training programs authorized by Section 3093 and similar purposes applicable to the work to be done. Consultant performing the work under this contract shall obtain a copy of the wage rate determination and shall distribute copies to each subcontractor. As the wage determination for each craft reflects an expiration date, it shall be the prime Consultant and each subcontractor's responsibility to insure that the prevailing wage rates of concern is current and paid to the employee.

- i. The Consultant performing the work shall be responsible for obtaining a copy of the State wage rate determination. State wage rates may be obtained at <http://www.dir.ca.gov/OPRL/pwd/Determinations/Northern/Northern.pdf>. The Consultant shall be responsible for posting said wage rates at a prominent location at the work site and shall maintain same in a good readable condition for the duration of the work.
- ii. Should the Consultant choose to work on a Saturday, Sunday or on a holiday recognized by the Labor Unions, the Consultant shall reimburse the City the actual cost of engineering, inspection, superintendence, and or other overhead expenses which are directly chargeable to the contract. Should such work be undertaken at the request of the City, reimbursement will not be required. To conform strictly with the provisions of Division 2, Part 7, Chapter 1, Article 2, of the Labor Code of the State of California. To forfeit as a penalty to City the sum of TWENTY FIVE AND NO/100 DOLLARS (\$25.00) for each laborer, worker, or mechanic employed by Consultant, or by any subcontractor under Consultant, in the execution of this contract, for each calendar day during which any laborer, worker, or mechanic is required or permitted to work more than eight (8) hours and who is not paid the general prevailing rate of per diem wages for holiday and overtime work in violation of the provisions of Sections 1770 to 1781 of the Labor Code of the State of California. That all sums forfeited under the provisions of the foregoing sections shall be deducted from the payments to be made under the terms of this contract.

//

- iii. **PAYROLL RECORDS** The Consultant to whom the contract is awarded shall insure that the prime and each subcontractor will, in accordance with Section 1776 of the Labor Code, maintain certified payroll records. A copy of said records shall be provided with each invoice to the Public Works Department, Attention: Contract Compliance Officer. It shall be the Consultant's responsibility to obtain copies of the current prevailing wage rate determination for all subcontractors. Additionally, certified payroll records must be uploaded to the DIR website as required by labor code.
- iv. **APPRENTICESHIP STANDARDS** The Consultant shall comply with the provisions established in Section 1777.5 of the Labor Code concerning the 1) certified approval by local joint apprenticeship committees for the employment and training of apprentices, and 2) contribution of funds to administer and conduct apprenticeship programs, if applicable to the job.

**7. RIGHTS AND DUTIES OF CITY.** City shall make available to Consultant all data and information in the possession of City which both parties deem necessary to complete the work, and City shall actively aid and assist Consultant in obtaining such information as may be deemed necessary from other agencies and individuals.

**8. OBLIGATIONS OF CONSULTANT.** Throughout the term of this Contract, Consultant represents and warrants that it has or will have at the time this Contract is executed, all licenses, permits, qualifications, insurance, and approvals of whatsoever nature which are legally required for the Consultant to practice its professions, and Consultant shall, at its own cost and expense, keep in effect during the life of this Contract all such licenses, permits, qualifications, insurance, and approvals. Consultant shall meet with the Public Works Director or other personnel of City or third parties as necessary on all matters connected with the carrying out of Consultant's services. Such meetings shall be held at the request of either party hereto. Consultant further warrants that it will follow the best current, generally accepted and professional practices to make findings, render opinions, prepare factual presentations, and provide professional advice and recommendations regarding this project.

**9. OWNERSHIP OF WORK.** All reports, drawings, designs, plan review comments, work product, and all other documents completed or partially completed by Consultant in the performance of this Contract shall become and remain the property of the City. Any and all copyrightable subject matter in all materials is hereby assigned to the City and the Consultant agrees to execute any additional documents that may be necessary to evidence such assignment. All materials shall be delivered to the City upon completion or termination of the work under this Contract. If any materials are lost, damaged, or destroyed before final delivery to the City, the Consultant shall replace them at its own expense. Consultant shall keep materials confidential. Materials shall not be used for purposes other than performance of services under this Contract and shall not

Professional Services Contract – ADKO ENGINEERING, INC. – PROJECT NO. PW 1704 / FEDERAL PROJECT NO. BPMP-5008(177)

(Updated 03/28/18)

be disclosed to anyone not connected with these services unless the City expressly provides prior written consent.

**10. CHANGE ORDERS.** City reserves the right to make such alterations as may be deemed necessary or advisable and to require such extra work as may be required for the proper completion of the work contemplated by Consultant. Any such changes will be set forth in a Contract Change Order which will specify, in addition to the work done in connection with the change made, adjustment of contract time, if any, and the basis of compensation for such work. A contract change order will not become effective until approved by the authorized City official.

**11. TERMINATION.** The City may terminate this Contract at any time by mailing a notice in writing to Consultant. The Contract shall then be deemed terminated and no further work shall be performed by Consultant. If the Contract is so terminated, the Consultant shall be paid for that percentage of work actually completed at the time the notice of termination is received.

**12. CONSULTANT STATUS.** In performing the obligations set forth in this Contract, Consultant shall have the status of an independent contractor and Consultant shall not be considered to be an employee of the City for any purpose. All persons working for or under the direction of Consultant are its agents and employees, and are not agents of the City. Subcontractors shall not be recognized as having any direct or contractual relationship with the City. The persons engaged in the work, including employees of subcontractors and suppliers, will be considered employees of Consultant. The Consultant shall be responsible for the work of subcontractors, which shall be subject to the provisions of this Contract. The Consultant is responsible to the City for the acts and omissions of its subcontractors and persons directly or indirectly employed by them.

- a. If in the performance of this Contract any third persons are employed by Consultant, such persons shall be entirely and exclusively under the direction, supervision, and control of Consultant. All terms of employment including hours, wages, working conditions, discipline, hiring, and discharging or any other term of employment or requirement of law shall be determined by Consultant.
  - i. It is further understood and agreed that Consultant must issue W-2 forms or other forms as required by law for income and employment tax purposes for all of Consultant's personnel.
  - ii. As an independent contractor, Consultant hereby indemnifies and holds City harmless from any and all claims that may be made against the City based upon any contention by any third party that employer-employee relationship exists by reason of this Contract.

//

**13. ASSIGNMENT.** Consultant shall not assign, sublet, or transfer this Contract or any interest or obligation in the Contract without the prior written consent of the City, and then only upon such terms and conditions as City may set forth in writing. Consultant shall be solely responsible for reimbursing subcontractors.

**14. HEADINGS NOT CONTROLLING.** Headings used in the Contract are for reference purposes only and shall not be considered in construing this Contract.

**15. NOTICES.** Any and all notices herein required shall be in writing and shall be sent by certified or registered mail, postage prepaid, addressed as follows:

To Consultant: ADKO Engineering, Inc.  
2267 Lava Ridge Court  
Suite 100  
Roseville, CA 95661

To City: Public Works Director  
City of Stockton  
22 E. Weber Ave., Rm. 301  
Stockton, CA 95202

**16. LICENSES, CERTIFICATIONS, AND PERMITS.** Prior to the City's execution of this Contract and prior to the Consultant's engaging in any operation or activity set forth in this Contract, Consultant shall obtain a City of Stockton business license, which must be kept in effect during the term of this Contract. Consultant covenants that it has obtained all certificates, licenses, permits and the like required to perform the services under this Contract.

**17. RECORDS AND AUDITS.** City reserves the right to periodically audit all charges made by Consultant to City for services under this Contract. Upon request, Consultant agrees to furnish City, or a designated representative, with necessary information and assistance.

Consultant agrees that City or its delegate shall have the right to review, obtain, and copy all records pertaining to performance of the Contract. Consultant agrees to provide City or its delegate with any relevant information requested, and shall permit City or its delegate access to its premises, upon reasonable notice, during normal business hours for the purpose of interviewing employees and inspecting and copying such books, records, accounts, and other material that may be relevant to a matter under investigation for the purposes of determining compliance with this Contract. Consultant agrees to maintain such records for a period of three years from the date that final payment is made.

**18. CONFIDENTIALITY.** Consultant shall exercise reasonable precautions to prevent the unauthorized disclosure and use of City reports, information or conclusions.

**19. CONFLICTS OF INTEREST.** Consultant covenants that other than this Contract, Consultant has no financial interest with any official, employee, or other representative of the City. Consultant and its principals do not have any financial interest in real property, sources of income or investment that would be affected in any manner

Professional Services Contract – ADKO ENGINEERING, INC. – PROJECT NO. PW 1704 / FEDERAL  
PROJECT NO. BPMP-5008(177)

or degree by the performance of Consultant's services under this Contract. If such an interest arises, Consultant will immediately notify City.

**20. WAIVER.** In the event either City or Consultant at any time waive any breach of this Contract by the other, such waiver shall not constitute a waiver of any other or succeeding breach of this Contract, whether of the same or of any other covenant, condition, or obligation.

**21. GOVERNING LAW.** California law shall govern any legal action pursuant to this Contract with venue for all claims in the Superior Court of the County of San Joaquin, Stockton Branch or, where applicable, in the federal District Court of California, Eastern District, Sacramento Division.

**22. NO PERSONAL LIABILITY.** No official or employee of City shall be personally liable to Consultant in the event of any default or breach by City or for any amount due Consultant.

**23. INTEGRATION AND MODIFICATION.** The response by Consultant to the Request for Proposals and the Request for Proposals on file with the City Clerk are hereby incorporated herein by reference to the extent that such documents do not differ from the provisions and terms of this Contract that shall supersede such response to Request for Proposals. This Contract represents the entire integrated agreement between Consultant and City, supersedes all prior negotiations, representations, or agreements, either written or oral, between the parties, and may be amended only by written instrument signed by Consultant and City. All exhibits and this contract are intended to be construed as a single document. Should any inconsistency occur between the specific terms of this Contract and the attached exhibits, the terms of this Contract will prevail.

**24. FEDERAL PROVISIONS.** Consultant shall comply with the Federal Aid Consultant Contract Provisions which are attached hereto as Exhibit "F" and incorporated herein by this reference.

**25. SEVERABILITY.** The provisions of this Contract are severable to the extent that should any of its provisions or terms be declared void in whole or in part by operation of law or agreement of the parties, the remainder of the provisions or terms not expressly declared void shall remain enforceable and in full effect.

**26. THIRD PARTY RIGHTS.** Nothing in this Contract shall be construed to give any rights or benefits to anyone other than City and Consultant.

//  
//  
//  
//  
//

Professional Services Contract – ADKO ENGINEERING, INC. – PROJECT NO. PW 1704 / FEDERAL PROJECT NO. BPMP-5008(177)



27. **AUTHORITY.** The undersigned hereby represent and warrant that they are authorized by the parties to execute this Contract.

IN WITNESS WHEREOF: the parties have executed this Contract the day and year first hereinabove written.

**CITY OF STOCKTON**

**ADKO ENGINEERING, INC.**

By: \_\_\_\_\_  
KURT O. WILSON  
CITY MANAGER

By:  \_\_\_\_\_  
Signature

ATTEST:

MAJDI KANAAN  
Print Name

By: \_\_\_\_\_  
CHRISTIAN CLEGG  
DEPUTY CITY MANAGER/  
INTERIM CITY CLERK

Title: PRESIDENT

APPROVED AS TO FORM:

By: \_\_\_\_\_  
DEPUTY CITY ATTORNEY

## 6.6 DETAILED WORK PLAN

ADKO Engineering, Inc. (ADKO) will provide the following scope of work to provide plans, specifications, and estimates (PS&E) and environmental clearance for the rehabilitation of the six bridges in the City of Stockton (City).

### TASK 1. PROJECT MANAGEMENT AND MEETINGS

#### **Task 1.1 - Kick Off Meeting**

A kick-off meeting will be held at City offices after the Notice to Proceed to introduce the Project Team, establish communication channels, set the project schedules, clarify the Scope of Work, and define the roles and responsibilities of the various Team members. ADKO will distribute an approved meeting agenda, arrange attendance of key team members, distribute meeting minutes, prepare monthly progress reports, discuss recommendations to address issues, gather information and meet with City officials and other agencies.

#### **Task 1.2 - PDT Meeting**

ADKO will be responsible for assembling a Project Development team (PDT) for the project. ADKO will lead PDT meetings, which will include distributing approved meeting agendas, arranging attendance of key team members, and distributing meeting minutes along with a summary of action items. ADKO will also develop and update a critical path schedule for the project. A total of 8 PDT meetings are included in addition to the kick-off meeting. These will be broken out to include 4 in person meetings and 4 Phone Conference Meetings. ADKO will also develop a PS&E delivery schedule to distribute to the Team, which will be updated regularly as required

#### **Task 1.3 - Internal Coordination Meetings**

ADKO's Project Manager and the Civil and Environmental Managers will perform ongoing general project coordination with the agencies and stakeholders, including maintaining project files, holding focused coordination meetings, and preparing memo's, letters, e-mail, and phone calls necessary to deliver the Environmental and Roadway components of the project.

#### **Task 1.4 - Monthly Progress Report**

ADKO Project Manager will provide a monthly progress report with an approximate percent complete.

#### **Task 1.5 - Site Visit**

Two (2) site visits.

#### **TASK 1 DELIVERABLES:**

1. Kick-off Meeting.
2. Project Schedule - MS Project.
3. In person PDT Meetings (Agenda & Meeting Minutes) - Total 6.
4. Phone Conference PDT Meetings (Agenda & Meeting Minutes) - Total 12.
5. Monthly Progress reports - Total 24.

### TASK 2. PERFORM SURVEYS AND PREPARE BASE PLANS

#### **Task 2.1 - Research Existing Maps**

CTA will research existing maps and other records within the proximity of the site and establish project site control based upon City of Stockton Horizontal Control Surveys and City of Stockton Benchmark Book.

#### **Task 2.2 - Field Search for Existing Street Centerline Monumentation**

CTA will conduct field search for existing street centerline monumentation or adjacent property corners used to control the existing street right of way limits. Field surveys to locate such other controlling or conflicting evidence as may be discovered, such as fence lines, structures, walls.

#### **Task 2.3 - Field Surveys and Mapping**

CTA will conduct field surveys to gather spot elevations sufficient for a design level topographic survey. The survey limits shall include full street cross sections from the intersection. Topographic survey will also include visible surface utility features such as manholes, valve boxes, utility pedestals, etc., existing trees within 5' of the back of sidewalk, driveways and curb cuts, striping, fences, light poles, utility poles and overhead lines.

#### **Task 2.4 - Office Analysis of Field Data**

Office analysis of the field data to reconcile the record data with evidence found in the field. Office calculations for existing street centerlines, right of way, and adjacent parcels. Digital terrain modeling of the field data and processing to develop 1' contours.

#### **Task 2.5 - Preparation of Site Map**

Preparation of site base map at a scale of 1"= 20' to include the topographic survey, contours, spot elevations, manhole rim and invert elevations, street centerline, right of way, and easements of record discovered on recorded maps or other provided documentation.

**TASK 2 DELIVERABLES:**

1. *Copies of all research documents and data.*
2. *All mapping and survey data in AutoCAD Civil 3D compatible format.*
3. *Utility Research and Mapping.*

**TASK 3. INITIAL ASSESSMENT****Task 3.1 - Meetings**

WRECO will attend the Project kickoff meeting and participate in two (2) conference calls with the City and Project Team (Project Team) staff to discuss findings and recommendations. On a monthly basis, WRECO will provide the Project Team with invoices and progress reports for the Project.

**TASK 3.1 DELIVERABLES:**

1. *Monthly Invoices and Progress Reports*

**Task 3.2 - Data Review**

WRECO will review available data, including previous studies, provided by the City and the Project Team

**Task 3.3 - Field Reconnaissance**

WRECO will conduct a field reconnaissance to assess the existing conditions in the vicinity of the Project sites. WRECO will identify any new or changing conditions relative to the investigation performed in the previous phase of the Project.

**Task 3.4 - Initial Site Assessment (Phase I)**

WRECO will prepare an Initial Site Assessment (ISA) for each of the project sites. The scope of work for these ISAs will be in general conformance with the Caltrans ISA Guidance Document and associated templates, which are based on the United States Environmental Protection Agency's (EPA's) Standards and Practice for All Appropriate Inquiry (40 Code of Federal Regulations, Part 312), and with the American Society for Testing and Materials (ASTM) Standard Practice for Environmental Site Assessments (Designation E1 527-13).

The purpose of the ISA is to document, to the extent feasible, Recognized Environmental Conditions (RECs), which are defined by the ASTM Standard Practice E1 527-13 as "the presence or likely presence of any hazardous substances or petroleum products on a property under conditions that indicate an existing release, a past release, or a material threat of a release of any hazardous substances or petroleum products into structures on the property or into the ground, groundwater, or surface water of the property."

Potential RECs will be documented during this assessment and will be evaluated as to whether they would be considered evidence of a REC or a de minimis environmental condition, which is defined by the ASTM Standard Practice E1 527-13 as a condition that generally does not "present a threat to human health or the environment and that generally would not be the subject of an enforcement action if brought to the attention of appropriate governmental agencies."

Taking into account observations made during our site visit, historic land uses along the Project alignments, and the extent of proposed improvements, WRECO identified the following list of RECs which could be present within the Project alignments:

- Polychlorinated biphenyls (PCBs) in transformer oil on the power poles.
- Lead in yellow roadway thermostripping and painted metal.
- Asbestos containing materials within the bridge structures.

**Database Review and Site Visit**

As part of the study, the following documents (based upon availability) will be reviewed for the purpose of determining the potential for RECs within the Project limits that may impact the proposed improvements:

- Available historic aerial photographs
- Available Sanborn insurance maps
- Land use and zoning maps
- Available title reports

WRECO will review and use these available documents to determine the potential for the presence of RECs by previous land use and any historic operations that have had a high probability of RECs. This research will also be used to help support the lack of presence of RECs as well.

WRECO will perform a site visit at each of the Project sites to visually observe any indications of RECs within the Project limits. Items to look for will be stained ground (both paved and unpaved); unlabeled drummed materials; wastes and garbage piles in direct contact with the ground; transformers; painted metal; treated lumber such as utility poles and monitoring wells; and other indications of potential RECs. The visual observations will be compared to the historic data and the Environmental Data Resources (EDR) database findings for multiple confirmation data points to make a determination of the potential presence of RECs. These field observations will be documented in the ISA for reference and to help determine if any future study/investigations are required.

## EDR Report Analysis & Reduction

WRECO will also order an EDR database search for each Project, which is a database search of all regulated underground storage tanks (USTs), active and closed case files of cleanup operations, and regulated sites. The EDR search map meets and exceeds the search requirements laid out in the ASTM E1527-13 and EPA's All Appropriate Inquiry Rule. The results of the search will be summarized and presented to better determine the potential for RECs at the Project sites.

### Initial Site Assessment Reports

WRECO will prepare an ISA Technical Memo for each bridge location, in conformance with Caltrans and ASTM standards, taking into account the type of work to be performed under this task, which will include the following activities:

- Obtain and review all readily available data, including previous studies, Caltrans Bridge Inspection Reports, Resource Conservation and Recovery Act (RCRA) facility inspections and plans, site investigation reports, and Federal and State record reviews within 1 mile of the Project site provided by the Project Team, City, and other sources. This work is to document that no previously identified hazardous wastes were recorded as present at the bridge site.
- WRECO will conduct a field reconnaissance to assess the existing conditions at the bridge site to observe any hazardous wastes that may be visible at the surface.

WRECO will prepare an ISA Technical Memo following the latest Caltrans guidelines and summarize the results of our findings and further studies. WRECO will incorporate the comments received from the City on the draft technical memo and prepare the final technical memo. The memo will comply with Caltrans and CEQA/NEPA requirements.

#### TASK 3.4 DELIVERABLES:

1. *Draft Initial Site Assessment Technical Memos (PDF)*
2. *Final Initial Site Assessment Technical Memos (PDF and 3 hard copies for each site).*

## OPTIONAL TASKS

### Task 3.5 - Phase II Preliminary Site Investigation

#### Structural Elements Field Sampling

As an optional task and if called for by the ISA, WRECO will seek authorization to perform a Preliminary Site Investigation (PSI), that entails field sampling to screen structural elements for hazardous materials at the bridge

site. The scope will require review after completion of Phase I services to ensure adequate services are provided. Prior to sampling, WRECO will conduct limited pre-field site surveillance activities and prepare for site sampling. Pre-field activities will include: mapping bridge location, reviewing satellite imagery of the bridge to determine access and encroachment needs, assess the bridge construction, verify required sampling methods, and identify any potential hazards. WRECO will use this information to update its site-specific Health and Safety Plan (HASP) and Sampling and Analysis Plan (SAP) for the Project.

WRECO will then secure rights of entry, encroachment permits, or drilling/demolition permits as necessary to perform destructive sampling of bridge structure for asbestos-containing materials (ACM) and lead-based paint.

WRECO will revise its standard SAP to meet the needs and scope of the current survey, focusing on the types of equipment, safety, limitations identified in permits, and methods needed to perform destructive sampling of suspected ACM and bridge surfaces suspected of having lead-based paint.

WRECO will conduct a field reconnaissance to visually assess the existing conditions in the vicinity of the Project site with respect to the potential for hazardous materials or hazardous materials impacts to the proposed Project. Because the existing bridges will be modified and has the potential to contain lead-based paint and/or ACM, WRECO will collect and analyze samples of suspected ACM and/or lead paint from the existing bridge structure. WRECO will document the sample locations with photographs and sketches. Samples will be submitted to an accredited laboratory to be analyzed by polarized light microscopy and paint chip analysis.

WRECO will conduct the survey under the direction of a Certified Asbestos & Lead Based Paint Consultant (National Analytical Laboratories, Inc (NAL)).

#### Phase II PSI Report

WRECO will prepare a PSI Report of the findings and incorporate materials sampling and analytical tests results from the investigation. The PSI will include results of the asbestos and lead-based paint survey and will be prepared in compliance with the federal National Emission Standards for Hazardous Air Pollutants (NESHAP) and San Joaquin Valley Air Pollution Control District (District) regulations for

asbestos and in compliance with the U.S. Environmental Protection Agency (EPA) and Caltrans regulations for lead hazards.

The PSI Report will include the results of limited hazardous materials assessment based on a literature review and visual site reconnaissance and will also include the analytical test results of suspected ACM and/or lead paint from the existing bridge structure. The report will include a discussion of sample collection and testing methods and certifications of the individuals performing the work.

Additionally, the report will include an estimates summary of regulated and/or hazardous materials in order to prepare a Lead Compliance Plan and to provide quantity estimates of suspected ACM for NESHAP compliance with the District's regulations. These estimates will be limited to the suspected ACM and lead-based paint materials on the existing bridge structure.

WRECO will incorporate the comments received from the City on the Draft Phase II ISA Report and prepare the Final Phase II ISA Report. The Phase II ISA Report will comply with Caltrans and CEQA/NEPA requirements.

#### **TASK 3.5 DELIVERABLES:**

1. *Draft Phase II ISA Report (PDF).*
2. *Final Phase II ISA Report (PDF and 3 hard copies).*

#### **Task 3.6 NPDES and CGP Compliance**

As an optional task, work within the creeks will require a 401 Certification from the Central Valley Regional Water Quality Control Board, which could include conditions for the Construction General Permit, stormwater treatment, or hydromodification measures. Although it will be unlikely, WRECO will propose to prepare the stormwater treatment measures for the Project as an optional task.

#### **ASSUMPTIONS:**

- *The ISA will confirm the need for an ACM and LBP study for the Bridges.*
- *The ISA will verify that there are no other potential contaminants of concern at or on the Bridges.*
- *WRECO will be provided encroachment access to the Bridges for the field reconnaissance and potential Phase II ISA (and permits as needed without fees).*

## **TASK 4. ENVIRONMENTAL STUDIES**

### **Task 4.1 - Data Collection/Field Review**

Under this task, LSA would obtain and review limited

documents that would provide environmental information for the bridge repair project. Data collection would identify potential environmental issues and constraints for completion of the Preliminary Environmental Study.

### **Task 4.2 - PES Form**

LSA would prepare a Preliminary Environmental Study (PES) form as required under Caltrans Local Assistance Procedures Manual (Environmental Procedures), for federally funded projects. The PES includes a checklist that establishes the basis for any needed technical studies, and is used to identify the likely environmental clearance. The PES is also used to identify environmental permits, coordination, consultations, etc. that would be needed for the project.

#### **TASK 4.2 DELIVERABLES:**

1. *Preliminary Environmental Study (PES) Form*

### **Task 4.3 - Environmental Documentaiton**

The environmental services scope of work involves completion of the following tasks. A comprehensive discussion of the expected tasks is provided below.

- Perform data collection
- Prepare technical studies (i.e., cultural and biological resources)
- Prepare environmental clearance forms and/or documentation (i.e., CE/CE or MND/CE)

Based on City and Caltrans approval, LSA will attempt to combine certain tasks for bridge projects with similar anticipated environmental impacts to maximize efficiency. This could include data collection and field reviews, PES form(s), and technical studies.

#### **Task 4.3.1 - Biological Resources**

Biological resources present in the project area for each of the six bridge locations will be evaluated to determine project effects to those resources. A key objective of the evaluation will be to identify any special status plant or wildlife species, or sensitive habitats that may be affected by the project. Based on our preliminary review of aerial photos five of the bridges cross perennial watercourses; the exception is El Dorado Street over Bianchi Road (29C0141). However, based on input from the project engineer, of the five bridges that cross perennial watercourses, only one bridge, El Dorado Street over Calaveras River (29C0140), will require work below the deck (cleaning the steel and patching the spalled areas below the sidewalk) (i.e., work would not encroach into jurisdictional limits associated with the perennial watercourses).

Research/Coordination. LSA will request a list of special status species from the U.S. Fish and Wildlife Service (USFWS) and will query the California Natural Diversity Data Base and California Native Plant Society Online Database. As part of this process, LSA biologists will informally coordinate with the California Department of Fish and Wildlife (CDFW) and/or USFWS, as necessary, regarding the potential presence of special status species in the project area.

Field Surveys: The following field surveys are proposed:

- **General Field Survey.** LSA will conduct a general field survey to map plant communities and assess habitat conditions and evaluate potential impacts to sensitive biological resources from the proposed project. Each bridge will also be inspected for presence of bats, swallows and/or other nesting birds during the general field survey.

Documentation: Documentation for the six bridge locations will include all bridge locations. LSA will prepare the following reports to document biological resources in the project area and evaluate potential project effects to biological resources.

- **Natural Environment Study-Minimal Impacts (NESMI).** The results of the field surveys for the bridges will be documented in a single NESMI prepared in accordance with the March 2018 template. The NESMI will include a discussion of plant communities present on the site, as well as a discussion of common plant and animal species occurring (or expected to occur) on the site based on the communities present. A generalized vegetation map will be prepared showing plant community types as well as the locations of any sensitive biological resources identified. The results of the various field surveys (described above) will also be summarized in the NESMI. The NESMI will include an assessment of project impacts on the biological resources present, and recommended mitigation measures where appropriate.

We have budgeted 10 hours for responding to comments during client and Caltrans review of the NESMI.

#### **TASK 4.3.1 DELIVERABLE:**

##### **1. Natural Environment Study - Minimal Impacts**

#### **Task 4.3.2 - Cultural Resources**

LSA will conduct cultural resource studies that are needed for the City and Caltrans to address requirements of NEPA, CEQA, and Section 106 of the National Historic Preservation Act using guidance from the Caltrans 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 (106 PA). The project proposes to repair a total of six City bridges. The project proposes minor deck maintenance for four of these bridges. Of these four, three have been designated by Caltrans as Category 5 bridges (not eligible for the National Register of Historic Places [NRHP]) and one has been designated a Category 4 bridge (historical significance not determined). The minor bridge maintenance proposed on these four bridges (deck sealing with methacrylate) would not affect them; therefore, it does not appear that further cultural resources analyses will be required. The two remaining bridges (El Dorado Street over Calaveras River [29C0140] and El Dorado Street over Bianchi Road [29C0141]) will require cultural resources analyses, as described below.

#### Built Environment Resources

The El Dorado Street over Calaveras River (29C0140) and the El Dorado Street over Bianchi Road (29C0141) bridges are both Category 5 bridges constructed in 1962; therefore, the bridges do not require evaluation. Using Parcel Quest, Google Earth, and a review of historic maps and aerials, LSA identified one built environment cultural resource over 45 years old within the Area of Potential Effect (APE) of both bridges. The resource is the levee originally constructed sometime before 1913 to support the Calaveras River water system. Depending on the results of background research, this resource may require evaluation for listing in the NRHP and the California Register of Historical Resources (CRHR), individually and/or as contributors to a historic district. LSA will consult with Caltrans to determine whether or not the resource qualifies as a property exempt from evaluation per the 106 PA. If the levee is determined not to be exempt, it will



be evaluated in a Historical Resources Evaluation Report (HRER) and the resource formally recorded on a Department of Parks and Recreation (DPR) 523 series record.

#### Archaeological Resources

It is unknown if previously identified archaeological cultural resources are within the APE; this scope of work is based on negative findings for archaeological resources.

#### Research and Field Investigation

- A records search will be conducted at the Southern San Joaquin Valley Information Center (SSJVIC) to identify any previously recorded cultural resources studies and resources in the APE and in a 0.5-mile buffer area of the APE.
- Background research and a literature review, consisting of a review of archaeological, ethnographic, historical, and environmental publications and maps at historical archive repositories and at LSA's library will also be conducted.
- LSA will contact the Native American Heritage Commission in Sacramento for (1) a review of the Sacred Lands File to determine if the Study Area contains any listed sites, and (2) a list of Native American contacts who may have concerns about resources in the APE. Native Americans on that list will be contacted by letter and follow-up telephone calls, as necessary, to inquire about any concerns or information they may have about cultural resources in the APE pursuant to Section 106. LSA will coordinate with the City regarding consultation pursuant to Assembly Bill 52, and will attend up to two (2) consultation meetings to provide technical input should it be necessary.
- LSA will consult with Caltrans, if necessary, to determine which resources can be exempted per the Section 106 PA and which will require evaluation.
- LSA will contact the San Joaquin County Historical Society for any information or concerns they may have about cultural resources in the APE.
- LSA will conduct a field survey of the APE to identify and record any cultural resources.

#### Documentation

- LSA will prepare one APE map depicting the two bridges to Caltrans standards.
- LSA will prepare a single Historic Property Survey Report (HPSR) and a single

Archaeological Survey Report (ASR) to Caltrans standards. LSA will prepare one ASR and one HPSR to address both bridges.

We have budgeted 10 hours for responding to comments generated during review of the HPSR and ASR.

#### **TASK 4.3.2 DELIVERABLE:**

1. *APE Map, Historic Property survey Report, Archaeological Survey Report*

#### 4.3.2.1 Optional Task: Preparation of HRER

If, after consulting with Caltrans, it is determined the levee requires evaluation, LSA will prepare a HRER to document the methods and findings of the evaluation. LSA will record the segment of the levee within the APE in a DPR 523 series record. The DPR record will be appended to the HRER. We have budgeted 8 hours for responding to comments generated during review of the HRER. Our budget for this task assumes field work and research will be conducted simultaneous with this task for the ASR and HPSR.

#### **Task 4.3.3 - Water Quality Assessment Memorandum (OPTIONAL)**

LSA will conduct a single Water Quality Assessment Memo in accordance with Caltrans guidelines and requirements. The report will tier off the hydraulics analysis from the Location Hydraulic Report and will evaluate potential short-term and long-term water quality impacts for all of the bridges. Potential project impacts associated with construction maintenance activities will be evaluated. Potential causes of erosion, and siltation, and sources of pollutants and the effects of these substances on the quality of receiving waters will be evaluated. Mitigation measures, including Best Management Practices specified in Caltrans' Storm Water Quality Handbook - Planning and Design Guide, will be identified for any significant water quality impacts that may occur.

We have budgeted 8 hours for responding to comments generated during review of the Water Quality Assessment Memo.

#### **TASK 4.3.3 DELIVERABLES:**

1. *Water Quality Assessment Memorandum.*

#### **Task 4.3.4 - Section 4(f) Evaluation (OPTIONAL)**

The two bridges requiring below deck work are adjacent to or traverse public recreational facilities. The Don Avenue Bridge (29C0096) is adjacent to

Sandman Park; the El Dorado Street Bridge over the Calaveras River (29C0140) and the El Dorado Street Bridge over the Calaveras River (29C0141) cross over the Calaveras River Bike Path. During project construction, should the project impact the adjacent publicly owned lands a De Minimis Section 4(f) Evaluation would be required. A de minimis impact is a minimal impact to a 4(f) resource that is not considered to be adverse. Specifically, a de minimis impact to a recreation area would not adversely affect the qualities, activities, features or attributes that give the property protection under Section 4(f). A letter of concurrence will be required from the public agency responsible for the park land. LSA will draft the Section 4(f) De Minimis finding document to Caltrans standards. LSA will also draft a letter requesting concurrence.

We have budgeted 4 hours for responding to comments generated during review of the Section 4(f) De Minimis Finding.

#### TASK 4.3.4 DELIVERABLES:

##### 1. Section 4(f) De Minimis Finding.

#### Task 4.3.5 - Environmental Clearance Forms/Documentation

- NEPA Categorical Exclusion (CE). For processing NEPA, it is assumed that Caltrans will complete the NEPA CE determination form for the project.
- CEQA Categorical Exemption (CE). It is expected that the repairs can be categorically exempted from CEQA review per CEQA Section 15301 "Existing Facilities." For these repairs, LSA will prepare a CEQA CE form once the technical studies have been completed. The City would then review and approve the CE to complete the CEQA process.
- Mitigated Negative Declaration (MND). In the event that repairs cannot be exempted from CEQA and would have impacts that are mitigable, the project should be processed through the use of an MND for CEQA purposes. This scope of work and associated budget assumes no MND would be required.

#### Task 4.3.6 - Project Management and Meetings

LSA will participate in the project kickoff meeting. LSA's Project Manager will undertake a variety of general project management tasks throughout the process of preparing the PES Form and coordinating

with the City, including coordination of the day-to-day activities associated with the project and monitoring the scope, budget, and scheduling of the project. Other project management tasks include: regular client contact; contract management; assistance to team members; schedule coordination; and development of products. LSA will provide written documentation of all substantive project developments in the form of client emails and/or phone conversation records, and will follow up our submittals to outside parties and conduct coordination as necessary to ensure efficient and timely review.

LSA's Principal-in-Charge will ultimately be responsible for quality assurance for all work undertaken and will review all text, tables, and graphics before these materials are presented as administrative review documents. The Principal-in-Charge will also be available for consultation on environmental review procedural matters, and strategy.

## TASK 5. DESIGN

ADKO's team will provide design in compliance with AASHTO standards as outlined in Chapter 11 of the Local Assistance Procedures Manual.

#### TASK 5 DELIVERABLES:

1. 65% Bridge Plans
2. 95% PS&E
3. 100% PS&E
4. Final PS&E
5. One Full size & Four (half size), at each submittal stage
6. Special Provisions pdf set at each submittal stage
7. Estimate, one at each submittal stage

#### Task 5.1 - 65% Plans, Technical Specifications and Estimate

For the roadway plans it is anticipated that we will include a Title Sheet, a Typical Section/Layout sheet, up to two Construction Details sheets, for a total of up to 5 sheets.

For the bridge plans, it is anticipated that we will include a general plan sheet, general notes sheet, deck treatment details sheet, and up to two miscellaneous details sheets for a total of up to 5 sheets.

#### Task 5.2 - 95% Plans, Technical Specifications and Estimate

For the 95% PS&E, draft specifications, and estimate will be included with the plans. After the 65% Plans have been



reviewed by the City, comments will be incorporated in the 95% submittal.

**Task 5.3 - 100% Plans, Technical Specifications and Estimate**

After the 95% Plans have been reviewed by the City, comments will be incorporated in the 100% submittal.

**Task 5.4 - Final Technical Specifications and Estimate**

ADKO's team will prepare preliminary cost estimates and independent check cost estimates for the Roadway Plans at 95%, 100%, and final stages. Estimates will be comprised of unit prices placed on detailed quantities and check quantity calculations. Unit prices will be developed using current bid results from similar projects, Caltrans data base information, and completed in Caltrans BEES format using Microsoft Excel.

## TASK 6. CONSTRUCTION SUPPORT

The individuals that were directly involved in the design will be available during the bid period to interpret the plans and specifications, prepare addenda if needed, and provide general consultation to the City to obtain bids. When the construction bids are opened, ADKO will be available to provide analysis and recommendations concerning award of the contract.

**Task 6.1 - Bid Support**

ADKO can provide the following support services:

- Attendance at pre-bid, pre-construction meetings and monthly construction meetings.

**Task 6.2 - Design Services During Construction**

ADKO can provide the following services during construction:

- Answer questions and address issues that may arise during construction (RFIs & CCOs)
- Review appropriate Construction Submittals.
- Perform closeout inspection and help the City develop closeout punch list for contractors.
- ADKO team will incorporate the redlines into the CAD files, clouding any changes made in construction, and submit them as final As-Built Plans.

**Task 6.3 - As-Built Design Plans**

ADKO will prepare Record Drawings based upon the redlines submitted by the Contractor and Resident Engineer.

**TASK 6 DELIVERABLES:**

1. Review of contract submittals and shop drawings.
2. Responses to RFI's during the bid and construction phases.
3. Final A-Built Plan.

## TASK 7. BID

ADKO's team will provide assistance, as required, to the City during bidding of the project. The work may include answering questions from prospective bidders, assisting the City in the preparation of addenda to the PS&E during the advertisement period, and providing consultation and interpretation of the construction documents.

## TASK 8. AWARD

ADKO will assist the City in the award process.

**Project Assumptions**

This scope of work has been prepared using the following assumptions:

- The City will be responsible for printing and distributing bid documents.
- The City is responsible for Construction Management.
- Application and processing fees or charges (including City map checking and recording fees) will be the responsibility of the City.
- Caltrans Environmental will be responsible for preparing the final NEPA determination.
- All access to the site will be provided by the City

Bridge Rehabilitation - PW1704/BPMPL-5008(177)		ADKO Engineering, Inc.														Subconsultants			TOTAL PROJECT COST	
		Majdi Kanaan, PM	Ron Rivett Senior Engineer QA/QC	Jose De Silva Senior Engineer	Yijin Yuan Design Engineer	Preeti Pandey Design Engineer	Sam Kanaan Design Engineer	Xiaodong Sun Senior Structural CADD Tech.	Total Hours (ADKO)	ADKO Direct Salary Cost	Fringe Benefits (36.67%)	Overhead Rate (36.67%)	General & Admin. (36.66%)	Profit (10%)	Other Direct Cost	Total Cost (ADKO)	Total Not To Exceed Cost (CTA/WRECO/LSA)	Reimbursable Allowance		Total Sub Cost
ACTUAL HOURLY RATES		\$71.42	\$70.00	\$60.00	\$30.00	\$30.00	\$30.00	\$40.00												
No.	Task Description																			
1	<b>TASK 1: PROJECT MANAGEMENT AND MEETINGS</b>	46	4	4	4	4	4	0	58	\$ 4,165.32	\$ 1,527.42	\$ 1,527.42	\$ 1,527.01	\$ 874.72	\$ 500.00	\$ 10,121.89			\$ 10,121.89	
	1.1 Kick-Off Meeting	6							6	\$ 428.52	\$ 157.14	\$ 157.14	\$ 157.10	\$ 89.99						
	1.2 PDT Meetings(Total 12)	8							8	\$ 571.36	\$ 209.52	\$ 209.52	\$ 209.46	\$ 119.99						
	1.3 Internal Coordination Meetings(Total 12)	8	4	4	4	4	4		28	\$ 1,451.36	\$ 532.21	\$ 532.21	\$ 532.07	\$ 304.79						
	1.4 Monthly Progress Reports(Total 24)	8							8	\$ 571.36	\$ 209.52	\$ 209.52	\$ 209.46	\$ 119.99						
	1.5 Site Visit (Total 2)	16							16	\$ 1,142.72	\$ 419.04	\$ 419.04	\$ 418.92	\$ 239.97						
2	<b>TASK 2: PERFORM SURVEYS AND PREPARE BASE PLANS</b>	0	0	0	0	0	0	0	0							\$ 32,944.56		\$ 32,944.56	\$ 32,944.56	
	2.1 Research Existing Maps															\$ 8,726.08		\$ 8,726.08		
	2.2 Field Search for Existing Street Centerline Monumentation															\$ 3,854.74		\$ 3,854.74		
	2.3 Field Surveys and Mapping															\$ 12,047.42		\$ 12,047.42		
	2.4 Office Analysis of Field Data															\$ 4,158.16		\$ 4,158.16		
	2.5 Preperation of Site Map															\$ 4,158.16		\$ 4,158.16		
3	<b>TASK 3: Initial Study Assesment (ISA)</b>	0	0	0	0	0	0	0	0	\$ -						\$ 38,034.89	\$ 3,149.74	\$ 41,184.63	\$ 41,184.63	
	3.1 Meetings															\$ 3,597.38		\$ 3,597.38		
	3.2 Data Review															\$ 6,085.88		\$ 6,085.88		
	3.3 Field Reconnaissance															\$ 9,385.37		\$ 9,385.37		
	3.4 Phase I Initial Site Assesment															\$ 18,966.25		\$ 18,966.25		
	3.5 Phase II Preliminary Site Investigation (Optional)															\$ -		\$ -		
	3.6 NPDES and CGP Compliance (Optional)															\$ -		\$ -		
4	<b>TASK 4: ENVIRONMENTAL STUDIES</b>	26	0	0	0	0	0	0	26	\$ 1,856.92	\$ 680.93	\$ 680.93	\$ 680.75	\$ 389.95	\$ -	\$ 4,289.49	\$ 32,274.49	\$ 1,099.71	\$ 33,374.20	\$ 37,663.69
	4.1 Data Collection/Field Review	5							5	\$ 357.10	\$ 130.95	\$ 130.95	\$ 130.91	\$ 74.99		\$ 876.85		\$ 876.85		
	4.2 PES Form	5							5	\$ 357.10	\$ 130.95	\$ 130.95	\$ 130.91	\$ 74.99		\$ 2,787.99		\$ 2,787.99		
	4.3 Environmental Documentation								0	\$ -	\$ -	\$ -	\$ -	\$ -		\$ -		\$ -		
	4.3.1 Biological Resources	5							5	\$ 357.10	\$ 130.95	\$ 130.95	\$ 130.91	\$ 74.99		\$ 9,829.63		\$ 9,829.63		
	4.3.2 Cultural Resources	3							3	\$ 214.26	\$ 78.57	\$ 78.57	\$ 78.55	\$ 44.99		\$ 11,236.73		\$ 11,236.73		
	4.3.2.1 Preparation of HRER (Optional)								0	\$ -	\$ -	\$ -	\$ -	\$ -		\$ -		\$ -		
	4.3.3 Water Quality Assesment Memorandum (Optional)	3							3	\$ 214.26	\$ 78.57	\$ 78.57	\$ 78.55	\$ 44.99		\$ -		\$ -		
	4.3.4 Section 4(f) Evaluation(Optional)								0	\$ -	\$ -	\$ -	\$ -	\$ -		\$ -		\$ -		
	4.3.5 Environmental Clearance forms/Documentation	3							3	\$ 214.26	\$ 78.57	\$ 78.57	\$ 78.55	\$ 44.99		\$ 2,211.68		\$ 2,211.68		
	4.3.6 Project Management and Meetings	2							2	\$ 142.84	\$ 52.38	\$ 52.38	\$ 52.37	\$ 30.00		\$ 5,331.62		\$ 5,331.62		
5	<b>TASK 5: DESIGN</b>	54	48	80	76	76	76	256	666	\$ 29,096.68	\$ 10,669.75	\$ 10,669.75	\$ 10,666.84	\$ 6,110.30	\$ 3,000.00	\$ 70,213.32		\$ -	\$ 70,213.32	
	5.2 65% Plans, Technical Specifications and Estimate	18	16	32	40	40	40	144	330	\$ 13,685.56	\$ 5,018.49	\$ 5,018.49	\$ 5,017.13	\$ 2,873.97	\$ 750.00			\$ -		
	5.3 95% Plans, Technical Specifications and Estimate	12	16	24	24	24	24	72	196	\$ 8,457.04	\$ 3,101.20	\$ 3,101.20	\$ 3,100.35	\$ 1,775.98	\$ 750.00			\$ -		
	5.4 100% Plans, Technical Specifications and Estimate	12	8	12	12	12	12	40	108	\$ 4,817.04	\$ 1,766.41	\$ 1,766.41	\$ 1,765.93	\$ 1,011.58	\$ 750.00			\$ -		
	5.5 Final Technical Specifications and Estimate	12	8	12	12	12	12	40	32	\$ 2,137.04	\$ 783.65	\$ 783.65	\$ 783.44	\$ 448.78	\$ 750.00			\$ -		
6	<b>TASK 6: CONSTRUCTION SUPPORT</b>	6	0	4	8	16	16	24	74	\$ 2,828.52	\$ 1,037.22	\$ 1,037.22	\$ 1,036.94	\$ 593.99	\$ 500.00	\$ 7,033.88		\$ -	\$ 7,033.88	
	6.1 Design Services During Construction	4		4	8	16	16	24	48	\$ 1,725.68	\$ 632.81	\$ 632.81	\$ 632.63	\$ 362.39	\$ 250.00			\$ -		
	6.2 As-Built Design Plans	2							26	\$ 1,102.84	\$ 404.41	\$ 404.41	\$ 404.30	\$ 231.60	\$ 250.00			\$ -		
7	<b>TASK 7: BID</b>	8	0	0	0	6	6	0	20	\$ 931.36	\$ 341.53	\$ 341.53	\$ 341.44	\$ 195.59	\$ 500.00	\$ 2,651.44		\$ -	\$ 2,651.44	
		8	0	0	0	6	6	0	20	\$ 931.36	\$ 341.53	\$ 341.53	\$ 341.44	\$ 195.59	\$ 500.00			\$ -		
		0	0	0	0	0	0	0	0	\$ -	\$ -	\$ -	\$ -	\$ -				\$ -		
		0	0	0	0	0	0	0	0	\$ -	\$ -	\$ -	\$ -	\$ -				\$ -		
8	<b>TASK 8: AWARD</b>	4	0	0	0	0	0	0	4	\$ 285.68	\$ 104.76	\$ 104.76	\$ 104.73	\$ 59.99	\$ 500.00	\$ 1,159.92		\$ -	\$ 1,159.92	
		4	0	0	0	0	0	0	4	\$ 285.68	\$ 104.76	\$ 104.76	\$ 104.73	\$ 59.99	\$ 500.00			\$ -		
		0	0	0	0	0	0	0	0	\$ -	\$ -	\$ -	\$ -	\$ -				\$ -		
		0	0	0	0	0	0	0	0	\$ -	\$ -	\$ -	\$ -	\$ -				\$ -		
	<b>TOTAL HOURS</b>	144	52	88	88	102	102	280	848											
	<b>TOTAL COST</b>	\$ 10,284.48	\$ 3,640.00	\$ 5,280.00	\$ 2,640.00	\$ 3,060.00	\$ 3,060.00	\$ 11,200.00		\$ 39,164.48	\$ 14,361.61	\$ 14,361.61	\$ 14,357.70	\$ 8,224.54	\$ 5,000.00	\$ 95,469.94	\$ 103,253.94	\$ 4,249.45	\$ 107,503.39	\$ 202,973.33

LSA																						
Environmental/ Principal	Environmental/ Associate	Biology/ Principal	Biology/ Senior	Biology/ Wildlife	Cultural/ Principal	Cultural/ Senior	Archaeologist	GIS Assistant Biologist	Environmental Planner	Environmental Planner	Admin/ Word Processing	Administrative/ Associate	GIS/ Archaeologist	Total Hours	Direct Salary Cost	Anticipated Salary Increases	Fringe Benefits (84.93%)	Overhead Rate (91.95%)	General & Admin. (0.00%)	Profit (10%)	Other Direct Cost	TOTAL LSA NOT TO EXCEED COST
\$56.63	\$42.54	\$58.88	\$36.53	\$32.19	\$51.97	\$37.13	\$30.90	\$25.75	\$33.80	\$27.09	\$27.49	\$31.48	\$25.75									
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ -							
															\$ -							
															\$ -							
															\$ -							
															\$ -							
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ -							
															\$ -							
															\$ -							
															\$ -							
															\$ -							
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ -							
															\$ -							
															\$ -							
															\$ -							
															\$ -							
0	58	3	5	63	8	32	36	18	24	16	13	1	32	309	\$ 10,491.89	\$ 104.92	\$ 8,999.87	\$ 9,743.77	\$ -	\$ 2,934.04	\$ 1,099.71	\$ 33,374.20
									8					8	\$ 270.40	\$ 17.50	\$ 244.51	\$ 264.72	\$ -	\$ 79.71		
	4		4			4			12		1			25	\$ 897.89	\$ 17.50	\$ 777.44	\$ 841.70	\$ -	\$ 253.45		
														0	\$ -		\$ -	\$ -	\$ -	\$ -		
	8	3	1	63				18			6			99	\$ 3,209.90	\$ 17.50	\$ 2,741.03	\$ 2,967.59	\$ -	\$ 893.60	\$ 200.00	
	4				8	28	36				4		32	112	\$ 3,671.92	\$ 17.48	\$ 3,133.41	\$ 3,392.40	\$ -	\$ 1,021.52	\$ 685.00	
														0	\$ -		\$ -	\$ -	\$ -	\$ -		
														0	\$ -		\$ -	\$ -	\$ -	\$ -		
														0	\$ -		\$ -	\$ -	\$ -	\$ -		
	2								4	16	2			24	\$ 708.70	\$ 17.47	\$ 616.74	\$ 667.71	\$ -	\$ 201.06		
	40											1		41	\$ 1,733.08	\$ 17.47	\$ 1,486.74	\$ 1,609.63	\$ -	\$ 484.69	\$ 214.71	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ -							
															\$ -							
															\$ -							
															\$ -							
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ 0							
															\$ -							
															\$ -							
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ -							
															\$ -							
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ -							
															\$ -							
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	\$ 0							
															\$ -							
0	58	3	5	63	8	32	36	18	24	16	13	1	32	309	\$ 10,491.89	\$ 104.92	\$ 8,999.87	\$ 9,743.77	\$ -	\$ 2,934.04	\$ 1,099.71	\$ 33,374.20

CTA												
Kevin Heeny Licensed Surveyor	Justin Cisneros Office Surveyor	James Davis	Keith Rose	Luke Sekel	Total Hours	Direct Salary Cost	Fringe Benefits (56.00%)	Overhead Rate (37.00%)	General & Admin. (11.50%)	Profit (10%)	Other Direct Cost	TOTAL CTA NOT TO EXCEED COST
\$74.04	\$40.00	\$76.08	\$73.08	\$73.08								
0	0	0	0	0	0	\$ -						
36	72	37	43	43	231	\$ 14,645.28	\$ 8,201.36	\$ 5,418.75	\$ 1,684.21	\$ 2,994.96	\$ -	\$ 32,944.56
12	12	33			57	\$ 3,879.12	\$ 2,172.31	\$ 1,435.27	\$ 446.10	\$ 793.28		
	6	4	8	8	26	\$ 1,713.60	\$ 959.62	\$ 634.03	\$ 197.06	\$ 350.43		
	6		35	35	76	\$ 5,355.60	\$ 2,999.14	\$ 1,981.57	\$ 615.89	\$ 1,095.22		
12	24				36	\$ 1,848.48	\$ 1,035.15	\$ 683.94	\$ 212.58	\$ 378.01		
12	24				36	\$ 1,848.48	\$ 1,035.15	\$ 683.94	\$ 212.58	\$ 378.01		
0	0	0	0	0	0							
0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	\$ -						
36	72	37	43	43	231	\$ 2,665.44	\$ 2,880.00	\$ 2,814.96	\$ 3,142.44	\$ 3,142.44		
						\$ 14,645.28	\$ 8,201.36	\$ 5,418.75	\$ 1,684.21	\$ 2,994.96	\$ -	\$ 32,944.56

WRECO																		
Principal Engineer	Supervising Engineer II	Supervising Engineer I	Senior Geotech Eng	Senior Geologist	Senior Engineer	Associate Env Scientist	Associate Engineer	Staff Engineer	Associate Geologist	Clerical / Tech Editor	Total Hours	Direct Salary Cost	Fringe Benefits (72.69%)	Overhead Rate (30.98%)	General & Admin. (33.58%)	Profit (10%)	Other Direct Cost	TOTAL WRECO NOT TO EXCEED COST
\$95.38	\$78.86	\$70.02	\$0.00	\$62.79	\$63.00	\$41.00	\$43.75	\$33.75	\$36.41	\$26.07								
0	0	0	0	0	0	0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	0	0	0	0	0	0	\$ -						
12	0	16	0	38	26	122	34	0	35	20	303	\$ 14,574.15	\$ 10,593.95	\$ 4,515.07	\$ 4,894.00	\$ 3,457.72	\$ 3,149.74	\$ 41,184.63
6		8		8	8	6	10				20	\$ 1,378.44	\$ 1,001.99	\$ 427.04	\$ 462.88	\$ 327.03	\$ 3,149.74	
		8		8	8	8	10				42	\$ 2,331.98	\$ 1,695.12	\$ 722.45	\$ 783.08	\$ 553.26		
		0		12	18	12	12		19		73	\$ 3,596.27	\$ 2,614.13	\$ 1,114.12	\$ 1,207.63	\$ 853.22		
6				18		96	12		16	20	168	\$ 7,267.46	\$ 5,282.72	\$ 2,251.46	\$ 2,440.41	\$ 1,724.20		
											0	\$ -	\$ -	\$ -	\$ -	\$ -		
											0	\$ -	\$ -	\$ -	\$ -	\$ -		
0	0	0	0	0	0	0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	0	0	0	0	0	0	\$ -						
12	0	16	0	38	26	122	34	0	35	20	303	\$ 14,574.15	\$ 10,593.95	\$ 4,515.07	\$ 4,894.00	\$ 3,457.72	\$ 3,149.74	\$ 41,184.63
\$ 1,144.56	\$ -	\$ 1,120.32	\$ -	\$ 2,386.02	\$ 1,638.00	\$ 5,002.00	\$ 1,487.50	\$ -	\$ 1,274.35	\$ 521.40		\$ 14,574.15	\$ 10,593.95	\$ 4,515.07	\$ 4,894.00	\$ 3,457.72	\$ 3,149.74	\$ 41,184.63

LSA (OPTIONAL TASKS)																
Environmental/ Principal	Environmental/ Associate	Biology/Principal	Cultural/Principal	Cultural/Senior	GIS Assistant Biologist	Environmental/ Planner	Admin/ Word Processing	GIS/Archaeologist	Total Hours	Direct Salary Cost	Fringe Benefits (84.93%)	Overhead Rate (91.95%)	General & Admin. (0.00%)	Profit (10%)	Other Direct Cost	Total Cost
\$56.63	\$42.54	\$58.88	\$51.97	\$37.13	\$25.75	\$27.09	\$27.49	\$25.75								
0	0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0	0							
10	6	0	10	84	0	55	10	6	181	\$ 6,379.51	\$ 5,418.12	\$ 5,865.96	\$ -	\$ 1,766.36	\$ -	\$ 19,429.95
									0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
									0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
									0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
									0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	4		10	84			4	6	108	\$ 4,073.24	\$ 3,459.40	\$ 3,745.34	\$ -	\$ 1,127.80	\$ -	\$ 12,405.79
8						30	4		42	\$ 1,375.70	\$ 1,168.38	\$ 1,264.96	\$ -	\$ 380.90	\$ -	\$ 4,189.94
2	2					25	2		31	\$ 930.57	\$ 790.33	\$ 855.66	\$ -	\$ 257.66	\$ -	\$ 2,834.22
									0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
									0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0	0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0	0							
10	6	0	10	84	0	55	10	6	181							
\$ 566.30	\$ 255.24	\$ -	\$ 519.70	\$ 3,118.92	\$ -	\$ 1,489.95	\$ 274.90	\$ 154.50	\$ 181.00	\$ 6,379.51	\$ 5,418.12	\$ 5,865.96	\$ -	\$ 1,766.36	\$ -	\$ 19,429.95

WRECO (OPTIONAL TASKS)															
Supervising Engineer II	Senior Geologist	Senior Engineer	Associate Env Scientist	Associate Engineer	Staff Engineer	Associate Geologist	Clerical / Tech Editor	Total Hours	Direct Salary Cost	Fringe Benefits (72.69%)	Overhead Rate (30.98%)	General & Admin. (33.58%)	Profit (10%)	Other Direct Cost	Total Cost
\$78.86	\$62.79	\$63.00	\$41.00	\$43.75	\$33.75	\$36.41	\$26.07								
0	0	0	0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	0	0	0	\$ -						
8	24	48	108	60	40	36	24	348	\$ 15,501.28	\$ 11,267.88	\$ 4,802.30	\$ 5,205.33	\$ 3,677.68	\$ 7,200.00	\$ 47,654.47
									\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,200.00	\$ 1,200.00
									\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,200.00	\$ 1,200.00
									\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,200.00	\$ 1,200.00
									\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,200.00	\$ 1,200.00
	24		108			36	18	186	\$ 7,714.98	\$ 5,608.02	\$ 2,390.10	\$ 2,590.69	\$ 1,830.38	\$ 1,200.00	\$ 21,334.17
8		48		60	40		6	162	\$ 7,786.30	\$ 5,659.86	\$ 2,412.20	\$ 2,614.64	\$ 1,847.30	\$ 1,200.00	\$ 21,520.30
0	0	0	0	0	0	0	0	0	\$ -						
								0	\$ -						
								0	\$ -						
								0	\$ -						
								0	\$ -						
								0	\$ -						
								0	\$ -						
								0	\$ -						
								0	\$ -						
0	0	0	0	0	0	0	0	0	\$ -						
0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0							
0	0	0	0	0	0	0	0	0	\$ -						
8	24	48	108	60	40	36	24	0							
\$ 630.88	\$ 1,506.96	\$ 3,024.00	\$ 4,428.00	\$ 2,625.00	\$ 1,350.00	\$ 1,310.76	\$ 625.68	\$ 348.00	\$ 15,501.28						\$ 47,654.47

## EXHIBIT 10-H1 COST PROPOSAL

Page 1 of 3

## ACTUAL COST-PLUS-FIXED-FEE OR LUMP SUM (FIRM FIXED PRICE) CONTRACTS

(Bridge rehabilitation &amp; Replacement Program 2017/18) - BPMPL-5008(177) / PW1704

Note: Mark-ups are Not Allowed

 Prime Consultant  Subconsultant  2<sup>nd</sup> Tier SubconsultantConsultant: ADKO Engineering, Inc. Contract No.: \_\_\_\_\_ Date: 8/15/2018

## DIRECT LABOR

Classification/Title	Name	Hours	Actual Hourly Rate	Total
(Project Manager)	Majdi Kanaan	144	\$ 71.42	\$ 10,284.48
Senior Engineer (QA/QC)	Ron Rivett	52	\$ 70.00	\$ 3,640.00
(Project Engineer)	Jose De Silva	88	\$ 60.00	\$ 5,280.00
(Design Engineer)	Yijin Yuan	88	\$ 30.00	\$ 2,640.00
(Design Engineer)	Sam Kanaan	102	\$ 30.00	\$ 3,060.00
(Design Engineer)	Preeti Pandey	102	\$ 30.00	\$ 3,060.00
(Senior Structural CADD Tech.)	Xiaodong Sun	280	\$ 40.00	\$ 11,200.00
		0	\$ -	\$ -
		0	\$ -	\$ -
		0	\$ -	\$ -
		0	\$ -	\$ -

## LABOR COSTS

a) Subtotal Direct Labor Costs	\$	39,164.48	
b) Anticipated Salary Increases (see page 2)		0	
c) TOTAL DIRECT LABOR COSTS	\$	39,164.48	

## INDIRECT COSTS

d) Fringe Benefits Rate:	36.67%	e) Total Fringe Benefits	\$ 14,361.61
f) Overhead Rate:	36.67%	g) Overhead	\$ 14,361.61
h) General and Administrative Rate:	36.66%	i) Gen & Admin	\$ 14,357.70
		j) TOTAL INDIRECT COSTS	\$ 43,080.92

## FIXED FEE

Rate:	10.00%	k) TOTAL FIXED FEE	\$ 8,224.54
-------	--------	--------------------	-------------

## I) CONSULTANT'S OTHER DIRECT COSTS (ODC) – ITEMIZE

Description	Quantity	Unit(s)	Unit Cost	Total
Travel/Mileage/Vehicle (supported by consultant actual costs)		Miles	\$ -	\$ -
Reproductions	1000	EA	\$ 0.54	\$ 540.00
Overnight Delivery/Shipment		EA	\$ -	\$ -
Plan Sheets	200	LS	\$ 6.00	\$ 1,200.00
Mylar	150	LS	\$ 18.40	\$ 2,760.00
Construction Support	1	LS	\$ 500.00	\$ 500.00
		LS	\$ -	\$ -

l) TOTAL OTHER DIRECT COSTS \$ 5,000.00  
TOTAL PRIME(ADKO) \$ 95,469.94

## m) SUBCONSULTANTS' COSTS

Subconsultant 1: WRECO	41,184.63
Subconsultant 2: CTA	32,944.56
Subconsultant 3: LSA	33,374.20
m) TOTAL SUBCONSULTANTS' COSTS	\$ 107,503.39

n) TOTAL OTHER DIRECT COSTS INCLUDING SUBCONSULTANTS \$ 112,503.39

TOTAL COST \$ 202,973.33

## NOTES:

- Key personnel must be marked with an asterisk (\*) and employees that are subject to prevailing wage requirements must be marked with two asterisks (\*\*). All costs must comply with the Federal cost principles. Subconsultants will provide their own cost proposals.
- The cost proposal format shall not be amended. Indirect cost rates shall be updated on an annual basis in accordance with the consultant's annual accounting period and established by a cognizant agency or accepted by Caltrans.
- Anticipated salary increases calculation (page 2) must accompany.



## EXHIBIT 10-H1 COST PROPOSAL

Page 2 of 3

## ACTUAL COST-PLUS-FIXED-FEE OR LUMP SUM (FIRM FIXED PRICE) CONTRACTS

(SAMPLE CALCULATIONS FOR ANTICIPATED SALARY INCREASES)

Consultant: ADKO Engineering, Inc. Contract No.: \_\_\_\_\_ Date: \_\_\_\_\_

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

Direct Labor Subtotal per Cost Proposal	Total Hours per Cost Proposal		Avg Hourly Rate	5 Year Contract Duration
\$39,164.48	856.0	=	45.75	Year 1 Avg Hourly Rate

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

	Avg Hourly Rate		Proposed Escalation			
Year 1	\$45.75	+	3%	=	\$47.13	Year 2 Avg Hourly Rate
Year 2	\$47.13	+	3%	=	\$48.54	Year 3 Avg Hourly Rate
Year 3	\$48.54	+	3%	=	\$50.00	Year 4 Avg Hourly Rate
Year 4	\$50.00	+	3%	=	\$51.50	Year 5 Avg Hourly Rate

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

	Estimated % Completed Each Year		Total Hours per Cost Proposal		Total Hours per Year	
Year 1	100.0%	*	856.00	=	856.00	Estimated Hours Year 1
Year 2	0.0%	*	856.00	=	0.00	Estimated Hours Year 2
Year 3	0.0%	*	856.00	=	0.00	Estimated Hours Year 3
Year 4	0.0%	*	856.00	=	0.00	Estimated Hours Year 4
Year 5	0.0%	*	856.00	=	0.00	Estimated Hours Year 5
Total	100%		Total	=	856.0	

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

	Avg Hourly Rate (calculated above)		Estimated hours (calculated above)		Cost per Year	
Year 1	\$45.75	*	856.00	=	\$39,164.48	Estimated Hours Year 1
Year 2	\$47.13	*	0.00	=	\$0.00	Estimated Hours Year 2
Year 3	\$48.54	*	0.00	=	\$0.00	Estimated Hours Year 3
Year 4	\$50.00	*	0.00	=	\$0.00	Estimated Hours Year 4
Year 5	\$51.50	*	0.00	=	\$0.00	Estimated Hours Year 5
			Total Direct Labor Cost with Escalation	=	\$39,164.48	
			Direct Labor Subtotal before Escalation	=	\$39,164.48	
			Estimated total of Direct Labor Salary Increase	=	\$0.00	Transfer to Page 1

## NOTES:

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

## EXHIBIT 10-H1 COST PROPOSAL

Page 3 of 3

**Certification of Direct Costs:**

I, the undersigned, certify to the best of my knowledge and belief that all direct costs identified on the cost proposal(s) in this contract are actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

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

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

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

**Prime Consultant or Subconsultant Certifying:**Name: Majdi Kanaan, P.E.Title: PresidentSignature:  \_\_\_\_\_Date of Certification (mm/dd/yyyy): 08/15/2018Email: [mkanaan@adkoengineering.com](mailto:mkanaan@adkoengineering.com)Phone Number: 916-768-8154Address: 2267 Lava Ridge Court, Suite 100, Roseville, CA 95661

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

**List services the consultant is providing under the proposed contract:**

Rehabilitation of 6 Bridges
-----------------------------

## EXHIBIT 10-H1 COST PROPOSAL

Page 1 of 3

## ACTUAL COST-PLUS-FIXED-FEE OR LUMP SUM (FIRM FIXED PRICE) CONTRACTS

(Bridge Rehabilitation &amp; Replacement Program 2017/18) - BPMPL-5008(177)/PW1704

Note: Mark-ups are Not Allowed

 Prime Consultant  Subconsultant  2<sup>nd</sup> Tier SubconsultantConsultant: WRECO Contract No.: \_\_\_\_\_ Date: 10/9/2018

## DIRECT LABOR

Classification/Title	Name	Hours	Actual Hourly Rate	Total
Principal Engineer	Han-Bin Liang	12	\$ 95.38	\$ 1,144.56
Supervising Engineer II	TBD	0	\$ 78.86	\$ -
Supervising Engineer I	Chris Sewell	16	\$ 70.02	\$ 1,120.32
Senior Geologist	David Kitmann	38	\$ 62.79	\$ 2,386.02
Senior Engineer	TBD	26	\$ 63.00	\$ 1,638.00
Associate Environmental Scientist	TBD	122	\$ 41.00	\$ 5,002.00
Associate Engineer	TBD	34	\$ 43.75	\$ 1,487.50
Staff Engineer	TBD	0	\$ 33.75	\$ -
Associate Geologist	TBD	35	\$ 36.41	\$ 1,274.35
Clerical/Tech Editor	TBD	20	\$ 26.07	\$ 521.40

## LABOR COSTS

a) Subtotal Direct Labor Costs	\$	14,574.15	
b) Anticipated Salary Increases (see page 2)	\$	-	
	c) TOTAL DIRECT LABOR COSTS	\$	14,574.15

## INDIRECT COSTS

d) Fringe Benefits Rate:	72.69%	e) Total Fringe Benefits	\$	10,593.95
f) Overhead Rate:	30.98%	g) Overhead	\$	4,515.07
h) General and Administrative Rate:	33.58%	i) Gen & Admin	\$	4,894.00
		j) TOTAL INDIRECT COSTS	\$	20,003.02

## FIXED FEE

Rate:	10.00%	k) TOTAL FIXED FEE	\$	3,457.72
-------	--------	--------------------	----	----------

## l) CONSULTANT'S OTHER DIRECT COSTS (ODC) – ITEMIZE

Description	Quantity	Unit(s)	Unit Cost	Total
Travel/Mileage/Vehicle (supported by consultant actual costs)	641.72	Miles	\$ 0.545	\$ 349.74
Reproductions and Overnight Delivery/Shipment	1	LS	\$ 300.00	\$ 300.00
EDR Report	1	LS	\$ 2,500.00	\$ 2,500.00

l) TOTAL OTHER DIRECT COSTS \$ 3,149.74

## m) SUBCONSULTANTS' COSTS

Subconsultant 1:	\$	-
m) TOTAL SUBCONSULTANTS' COSTS	\$	-

n) TOTAL OTHER DIRECT COSTS INCLUDING SUBCONSULTANTS \$ 3,149.74

TOTAL COST \$ 41,184.63

## NOTES:

1. Key personnel must be marked with an asterisk (\*) and employees that are subject to prevailing wage requirements must be marked with two asterisks (\*\*). All costs must comply with the Federal cost principles. Subconsultants will provide their own cost proposals.
2. The cost proposal format shall not be amended. Indirect cost rates shall be updated on an annual basis in accordance with the consultant's annual accounting period and established by a cognizant agency or accepted by Caltrans.
3. Anticipated salary increases calculation (page 2) must accompany.

## EXHIBIT 10-H1 COST PROPOSAL

Page 2 of 3

## ACTUAL COST-PLUS-FIXED-FEE OR LUMP SUM (FIRM FIXED PRICE) CONTRACTS

(SAMPLE CALCULATIONS FOR ANTICIPATED SALARY INCREASES)

Consultant: WRECO Contract No.: \_\_\_\_\_ Date: 10/9/2018

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

Direct Labor Subtotal per Cost Proposal	Total Hours per Cost Proposal		Avg Hourly Rate	5 Year Contract Duration Year 1 Avg Hourly Rate
\$14,574.15	303.0	=	48.10	

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

	Avg Hourly Rate		Proposed Escalation			
Year 1	\$48.10	+	3%	=	\$49.54	Year 2 Avg Hourly Rate
Year 2	\$49.54	+	3%	=	\$51.03	Year 3 Avg Hourly Rate
Year 3	\$51.03	+	3%	=	\$52.56	Year 4 Avg Hourly Rate
Year 4	\$52.56	+	3%	=	\$54.14	Year 5 Avg Hourly Rate

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

	Estimated % Completed Each Year		Total Hours per Cost Proposal		Total Hours per Year	
Year 1	100.0%	*	303.00	=	303.00	Estimated Hours Year 1
Year 2	0.0%	*	303.00	=	0.00	Estimated Hours Year 2
Year 3	0.0%	*	303.00	=	0.00	Estimated Hours Year 3
Year 4	0.0%	*	303.00	=	0.00	Estimated Hours Year 4
Year 5	0.0%	*	303.00	=	0.00	Estimated Hours Year 5
Total	100%		Total	=	303.0	

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

	Avg Hourly Rate (calculated above)		Estimated hours (calculated above)		Cost per Year	
Year 1	\$48.10	*	303.00	=	\$14,574.15	Estimated Hours Year 1
Year 2	\$49.54	*	0.00	=	\$0.00	Estimated Hours Year 2
Year 3	\$51.03	*	0.00	=	\$0.00	Estimated Hours Year 3
Year 4	\$52.56	*	0.00	=	\$0.00	Estimated Hours Year 4
Year 5	\$54.14	*	0.00	=	\$0.00	Estimated Hours Year 5
			Total Direct Labor Cost with Escalation	=	\$14,574.15	
			Direct Labor Subtotal before Escalation	=	\$14,574.15	
			Estimated total of Direct Labor Salary Increase	=	\$0.00	Transfer to Page 1

## NOTES:

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

## EXHIBIT 10-H1 COST PROPOSAL

Page 3 of 3

**Certification of Direct Costs:**

I, the undersigned, certify to the best of my knowledge and belief that all direct costs identified on the cost proposal(s) in this contract are actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

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

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

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

**Prime Consultant or Subconsultant Certifying:**Name: Han-Bin Liang, Ph.D., P.E.Title: PresidentSignature:  Date of Certification (mm/dd/yyyy): 10/09/2018Email: hanbin\_liang@wreco.comPhone Number: (925) 941-0017Address: 1243 Alpine Road, Suite 108, Walnut Creek, CA 94596

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

**List services the consultant is providing under the proposed contract:**

Hazardous materials services
------------------------------

**EXHIBIT 10-H COST PROPOSAL****ACTUAL COST-PLUS-FIXED FEE OR LUMP SUM (FIRM FIXED PRICE) CONTRACTS**

(Bridge Rehabilitation and Replacement Program 17/18 - PW1704/BPMPL - 5008(177))

Consultant CTA Engineering and Surveying Contract No. \_\_\_\_\_ Date: 06/1/2018**DIRECT LABOR**

Classification/Title	Name	Hours	Actual Hourly Rate	Total
Licensed Surveyor	Kevin Heeney	36	74.04	\$2,665.44
Office Surveyor	Justin Cisneros	72	40.00	\$2,880.00
Field Surveyor *	James Davis	37	76.08	\$2,814.96
Field Surveyor *	Keith Rose	43	73.08	\$3,142.44
Field Surveyor *	Luke Sekel	43	73.08	\$3,142.44

**LABOR COSTS**

a) Subtotal Direct Labor Costs	\$14,645.28
b) Anticipated Salary Increases (see page 2 for sample)	\$0.00
<b>c) TOTAL DIRECT LABOR COSTS [(a) + (b)]</b>	<b>\$14,645.28</b>

**FRINGE BENEFITS**

d) Fringe Benefits (Rate: <u>56.0%</u> )	<b>e) Total Fringe Benefits</b>
	[(c) x (d)] <u>\$8,201.36</u>

**INDIRECT COSTS**

f) Overhead (Rate: <u>37.0%</u> )	g) Overhead [(c) x (f)]	<u>\$5,418.75</u>
h) General and Administrative (Rate: <u>11.5%</u> )	i) Gen & Admin [(c) x (h)]	<u>\$1,684.21</u>
	<b>j) Total Indirect Costs [(e) + (g) + (i)]</b>	<b>\$15,304.32</b>

**FEE (Profit)**

q) (Rate: <u>10.00%</u> )	<b>k) TOTAL FIXED PROFIT [(c) + (j)] x (q)</b>	<b>\$2,994.96</b>
---------------------------	--	-------------------

**TOTAL COST [(c) + (j) + (k) + (p)] \$32,944.56**

**NOTES:**

- Employees subject to prevailing wage requirements to be marked with an \*.
- ODC items should be based on actual costs and supported by historical data and other documentation.
- ODC items that would be considered "tools of the trade" are not reimbursable.
- ODC items should be consistently billed directly to all clients, not just when client will pay for them as a direct cost.
- ODC items when incurred for the same purpose, in like circumstances, should not be included in any indirect cost pool or in overhead rate.

**EXHIBIT 10-H COST PROPOSAL****ACTUAL COST-PLUS-FIXED FEE OR LUMP SUM (FIRM FIXED PRICE) CONTRACTS**

(Bridge Rehabilitation and Replacement Program 17/18 - PW1704/BPMPL - 5008(177))

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

Direct Labor <u>Subtotal</u> per Cost Proposal	Total Hours per Cost Proposal	=	Avg Hourly Rate	6 Month Contract Duration
\$14,645.28	231.00	=	\$63.40	Year 1 Avg Hourly Rate

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

	Avg Hourly Rate	+	Proposed Escalation	=	
Year 1	\$63.40	+	4%	=	\$65.94 Year 2 Avg Hourly Rate
Year 2	\$65.94	+	4%	=	\$68.57 Year 3 Avg Hourly Rate
Year 3	\$68.57	+	4%	=	\$71.32 Year 4 Avg Hourly Rate
Year 4	\$71.32	+	4%	=	\$74.17 Year 5 Avg Hourly Rate

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

	Estimated % Completed Each Year	*	Total Hours per Cost Proposal	=	Total Hours per Year	
Year 1	100.00%	*	231.0	=	231.0	Estimated Hours Year 1
Year 2	0.00%	*	0.0	=	0.0	Estimated Hours Year 2
Year 3	0.00%	*	0.0	=	0.0	Estimated Hours Year 3
Year 4	0.00%	*	0.0	=	0.0	Estimated Hours Year 4
Year 5	0.00%	*	0.0	=	0.0	Estimated Hours Year 5
Total	100%		Total	=	231.0	

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

	Avg Hourly Rate (calculated above)	*	Estimated hours (calculated above)	=	Cost per Year	
Year 1	\$63.40	*	231	=	\$14,645.28	Estimated Hours Year 1
Year 2	\$65.94	*	0	=	\$0.00	Estimated Hours Year 2
Year 3	\$68.57	*	0	=	\$0.00	Estimated Hours Year 3
Year 4	\$71.32	*	0	=	\$0.00	Estimated Hours Year 4
Year 5	\$0.00	*	0	=	\$0.00	Estimated Hours Year 5
	Total Direct Labor Cost with Escalation			=	\$14,645.28	
	Direct Labor Subtotal before Escalation			=	\$14,645.28	
	Estimated total of Direct Labor Salary			=	<b>\$0.00</b>	Transfer to Page 1

## NOTES:

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

**EXHIBIT 10-H2 COST PROPOSAL**

**Certification of Direct Costs:**


I, the undersigned, certify to the best of my knowledge and belief that all direct costs identified on the cost proposal(s) in this contract are actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

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

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

**Prime Consultant or Subconsultant Certifying:**

Name: Brian Frazier Title \*: Vice President

Signature :  Date of Certification (mm/dd/yyyy): 10/9/2018

Email: bfrazier@ctaes.net Phone Number: 916-638-0919

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

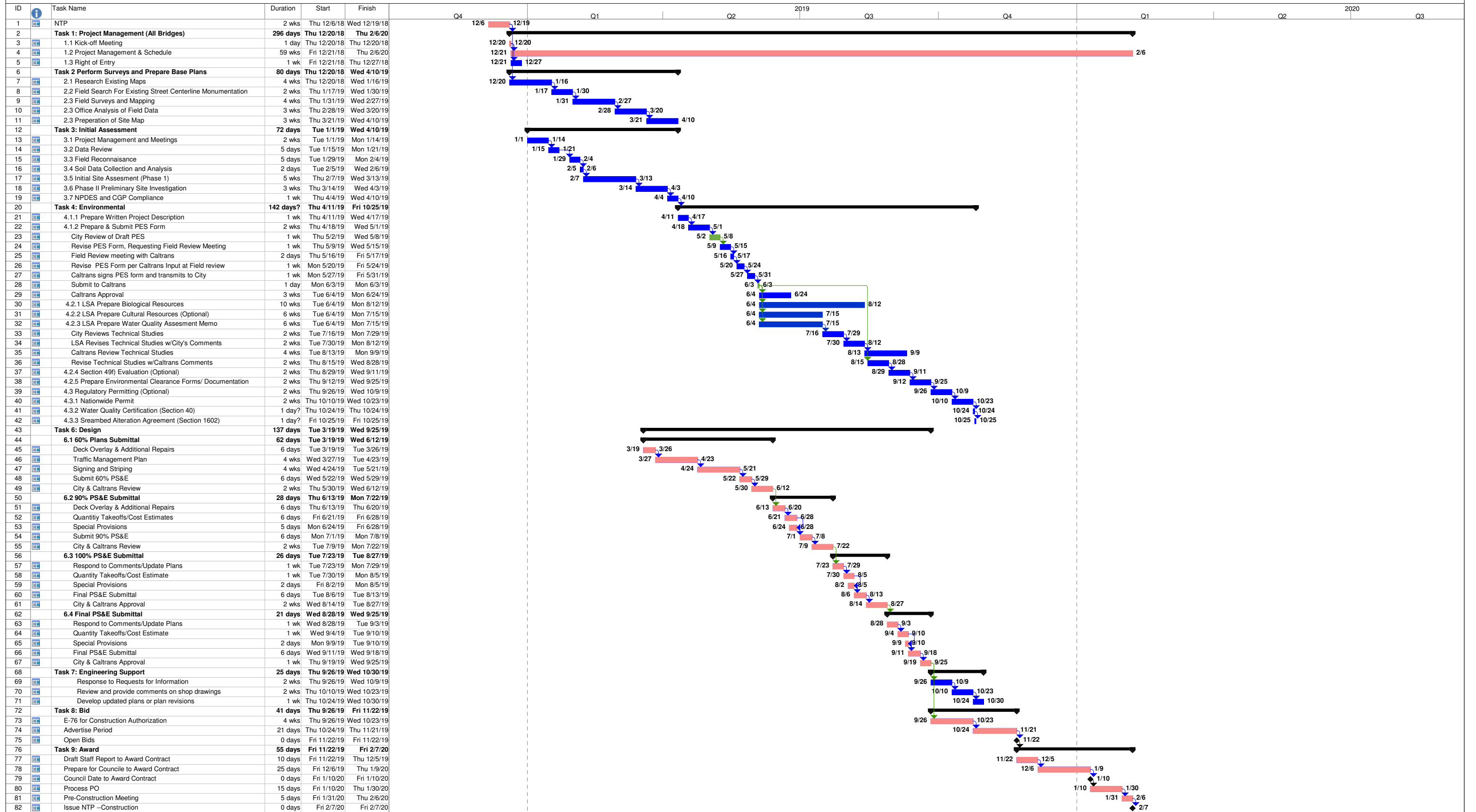
List services the consultant is providing under the proposed contract:

(List Type of Engineering Services to be provided)





**City of Stockton  
Professional Services for the Bridge Rehabilitation & Replacement Program 2017/18 Project  
Federal Project No.: BPMP - 5008 (177)  
City Project No. PW1704**



**Exhibit D:**  
**Insurance Requirements for Professional Services**  
 (RFP – BRIDGE REHABILITATION & REPLACEMENT PROGRAM 2017/18)

Consultant shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Consultant, its agents, representatives, or employees.

**MINIMUM SCOPE AND LIMIT OF INSURANCE**

Coverage shall be at least as broad as:

1. **Commercial General Liability (CGL):** Insurance Services Office Form CG 00 01 covering CGL on an “occurrence” basis, including products and completed operations, property damage, bodily injury and personal & advertising injury with limits no less than **\$1,000,000** per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this project/location or the **general aggregate limit shall be twice** the required occurrence limit.
2. **Automobile Liability:** Insurance Services Office Form Number CA 0001 covering, Code 1 (any auto), or if Consultant has no owned autos, Code 8 (hired) and 9 (non-owned), with limit no less than **\$1,000,000** per accident for bodily injury and property damage.
3. **Workers’ Compensation** insurance as required by the State of California, with Statutory Limits, and Employer’s Liability Insurance with limit of no less than **\$1,000,000** per accident for bodily injury or disease. ***(Not required if consultant provides written verification it has no employees)***
4. **Professional Liability (Errors and Omissions)** Insurance appropriate to the Consultant’s profession, with limit no less than **\$2,000,000** per occurrence or claim, \$2,000,000 aggregate. (If Claims-made, see below.)

If the Consultant maintains higher limits than the minimums shown above, the City of Stockton requires and shall be entitled to coverage for the higher limits maintained by the consultant. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the City of Stockton.

**Other Insurance Provisions**

The insurance policies are to contain, or be endorsed to contain, the following provisions:

**Additional Insured Status**

**The City of Stockton, its Mayor, Council, officers, representatives, agents, employees and volunteers are to be covered as additional insureds on the CGL**

policy and AL policy with respect to liability arising out of work or operations performed by or on behalf of the Consultant including materials, parts, or equipment furnished in connection with such work or operations. General liability coverage can be provided in the form of an endorsement to the Consultant's insurance (**at least as broad as** ISO Form CG 20 10 11 85 or both CG 20 10 and CG 20 37 forms if later revisions used). Additional insured Name of Organization shall read "City of Stockton, its Mayor, Council, officers, representatives, agents, employees and volunteers." Policy shall cover City of Stockton, its Mayor, Council, officers, representatives, agents, employees and volunteers for all locations work is done under this contract.

### **Primary Coverage**

For any claims related to this contract, the **Consultant's insurance coverage shall be endorsed as primary** insurance as respects the City of Stockton, its Mayor, Council, officers, representatives, agents, employees and volunteers. Any insurance or self-insurance maintained by the City of Stockton, its Mayor, Council, officers, representatives, agents, employees and volunteers shall be excess of the Consultant's insurance and shall not contribute with it. The City of Stockton does not accept endorsements limiting the Consultant's insurance coverage to the sole negligence of the Named Insured.

### **Notice of Cancellation**

Each insurance policy required above shall state that **coverage shall not be canceled, except with notice to the City of Stockton.**

### **Waiver of Subrogation**

Consultant hereby grants to City of Stockton a waiver of any right to subrogation which any insurer of said Consultant may acquire against the City of Stockton by virtue of the payment of any loss under such insurance. Consultant agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies regardless of whether or not the City of Stockton has received a waiver of subrogation endorsement from the insurer.

### **Deductibles and Self-Insured Retentions**

Any deductibles or self-insured retentions must be declared to and approved by the City of Stockton Risk Services. The City of Stockton may require the Consultant to provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention.

### **Acceptability of Insurers**

Insurance is to be placed with insurers with a current A.M. Best's rating of no less than A:VII if admitted to do business in the State of California; if not admitted to do business in the State of California, insurance is to be placed with insurers with a current A.M. Best's rating of no less than A+:X.

### **Claims Made Policies**

If any of the required policies provide coverage on a claims-made basis:

1. The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work.
2. If Claims Made policy form is used, a three (3) year discovery and reporting tail period of coverage is required after completion of work.

### **Verification of Coverage**

Consultant shall furnish the City of Stockton with original certificates and amendatory endorsements required by this clause. All certificates and endorsements are to be received and approved by the City of Stockton Risk Services before work commences. Failure to obtain the required documents prior to the work beginning shall not waive the Consultant's obligation to provide them. The City of Stockton reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time, for any reason or no reason.

Consultant shall, prior to the commencement of work under this Agreement, provide the City of Stockton with a copy of its Declarations Page and Endorsement Page for each of the required policies.

### **Certificate Holder Address**

Proper address for mailing certificates, endorsements and notices shall be:

- City of Stockton
- 400 E Main Street, 3rd Floor – HR
- Attn: City Risk Services
- Stockton, CA 95202

City of Stockton Risk Services Phone: 209-937-5037

City of Stockton Risk Services Fax: 209-937-8558

### **Maintenance of Insurance**

If at any time during the life of the Contract or any extension, the Consultant fails to maintain the required insurance in full force and effect, all work under the Contract shall be discontinued immediately. Any failure to maintain the required insurance shall be sufficient cause for the CITY to terminate this Contract.

### **Subcontractors**

Consultant shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and Consultant shall ensure that City of Stockton is an additional insured on insurance required from subcontractors.

### **Special Risks or Circumstances**

City of Stockton reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>	<b>Directive No. HR-15</b>	<b>Page No. 1 of 14</b>
<b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

**I. PURPOSE**

The purpose of this policy is to reaffirm the City's commitment to demonstrating respect for all individuals by strictly prohibiting discrimination and harassment, including sexual harassment in the workplace. This policy defines prohibited behavior and conduct, and sets forth a procedure for reporting, investigating and resolving complaints of discrimination, harassment, in the workplace, including retaliation and hostile work environment.

**II. POLICY**

- A. The City of Stockton prohibits any form of discrimination and/or harassment of any person based on race, religious creed, color, national origin, ancestry, military and veterans status, physical or mental disability, medical condition, genetic characteristics or information, denial of family and medical care leave, marital status, sexual orientation, sex (including gender, gender identity, gender expression, transgender, pregnancy, childbirth and breastfeeding), political affiliation, age (40 and older), concerted labor activity, or any other category or attribute consistent with state or federal law. All such discrimination and harassment is unlawful and shall not be tolerated. In addition, under the federal Affordable Care Act (ACA), the City of Stockton prohibits discrimination and/or harassment, or retaliation against an employee who obtains coverage, receives a tax credit or subsidy through the Health Care "Market Place" or "Exchange."
- B. It is an unlawful employment practice to discriminate against or to harass an unpaid intern or volunteer on the basis of any legally protected classification unless an exception applies, such as a bona fide occupational qualification.
- C. The City will neither tolerate nor condone discrimination and/or harassment of employees by managers, supervisors, co-workers, or non-employees with whom City employees have a business service, or professional relationship.
- D. All City employees and non-employees share a responsibility to assist in

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	Directive No. <b>HR-15</b>	Page No. <b>2 of 14</b>
	Effective Date:  <b>5/1/2015</b>	Revised From: <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

maintaining an employment environment free of discrimination and harassment. This policy applies to all aspects of City employment, including, but not limited to, hiring, reassignment, placement, promotion, employment action, disciplinary action, layoff, reemployment, transfer, leave of absence, compensation and benefits, training; or other terms of treatment of that person in an unpaid internship, or another limited duration program to provide unpaid work experience for that person, or the harassment of an unpaid intern or volunteer.

- E. All allegations of discrimination and/or harassment shall be investigated immediately by the City, in accordance with this policy. If it is determined that any prohibited activity has occurred, remedial action shall be taken. Such action may include discipline up to and including discharge. In addition, under applicable law, individual supervisors and employees may be subject to personal liability and/or punitive damages in any litigation arising as a result of such conduct.
- F. All new hires shall attend harassment awareness training, and supervisors and managers shall attend harassment awareness and prevention training for supervisors every two years.
- G. The City of Stockton prohibits retaliation against any employee or non-employee by another employee, non-employee, supervisor, or manager for reporting, filing, testifying, assisting or participating in any manner in any investigation, proceeding, or hearing conducted by the employer or a federal or state enforcement agency.
- H. This policy applies to all officials, employees, volunteers, unpaid interns, agents, or contractors of the City.
- I. This policy shall be administered by the Director of Human Resources.

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>	<b>Directive No. HR-15</b>	<b>Page No. 3 of 14</b>
<b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Effective Date:  5/1/2015</b>	<b>Revised From: 7/27/09 4/6/09 3/1/2010 (see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

**III. DEFINITION AND EXAMPLES OF DISCRIMINATION AND HARASSMENT**

- A. "Discrimination," as used in this policy, is any action, behavior, practice, or process that is intended to deny, or results in the denial of, employment rights, privileges, or benefits because of a person's race, religious creed, color, national origin, ancestry, military and veterans status, physical or mental disability, medical condition, genetic characteristics or information, denial of family and medical care leave, marital status, sexual orientation, sex (including gender, gender identity, gender expression, transgender, pregnancy, childbirth and breastfeeding), political affiliation, age (40 and older), concerted labor activity, or any other prohibition identified under state and federal law. The following are examples of conduct that may constitute discrimination:
1. Soliciting applications from a source where all or most of potential workers are of the same race or color.
  2. Considering a person's gender as the basis for differences in pay, work assignments, performance evaluations, training, discipline, or any other area of employment; and
  3. Questioning a job applicant about the existence, nature and severity of a disability.
- B. "Harassment," as used in this policy, consists of any conduct affecting another person because of his or her race, religious creed, color, national origin, ancestry, military and veterans status, physical or mental disability, medical condition, genetic characteristics or information, denial of family and medical care leave, marital status, sexual orientation, sex (including gender, gender identity, gender expression, transgender, pregnancy, childbirth and breastfeeding), political affiliation, age (40 and older), concerted labor activity, or any other category or attribute identified under state and federal law when such conduct has the purpose or the effect of: (1) creating an intimidating, hostile or offensive work environment; (2) unreasonably interfering with the employee's or non-employee's work performance; or (3)



**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Directive No. HR-15</b>	<b>Page No. 4 of 14</b>
	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

otherwise adversely affecting an employee's or non-employee's employment opportunities.

Harassment may take many forms, including, but not limited to, the following examples:

1. Verbal Harassment: Epithets, derogatory and offensive comments or slurs based on race, religion, color, national origin, ancestry, physical or mental disability, marital status, pregnancy, medical condition, gender, sexual orientation, political affiliation, age, or any other category or attribute identified under state and federal law.
  2. Physical Harassment: Assault, impeding or blocking movement that results in the physical interference with normal work or movement on the basis of race, religion, color, national origin, ancestry, physical or mental disability, marital status, pregnancy, medical condition, gender, sexual orientation, political affiliation, age, or any other category or attribute identified under state and federal law.
  3. Visual Harassment: The displaying of posters, photography, notices, bulletins, e-mails, cartoons or drawings with derogatory and offensive content based on race, religion, color, national origin, ancestry, physical or mental disability, marital status, pregnancy, medical condition, gender, sexual orientation, political affiliation, age, or any other category or attribute identified under state and federal law.
- C. "Sexual harassment," as used in this policy, is a subcategory of harassment, and is specifically defined by law as unwanted sexual advances, requests for sexual favors or visual, verbal or physical conduct of a sexual nature when:
1. Submission to such conduct is made a term or condition of employment; or
  2. Submission to or rejection of such conduct is used as a basis for employment decisions affecting the individual; or

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	Directive No. <b>HR-15</b>	Page No. <b>5 of 14</b>
	Effective Date:  <b>5/1/2015</b>	Revised From: <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

3. Such conduct has the purpose or effect of unreasonably interfering with an employee's or non-employee's work performance or creating an intimidating, hostile or offensive working environment because of the persistent, severe or pervasive nature of the conduct.

Examples of Sexual Harassment include, but are not limited to the following:

- a. Unwelcome sexual overtures or propositions.
- b. Offering employment benefits or status in exchange for sexual favors.
- c. Making or threatening retaliation after a negative response to sexual advances.
- d. Visual conduct such as leering, making sexual gestures, displaying sexually suggestive objects or pictures, cartoons, calendars or posters.
- e. Verbal conduct such as using epithets or slurs, telling sexually explicit jokes, or making derogatory or suggestive comments about a person's body or dress.
- f. Written communications of a sexual nature distributed in hard copy, soft copy or via a computer network.
- g. Verbal abuse of a sexual nature, graphic verbal commentary about an individual's body, sexually degrading words to describe an individual, suggestive or obscene letters, notes or invitations.
- h. Physical conduct such as touching, assaulting, impeding or blocking movements.

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>	<b>Directive No. HR-15</b>	<b>Page No. 6 of 14</b>
<b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Effective Date:  5/1/2015</b>	<b>Revised From: 7/27/09 4/6/09 3/1/2010 (see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

- i. Retaliation for making harassment reports or threatening to report harassment.
- D. Affordable Care Act (ACA) Anti-Retaliation  
Pursuant to section §1558 of the Affordable Care Act, the City prohibits discrimination or retaliation towards any employee who:
1. Receives a health insurance tax credit or subsidy through the Health Care “Marketplace” or “Exchange”, by which can trigger a penalty payable by the employer;
  2. Reports potential violations of protections afforded under Title I of the Act, which provides guaranteed availability protections among other things;
  3. Testifies in a proceeding concerning such violation;
  4. Assists or participates in a proceeding concerning a violation; or
  5. Objects to, or refuses to participate in, any activity, policy, practice, or assigned task that the employee reasonably believes to be in violation of any provision of the Title I of the Act.

An employee who believes that he or she has been discharged or otherwise discriminated against in violation of section §1558 of the Affordable Care Act may seek relief in accordance with the procedures, notifications, burdens of proof, remedies, and statutes of limitation set forth in section 2087(b) of title 15, United States Code.

#### **IV. REPORTING AND COMPLAINT PROCEDURES**

##### **A. Immediate Action Required**

The City’s reporting and complaint procedures provide for an immediate, thorough and objective investigation of discrimination or harassment claims, appropriate disciplinary action taken against any person found to have engaged in prohibited behavior, and appropriate alternative remedies to any

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Directive No. HR-15</b>	<b>Page No. 7 of 14</b>
	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

employee or non-employee subject to discrimination or harassment. To accomplish this, such incidents must be reported immediately to a supervisor or manager.

1. Employee's and Non-Employee's Responsibilities when Subjected to Discrimination and/or Harassment
  - a. Employees or non-employees who believe they have been subjected to discrimination or harassment, or are aware of discrimination or harassment against others, shall report the situation immediately to his/her supervisor or manager, except as specified in subsection (b), below. Employees and non-employees shall report any such incidents occurring in the workplace, whether committed by coworkers, supervisors or managers, or third persons doing business with the City, such as customers or vendors, or other non-employees. If comfortable doing so, an employee or non-employee who has a complaint of discrimination or harassment is encouraged to directly inform the person(s) engaging in the behavior that such conduct is offensive and insist the behavior to stop.
  - b. Employees and non-employees must immediately contact a supervisor or manager to register a complaint of discrimination or harassment, unless that supervisor or manager is the individual engaging in the unwanted behavior. In that case, the employee or non-employee may contact someone at the next supervisory level. If the employee or non-employee feels uncomfortable dealing directly with his or her immediate supervisor or manager, he or she may contact the department head, or the Director of Human Resources (or either of their designees) to register a complaint of discrimination or harassment.
  - c. Employees and non-employees may file a formal complaint of harassment or discrimination with their department head or

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	Directive No. <b>HR-15</b>	Page No. <b>8 of 14</b>
	Effective Date:  <b>5/1/2015</b>	Revised From: <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

with Human Resources. To assist the City in conducting a thorough investigation, complaints shall be submitted in writing and shall include specific details of the incident(s), the names of the individuals involved, the names of any witnesses, and any documentary evidence (notes, pictures, cartoons, etc.) that will corroborate the allegations.

- d. Employees and non-employees shall immediately report any retaliation to a supervisor, manager, department head or Director of Human Resources (or designee). All retaliation complaints shall be immediately, objectively and thoroughly investigated in accordance with the investigation procedures. If a report of retaliation is substantiated, appropriate disciplinary action, up to and including discharge shall be taken.
2. Supervisor's or Manager's Responsibilities to Eliminate Discrimination and/or Harassment
- a. A supervisor or manager is responsible for enforcing the City's discrimination and harassment policy. Supervisors or managers must ensure that all employees and non-employees are aware of the City's policy through open discussion of the policy at staff meetings and by posting the policy in a conspicuous location accessible to all staff members.
  - b. A supervisor or manager shall be cognizant of employees' and non-employees' behavior and shall not permit any employee or non-employee under their supervision to be subjected to or engage in any conduct prohibited by this policy.
  - c. A supervisor or manager who observes conduct prohibited by this policy shall immediately direct the employee or non-employee to cease the conduct.

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Directive No. HR-15</b>	<b>Page No. 9 of 14</b>
	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

- d. A supervisor or manager who receives a complaint of prohibited conduct is required to take the complaint seriously, and report the matter immediately to the department head; be supportive of the complainant; ensure there is no retaliation against the complainant; conduct an internal fact-finding review into the allegations; obtain as much detailed information as possible; thoroughly document the findings; communicate in written form to the parties the resolution of the complaint; and report to and consult with the Human Resources Department promptly, without delay.
- B. Confidentiality. The City will make every effort to protect the privacy and confidentiality of all parties involved, as well as any information and/or documentation obtained, to the extent possible consistent with a thorough investigation.
- C. Penalty for Non-Compliance. The City shall take disciplinary action, up to and including discharge, against any supervisor or manager who fails in his/her responsibility to take immediate action in response to an employee's or non-employee's complaint of discrimination or harassment. Further, such disciplinary action shall be taken against a supervisor or manager who fails to stop discriminatory or harassing conduct committed in his/her presence or to stop such conduct about which the supervisor or manager has knowledge.
- V. INVESTIGATION PROCEDURES**
- A. Determination of Responsibility for Investigation

If a formal complaint is filed with the department head or the Director of Human Resources (or either of their designees), the department head and the Director of Human Resources shall consult with one another to determine whether the department or Human Resources shall conduct the fact-finding investigation into the allegations. Either the department head or the Director of Human Resources (or either of their designees), depending on who is

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Directive No. HR-15</b>	<b>Page No. 10 of 14</b>
	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

responsible for the investigation, shall issue written notification to the complainant and alleged harasser(s). The notification shall specify the nature of the complaint, and inform the parties that an investigation into the allegations of discrimination and/or harassment shall be conducted.

**B. Investigative Guidelines**

The investigation shall include the following steps taken in the order best suited to the circumstances:

1. Identify and preserve the evidence.
2. Confirm the name and position of the complainant. Interview the complainant.
3. Allow the complainant the opportunity to place the complaint in writing.
4. Obtain the identity of the alleged harasser(s).
5. Obtain as many details as possible regarding the incident(s) that prompted the complaint, including the number of occurrences, dates, times, locations, and witnesses (if applicable).
6. Ascertain how the complainant felt about the alleged incident when it occurred; complainant's response(s) to the alleged behavior; and witness statements (if applicable).
7. Ascertain if any threats or promises were made in connection with the alleged harassment.
8. Ascertain if the complainant knows of or suspects that there are other victims of harassment by the same person(s).
9. Ascertain whether the complainant has spoken to anyone, especially

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>	<b>Directive No. HR-15</b>	<b>Page No. 11 of 14</b>
<b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Effective Date:  5/1/2015</b>	<b>Revised From: 7/27/09 4/6/09 3/1/2010 (see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

supervisors, about the harassment.

10. Ascertain what resolution would be acceptable to the complainant.
11. Interview the alleged harasser to get his or her side of the story, including any possible motivation for a false allegation.
12. Interview witnesses who were identified by the complainant regarding the alleged harasser or other persons identified during the investigation.
13. Interview witnesses who were identified by the alleged harasser or other persons identified during the investigation.
14. Advise all participants that the investigation is "confidential" and not to engage in any retaliatory conduct, as such conduct is subject to disciplinary action up to and including discharge. Confidentiality will be maintained to the extent possible. An individual who is interviewed during the course of an investigation is prohibited from discussing the substance of the interview, except as otherwise directed by a supervisor or the Director of Human Resources. Any individual who discusses the content of an investigatory interview will be subject to discipline or other appropriate sanction.
15. Conduct follow-up interviews, if warranted.
16. Prepare report of findings and discuss with management and designated legal staff.

**VI. RESPONDING TO THE COMPLAINT**

- A. Following the completion of the fact-finding investigation, either the department head or the Director of Human Resources (or either of their designees), depending on who is responsible for the investigation, shall



**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>	<b>Directive No. HR-15</b>	<b>Page No. 12 of 14</b>
<b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Effective Date:  5/1/2015</b>	<b>Revised From: 7/27/09 4/6/09 3/1/2010 (see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

make a report of findings, along with a recommendation regarding the appropriate remedial action to be taken, if warranted. The recommendation shall be made after reviewing the findings of the investigation, giving consideration to all factual information, the nature of the alleged conduct, and the totality of the circumstances. If the investigation was conducted by the Director of Human Resources, or designee, the Director, or designee, shall confer with the affected department head and both shall concur on the remedial action to be taken, if any. If the investigation was conducted by the department head, the department head shall confer with the Director of Human Resources prior to making the report of findings and both shall concur on the remedial action to be taken, if any.

- B. If either the department head or the Director of Human Resources does not concur with the findings and recommendation of the other, the City Attorney (or designee) shall review and resolve the matter in dispute.
- C. Report of findings and recommendation shall be treated as a confidential document and no other distribution shall be made without first consulting with the City Attorney's Office. A completed investigation report will not be disclosed, except as it is deemed necessary to support a disciplinary action, to take remedial action, to defend the City in adversarial proceedings, or to comply with the law or court order.
- D. Either the department head or the Director of Human Resources (or either of their designees), depending on who is responsible for the investigation shall provide a written response to the complainant and the person alleged to have committed the misconduct, discrimination and/or harassment. The response shall include a copy of the City's discrimination and harassment policy and a memorandum indicating the City's determination as to whether the complaint is:
  1. Unsustained: The investigation failed to disclose sufficient evidence to substantiate the allegation(s).
  2. Unfounded: The investigation proved that the act(s) or omission(s)

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Directive No. HR-15</b>	<b>Page No. 13 of 14</b>
	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

complained of did not occur. The finding also applies when the individual employee(s) named in the complaint were not involved in the act(s) or omission(s) alleged.

3. Sustained: The investigation disclosed sufficient evidence to substantiate the allegation(s) made in the complaint; appropriate action will be taken.

E. Details regarding any specific fact-findings or disciplinary action to be taken will not be communicated to the complainant. The City Attorney shall review the response for legal sufficiency before dissemination.

F. The City shall close and retain the investigation file, in accordance with applicable laws, regulations, and City policy regarding retention of City records.

## **VII. DISCIPLINE**

Disciplinary action imposed as a result of any investigation conducted pursuant to this policy shall be commensurate with the severity of the offense, up to and including discharge, even for a first offense.

## **VIII. ALTERNATIVE REMEDIES**

If upon exhausting all internal remedies to file, investigate, and respond to a charges of discrimination/harassment, pursuant to title VII of the Federal Civil Rights Act of 1964 (42 U.S.C §§ 2000e *et seq.*), any person has a right to file a charge of discrimination/harassment with the Equal Employment Opportunity Commission ("EEOC"). In addition, pursuant to the California Fair Employment and Housing Act (Gov. Code §§ 12900 – 12996.) a person may also file a complaint of discrimination/harassment with the California Department of Fair Employment and Housing ("DFEH"). Employees or non-employees who believe that they have been subjected to discrimination/harassment may file a complaint with either of these

**CITY OF STOCKTON, CALIFORNIA  
CITY MANAGER ADMINISTRATIVE DIRECTIVE**

<b>Subject:</b>  <b>DISCRIMINATION AND HARASSMENT POLICY</b>	<b>Directive No. HR-15</b>	<b>Page No. 14 of 14</b>
	<b>Effective Date:</b>  <b>5/1/2015</b>	<b>Revised From:</b> <b>7/27/09</b> <b>4/6/09</b> <b>3/1/2010</b> <b>(see below)</b>

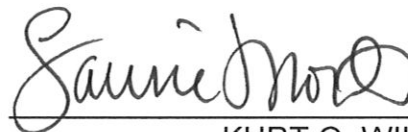
PER-015 (Sexual Harassment in the Workplace) revised from 10/21/94, 5/1/95, 1/1/98  
PER-037 (Sexual Harassment Investigative Procedures) revised from 2/15/93

agencies. Both the EEOC and DFEH serve as neutral fact-finders and attempt to assist parties in resolving disputes voluntarily.

**IX. COMMUNICATION OF POLICY**

This policy shall be provided to all managers, supervisors, employees, volunteers, unpaid interns, agents or contractors of the City and shall be posted in the appropriate places. All employees shall participate in City approved harassment awareness training as directed by management or Human Resources; and all supervisors, as required by law, shall participate in City approved interactive harassment awareness training and education sessions at least once every two years, or as otherwise specified by law.

APPROVED:



KURT O. WILSON  
CITY MANAGER

**EXHIBIT “F”**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

<b>CONTENTS</b>	
<b>ARTICLE I INTRODUCTION.....</b>	<b>2</b>
<b>ARTICLE II STATEMENT OF WORK.....</b>	<b>3</b>
<b>ARTICLE III CONSULTANT’S REPORTS OR MEETINGS .....</b>	<b>4</b>
<b>ARTICLE IV PERFORMANCE PERIOD.....</b>	<b>4</b>
<b>ARTICLE V ALLOWABLE COSTS AND PAYMENTS.....</b>	<b>4</b>
<b>ARTICLE VI TERMINATION.....</b>	<b>6</b>
<b>ARTICLE VII COST PRINCIPLES AND ADMINISTRATIVE REQUIREMENTS.....</b>	<b>6</b>
<b>ARTICLE VIII RETENTION OF RECORDS/AUDIT .....</b>	<b>7</b>
<b>ARTICLE IX AUDIT REVIEW PROCEDURES .....</b>	<b>7</b>
<b>ARTICLE X SUBCONTRACTING.....</b>	<b>9</b>
<b>ARTICLE XI EQUIPMENT PURCHASE .....</b>	<b>10</b>
<b>ARTICLE XII STATE PREVAILING WAGE RATES.....</b>	<b>11</b>
<b>ARTICLE XIII CONFLICT OF INTEREST.....</b>	<b>11</b>
<b>ARTICLE XIV REBATES, KICKBACKS OR OTHER UNLAWFUL CONSIDERATION ....</b>	<b>12</b>
<b>ARTICLE XV PROHIBITION OF EXPENDING CITY, STATE OR FEDERAL FUNDS FOR LOBBYING.....</b>	<b>12</b>
<b>ARTICLE XVI STATEMENT OF COMPLIANCE .....</b>	<b>13</b>
<b>ARTICLE XVII DEBARMENT AND SUSPENSION CERTIFICATION .....</b>	<b>14</b>
<b>ARTICLE XVIII FUNDING REQUIREMENTS .....</b>	<b>15</b>
<b>ARTICLE XIX CHANGE IN TERMS.....</b>	<b>15</b>
<b>ARTICLE XX DISADVANTAGED BUSINESS ENTERPRISES (DBE) PARTICIPATION .</b>	<b>15</b>
<b>ARTICLE XXI CONTINGENT FEE.....</b>	<b>17</b>
<b>ARTICLE XXII DISPUTES .....</b>	<b>18</b>
<b>ARTICLE XXIII INSPECTION OF WORK.....</b>	<b>18</b>
<b>ARTICLE XXIV SAFETY.....</b>	<b>18</b>
<b>ARTICLE XXV INSURANCE.....</b>	<b>19</b>
<b>ARTICLE XXVI OWNERSHIP OF DATA.....</b>	<b>19</b>
<b>ARTICLE XXVII CLAIMS FILED BY THE CITY’S CONSTRUCTION CONTRACTOR.....</b>	<b>20</b>
<b>ARTICLE XXVIII CONFIDENTIALITY OF DATA.....</b>	<b>20</b>

**EXHIBIT “F”**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

This form shall be physically attached to Professional Services Contract

<b>ARTICLE XXIX NATIONAL LABOR RELATIONS BOARD CERTIFICATION.....</b>	<b>21</b>
<b>ARTICLE XXX EVALUATION OF CONSULTANT.....</b>	<b>21</b>
<b>ARTICLE XXXI RETENTION OF FUNDS.....</b>	<b>21</b>
<b>ARTICLE XXXII NOTIFICATION .....</b>	<b>22</b>
<b>ARTICLE XXXIII CONTRACT.....</b>	<b>22</b>
<b>ARTICLE XXXIV SIGNATURES .....</b>	<b>22</b>

**Additional California Department of Transportation (Caltrans) Exhibits  
Incorporated:**

Exhibit 10-O2 “Consultant Contract Disadvantaged Business Enterprise Commitment”

**ARTICLE I INTRODUCTION**

The provisions contained in this exhibit are hereby made a part of the consultant contract for this project. The provisions are additive to the Professional Services Contract and shall be physically attached to the Contract.

“Scope of Services” in the following articles is defined as the combination of the project scope of work and the corresponding fee to complete the scope of work.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMP-5008(177)*

This form shall be physically attached to Professional Services Contract

---

**ARTICLE II STATEMENT OF WORK**

- A. Services to be Furnished  
See Exhibit "A", Scope of Services of the Professional Services Contract.
- B. Design Standards  
The Consultant shall perform the services in accordance with the City of Stockton Standard Plans & Specifications (current edition), and Caltrans 2010 Standard Plans & Specifications and any amendments thereto.
- C. Consultant's Endorsement on Plans, Specification and Estimates/other Data  
The responsible Consultant/engineer shall sign all plans, specifications, estimates (PS&E) and engineering data furnished by him/her, and where appropriate, indicate his/her California registration number.
- D. Right of Way  
See Exhibit "A", Scope of Services of the Professional Services Contract.
- E. Subsurface Investigation  
See Exhibit "A", Scope of Services of the Professional Services Contract.
- F. The City's Obligations  
See Section 7 "Rights and Duties of City", of the Professional Services Contract.
- G. Conferences, Visits to Site, Inspection of Work  
The Consultant and any subcontractor shall permit the CITY, the state, and the FHWA if federal participating funds are used in this contract; to meet, review, and inspect the project activities and files at all reasonable times during the performance period of this contract including review and inspection on a daily basis. Cost incurred by Consultant for meetings, subsequent to the initial meeting shall be included in the fee.
- H. Checking Shop Drawings/Submittals  
See Exhibit "A", Scope of Services of the Professional Services Contract.
- I. Documentation  
The Consultant shall document the results of their services to the satisfaction of the CITY, and if applicable, the state and FHWA. This may include preparation of progress and final reports, plans, specifications and estimates, or similar evidence of attainment of the scope of work objectives.

**EXHIBIT “F”**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

- J. Number of Copies  
See Exhibit “A”, Scope of Services of the Professional Services Contract.
- K. Surveys  
See Exhibit “A”, Scope of Services of the Professional Services Contract, to determine if Consultant will be providing survey services.
- L. Consultant Services During Construction  
See Exhibit “A”, Scope of Services of the Professional Services Contract, to determine if Consultant will be providing services during construction, such as materials testing, construction surveys, etc. Also see Exhibit “B,” Compensation to the Professional Services Contract, for method of payment requirements.

**ARTICLE III CONSULTANT’S REPORTS OR MEETINGS**

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

**ARTICLE IV PERFORMANCE PERIOD**

- A. Effective Contract Dates  
See Section 5 – Schedule and Term of the Professional Services Contract.
- B. Contract Award  
Consultant is advised that any recommendation for contract award is not binding on the CITY until the contract is fully executed and approved by the CITY.

**ARTICLE V ALLOWABLE COSTS AND PAYMENTS**

- A. The method of payment for this contract will be based on actual cost plus a fixed fee. The CITY will reimburse Consultant for actual costs (including labor costs, employee benefits, travel, equipment rental costs, overhead and other direct costs) incurred by Consultant in performance of the work. Consultant will not be reimbursed for actual costs that exceed the estimated wage rates, employee benefits, travel, equipment rental, overhead, and other estimated costs set forth in the approved Consultant’s Scope of Services, unless additional reimbursement is provided for by contract

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

**This form shall be physically attached to Professional Services Contract**

---

amendment. In no event, will Consultant be reimbursed for overhead costs at a rate that exceeds the CITY's approved overhead rate set forth in the Scope of Services. In the event, that the CITY determines that a change to the work from that specified in the Scope of Services and contract is required, the contract time or actual costs reimbursable by the CITY shall be adjusted by Contract Change Order to accommodate the changed work. The maximum total cost as specified in Paragraph "H" shall not be exceeded, unless authorized by Contract Change Order.

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



**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

City of Stockton, Public Works Department  
 22 E. Weber Avenue, Room 301  
 Stockton, CA, 95202

H. The total amount payable by the CITY including the fixed fee shall not exceed the amount noted in Section 2 – Compensation of the Professional Services Contract.

I. Salary increases will be reimbursable if the new salary is within the salary range identified in the approved Scope of Services and is approved by the Public Works Director.

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

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

**ARTICLE VI TERMINATION**

A. Termination of Contract  
 See Section 11 of the Professional Services Contract.

B. Liable Amount  
 The maximum amount for which the Government shall be liable if this contract is terminated is for only those costs uncured up to termination of contract.

**ARTICLE VII COST PRINCIPLES AND ADMINISTRATIVE REQUIREMENTS**

A. Consultant agrees that the Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31.000 et seq., shall be used to determine the cost allowability of individual items.

B. Consultant also agrees to comply with federal procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

C. Any costs for which payment has been made to Consultant that are determined by subsequent audit to be unallowable under 49 CFR Part 18 and 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31.000 et seq., are subject to repayment by Consultant to the CITY.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

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

**ARTICLE VIII RETENTION OF RECORDS/AUDIT**

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

**ARTICLE IX AUDIT REVIEW PROCEDURES**

- A. Any dispute concerning a question of fact arising under an interim or post audit of this contract that is not disposed of by agreement, shall be reviewed by the CITY's Chief Financial Officer.
- B. Not later than 30 days after issuance of the final audit report, Consultant may request a review by the CITY's Chief Financial Officer of unresolved audit issues. The request for review will be submitted in writing.
- C. Neither the pendency of a dispute nor its consideration by the CITY will excuse Consultant from full and timely performance, in accordance with the terms of this contract.
- D. For contracts totaling \$150,000 or greater, Consultant and subconsultants' contracts, including Scope of Services and indirect cost rates (ICR), are subject to audits or reviews such as, but not limited to, a Contract Audit, an Incurred Cost Audit, an ICR Audit, or a certified public accountant (CPA) ICR Audit Workpaper Review. If selected for audit or review, the contract, Scope of Services and ICR and related workpapers, if applicable, will be reviewed to verify compliance with 48 CFR, Part 31 and other related laws and regulations. In the instances of a CPA ICR Audit Workpaper Review it is Consultant's responsibility to ensure federal, state, or local government officials are allowed full access to the CPA's workpapers. The contract, Scope of Services, and ICR shall be adjusted by Consultant and approved by CITY

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

project manager to conform to the audit or review recommendations. Consultant agrees that individual terms of costs identified in the audit report shall be incorporated into the contract by this reference if directed by the CITY at its sole discretion. Refusal by Consultant to incorporate audit or review recommendations, or to ensure that the Federal, State, or local governments have access to CPA workpapers, will be considered a breach of contract terms and cause for termination of the contract and disallowance of prior reimbursed costs.

For contracts over \$3,500,000, the following section applies:

- E. Consultant Cost Proposal is subject to a CPA ICR Audit Work Paper Review by Caltrans' Audit and Investigation (Caltrans). Caltrans, at its sole discretion, may review and/or audit and approve the CPA ICR documentation. The Cost Proposal shall be adjusted by the Consultant and approved by the City Contract Administrator to conform to the Work Paper Review recommendations included in the management letter or audit recommendations included in the audit report. Refusal by the Consultant to incorporate the Work Paper Review recommendations included in the management letter or audit recommendations included in the audit report will be considered a breach of the contract terms and cause for termination of the contract and disallowance of prior reimbursed costs.
1. During a Caltrans' review of the ICR audit work papers created by the 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, the City will reimburse the Consultant at a provisional ICR until a FAR compliant ICR {e.g. 48CFR, part 31; GAGAS (Generally Accepted Auditing Standards); CAS (Cost Accounting Standards), if applicable; in accordance with procedures and guidelines of the American Association of State Highways and Transportation Officials Audit Guide; and other applicable procedures and guidelines} is received and approved by A&I. Provisional rates will be as follows:
    - a. If the proposed rate is less than 150% - the provisional rate reimbursed will be 90% of the proposed rate.
    - b. If the proposed rate is between 150% and 200% - the provisional rate will be 85% of the proposed rate.
    - c. If the proposed rate is greater than 200% - the provisional rate will be 75% of the proposed rate.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

- 
2. If Caltrans is unable to issue a cognizant letter per paragraph E.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 E, or if Caltrans is still unable to issue a cognizant approval letter after the revised independent CPA-audited ICR is submitted, overhead cost reimbursement will be limited to the provisional ICR that was established upon initial rejection of the ICR and set forth in paragraph E.1. above for all rendered services. In this event, this provisional ICR will become the actual and final ICR for reimbursement purposes under this contract.
  4. Consultant may submit to City final invoice only when all of the following items have occurred: (1) Caltrans approves or rejects the original or revised independent CPA-audited ICR; (2) all work under this contract has been completed to the satisfaction of City; and, (3) Caltrans has issued its final ICR review letter. The Consultant MUST SUBMIT ITS FINAL INVOICE TO City no later than 60 days after occurrence of the last of these items.

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

**ARTICLE X SUBCONTRACTING**

- A. Nothing contained in this contract or otherwise, shall create any contractual relation between City and any subconsultant(s), and no subcontract shall relieve Consultant of its responsibilities and obligations hereunder. Consultant agrees to be as fully responsible to City 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 City's obligation to make payments to the Consultant.
- B. Consultant shall perform the work contemplated with resources available within its own organization and no portion of the work pertinent to this contract shall be subcontracted without written authorization by City's Contract Administrator, except that, which is expressly identified in the approved Cost Proposal.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

- 
- C. Consultant shall pay its subconsultants within ten (10) calendar days from receipt of each payment made to Consultant by Local Agency.
- D. Any subcontract in excess of \$25,000 entered into as a result of this contract shall contain all the provisions stipulated in this contract to be applicable to subconsultants.
- E. Any substitution of subconsultant(s) must be approved in writing by City's Contract Administrator prior to the start of work by the subconsultant(s).

**ARTICLE XI EQUIPMENT PURCHASE**

- A. Prior authorization in writing, by the CITY's Project Manager shall be required before Consultant enters into any unbudgeted purchase order, or subcontract exceeding \$5,000 for supplies, equipment, or Consultant services. 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 Consultant's Scope of Services and exceeding \$5,000 prior authorization by the CITY's Project Manager; three competitive quotations must be submitted with the request, or the absence of bidding must be adequately justified.
- C. Any equipment purchased as a result of this contract is subject to the following:  
 "Consultant shall maintain an inventory of all nonexpendable property. Nonexpendable property is defined as having a useful life of at least two years and an acquisition cost of \$5,000 or more. If the purchased equipment needs replacement and is sold or traded in, the CITY shall receive a proper refund or credit at the conclusion of the contract, or if the contract is terminated, Consultant may either keep the equipment and credit the CITY in an amount equal to its fair market value, or sell such equipment at the best price obtainable at a public or private sale, in accordance with established CITY procedures; and credit the CITY in an amount equal to the sales price. If Consultant elects to keep the equipment, fair market value shall be determined at Consultant's expense, on the basis of a competent independent appraisal of such equipment. Appraisals shall be obtained from an appraiser mutually agreeable to by the CITY and Consultant, if it is determined to sell the equipment, the terms and conditions of such sale must be approved in advance by the CITY." 49 CFR, Part 18 requires a credit to Federal funds when participating equipment with a fair market value greater than \$5,000 is credited to the project.
- D. All subcontracts in excess \$25,000 shall contain the above provisions.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

**ARTICLE XII STATE PREVAILING WAGE RATES**

- A. Consultant shall comply with the State of California's General Prevailing Wage Rate requirements in accordance with California Labor Code, Section 1770, and all Federal, State, and local laws and ordinances applicable to the work.
- B. Any subcontract entered into as a result of this contract if for more than \$25,000 for public works construction or more than \$15,000 for the alteration, demolition, repair, or maintenance of public works, shall contain all of the provisions of this Article.
- C. When prevailing wages apply to the services described in the scope of work, transportation and subsistence costs shall be reimbursed at the minimum rates set by the Department of Industrial Relations (DIR) as outlined in the applicable Prevailing Wage Determination (see <http://www.dir.ca.gov>).

**ARTICLE XIII CONFLICT OF INTEREST**

- A. Consultant shall disclose any financial, business, or other relationship with the CITY that may have an impact upon the outcome of this contract, or any ensuing CITY construction project. Consultant shall also list current clients who may have a financial interest in the outcome of this contract, or any ensuing CITY construction project, which will follow.
- B. 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 contract.
- C. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all of the provisions of this Article.
- D. Consultant hereby certifies that neither Consultant, nor any firm affiliated with Consultant will bid on any construction contract, or on any contract to provide construction inspection for any construction project resulting from this contract. An affiliated firm is one, which is subject to the control of the same persons through joint-ownership, or otherwise.
- E. Except for subconsultants whose services are limited to providing surveying or materials testing information, no subconsultant who has provided design services in connection with this contract shall be eligible to bid on any construction contract, or on any contract to provide construction inspection for any construction project resulting from this contract.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
**City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)**

**This form shall be physically attached to Professional Services Contract**

- 
- F. Consultant hereby certifies that neither Consultant, its employees, nor any firm affiliated with Consultant providing services on this project prepared the Plans, Specifications, and Estimate for any construction project included within this contract. An affiliated firm is one which is subject to the control of the same persons through joint ownership or otherwise.
- G. Consultant further certifies that neither Consultant nor any firm affiliated with Consultant, will bid on any construction subcontracts included with Construction Contract. Additionally, Consultant certifies that no person working under this contract is also employed by the construction contractor for any project included within this contract.
- H. Except for subconsultants whose services are limited to materials testing, no subconsultant who is providing service on this contract shall have provided services on the design of any project included within this contract.

**ARTICLE XIV REBATES, KICKBACKS OR OTHER UNLAWFUL CONSIDERATION**

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

**ARTICLE XV PROHIBITION OF EXPENDING CITY, STATE OR FEDERAL FUNDS FOR LOBBYING (Applies only to contracts over \$150,000)**

- A. Consultant certifies to the best of his or her knowledge and belief that:
1. No state, federal or City appropriated funds have been paid, or will be paid by-or-on behalf of 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 contract; the making of any state or federal grant; the making of any state or federal loan; the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any state or federal contract, grant, loan, or cooperative agreement.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

This form shall be physically attached to Professional Services Contract

- 
2. If any funds other than federal appropriated funds have been paid, or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency; a Member of Congress; an officer or employee of Congress, or an employee of a Member of Congress; in connection with this federal contract, grant, loan, or cooperative agreement; 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, US. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
- C. 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 subcontracts, which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly.

**ARTICLE XVI STATEMENT OF COMPLIANCE**

- A. Consultant's signature affixed herein, and dated, shall constitute a certification under penalty of perjury under the laws of the State of California that Consultant has, unless exempt, complied with, the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Administrative Code, Section 8103.
- B. During the performance of this Contract, 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), mental disability, medical condition (e.g., cancer), age (over 40), marital status, and denial of family care leave. Firm and subconsultants shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Firm and subconsultants shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Contract by reference and made a part hereof as if set forth in full. Firm and its subconsultants shall give written notice of their obligations under



**EXHIBIT "F"**

**Federal-Aid Consultant Contract Provisions**  
***Bridge Rehabilitation and Replacement Program 2017/18***  
***City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)***

This form shall be physically attached to Professional Services Contract

---

this clause to labor organizations with which they have a collective bargaining or other Contract.

- C. 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 non-discrimination 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 under any program or activity by the recipients of federal assistance or their assignees and successors in interest.
- D. Consultant, with regard to the work performed by it during the contract shall act in accordance with Title VI. Specifically, Consultant shall not discriminate on the basis of race, color, natural 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 US Department of Transportation's regulations, including employment practices with the contract covers a program whose goal is employment.

**ARTICLE XVII DEBARMENT AND SUSPENSION CERTIFICATION**

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

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

This form shall be physically attached to Professional Services Contract

- 
- C. Exceptions to the Federal Government Excluded Parties List System maintained by the General Services Administration are to be determined by the Federal highway Administration.

**ARTICLE XVIII FUNDING REQUIREMENTS**

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

**ARTICLE XIX CHANGE IN TERMS**

- A. This contract may be amended or modified only by mutual written agreement of the parties.
- B. Consultant shall only commence work covered by a Contract Change Order after the Contract Change Order is executed and notification to proceed has been provided by the CITY's Project Manager.
- C. There shall be no change in Consultant's Project Manager or members of the project team, as listed in the approved Scope of Services, which is a part of this contract without prior written approval by the CITY's Project Manager.

**ARTICLE XX DISADVANTAGED BUSINESS ENTERPRISES (DBE) PARTICIPATION**

- A. This contract is subject to 49 CFR, Part 26 entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

Programs". Consultants who obtain DBE participation on this contract will assist Caltrans in meeting its federally mandated statewide overall DBE goal.

- B. The goal for DBE participation for this contract is   5   %. Participation by DBE consultant or subconsultants shall be in accordance with information contained in the Consultant Proposal DBE Commitment (Exhibit 10-O1), or in the Consultant Contract DBE Information (Exhibit 10-O2) attached hereto and incorporated as part of the Contract. If a DBE subconsultant is unable to perform, Consultant must make a good faith effort to replace him/her with another DBE subconsultant, if the goal is not otherwise met.
- C. DBEs and other small businesses, as defined in 49 CFR, Part 26 are encouraged to participate in the performance of contracts financed in whole or in part with federal funds. Consultant or subconsultant shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. Consultant shall carry out applicable requirements of 49 CFR, Part 26 in the award and administration of US Department of Transportation-assisted agreements. Failure by Consultant to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as City deems appropriate.
- D. Any subcontract entered into as a result of this contract shall contain all of the provisions of this section.
- E. A DBE firm may be terminated only with prior written approval from City and only for the reasons specified in 49 CFR 26.53(f). Prior to requesting City consent for the termination, Consultant must meet the procedural requirements specified in 49 CFR 26.53(f).
- F. A DBE performs a Commercially Useful Function (CUF) when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a CUF, the DBE must also be responsible with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a CUF, evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing, and other relevant factors.
- G. A DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

participant, examine similar transactions, particularly those in which DBEs do not participate.

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

**ARTICLE XXI CONTINGENT FEE**

Consultant warrants, by execution of this contract that no person or selling agency has been employed, or retained, to solicit or secure this contract upon an agreement or understanding, for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees, or bona fide established commercial or selling agencies maintained by Consultant for the purpose of securing business. For breach or violation of this warranty, CITY has the right to annul this contract without liability; pay only for

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

the value of the work actually performed, or in its discretion to deduct from the contract price or consideration, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

**ARTICLE XXII DISPUTES**

- A. Any dispute, other than audit, concerning a question of fact arising under this contract that is not disposed of by agreement shall be decided by a committee consisting of the CITY's Project Manager and Public Works Director, who may consider written or verbal information submitted by Consultant.
- B. Not later than 30 days after completion of all work, including deliverables necessary to complete the plan, specifications, and estimate, if applicable, under the contract, Consultant may request review by the CITY Governing Board of unresolved claims or disputes, other than audit. The request for review will be submitted in writing.
- C. Neither the pendency of a dispute, nor its consideration by the committee will excuse Consultant from full and timely performance in accordance with the terms of this contract.

**ARTICLE XXIII INSPECTION OF WORK**

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

**ARTICLE XXIV SAFETY**

- A. Consultant shall comply with OSHA regulations applicable to Consultant regarding necessary safety equipment or procedures. Consultant shall comply with safety instructions issued by the CITY Safety Officer and other CITY representatives. Consultant personnel shall wear hard hats and safety vests at all times while working on the construction project site.
- B. Pursuant to the authority contained in Section 591 of the Vehicle Code, the CITY has determined that such areas are within the limits of the project and are open to public traffic. Consultant shall comply with all of the requirements set forth in Divisions 11, 12, 13, 14, and 15 of the Vehicle Code. 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.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
***Bridge Rehabilitation and Replacement Program 2017/18***  
***City Project No. PW1704/Federal-Aid Project No. BPMPL-5008(177)***

This form shall be physically attached to Professional Services Contract

---

- C. Any subcontract entered into as a result of this contract, shall contain all of the provisions of this Article.
  
- D. Consultant must have a Division of Occupational Safety and Health (CAL-OSHA) permit(s), as outlined in California Labor Code Sections 6500 and 6705, prior to the initiation of any practices, work, method, operation, or process related to the construction or excavation of trenches which are five feet or deeper.

**ARTICLE XXV INSURANCE**

See Section 3 of the Professional Services Contract.

**ARTICLE XXVI OWNERSHIP OF DATA**

- A. Upon completion of all work under this contract, ownership and title to all reports, documents, plans, specifications, and estimates produce as part of this contract will automatically be vested in the CITY; and no further contract will be necessary to transfer ownership to the CITY. Consultant shall furnish the CITY 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 contract has been entered into.
  
- C. Consultant is not liable for claims, liabilities, or losses arising out of, or connected with the modification, or misuse by the CITY of the machine-readable information and data provided by Consultant under this contract; further, Consultant is not liable for claims, liabilities, or losses arising out of, or connected with any use by the CITY of the project documentation on other projects for additions to this project, or for the completion of this project by others, except only such use as many be authorized in writing by Consultant.
  
- D. Applicable patent rights provisions regarding rights to inventions shall be included in the contracts as appropriate (48 CFR 27, Subpart 27.3 - Patent Rights under Government Contracts for federal-aid contracts).
  
- E. The CITY may permit copyrighting reports or other contract products. If copyrights are permitted; the contract shall provide that the FHWA shall have the royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use; and to authorize others to use, the work for government purposes.

**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
**City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)**

This form shall be physically attached to Professional Services Contract

- 
- F. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all of the provisions of this Article.

**ARTICLE XXVII CLAIMS FILED BY THE CITY'S CONSTRUCTION CONTRACTOR**

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

**ARTICLE XXVIII CONFIDENTIALITY OF DATA**

- A. All financial, statistical, personal, technical, or other data and information relative to the CITY's operations, which are designated confidential by the CITY and made available to Consultant in order to carry out this contract, shall be protected by Consultant from unauthorized use and disclosure.
- B. Permission to disclose information on one occasion, or public hearing held by the CITY relating to the contract, shall not authorize Consultant to further disclose such information, or disseminate the same on any other occasion.
- C. Consultant shall not comment publicly to the press or any other media regarding the contract or the CITY's actions on the same, except to CITY's staff, Consultant's own personnel involved in the performance of this contract, at public hearings or in response to questions from a Legislative committee.

**EXHIBIT "F"**

**Federal-Aid Consultant Contract Provisions**  
***Bridge Rehabilitation and Replacement Program 2017/18***  
***City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)***

This form shall be physically attached to Professional Services Contract

- 
- D. Consultant shall not issue any news release or public relations item of any nature, whatsoever, regarding work performed or to be performed under this contract without prior review of the contents thereof by the CITY, and receipt of the CITY's written permission.
- E. Any subcontract entered into as a result of this contract shall contain all of the provisions of this Article.
- F. As it relates to the preparation of plans, specifications and estimates, if applicable: All information related to the construction estimate is confidential, and shall not be disclosed by Consultant to any entity other than the CITY.

**ARTICLE XXIX NATIONAL LABOR RELATIONS BOARD CERTIFICATION**

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

**ARTICLE XXX EVALUATION OF CONSULTANT**

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

**ARTICLE XXXI RETENTION OF FUNDS**

- A. Any subcontract entered into as a result of this Contract shall contain all of the provisions of this section.
- B. No retainage will be withheld by the City from progress payments due the prime consultant. Retainage by the prime consultant or subconsultants is prohibited, and no retainage will be held by the prime consultant from progress due subconsultants. Any violation of this provision shall subject the violating prime consultant or subconsultants to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the prime consultant or subconsultant in the event of a dispute involving late payment or nonpayment by the prime consultant or deficient subconsultant performance, or noncompliance by a subconsultant. This provision applies to both DBE and non-DBE prime consultants and subconsultants.



**EXHIBIT "F"**  
**Federal-Aid Consultant Contract Provisions**  
*Bridge Rehabilitation and Replacement Program 2017/18*  
*City Project No. PW1704/Federal-Aid Project No. BP MPL-5008(177)*

This form shall be physically attached to Professional Services Contract

---

**ARTICLE XXXII NOTIFICATION**

See Section 15- Notices of the Professional Services Contract.

**ARTICLE XXXIII CONTRACT**


Refer to the Professional Services Contract.

**ARTICLE XXXIV SIGNATURES**

Refer to the Professional Services Contract.

## EXHIBIT 10-02 CONSULTANT CONTRACT DBE COMMITMENT

1. Local Agency: City of Stockton, Public Works Department 2. Contract DBE Goal: 5%  
 3. Project Description: Bridge Rehabilitation & Replacement Program Project Federal Project No. BPMP-5008 (177)  
 4. Project Location: Stockton, CA  
 5. Consultant's Name: ADKO Engineering Inc. 6. Prime Certified DBE:  7. Total Contract Award Amount: \$203,189.72  
 8. Total Dollar Amount for ALL Subconsultants: \$107,486.22 9. Total Number of ALL Subconsultants: 3

10. Description of Work, Service, or Materials Supplied	11. DBE Certification Number	12. DBE Contact Information	13. DBE Dollar Amount
Environmental		LSA, (916) 772-7450	
Surveying		CTA, (916) 638-0919	
Hazardous Material (ISA)	30066	WRECO, (916) 757-6150	\$41184.63
<b>Local Agency to Complete this Section</b>			
20. Local Agency Contract Number: _____			\$ 41184.74
21. Federal-Aid Project Number: _____			
22. Contract Execution Date: _____			20.27 %
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.			
23. Local Agency Representative's Signature _____			<b>14. TOTAL CLAIMED DBE PARTICIPATION</b>  IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.   15. Preparer's Signature _____ 16. Date <u>09-10-2018</u>
24. Date _____			
25. Local Agency Representative's Name _____			17. Preparer's Name <u>Majdi Kannan</u>
26. Phone _____			18. Phone <u>(916) 788-0154</u>
27. Local Agency Representative's Title _____			19. Preparer's Title <u>09-10-2018</u>

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

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

**INSTRUCTIONS – CONSULTANT CONTRACT DBE COMMITMENT**CONSULTANT SECTION

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

LOCAL AGENCY SECTION

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