STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

REQUEST FOR QUALIFICATIONS NOTICE

NUMBER 07A5026

Read carefully as the following revisions have been made to this document:

- On 08/03/20, in the Note section: removed the 10 days.
- On 08/03/20 Section IV – Submittal of Statement of Qualifications (SOQ) revised to accept electronic SOQs only

Note: Questions concerning this Request for Qualifications (RFQ) must be submitted in writing to the attention of Denetia Smith at Denetia.Smith@dot.ca.gov. Questions must be received no later than seven (7) business days after the RFQ advertisement. Consultants contacting the District or Division directly seeking information about this RFQ will be disqualified from consideration in the selection process.

Proposers are advised that Caltrans has established a federally mandated overall annual DBE goal comprising both race neutral and race conscious elements to ensure equal participation of DBE groups specified in 49 CFR 26.5. In compliance with 49 CFR 26, Caltrans set a contract goal for DBEs participating in this solicitation expressed as a percentage of the total dollar value of the resultant Agreement. The DBE participation goal for this solicitation is eighteen percent (18%). See section I.H. in this RFQ for requirements.

I. GENERAL INFORMATION

A. Caltrans is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of a contract for on-call Roadway Design and related Project Development and Construction Services Hydraulic Engineering Services Landscape Architectural Services Visual Impact Analysis Services for Caltrans, Division of Design, Program services for District 7. In submitting your SOQ, you shall comply with the instructions found herein. In addition to those programs that are specified in this solicitation, prospective consultants are encouraged to consider programs that are available, such as those for the use of small businesses, disadvantaged businesses, disabled veteran businesses, new emerging firms, and other businesses covered by State and Federal programs.

B. The estimated contract amount is $8,000,000.00 - $13,000,000.00.
C. The estimated contract term is five (5) years.

D. Interviews will be held via WebEx on **January 20, 2021**. Confirmation letters will be sent to those firms short-listed.

E. The most highly qualified consulting firm will be required to submit an electronic copy of the financial documents listed on the appropriate Financial Documents Submittal Checklist available on the [AE Contract Information website](#). The most highly qualified consulting firm will be notified of their selection and receive instructions for the electronic submission of the financial documents.

   The most highly qualified consulting firm must submit a complete financial documents package no later than four (4) days after notification of selection. The prime consultant must submit the complete financial documents package in order for Caltrans to have the information necessary to engage in negotiations. The prime consultant is solely responsible for timely and complete submission of financial documents on behalf of the entire proposed team; financial documents will not be accepted from proposed subconsultant firms. Failure to submit a complete financial documents package by the specified due date may result in termination of negotiations with the most highly qualified consulting firm.

F. Negotiations will be held with the top-ranked firm by teleconference/WebEx during the week of **February 1, 2021**. The fee for profit shall be ten-point five percent (10.5 %), and the escalation shall be as follows:

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<thead>
<tr>
<th>Period</th>
<th>Escalation</th>
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<tbody>
<tr>
<td>12/09/2020 - 11/30/2021</td>
<td>0%</td>
</tr>
<tr>
<td>12/01/2021 - 11/30/2022</td>
<td>1.5%</td>
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<td>12/01/2022 - 11/30/2023</td>
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<td>12/01/2023 - 11/30/2024</td>
<td>3.0%</td>
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<tr>
<td>12/01/2024 - 11/30/2025</td>
<td>3.0%</td>
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<tr>
<td>12/01/2025 - 02/08/2026</td>
<td>3.0%</td>
</tr>
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Notes:
1. Partial year will only occur on the last year of the contract term. All other periods are full years.
2. Increases to the loaded billing rates after contract execution is not authorized for any reason per Article IV, Section 17 and Article XVI, Section 6 of the California Constitution.

G. The scheduled date to complete cost negotiations and submit final cost proposal is **February 9, 2021**.
H. Disadvantaged Business Enterprise Program

1. This solicitation and resultant Agreement is financed in whole or in part with federal funds and therefore subject to Title 49, Code of Federal Regulations, Part 26 (49 CFR 26) entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." To ensure equal participation for Disadvantaged Business Enterprise (DBE) groups specified in 49 CFR 26.5, Caltrans specifies a contract goal for DBE participation. The required goal for DBE participation in this solicitation is not less than eighteen percent (18%).

2. Only participation by certified DBEs will count toward the contract goal for this solicitation. In order to count toward a contract goal, a firm must be certified as a DBE by the California Unified Certification Program (CUCP) and possess the work codes applicable to the type of work the firm will perform on the Agreement by the SOQ submittal due date. Work codes are provided by the Office of Civil Rights website.

3. It is the proposer’s responsibility to verify that the DBE firm is certified as a DBE by the specified SOQ submittal due date and time. The list of DBEs certified by the CUCP are located on the Office of Civil Rights website.

4. A DBE must perform a commercially useful function (CUF) for the type of work it will perform on the Agreement as provided in 49 CFR 26.55(c)(1)-(4). A DBE performs a CUF when it is responsible for the execution of a distinct element of the work of the Agreement and is carrying out its responsibilities by actually performing, managing, and supervising the work involved.

5. See “Statement of Qualifications Submittal Instructions and General Contract Process Information” for detailed information and references to the required forms. Required forms will be made a part of the Agreement. Failure to meet the DBE goal or Good Faith Effort requirements and provide required DBE participation at due date and time of SOQ submittal may result in the SOQ submittal being rejected as non-responsive.

I. Federal and/or State prevailing wage rates may apply. This requirement, if applicable, will be specified in the draft Agreement. See SOQ Submittal Instructions, Section I., H. regarding the California Department of Industrial Relations (DIR) Consultant/Contractor Registration Program on the AE Contract Information website.

J. Caltrans does not guarantee, either expressly or by implication, that any work or services will be required under any contract issued as a result of this RFQ.

K. A Pre-award or Post-award Audit will be performed on any contract issued as a result of this RFQ.
L. Contract boilerplate can be obtained on the AE Contract Information website.

M. Federal and/or State prevailing wage rates may apply. This requirement, if applicable, will be specified in the draft Agreement. See SOQ Submittal Instructions, Section I., H. regarding the California Department of Industrial Relations (DIR) Consultant/Contractor Registration Program on the AE Contract Information website.

N. Caltrans does not guarantee, either expressly or by implication, that any work or services will be required under any contract issued as a result of this RFQ.

O. A Pre-award or Post-award Audit will be performed on any contract issued as a result of this RFQ.

P. Contract boilerplate can be obtained on the AE Contract Information website.

II. SCOPE OF WORK/DELIVERABLES

The work to be performed for this RFQ is described in the Scope of Work/Deliverables and is hereby incorporated as Attachment 1.

III. CONFLICT OF INTEREST

A. Conflicts of interest may occur due to direct or indirect financial or business interests in the work to be performed or in any real property acquired for such project. Conflicts of interest can include, but are not limited to, past, existing or planned activities or because of relationships with other persons or firms. If there is a conflict of interest, the proposed team, including both the prime consultants and subconsultants, and individual employees of team members would actually or potentially be unable to render impartial assistance or advice to Caltrans. The proposer's objectivity or availability in performing the contract work may be impaired due to actual or potential conflicts of interest.

B. If the proposed team determines that any actual or potential conflicts of interest exists, it must identify and describe in detail each conflict of interest to Caltrans, using the Disclosure of Potential Conflict of Interest Form, which can be found on the AE Contract Information website. Along with the description of the actual or potential conflicts of interest, the proposed team shall also offer measures to avoid, neutralize, or mitigate all listed conflicts. The list of conflicts, including conflicts that apply to individuals as well as firms, and the mitigation measures on the Disclosure of Potential Conflict of Interest Form must be submitted as a separate section in the Statement of Qualifications. Disclosure of information will not disqualify a proposed team from
competing for a contract. The existence of actual or potential conflicts of interest will be used as a criterion to evaluate team availability during the evaluation and selection process. Caltrans reserves the right to terminate negotiations with the first selected firm and begin negotiations with the next selected firm or to cancel the procurement prior to execution if Caltrans learns that the selected team failed to disclose any actual or potential conflicts, which it knew or should have known about, or if the proposed team provided or omitted information on the disclosure form that results in the information being false or misleading.

C. After award, conflict of interest guidelines and policies shall continue to be monitored and enforced by the Caltrans Contract Manager. Additional information about Conflict of Interest issues can be found in the SOQ Submittal Instructions and General Contract Process Information document (Section V. Post Government Employment Restrictions and Section VI. Conflict of Interest Concerning Consultant(s)) found on the AE Contract Information website. The State and Federal contract boilerplates on DPAC’s website also contain information on conflict of interest issues (Exhibit D) and can be found on the AE Contract Information website.

D. The prime consultant and subconsultants may be proposed on SOQs for other Caltrans A&E on-call contracts; however, the Caltrans Contract Manager may prohibit work on specific project(s) where Caltrans determines that a conflict of interest exists.

IV. SUBMISSION OF STATEMENTS OF QUALIFICATIONS (SOQs)

A. IMPORTANT: Download “Statement of Qualifications Submittal Instructions and General Contract Process Information” from the AE Contract Information website (Dated Rev. 10/07/2020). Failure to follow these instructions may result in rejection of your SOQs.

B. SOQ Package Submittal Instructions

Read instructions below carefully. You will be required to submit an electronic SOQ file to Sacramento.

1. The electronic submission of a single unprotected (i.e. not password protected) PDF file of the SOQ is required. The electronic submittal will be accepted until 3:00 p.m. on January 7, 2021. Hard copies of the SOQs are NOT required. Fax copies or copies transmitted by email will not be allowed.

2. You will be required to create a Novell Filr account with Caltrans. Send an email message to the Contract Analyst, Denetia Smith, at Denetia.Smith@dot.ca.gov containing the information listed below for a link and instructions to complete the self-registration
page and submit the SOQ electronically.

- Your firm’s name
- Your email address
- The solicitation number for which you would like to submit a SOQ

The file name shall include the contract number, consultant name (max. 25 characters) separated by an underscore (_), ending with the “.pdf” extension.

Example A: 50A0694_JohnDoeConsulting.pdf
Example B: 50A0694_aaa1234engineer.pdf

3. SOQ submittals will be considered non-responsive if the electronic submittal is not received by the date and time specified in this RFQ.

C. Request for RFQ Copies

Copies of this RFQ may be obtained on the CaleProcure website.
SCOPE OF WORK/DELIVERABLES
Roadway Design and related Project Development and Construction Services
Hydraulic Engineering Services
Landscape Architectural Services
Visual Impact Analysis Services
for Caltrans, Division of Design, Program, District 07
On-Call Contract

FOR DESIGN - GENERAL:
FOR DESIGN - ROADWAY DESIGN: (Roadway Design, Roadway Design and related Project Development and Construction)
FOR DESIGN – HYDROLOGY AND HYDRAULICS ENGINEERING: (Hydraulics Engineering)
FOR DESIGN - LANDSCAPE ARCHITECTURE: (Landscape Architecture)
FOR DESIGN - VISUAL IMPACT: (Visual Impact Analysis)

A. Purpose of Work.

The Consultant shall perform consultation, research, professional and technical services required for Roadway Design and related Project Development and Construction Services, Hydraulic Engineering Services, Landscape Architectural services, Visual Impact Analysis Services, including, but not limited to, field sampling, construction materials testing, analysis, reports, plant inspection and work related to testing equipment calibration, on an “as-needed” basis to support the Department of Transportation (Caltrans), Division of Design, Program, District 07, from 0, 1, 2, and 3, in the maintenance, development and construction of proposed Caltrans transportation facilities. The Caltrans Contract Manager shall assign specific work to the Consultant to assist the Caltrans work force through the issuance of Task Orders describing in detail the services to be performed. The Consultant shall only perform work that is assigned in an authorized Task Order. The Contract does not guarantee that a Task Order shall be issued. The Consultant may provide services to Caltrans including, but not limited to, Engineering Studies producing Project Development and Design products and deliverables to support the preparation of the Project Report (or Project Report equivalents), Project Approval report, developing Design Plans, Specifications and Estimates (PS&E); support to the Office Engineers during project Advertisement and Award; project history files; design support during the construction phase; phase visual impact analyses (VIA); technical report composition; computer generated visual simulation (VS) graphics; visual imagery, simulations and graphics; oversight review; computer-generated visual simulation graphics; computer-generated 3D digital terrain modeling; computer-generated 3D modeling with an emphasis on photo-realism, precision and accuracy developed from engineering Computer Aid Drafting & Design (CADD) files (MicroStation, CaiCE, AutoCAD Civil 3D, and GIS); legal defensibility, accurately scope and assess landscape components of ongoing highway projects; an
implementation strategy for the development of the Landscape database formatted to be compatible with the existing Caltrans GIS databases. The Contract shall be Task Order driven and shall have a five (5) year duration, with Project Development related tasks performed within the first 36 months and Design Support for Construction related tasks to continue through the remaining duration of the Contract. No project development related tasks will be assigned after the first 36 months of the Contract.

1. Exclusion of Work.
   The following disciplines are excluded from the Contract:
   
   a. Traffic Engineering - includes traffic forecasting, traffic modeling, traffic studies, and development of Traffic Management Plans.
   
   b. Environmental Studies - includes Preparation of Draft and Final Environmental Document and all permit activities to environmental agencies.
   
   c. Structural Engineering - includes new or retrofit design of bridge or major building facility structures.
   
   d. Geotechnical Engineering - includes all geotechnical testing, analysis, studies and reports.
   
   e. Material Testing - field testing of any material for design use or construction material testing.
   
   f. Land Surveying
   
   g. Right of Way Engineering.
   
   h. Water Quality.
   
   i. Value Analysis.
   
   j. Architecture.
   
   k. Existing Design Support - The Consultant shall not provide support for any elements designed by other consultants.
   
   l. For additional exclusions refer to "Location of Work".

The Consultant shall provide support when Caltrans lacks the expertise or available resources. All design tasks including, but not limited to, reviewing approved Project
Initiation Documents (PID) and Constructability Reviews may be assigned as work under the Contract.

B. Location of Work.

In general, the project development work shall be performed on projects to improve and repair the State's transportation system in District 7, in Northern Los Angeles and Ventura Counties. This is approximately defined as all State Routes north of the east-west boundary line of State Route 10 (not including State Route 10). The map below depicts approximate geographical area. The specific location of the work to be performed will be determined in each Task Order.

The following projects are excluded from the Contract: 07-33310, 07-32080, 07-33370, 07-32370, 07-32240, 07-32230, 07-31970, 07-32480, 07-33870, 07-33050, 07-31920, 07-32040, 07-32330, 07-32500
C. Required Services.

1. Pursuant to an authorized Task Order, the Consultant shall provide Roadway Design and related Project Development and Construction Services, Hydraulic Engineering Services, Landscape Architectural Services, Visual Impact Analysis Services, within the geographical jurisdiction of the Contract set forth in “Location of Work” Section, and all necessary personnel, material, transportation, lodging, instrumentation, and the specialized facilities and equipment necessary to satisfy all appropriate agencies and required to ensure compliance with all applicable Federal, State, and Local statutes, laws, codes, regulations, policies, procedures, ordinances, standards, specifications, performance standards, and guidelines, applicable to the Consultant's services and work product.

2. Provided in Attachment 1A is a list of proposed Caltrans projects; Division of Design Program, District 07, however, this list is not exclusive, and it does not constitute a commitment that the projects will be initiated or completed, or work assigned to the Consultant. Caltrans reserves the right to add or delete from this list of projects that are within the geographical jurisdiction of the Contract set forth in “Location of Work” Section within the Division of Design, Program, District 07’s jurisdiction.

3. Caltrans intends to utilize the Contract to complete a specific piece of work as long as it is located within the geographical jurisdiction of the Contract set forth in the “Location of Work” for each of the projects listed in the Contract utilizing the services described in this Scope of Work and as described in a Task Order. In the future, Caltrans may find it necessary to create a separate contract (or contracts) that involves a specific project listed in the Contract and includes part of the work contained in the Contract. Caltrans reserves the right to procure Architectural and Engineering (A&E) services involving the listed projects or unlisted projects (within the geographical jurisdiction of the Contract set forth in “Location of Work” Section) involving in whole or in part the same work using a project-specific agreement if the schedule to complete performance of the specific project extends beyond the term of the Contract or the cost to complete the specific project exceeds the dollar balance remaining in the Contract after accounting for amounts due to the Consultant for work previously performed and for work that is scheduled to be performed in executed task orders.

Should a project-specific agreement be procured under these provisions, the parties mutually agree that, in accordance with Exhibit D, Section III, Termination of the Contract, Caltrans shall terminate for convenience the portion of the Contract that includes the common scope of work identified in the project-specific agreement per Exhibit D, Section III, Termination of the Contract. Such partial termination for convenience shall be processed by amendment to the
Contract. Unless otherwise required by law, regulation, or Caltrans policy or procedure, the Consultant may compete for these project-specific Contracts.

4. In the Contract is a list of proposed personnel classifications for which services are anticipated to be needed by Caltrans during the term of the Contract; however, this is not an exclusive list of the personnel classifications of Roadway Design and related Project Development and Construction Services, Hydraulic Engineering Services, Landscape Architecture Services, Visual Impact Analysis Services that may be requested. Caltrans reserves the right to add/or delete personnel classifications from this list. Consultant personnel will work under the general direction of a Caltrans Senior.

5. Consultant agrees that:
   a. The Consultant Contract Manager or designee shall manage, instruct and supervise all Consultant employees and subcontractors, and shall not allow any other party to manage, instruct and supervise such parties.
   b. Consultant shall employ and discharge its own employees and subcontractors.
   c. Unless approved in writing by the Caltrans Contract Manager, Consultant shall not hire employees or subcontractors to exclusively and only work on Caltrans matters. Consultant may hire employees and subcontractors for a specific Caltrans matter provided such party has the skills and knowledge to work on other matters and they are assigned to other matters from time to time.
   d. The work performed by Consultant, its employees and its subcontractors shall be a regular part of Consultant’s regular and established business.
   e. Consultant shall make all of its own business (including personnel) decisions and bear the risk for its decisions.
   f. Consultant shall provide its own tools, equipment and supplies, and Consultant shall not rely on Caltrans to provide such tools, equipment and supplies. Notwithstanding the foregoing, Caltrans may, during the term of the Agreement, allow Consultant to access selected items of equipment; provide non-employee userids and related access to Caltrans computer systems to Consultant employees and subcontractors; and provide non-employee access cards and other such forms of identification to Consultant employees and subcontractors.
   g. Consultant shall provide its own training to its employees and subcontractors, and Consultant shall not rely upon Caltrans to provide such training.

6. A wide range of Landscape Architecture Services tasks should be expected. The Consultant shall perform and have the expertise, capability, and equipment necessary to perform this Scope of Work, including, but not limited to, any or all of the
following types of tasks/reports/studies/activities/functions which will all be related to Landscape Architecture Services:

a. Design and drafting (CADD) of planting, erosion control, and irrigation plans (Plans, Specifications, and Estimates).
b. Preparing reports and estimates.
c. Corridor (landscape and aesthetic themes) concept reports and/or master plans.
d. Urban planning.
e. Visual assessment technical studies and construction field support.
f. Graphic exhibits and simulations.
g. Research and develop an inventory of Caltrans Landscape equipment and facilities; which involves the collection and review of data, including As-Built plans and current and previous Landscaping Plans.

7. A wide range of Visual Impact Analysis Services tasks should be expected. The Consultant shall perform and have the expertise, capability, and equipment necessary to perform this Scope of Work, including, but not limited to, any or all of the following types of tasks/reports/studies/activities/functions which will all be related to Visual Impact Analysis Services:

a. Perform visual inventory of the project area, including tree surveys.
b. Perform viewshed analyses.
c. Perform scenic resource(s) determination and studies.
d. Assist in coordination with local agencies, citizen groups, and business groups related to community design and scenic issues.
e. Prepare and distribute viewer surveys to determine viewer sensitivity and reaction to visual change.
f. Develop visual impact analyses and prepare technical reports.
g. Prepare conceptual mitigation plans and recommendations.
h. Prepare abstract for inclusion in environmental document text.
i. Prepare transmittal memo outlining study results, potential significance of impacts and significance criteria, and proposed mitigation measures.
j. Prepare photo-realistic visual simulation graphics and exhibits.
k. Perform 3D topographic modeling.
l. Prepare public exhibits, including, but not limited to, large-scale imagery and graphics, handouts, and videos. Large-scale imagery shall be created using “Genuine Fractals,” or similar software as approved by Caltrans.
m. Prepare required correspondence, meeting minutes, agendas, action items, invoices, and status reports.
n. Prepare and maintain project files.
o. Prepare and update project schedules.
p. All final documents must be delivered in print and digital electronic media formats. Print size and numbers as stated in task orders. Digital
Electronic format of documents must be in Microsoft Word format with simulations in editable format.

8. The projects that Caltrans, Division of Design, Program, District 7, plans to work on under the Contract are as follows:

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Co-Rte-PM</th>
<th>Project Description</th>
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The attached list is not an exclusive list of projects.

9. At the sole discretion of Caltrans, Consultant may be required to provide the required services on safety projects, emergency projects, Emergency Storm Damage Projects, excess parcel assessments, or other current/future transportation projects, including minor projects not listed above, except for those specially excluded above, within the geographical jurisdiction of the Contract set forth in “Location of Work” Section. However, the dollar value of the services not listed in the Contract shall not exceed 10% of the total value of services that are listed and performed in the Contract.

10. The potential projects may vary in scope and size, and may encompass any type of improvement for the State transportation system including, but not limited to, roadway rehabilitation, widening and/or realignment of existing facilities, relocation of existing facilities, and construction of new facilities. The project location, project limits, purpose, expected results, project deliverables, period of performance, project schedule, and scope of work to be performed shall be described in each Task Order.

11. Consultant shall be available, on two (2) days’ written notice:
   a. To meet with Caltrans; to participate in internal Project Development Team (PDT) meetings or other Caltrans meetings.
   b. To attend public meetings (day and evening) where an expert is required.
   c. To participate in any public hearings necessary for a Project.
   d. To provide technical expertise on an “as-needed” basis.

12. Maintaining a stable work force is essential to the successful completion of Caltrans, Division of Design Program, District 07, work. Consultant shall implement a personnel retention plan strategy and shall submit a written plan with the Statement of Qualification submittal.

13. The Consultant may be expected to spend time for extended assignments to perform A&E services at Caltrans offices close to the construction Contractor to expedite the review process. At the sole discretion and convenience of Caltrans, Caltrans may permit Consultant to use office space, office equipment (such as copiers, printers and telephones) and furniture at various Caltrans (field) offices on a short-term, temporary basis. Consultant will provide its own computers, office supplies, and related work materials. The Consultant, including its Subconsultants, shall include
the Field Office Indirect Cost Rate in its cost proposals and use the Field Office Indirect Cost Rate in billing Caltrans for those personnel utilizing Caltrans’ (field) office facilities. The cost rates will reflect the Consultant’s lower costs where Caltrans provides office space, office equipment and furniture. If the Consultant, including its Subconsultants, does not currently have a Field Office Indirect Cost Rate, it will develop and use a Field Office Indirect Cost Rate to reflect an equitable distribution of allowable costs to the contract (as specified in 48 CFR 31.203(f)).

When working on-site in the Caltrans Facilities, the Consultant shall adjust its hours to meet the business needs of Caltrans and shall generally work and be present during Caltrans building business hours (which are 8:00 a.m. - 5:00 p.m.). The business hours can be adjusted in different Task Orders.

14. The Roadway Design and related Project Development and Construction Services, Hydraulic Engineering Services, Landscape Architecture, Visual Impact Analysis Services shall include, but not be limited to, tasks pertaining to Project Reports (PR), PS&E bidding documents, and other project delivery activities. Specific work in the following areas may be needed:
   a. Independent Cost Estimating for PS&E or Project Report phase for all cost items in construction project(s), which may include the preparation of a critical path construction schedule that is used to determine the construction contract duration.
   b. Americans with Disability Act (ADA) compliance for transportation facilities and right-of-way, which includes work in site assessments, PR and PS&E.
   c. Technical/Specification writing for PR, and PS&E phases.
   d. Drafting services for PS&E or other project drawings for this project(s).

15. The Consultant shall assist Caltrans Office Engineer by providing answers to the bidders’ questions during advertisement and award phase.

16. If set forth in an authorized Task Order, the Consultant shall assist Caltrans, Division of Design Program, District 07, in reviewing the construction contractor’s Request for Information by performing independent modeling, analysis, and engineering studies during construction.

17. The Consultant shall assist Caltrans, Division of Design Program, District 07, in reviews and approvals of all submittals from the construction contractor. The most current Caltrans Standard Specifications allow a minimum six (6) weeks of review time for Caltrans.

18. Where directed in a Task Order, the Consultant performs the following tasks:
   a. Review all available existing documents (As-Built Plans, reports, and others).
   b. Determine member properties and weight.
c. Prepare complete PS&E construction contract packages in both English and Metric units for a construction contract (or contracts) as directed by the executed Task Orders. The plan sheets shall be electronically prepared using the Caltrans Division of Design’s format. As-built record drawings shall be utilized to the maximum extent possible.

19. Perform Constructability Review: This task involves reviews of plans, special provisions, and construction sequencing. Review and approve plans and stage construction prepared by the construction contractor.

20. The Consultant shall have a good working knowledge of computer graphic programs that shall produce high level graphic/photo-realistic simulations and the ability to produces professionally formatted reports and studies.

21. The Consultant shall perform professional and technical oversight review on behalf of Caltrans for locally-prepared visual analysis studies and reports, including high level graphic/photo-realistic simulations, and provide written comments to the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager in support of the planning, design and construction of elements for proposed Caltrans transportation facilities.

22. The Consultant shall prepare reports, erosion control, planting and irrigation plans, and specifications and estimates for various projects. These projects may include, but not be limited to; Highway planting, Highway Construction, Roadside Rests, Park-and-Ride lots, Planting and Irrigation Rehabilitation, Worker Safety Improvement, and Erosion Control.

   a. The Consultant shall have a good working knowledge of irrigation design, plant selection and planting design, estimating and calculation procedures, specification writing, construction methods, and maintenance problems and issues.
   b. The Consultant shall not provide details for construction contractor’s access and work areas, hauling and disposal methods, equipment, and other similar work items required solely for the construction contractor’s operations.

23. The Consultant shall provide test panels for architectural treatment. This process may require a form-liner or concrete specialist to manufacture these panels. The size of these panels shall be approximately three-foot square; the size shall be specified in each Task Order.

24. The Consultant shall be available to review and defend engineering calculations, application of engineering judgment, and operation of facilities constructed per the Consultant’s design in the event of claims or lawsuits arising out of the Consultant’s work connected with this project at the expense of the Consultant without further compensation.
25. The Consultant shall be familiar with State policies and procedures as related to Landscape Architecture projects.

26. The Consultant shall establish internal accounting methods and procedures acceptable to Caltrans for documenting and monitoring the Contract and individual Task Order costs.

   a. The Consultant and Subconsultant personnel shall not meet, discuss, nor confer with the public, Caltrans personnel, Agency personnel, State personnel, Federal personnel or any person other than the Caltrans Contract Manager or Caltrans designee, and approved Consultant personnel. Any communications with any person, excluding the Caltrans Contract Manager or Caltrans designee and approved Consultant personnel, require prior written approval from the Caltrans Contract Manager.

   b. When authorized by the Caltrans Contract Manager and required by a Task Order, the Consultant may establish direct contact for the purpose of obtaining information, expertise, and assistance in developing baseline data and resource inventories relative to the project OR assist with coordination to achieve compatibility with the concerns and requirements of Caltrans and other resource or regulatory agencies with, but not limited to: other consultants; other contractors; Federal, State, and Local resource and regulatory agencies; U.S. Army Corps of Engineers; U.S. Fish and Wildlife Service; National Marine Fisheries Service; U.S. Forest Service; U.S. National Park Service; U.S. Department Of The Interior Bureau of Land Management; Federal Highway Administration; California Department of Fish and Wildlife; California Fish and Game Commission; California Department of Parks and Recreation; California State Water Quality Control Boards; California State Water Resources Control Boards; California Regional Water Resources Control Boards; California Coastal Commission; Native American Heritage Commission; Regional Clearinghouse of the California Historical Resources Information System; Regional Water Quality Control Boards; other involved agencies; other agencies; institutions; researchers or groups; and others.

      i. Caltrans shall provide prior written approval for, and may participate in, any and all contacts, intra-agency scoping meetings, or other meetings with resource or regulatory agencies to discuss the project, project impacts, project mitigation proposals, project mitigation, project compensation, project proposals. The Consultant shall maintain a record of all such contacts and shall transmit copies of these records to Caltrans, at a minimum, with the regular monthly progress reports.

      ii. The Consultant shall not commit Caltrans to any mitigation measures or mitigation compensation.

      iii. The Consultant shall not negotiate or make decisions in Caltrans' name. Caltrans shall retain responsibility for initiating and managing all final consultation, both informal and formal, with other consultants; other
contractors; Federal, State, and Local resource and regulatory agencies; and other involved agencies, regarding regulatory, project, project impacts, project mitigation proposals, project mitigation, project compensation, project proposals, and any issues. The Consultant shall be available (within two (2) working day(s) written notice) to provide advice and to participate in such consultations as required in each Task Order, as directed by the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager, and at the request of Caltrans. Should specific permits or agreements be required, Caltrans may require the Consultant to prepare appropriate information.

a. The Consultant shall have a good working knowledge of computer graphic programs that shall produce high level graphic/photo-realistic simulations and the ability to produces professionally formatted reports and studies.

c. The Caltrans Contract Manager shall decide the manner in which the coordination of individual matters is undertaken. At the Caltrans Contract Manager’s option in coordination with the Caltrans Task Order Manager, such coordination may be performed by the Consultant’s direct contact personnel, by the Consultant acting on behalf of Caltrans, or by Caltrans only. When coordination efforts require agreements, such agreements shall be obtained by Caltrans.

d. The Consultant shall assist Caltrans in obtaining necessary approvals and permits. The Consultant shall identify all necessary approvals and permits, prepare signature-ready permit applications, and track the status of permit applications, as specified in each Task Order.

D. Workplan Standards Guide Codes.

Task Orders are based on the Caltrans Workplan Standards Guide (WSG). The latest WSG is found in the Guide to Project Delivery Workplan Standards Guide, which is available from the Caltrans’ Publication Unit and on the Internet at http://www.dot.ca.gov/hq/projmgmt/guidance.htm. The WSG references the Work Breakdown Structure (WBS) categories, which are potential and related work activities applicable to the Contract. The WGS references WBS categories which present the potential and related work activities that the Consultant may be required to perform. All revisions to the current version of the Work Breakdown Structure (WBS) shall apply during the life of the Contract.

The WBS activities below applicable to the Contract are limited to those set forth below:

100 Perform Project Management (Contract Management)
100.10 Project Management PA&ED Component
100.10.99 Other Project Management PA&ED Component
100.15 Project Management PS&E Component
100.15.99 Other Project Management PS&E Component Products
100.20 Project Management - Construction Component

160 Perform Preliminary Engineering Studies and Draft Project Report
  160.05 Updated Project Information
  160.05.15 Materials Information Review (See Note 1)
  160.05.25 Geometrics Review
  160.05.30 Project Scope Review
  160.05.35 Project Cost Estimate Review
  160.05.99 Other Project Information Products
  160.10 Engineering Studies
  160.10.15 Geometric Plans for Project Alternatives
  160.10.20 Value Analysis (See Note 1)
  160.10.25 Hydraulics/Hydrology Studies (See Note 1)
  160.10.30 Highway Planting Design Concepts (See Note 1)
  160.10.40 Updated Right of Way Data Sheet (See Note 1)
  160.10.45 Utility Locations Determined for Preliminary Engineering
  160.10.50 Railroad Study (See Note 1)
  160.10.55 Multi-modal Study (See Note 1)
  160.10.60 Park and Ride Study (See Note 1)
  160.10.65 Right of Way Relinquishment and Vacation Study (See Note 1)
  160.10.75 Updated Materials Information (See Note 1)
  160.10.90 High Occupancy Vehicle Report (See Note 1)
  160.10.99 Other Engineering Studies
  160.15 Draft Project Report
  160.15.05 Cost Estimates for Alternatives
  160.15.10 Fact Sheet for Exceptions to Design Standards
  160.15.15 Approved Exceptions to Encroachment Policy
  160.15.20 Draft Project Report
  160.15.25 Draft Project Report Circulation Review and Approval
  160.15.99 Other Draft Project Report Products
  160.45 Base Maps and Plan Sheets for Project Initiation Documents
  165.10.20 Visual Impact Assessment and Scenic Resource Evaluation (See Note 1)
  165.10.25 Hydraulics/Hydrology Studies
  165.10.35 Water Quality Studies (See Note 1)
  165.10.60 Location Hydraulic and Floodplain Study Report (See Note 1)

170 Permits, Agreements, and Route Adoptions during PA&ED Component (Project Approval & Environmental Documentation) (See Note 1)
  170.05 Required Permits (See Note 1)
  170.10 Permits (See Note 1)
170.10.05  U.S. Army Corps of Engineers Permit (404/10) (See Note 1)
170.10.10  U.S. Forest Service PLACs (See Note 1)
170.10.15  U.S. Coast Guard PLACs (See Note 1)
170.10.20  Department Of Fish and Wildlife 1600 Agreement(s)/2080.1/2081
           Permit(s) (See Note 1)
170.10.25  Coastal Development Permit (See Note 1)
170.10.30  Local Agency Concurrence/PLACs (See Note 1)
170.10.40  Waste Discharge (NPDES) Permit(s) (See Note 1)
170.10.45  U.S. Fish and Wildlife Service/National Marine Fisheries Service
           Approval (See Note 1)
170.10.50  Regional Water Quality Control Board 401 Permit (See Note 1)
170.10.95  Other PLACs (See Note 1)
170.15     Railroad Agreements (See Note 1)
170.15.25  PUC Exhibits and Application (See Note 1)
170.15.99  Other Railroad Agreement Products (See Note 1)
180        Prepare and Approve Project Report and Final Environmental
           Document (See Note 1)
180.05     Project Report
180.05.05  Updated Draft Project Report
180.05.10  Approved Project Report
180.05.15  Updated Storm Water Data Report (See Note 1)
180.05.99  Other Project Report Products
180.10.05.55 Floodplain Only Practicable Alternative Finding (See Note 1)
185        Base Maps and Plan Sheets for PS&E Development
185.05     Updated Project Information
185.05.05  Project Concept Review
185.05.10  Updated Project Information
185.05.99  Other Updated Project Information Products
185.15     Preliminary Design
185.15.05  Roadway and Miscellaneous Design
185.15.10  Proposed Geometrics Review
185.15.15  Requests for Exceptions to Design Standards
185.15.99  Other Preliminary Design Products
185.20     Engineering Reports
185.20.10  Hydrology and Hydraulic Reports (See Note 1)
185.20.20  Pavement Design Report (See Note 1)
185.20.25  Materials Report (See Note 1)
185.20.30  Soundwall Design Report
185.20.40  Utility Locations Determined for Design
185.20.99  Other Engineering Report Products
185.25     Right of Way Requirements Determination (See Note 1)
185.25.05  Project Review with Affected Agencies
185.25.10  Fee and Easement Requirements Determination (See Note 1)
185.25.15  Right of Way Requirements Maps (See Note 1)
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<th>Description</th>
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<td>185.25.20</td>
<td>Final Railroad Involvement Determination (See Note 1)</td>
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<td>Water Well Abandonment Needs Determination</td>
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<td>Utility Conflict Maps</td>
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<td>185.30.15</td>
<td>Site Plans for Retaining Walls and Non-standard Earth Retention Systems (See Note 2)</td>
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<td>Site Plans for Soundwalls on Retaining Systems or Structures (See Note 2)</td>
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<td>Site Plans for Pumping Plants (See Note 2)</td>
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<td>185.30.30</td>
<td>Site Plans for Special-Design Culverts (See Note 2)</td>
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<td>Other Structure Site Plan Products (See Note 2)</td>
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<td>Approved Utility Relocation Plan</td>
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<td>Permits and Agreements during PS&amp;E Component (See Note 1)</td>
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<td>205.10.95</td>
<td>Other PLACs (See Note 1)</td>
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<td>230</td>
<td>Prepare Draft PS&amp;E (Plans, Specifications, and Estimates)</td>
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<td>Draft Roadway Plans</td>
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<td>Contour Grading Plans</td>
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<td>Summary of Quantities Sheets</td>
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<td>Noise Barrier Plans</td>
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<td>Retaining Wall Plans</td>
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230.05.55 Standard Plans Selection
230.05.60 Stage Construction and Detour Plans or Traffic Handling Plans
   (See Note 1)
230.05.65 Water Pollution Control Plans (See Note 1)
230.05.70 Engineering Reports (See Note 1)
230.05.70.05 Hydrology and Hydraulic Reports (See Note 1)
230.05.70.10 Products Required To Ready Site for Subsurface Exploration (See Note 1)
230.05.70.20 Pavement Design Report (See Note 1)
230.05.70.25 Materials Report (See Note 1)
230.05.99 Other Draft Roadway Plan Products
230.10 Draft Highway Planting Plans (See Note 1)
230.10.05 Highway Planting Plans (See Note 1)
230.10.15 Plant List (See Note 1)
230.10.20 Irrigation Plans (See Note 1)
230.10.30 Irrigation Quantity Sheets (See Note 1)
230.10.99 Other Draft Highway Planting Plan Products (See Note 1)
230.25 Draft Utility Plans
230.25.05 New Facility Plans
230.25.10 Utility Relocation Plans
230.25.99 Other Draft Utility Plan Products
230.30 Draft Drainage Plans (See Note 1)
230.35 Draft Specifications
230.35.05 Roadway Specifications
230.35.10 Highway Planting Specifications (See Note 1)
230.35.25 Utility Specifications
230.35.30 Hydraulic Specifications (See Note 1)
230.35.35 Water Pollution Control Specifications (See Note 1)
230.35.40 Erosion Control Specifications (See Note 1)
230.35.99 Other Draft Specification Products
230.40 Draft PS&E Quantities and Estimates
230.40.05 Roadway Quantities and Estimates
230.40.10 Highway Planting Quantities and Estimates (See Note 1)
230.40.15 Drainage Quantities and Estimates (See Note 1)
230.40.30 Utility Quantities and Estimate
230.40.35 Water Pollution Control Quantities and Estimates
230.40.40 Erosion Control Quantities and Estimates (See Note 1)
230.40.99 Other Draft PS&E Quantities and Estimates Products
230.55 Structures Draft PS&E Incorporation
230.60 Updated Project Information for PS&E Package
230.60.05 Updated Storm Water Data Report (SWDR) (See Note 1)
230.60.10 Other Reviews and Update of Project Information
230.90 NEPA Assignment (See Note 1)
230.99 Other Draft PS&E Products
240.60 Hydraulics Report (See Note 1)
240.75 Draft General Plans
250.50 Project Review

255 Circulate, Review, and Prepare Final District PS&E Package
255.05 Circulated & Reviewed Draft District PS&E Package
255.10 Updated PS&E Package
255.10.05 Updated Roadway PS&E
255.10.10 Updated Highway Planting PS&E (See Note 1)
255.10.20 Updated Hydraulic PS&E (See Note 1)
255.10.25 Updated Technical Reports
255.10.30 Updated Utility PS&E
255.10.99 Other Updated PS&E Products
255.20 Final District PS&E Package
255.20.05 Reviewed Plans for Drafting Standards Compliance

255.20.15 Request For Funds
255.30 Materials Information Handout (See Note 1)
255.40 Resident Engineer’s Pending File
260 Contract Bid Documents Ready to List
260.50 Project Submittal Ready to Process (PS&E)
260.60 Draft Contract Comments (DCC)
260.70 Draft Contract Comment Response (DR)
260.80 Draft Contract Ready
260.90 Ready To List (RTL)
265 Awarded and Approved Construction Contract
265.50 Contract Ready for Advertising
265.55 Advertised Contract
265.60 Bids Open
270 Construction Engineering and Contract Administration
270.66 Technical Support
285 Change Order Administration
285.05 Change Order (CO) Process
285.10 Functional Support
285.10.15 Other Functional Support
295.15 As-Built Plans
295.20 Project History File

Notes:
1. For these WBS items, provide only engineering support such as mapping and/or design information.
2. The Consultant shall not perform structural design work. Work listed under WBS activities pertaining to structural design work shall be incidental to the overall Roadway design.
The Consultant shall not work on any projects that are in the planning phase (K-Phase) and the Consultant shall not be reimbursed for any work performed during this phase of a project.

E. General Personnel Requirements.

1. The Consultant’s personnel shall be capable, competent, and experienced in performing the types of work in the Contract with minimal instruction. Personnel skill level should match the specific job classifications, as set forth herein or in the Consultant’s Cost Proposal, Attachment 2 and task complexity. The Consultant’s personnel shall be knowledgeable about, and comply with, all applicable Federal, State, and Local laws and regulations.

2. The Consultant is required to submit a written request and obtain the Caltrans Contract Manager’s prior written approval for any substitutions, additions, alterations, or modifications to the Consultant’s originally proposed personnel and project organization, as depicted on the proposed Consultant’s Organization Chart or the Consultant’s cost proposals. The Consultant personnel shall have the same job classification, as set forth herein or in the Consultant’s Cost Proposal, Attachment 2, not exceed the billing rate, and meet or exceed the qualifications and experience level of the previously assigned personnel, at no additional cost to Caltrans. The Consultant personnel shall have significant experience in the work involving a similar transportation facility for at a minimum two (2) previous projects, unless otherwise approved by the Caltrans Contract Manager.

3. In responding to Caltrans’ Task Order and in consultation with the Caltrans Contract Manager, the Consultant Contract Manager shall identify the specific individuals proposed for the task and their job assignments. The Consultant shall provide documentation that proposed personnel meet the appropriate minimum qualifications as required by the Contract.

4. The Consultant’s personnel shall typically be assigned to and remain on specific Caltrans projects/deliverables until completion and acceptance of the project/deliverables by Caltrans. Personnel assigned by the Consultant shall be available at the start of a Task Order and after acceptance of the project/deliverable by Caltrans.

5. After the Caltrans Contract Manager’s approval of the Consultant’s personnel proposal and finalization of a Task Order, the Consultant may not add, delete or substitute personnel without the Caltrans Contract Manager’s prior written approval.

6. Resumes containing the qualifications and experience of the Consultant’s and Subconsultant’s personnel, which include existing and additional personnel, and copies of their minimum required certifications, shall be submitted to the Caltrans
Contract Manager for review before assignment on a project or Task Order. The resume and copies of current certification for each candidate shall be submitted to the Caltrans Contract Manager within one (1) week of receiving the request.

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

8. The Caltrans Contract Manager shall evaluate the adequacy (quality and quantity) of the work performed by the Consultant’s personnel and determining whether the deliverables satisfy the acceptance tests and criteria. The Caltrans Contract Manager may reject any Consultant personnel who are determined by the Caltrans Contract Manager to lack the minimum qualifications. If at any time the level of performance is below expectations, the Caltrans Contract Manager may direct the Consultant to immediately remove Consultant personnel from the project specified in a Task Order and request that the Consultant provide another qualified person be assigned as needed. The Consultant personnel shall meet the qualifications required by the Contract for performance of the work as demonstrated by a resume and copies of current certifications submitted by the Consultant. Consultant personnel shall receive prior written approval from the Caltrans Contract Manager. Invoices with charges for personnel not pre-approved by the Caltrans Contract Manager for work on the Contract and for each Task Order shall not be reimbursed.

9. The Consultant shall not remove or replace any existing personnel assigned to Task Orders without the prior written consent of the Caltrans Contract Manager. The removal or replacement of personnel without the written approval from the Caltrans Contract Manager shall be violation of the Contract and may result in termination of the Contract per Exhibit D, Section III, Termination of the Contract.

10. When assigned consultant personnel is on approved leave and required by the Caltrans Contract Manager, the Consultant Contract Manager shall provide a temporary substitute employee until the assigned employee returns to work from the approved leave. The Consultant personnel shall have the same job classification, as set forth herein or in the Consultant’s Cost Proposal, Attachment 2, not exceed the billing rate and meet or exceed the qualifications and experience level of the previously assigned personnel, at no additional cost to Caltrans. Consultant personnel shall receive prior written approval from the Caltrans Contract Manager to work on the Contract.

11. Other project personnel who are not identified on the Consultant’s cost proposal, including, but not limited to, field and laboratory technicians, shall also satisfy appropriate minimum qualifications for assigned Task Orders. Caltrans’ prior written
approval is required for all personnel not identified on the Consultant’s organization chart or the Consultant’s cost proposals before providing services under the Contract.

12. The Consultant is responsible to provide fully trained personnel to efficiently perform the work. The Consultant’s personnel may be asked to attend certain special training if recommended by the Caltrans Contract Manager. On such occasions, with the approval of the Caltrans Contract Manager, Caltrans shall compensate the Consultant for the Consultant’s actual cost for time spent in training only. All other costs, fees, and expenses associated with the training, including any transportation costs and training fees, shall be the Consultant’s responsibility. In addition, services to train the Caltrans personnel shall not be provided by the Consultant under the Contract.

13. In location(s) where the Consultant personnel is expected to work for extended period(s) of time, the Consultant shall either relocate the personnel or make every effort to hire local persons.


1. The Consultant and all subconsultants, shall throughout the life of the Contract, retain within its firm, a staff of people who shall be properly licensed and certified in accordance with the laws of the State of California and qualified to perform all aspects of the required work described in the Contract and all work specified in a Task Order along with any emergencies that may arise during the life of the Contract.

The Consultant shall be prepared to provide additional personnel, as necessary, during the period performance of the Contract to accommodate the work.

2. Consultant Contract Manager.

The Consultant Contract Manager shall coordinate work-related matters and Consultant’s operations under the Contract with the Caltrans Contract Manager, coordination with the Caltrans Task Order Manager, Functional Manager, , District Landscape Architect, , District Right-of-Way Engineer, District Water Quality Program Manager, , District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief.

The Consultant Contract Manager shall have a minimum of five (5) years of responsible experience performing the duties as a contract manager for similar Roadway Design and related Project Development and Construction Services contracts. The Consultant Contract Manager shall be knowledgeable about all
Caltrans policies and procedures. The Consultant Contract Manager shall be an employee of the Consultant.

The Consultant Contract Manager shall be a Registered Professional Engineer licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period, to perform the tasks described in the Contract and in the Task Orders and shall have a documented minimum ten (10) years of demonstrated experience acceptable to Caltrans in Roadway Design and related Project Development and Construction Services work.

In addition to other specified responsibilities, the Consultant Contract Manager shall be responsible for all matters related to the Consultant’s personnel, Subconsultants, Roadway Design and related Project Development and Construction Services, Hydraulic Engineering Services, Landscape Architecture Services, Visual Impact Analysis work and Consultant’s and Sub-Consultants’ operations including, but not limited to, the following:

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

o. Assuring Consultant and Subconsultant personnel are thoroughly trained in Caltrans’ policy concerning discrimination and sexual harassment, specifically regarding identification, prevention, reporting and investigation of inappropriate conduct.

p. Assuring Consultant and Subconsultant personnel have the professional experience, training, competence and a professional attitude to efficiently perform all required work specified in the Task Order. If the Consultant or Subconsultant personnel do not display the professional experience, training, competence and a professional attitude, the Caltrans Contract Manager may inform the Consultant, in writing, that such personnel shall be immediately replaced with personnel conforming to these requirements and the requirements as specified in the Task Order.

3. Consultant Task Order Manager.

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

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

The Consultant Task Order Manager (who may be other than the Consultant Contract Manager) shall be assigned to conduct, or direct the conduct of, all work assigned under a single Task Order. The Consultant Task Order Manager shall be the primary contact for the assigned Task Order and be available as needed for communication with Caltrans.


The Consultant Task Order Lead person (who may be other than the Consultant Contract Manager) shall be assigned to conduct, or direct the conduct of, all work assigned under a single Task Order. The Consultant Task Order Lead person shall be the primary contact for the assigned Task Order and be available as needed for communication with Caltrans.

5. Consultant Personnel and Team Member Qualifications.
The responsible Project Engineer person shall be a registered Professional Engineer licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period, and shall have a documented minimum five (5) years of demonstrated experience acceptable to Caltrans in Roadway Design and related Project Development and Construction, Hydraulics Visual Impact Analysis or related fields. Other project design professionals, such as Assistant Project Engineers, shall have, at a minimum, a Degree (Bachelors, Masters, or higher) in Engineering from an ABET accredited institution (College or University) or possession of a valid Engineer-in-Training (EIT) certificate issued or accepted by the California State Board for Professional Engineers, Land Surveyors, and Geologists), and shall have a documented minimum three (3) years of demonstrated experience acceptable to Caltrans in Roadway Design and related Project Development and Construction, Hydraulics, Visual Impact Analysis and related fields. Other transportation professionals and specialists should have appropriate degrees, education, certificates, licenses, applicable work experience, and other professional affiliations in their related fields.

The responsible Project Landscape Architect person shall be a registered Professional Landscape Architect licensed in the State of California in good standing with the California Architects Board Landscape Architects Technical Committee at all times during the Contract period and shall have a documented minimum five (5) years of demonstrated experience acceptable to Caltrans in Landscape Architecture. Other project design professionals, such as Assistant Project Landscape Architects, shall have, at a minimum, a Degree (Associate, Bachelors, Masters, or higher or extension certificate (UCB Extension and UCLA Extension) in Landscape Architecture from an LAAB accredited institution (College or University), and shall have a documented minimum three (3) years of demonstrated experience acceptable to Caltrans in Landscape Architecture. Other transportation professionals and specialists should have appropriate degrees, education, certificates, licenses, applicable work experience, and other professional affiliations in their related fields.

Depending on the work required under a specific Task Order, the Consultant’s responsible technical personnel shall possess one of the following licensing or degree requirements:

a. Registered Professional Engineer (RPE) licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period.

b. Registered Landscape Architect (RLA) licensed in the State of California in good standing with the California Architects Board Landscape Architects Technical Committee at all times during the Contract period.
c. Registered Electrical Engineer (REE) licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period.

d. Degree (Bachelors, Masters, or higher) in Civil Engineering from an ABET accredited institution (College or University) or possession of a valid Engineer-in-Training (EIT) certificate issued or accepted by the California State Board for Professional Engineers, Land Surveyors, and Geologists, and shall have a documented minimum five (5) years of demonstrated experience acceptable to Caltrans in transportation engineering and related fields may be substituted for professional license, subject to review and approval by the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager.

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

6. In the Contract, a person who is authorized to review and approve Consultant Roadway Design and related Project Development and Construction, Hydraulics Engineering, Impact Analysis Services analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items, and deliverables in place of the Consultant Contract Manager shall be hereafter referred to as the Consultant Roadway Design Responsible Person. The Consultant Roadway Design, Hydraulic Engineering Services, Impact Analysis Services Responsible Person, shall be a Registered Professional Engineer licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period, (or engineer, certified technician, the Consultant Contract Manager registered in the State of California) signing analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items, and deliverables under the Contract requiring the signature of a Consultant Roadway Design Responsible Person (or engineer, certified technician, the Consultant Contract Manager registered in the State of California) shall be currently employed by the Consultant or its Subconsultants at the time the deliverables are submitted to Caltrans for consideration under the review and acceptance process.

7. In the Contract, a person who is authorized to review and approve Consultant Landscape Architecture analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items,
and deliverables in place of the Consultant Contract Manager shall be hereafter referred to as the Consultant Landscape Architecture Responsible Person. The Consultant Landscape Architecture Responsible Person shall be a Registered Professional Landscape Architect licensed in the State of California in good standing with the California Architects Board Landscape Architects Technical Committee at all times during the Contract period, (or engineer, certified technician, the Consultant Contract Manager registered in the State of California) signing analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items, and deliverables under the Contract requiring the signature of a Consultant Landscape Architecture Responsible Person (or engineer, certified technician, the Consultant Contract Manager registered in the State of California) shall be currently employed by the Consultant or its Subconsultants at the time the deliverables are submitted to Caltrans for consideration under the review and acceptance process.

8. All analytical results (deliverables), plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items, and deliverables under the Contract not fully approved by Caltrans bearing the signature of the Consultant Roadway Design or Hydraulics, Landscape Architect, Visual Impact Analyst, Responsible Person (or engineer, certified technician, the Consultant Contract Manager registered in the State of California) who is no longer employed by the Consultant or its Subconsultants, shall be replaced by analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items, and deliverables under the Contract bearing the signature of a qualified replacement Consultant Roadway Design Responsible Person or Landscape Architectural Engineer (or engineer, certified technician, the Consultant Contract Manager registered in the State of California) who is currently employed by the Consultant or its Subconsultants. In such an event, no additional time shall be allowed, or cost reimbursed to the Consultant without the prior written approval of the Caltrans Contract Manager.

9. All of the Consultant’s work shall be conducted under the direction of the Consultant Contract Manager who shall have the appropriate experience as described in the Contract. All analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items, and deliverables under the Contract requiring the Consultant Roadway Design or Hydraulics, Landscape Architecture or Visual Impact Responsible Person (or engineer, certified technician, the Consultant Contract Manager registered in the State of California)’s signature, shall be produced by the responsible Consultant personnel having appropriate experience, and shall be signed by a Consultant
10. The page which identifies the preparer of engineering reports, technical studies, the title sheet for specifications, and each sheet of plans, shall each bear the professional seal, certificate number, registration classification, expiration date of the certificate, and the signature of the Registered Professional Engineer(s) licensed in the State of California or Registered Professional Landscape Architect(s) licensed in the State of California in good standing with the California Architects Board Landscape Architects Technical Committee in good standing with California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period, responsible for their preparation.

11. The Landscape Architecture Assistants shall be capable of assisting the Consultant Contract Manager in all required field and office landscape architecture work and shall have a documented minimum two (2) years of demonstrated experience acceptable to Caltrans. Typical duties are preparing reports, estimates, erosion control, planting and irrigation plans, CADD (MicroStation), Critical Path Method Schedule analysis (WBS), contemporary office software, and other essential computer skills.

12. Consultant personnel (Engineers, Assistants, and Technicians) shall be experienced in the use of Caltrans’ engineering drafting/design software and Computer Aid Drafting & Design (CADD) Based Software including MicroStation, AutoCAD Civil 3D, and Computer Aided Civil Engineering and Surveying System (CaiCE, AutoCAD Civil 3D). The Consultant personnel shall be experienced in working with English and metric units.

At the request of the Caltrans Contract Manager, Consultant personnel will complete security and privacy awareness training each year (see http://itsecurity.dot.ca.gov/training).

G. Consultant Availability and Work Hours.

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

2. The Consultant’s typical work day(s) shall include, but not be limited to, working in conjunction, coordination, and cooperation with all of the following:
   a. 40 hours 5 days a week. Unless specified in the Task Order

3. The Consultant shall obtain approval from the Resident Engineer prior to entering any Caltrans’ project construction site.

4. The Consultant shall obtain approval from the Caltrans Facility Manager prior to conducting activities within a maintenance station or other Caltrans facility.

H. General Requirements.

1. The Consultant shall prepare the required analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract according to requirements of the Contract and applicable Caltrans Manuals for the work.

2. As directed and as a first order of work, the Consultant shall prepare and update a comprehensive Critical Path Method (CPM) network diagram, Bar Chart Schedule, Logic Network Schedule, and the Caltrans Work Breakdown Structure (WBS) for each Task Order issued by the Caltrans Contract Manager showing a deliverables schedule as well as other relevant data to monitor project progress, Consultant’s work control, and Caltrans review of work status, if required in the Task Order. The relevant data shall include a list of activities with budgeted cost, milestones, and target date for completion of each activity. The minimum number of task details shall be identified in the Task Order. This workplan shall be updated once a month to show the approved baseline schedule and the actual progress schedule.

    Caltrans shall review these documents and return them to the Consultant with notes and comments as soon as possible in order to validate the planning and cost control procedures within the first calendar month of performance period.

3. The Consultant’s timesheet/invoices/expenses shall be subject to the review of the Consultant Contract Manager and the subsequent review and the approval of the Caltrans Contract Manager before submitting timesheets, invoices, or expense reimbursement requests for payment.

4. The Consultant shall begin the required work within two (2) working days after receiving a fully executed Task Order and the issuance of the Notice to Proceed (NTP)
from the Caltrans Contract Manager to the Consultant Contract Manager or on the date
specified in the Task Order. Some work, however, may require Consultant personnel
to mobilize within 24-hour of notifications. Once the work begins, the work shall be
prosecuted/performed diligently until all required work has been completed to the
satisfaction of the Caltrans Contract Manager or Caltrans designee.

5. The work shall not be performed when conditions prevent a safe and efficient
operation and shall only be performed with written authorization by Caltrans.

6. The Consultant Contract Manager, Consultant Task Order Manager, and Key
Personnel shall be accessible to the Caltrans Contract Manager at all times during
normal Caltrans working hours or after hours as required by the Caltrans Contract
Manager.

7. The Consultant Contract Manager or designee may advise the Consultant’s Contract
Manager of the perceived need to have the Consultant’s employees to work overtime
to meet Task Order schedules, and the Consultant’s Contract Manager shall take
effective measures to address the Caltrans Contract Manager’s need. All overtime
shall be pre-approved by the Caltrans Contract Manager or designee. Overtime pay
shall be paid only to persons covered by the Fair Labor Standards Act.

8. All Consultant personnel are required to sign a confidentiality and nondisclosure
agreement.

9. The Consultant may not disclose any information to third parties without prior written
approval of the Caltrans Contract Manager.

10. The Consultant shall only provide incidental non-Architectural and Engineering
(A&E) services, such as Computer Aid Drafting & Design (CADD) support, GIS
support, utilities location support, traffic control, office support, field office support,
and meeting support, provided (a) such services are necessary for the completion of
the A&E tasks and/or deliverables performed by the Consultant described in executed
Task Orders and covered by the work in the Contract and (b) the rendering of the
services is approved in advance by the Caltrans Contract Manager. These incidental
services shall only be provided to support the Consultant’s personnel who are
performing A&E services, tasks, and deliverables on the Contract. The Contract
amount spent on such incidental services shall be relatively minor when compared to
the professional A&E services performed. The Consultant shall not be paid or
reimbursed for any incidental non-A&E services provided to Caltrans unless provided
in the fashion described in the Contract and included in the executed Task Order. The
Consultant is responsible for ensuring that Task Orders only include any incidental
non-A&E services.
11. The Consultant shall include the Caltrans Contract Manager in written communications to other Caltrans personnel for any clarification on the scope of work.

I. Coordination.

1. For each Task Order, the Consultant shall carry out instructions received from the Caltrans Contract Manager, and as directed by the Caltrans Contract Manager, shall coordinate activities and work closely with multiple stakeholders including, but not limited to, Caltrans’ various functional units, Caltrans’ project managers, local agencies, various environmental groups, other state agencies, Native American tribal governments, utility companies, railroads, other agencies, other entities with an interest in the project (including, but not limited to, FHWA), other consultants, other contractors, and planning, engineering, and construction firms (and its suppliers and subcontractors) contracted by Caltrans working on the same projects or adjacent projects. In the event an instruction or direction is unclear to the Consultant, the Consultant shall ask the Caltrans Contract Manager to clarify the instruction or direction. The work is a critical element of compatible designs, project planning and construction schedules and shall be accomplished in a timely fashion. Projects having complex and overlapping schedules and therefore Project work may have overlapping and parallel (not serial order) schedules or make work discontinues. Projects have complex and overlapping schedules and field work may be intermittent. Task Orders may be written for treatment of unanticipated finds encountered during project work. When unanticipated finds are encountered, a rapid response shall be necessary to avoid costly construction delays.

2. The foregoing paragraph does not relieve the Consultant of professional responsibility during the performance of the Contract. In instances where the Consultant believes a better standard solution to a task being performed or an issue being addressed is possible, the Consultant shall promptly notify the Caltrans Contract Manager of these concerns, together with the reasons therefore. However, Caltrans shall make all final decisions on the interpretation of the instructions, directions, work product and outputs that are described in the Task Order.

3. The Consultant shall be required to work with other Caltrans Functional Units and others (including, but not limited to, Regional Water Quality Control Board - RWQCB, Permitting Agencies,) as directed by the Caltrans Contract Manager.

4. The Consultant shall work closely with the Caltrans Contract Manager and the Caltrans designee identified in the Task Order.

5. The Consultant shall have the capability to send to and receive from Caltrans’ digital electronic mail system and file transfer protocol system including, but not
limited to, attachments for word processing, photographs, spreadsheets, and databases.

6. Caltrans shall not reimburse the Consultant for costs to relocate its personnel to the service area of the Contract. Caltrans shall not reimburse the Consultant for per diem costs, unless preapproved by the Caltrans Contract Manager. Caltrans shall not reimburse the Consultant for out-of-state travel without prior written approval from the Caltrans Contract Manager.

7. The Consultant shall obtain the Caltrans Contract Manager’s approval prior to making presentations at non-Caltrans sponsored conferences or workshops for any services provided under the Contract.

8. The Consultant shall notify the Caltrans Contract Manager or Caltrans designee in writing a minimum one (1) week before it begins any field work, unless the Task Order specifies some other notification date.

9. Caltrans shall not incur costs beyond the funding commitments in the Contract and each Task Order. If the Consultant anticipates that funding for work will be insufficient to complete work, the Consultant shall promptly notify the Caltrans Contract Manager.

J. General Equipment Requirements.

1. The Consultant or its Subconsultants shall not incorporate any materials or equipment of a single or sole source origin without the advance written approval of Caltrans.

2. The Consultant may claim reimbursement for providing equipment or supplies. However, such claimed costs shall be in compliance with 48 Code of Federal Regulation (CFR), Chapter 1, Part 31 (Federal Acquisition Regulation - FAR cost principles) and 2 CFR, Part 200, and be consistent with the Consultant's company-wide allocation policies and charging practices with all clients including federal government, state governments, local agencies, and private clients.


1. Office Equipment and Supplies (Consultant’s Office):

   The Consultant shall have and provide adequate office equipment and supplies to complete the work required by the Contract. Such equipment and supplies shall include, but not be limited to, the following:
   a. Office Supplies.
b. Computers with appropriate software, printers, plotters, fax machines, calculators, data collectors and their necessary attachments and accessories.

c. Data processing systems, software packages, reference materials, design aids, or other tools, including hardware and software, used in providing transportation engineering deliverables. This includes, but not be limited to, the following:
   i. Microsoft Office Software (including, but not limited to, Word, Excel, PowerPoint).
   ii. Adobe Acrobat Professional version 5 or later.
   iii. Processing digital terrain models in Caltrans' approved roadway design format (CAiCE, AutoCAD Civil 3D).
   iv. Coordinate geometry calculations (COGO). This software shall use/create coordinate geometry databases; naming and coding conventions in the Caltrans approved formats (CAiCE, AutoCAD Civil 3D).
   v. Interpolating survey data.
   vi. Formatting survey data and digital terrain models to the formats used by the Caltrans' computerized survey and design systems.

d. Reference material, design aids, or other tools, used in providing deliverables.

e. Caltrans shall not purchase any hardware, software, or other equipment (including, but not limited to, batteries, paper, and office supplies) that may be required for the Consultant to perform work required in the Contract. The Caltrans Contract Manager shall approve any Consultant’s request for digital electronic connections and compatibility with current Caltrans Windows-based networks and programs in writing prior to the use and/or installation of any electronic hardware and/or software.

f. Computer Aided Drafting equipment and software capable of producing surveying and Roadway Design and related Project Development and Construction, Hydraulic, maps, drawings, and documents in the Caltrans approved format (MicroStation, CAiCE, AutoCAD Civil 3D).

g. Graphic/Publishing software;
   i. Professional image-editing and graphic publishing software capable of producing visual simulation graphics and documents required in the Task Order, in a format compatible with the latest software used by Caltrans (Adobe PhotoShop and Illustrator).
   ii. Caltrans compatible Software that shall create high level 2D and 3D photo-realistic simulations and is compatible with Caltrans’ software.
iii. Software to produce professionally formatted reports that integrate written text with graphics.

2. Field Equipment and Supplies:

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

a. Sufficient vehicles suitable for the work to be performed and terrain conditions of the project sites. Vehicles shall be fully equipped with all necessary tools, instruments, equipment, materials, supplies, and safety equipment required for the efficient operation of the Consultants’ field personnel, including cellphones. Each vehicle shall have a load carrying capacity of 1500 pounds of materials and equipment. Each Vehicle shall have sufficient ground clearance to safely maneuver through highway construction sites while fully loaded with equipment and materials. Each vehicle shall have overhead flashing amber light(s), visible from all sides (360 degrees), with a driver control switch; locking toolbox; fire extinguisher; and first aid kit. Vehicles without side windows shall not be used. All vehicles shall be clearly marked as to ownership. Each vehicle shall be equipped to meet Caltrans safety requirements.

b. A laptop computer or tablet with appropriate software. An aircard may be required by Caltrans by written notice.

c. Communication device: Mobile telephone, cell phone shall be compatible with the current Caltrans cellular phone system.

d. 

e. Hand tools including but not limited to; shovels, gloves, pick, measuring tape, buckets, wheel barrow, heat gun, sledge hammer, concrete and asphalt thermometers, clip board, calculator, peg book, as appropriate for the requested field personnel work.

f. All necessary safety equipment including fire extinguisher, hard-soled safety footwear, white hard hats, eye protection, hearing protection, and approved safety vests as appropriate for the requested field work to be performed safely and efficiently within operating highway and construction zone environments.
3. The Consultant shall provide all necessary tools, instruments, equipment, materials, supplies, and safety equipment required to perform the work identified in each Task Order and the Contract accurately, efficiently, and safely. The Consultant’s personnel shall be fully trained in the use of such necessary tools, instruments, equipment, materials, supplies, and safety equipment. The Consultant shall not be reimbursed separately for tools of the trade, which may include, but not be limited to, the above-mentioned equipment.

L. Standards.

1. All work/services under the Contract shall be performed in accordance with all applicable Federal, State, and Local statutes, laws, codes, regulations, policies, procedures, ordinances, standards, specifications, performance standards, and guidelines, including the latest Caltrans regulations, policies, procedures, manuals, standards, specifications, performance standards, directives, guidelines, handbooks, guidance documents, forms, templates, policy memo, methodologies, and other informational or directive publications, including compliance with Federal Highway Administration (FHWA) and State guidelines for implementing those requirements; and any permits, licenses, agreements or certifications that apply to specific Task Orders; the terms and conditions of the Contract; and current Caltrans Manuals and any future revisions. Work not covered by the “Manuals” shall be performed as specified in the Task Order. If no standards exist, Task Orders may call for the development of new standards, so long as these standards do not conflict with the requirements, or amend the Scope of Work under of the Contract.

   a. The Consultant is responsible for obtaining, at its expense, all necessary manuals, reference documents, and other materials.

   b. Caltrans Manuals generally may be purchased from the Publication Distribution Unit. The Publications staff may be reached at (916) 263-0822, and the center is located at the following address:

      State of California
      California Department of Transportation
      Publication Distribution Unit
      1900 Royal Oaks Drive
      Sacramento, CA 95815-3800

   c. Manuals and documents that are not available from the Caltrans Publication Distribution Center or are not available from Caltrans’ Internet web site may be requested from the Caltrans Contract Manager. Caltrans does not guarantee the availability of publications nor its Internet web pages. Required Manuals include:


   d. Caltrans’ regulations, policies, procedures, manuals, standards, specifications, performance standards, directives, guidelines, handbooks,
guidance documents, forms, templates, policy memo, methodologies, and other informational or directive publications, are dynamic documents and subject to change. The Consultant is responsible to verify that the latest version or update is used.


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

a. Caltrans’ Internet Home Webpage:
   http://www.dot.ca.gov/

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

   California Manual on Uniform Traffic Control Devices:
   http://mutcd.fhwa.dot.gov/
   http://www.dot.ca.gov/hq/traffops/signtech/mutcdsupp
   http://www.dot.ca.gov/hq/traffops/signtech/mutcdsupp/ca_mutcd.htm
   http://www.dot.ca.gov/hq/traffops/engineering/mutcd/index.htm

   (MUTCD) 2003 California Supplement:
   http://www.dot.ca.gov/hq/traffops/signtech/signdel/trafficmanual.htm
   http://www.dot.ca.gov/hq/traffops/signdel/trafficmanual-current.htm
   http://www.dot.ca.gov/hq/traffops/signtech/mutcdsupp
   http://www.dot.ca.gov/hq/traffops/signtech/mutcdsupp/ca_mutcd.htm

e. Caltrans Surveys Manual:

f. Caltrans Construction Manual:
   http://www.dot.ca.gov/hq/construc/constmanual/

g. Construction Manual:
h. Caltrans Project Development Procedures Manual (PDPM):
   http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm
   http://www.dot.ca.gov/hq/oppd/pdpm/pdpm.htm

i. Project Development Procedures Manual: Chapter 7 - Uniform File System:

j. Project Development Procedures Manual: Chapter 15 - Final Project
   Development Procedures:

k. Caltrans CADD User’s Manual:
   http://www.dot.ca.gov/hq/oppd/cadd/usta/caddman/default.htm
   http://www.dot.ca.gov/hq/esc/oe/project_plans/index.htm

l. CADD User’s Manual Chapter 4.3 As-Built Plans (March 30, 2011)

m. Caltrans Construction Manual: Traffic Safety Guidelines:

   Construction Staking Handbook:
   Construction Staking: Chapter 12 of Caltrans Surveys Manual:

o. Caltrans Standard Plans and Standard Specifications:
   Caltrans Specification and Estimate Procedures:
   http://www.dot.ca.gov/hq/esc/oe/
   http://www.dot.ca.gov/hq/esc/oe/standards.php
   http://www.dot.ca.gov/hq/esc/oe/conststand.html
   http://www.dot.ca.gov/hq/esc/oe/construction_standards.html
   http://www.dot.ca.gov/hq/esc/oe/project_plans/
   http://www.dot.ca.gov/hq/esc/oe/project_plans/highway_plans/stdplans_US-
   customary-units_10/viewable_pdf/2010-Std-Plns-for-Web.pdf
   http://www.dot.ca.gov/hq/esc/oe/construction_contract_standards/std_speci-
   fics/2010_StdSpecs/2010_StdSpecs.pdf
   http://www.dot.ca.gov/hq/esc/oe/project_plans/HTM/06_plans_disclaim-
   US.htm
p. Standard Plans 2002 Dual Units:
   http://www.dot.ca.gov/hq/esc/oe/project_plans/HTM/stdplns-dual-new02.htm (broken link)
   http://www.dot.ca.gov/hq/esc/oe/project_plans/HTM/stdplns-dual-new02.htm

q. Caltrans Standard Special Provisions:
   http://www.dot.ca.gov/hq/esc/oe/conststand.html
   http://www.dot.ca.gov/hq/esc/oe/construction_standards.html

r. Caltrans Guide for the Submittal of Plans, Specifications, and Estimates:
   Caltrans Plans Preparation Manual:
   http://www.dot.ca.gov/hq/oppd/cadd/usta/caddman/default.htm
   http://www.dot.ca.gov/hq/oppd/cadd/usta/ppman/default.htm
   http://www.dot.ca.gov/hq/oppd/cadd/usta/ppman/toc.htm
   http://www.dot.ca.gov/hq/esc/oe/standards.php
   http://www.dot.ca.gov/hq/esc/oe/construction_standards.html

s. Caltrans Right of Way Manual:
   http://www.dot.ca.gov/hq/row

t. Caltrans Project Management Handbook:
   http://www.dot.ca.gov/hq/projmgmt/guidance.htm

u. Caltrans Storm Water Quality Handbooks, Manuals, Project Planning, and Design Guide:
   Caltrans Storm Water Quality Handbooks:
   Caltrans Storm Water Quality Handbooks and Manuals:
   Caltrans Storm Water Project Planning and Design Guide:
   http://www.dot.ca.gov/hq/oppd/stormwtr/

v. Caltrans Project Management Directives:
http://pd.dot.ca.gov/pm/ProjectOffice/ProcessGuidance_Directives/Guidance_DirectivesHome.asp

w. Caltrans Project Risk Management Handbook:
   http://www.dot.ca.gov/hq/projmgmt/guidance_prmhb.htm

x. Quantitative Risk Analysis section (page 14) of Caltrans Project Risk Management Handbook:
   http://www.dot.ca.gov/hq/projmgmt/documents/prmhb/caltrans_project_risk_management_handbook_20070502.pdf (broken link)

y. Project Management Institute (PMI) "A Guide to the Project Management Body of Knowledge":
   www.pmi.org

z. Caltrans Standard Environmental Reference Webpage:
   Caltrans Standard Environmental Reference (SER), Caltrans Environmental Handbook, Volume I, Volume II, Volume III, and Volume IV:
   http://www.dot.ca.gov/ser/
   http://www.dot.ca.gov/ser/envhand.htm

aa. Caltrans Standard Environmental Reference, Biological Resources:

bb. Caltrans PEAR Handbook:
   http://www.dot.ca.gov/ser/pear.htm

c. Caltrans Technical Publications and Manuals:
   http://www.dot.ca.gov/hq/esc/techpubs/

dd. Caltrans Ready-to-list and Construction Contract Award Guide:
   http://www.dot.ca.gov/hq/esc/oe/specifications/rtl_guide (broken link)
   http://www.dot.ca.gov/hq/esc/oe/rtl_guide.html

ee. Caltrans Design Information Bulletins:
   http://www.dot.ca.gov/hq/oppd/dib/dibprg.htm

ff. Construction Policy Bulletins (CPBs):
gg. Caltrans Design Memorandum:
   http://www.dot.ca.gov/hq/oppd/design/index.htm

hh. Caltrans Cooperative Agreements Manual:
   http://www.dot.ca.gov/hq/oppd/coop/index.htm (broken link)

ii. Caltrans Preliminary Environmental Analysis Report (PEAR) Handbook:
    Caltrans PEAR Handbook:
    http://www.dot.ca.gov/ser/pear.htm

jj. Caltrans Environmental Policy Memos:
    Environmental Policy Memos:
    http://www.dot.ca.gov/ser/memos.htm

kk. California Test Methods:
    http://www.dot.ca.gov/hq/esc/ctms/index.html

ll. Caltrans Value Analysis Program:
    http://www.dot.ca.gov/hq/oppd/value

mm. METS Website:
    http://www.dot.ca.gov/hq/esc/Translab/

nn. AASHTO Pavement Design Guidance:
    https://bookstore.transportation.org

oo. Federal Highway Administration Title 23, Code of Federal Regulations, 637B:
    http://www.fhwa.dot.gov/legsregs/directives/fapg/cfr0637b.htm

pp. Independent Assurance Manual:

qq. Median Barrier Guidelines.
    (Not available on the internet)

    (Not a Caltrans Publication)
ss. Division of Construction Oversight Engineer Field Guidelines.  
   Chapter 4 Project Completion.  

   Chapter 206.2A As-Built Plans and Other Completion Records.  

uu. Local Assistance Procedures Manual.  
   Chapter 17.4 AS BUILT PLANS.  
   http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm

vv. Office of Special Funded Projects Information and Procedures Guide.  
   Chapter 1-9 Project Records.  

   http://www.fhwa.dot.gov/  
   http://www.fhwa.dot.gov/  
   http://www.fhwa.dot.gov/cadiv/pre/guide3.htm (broken link)


zz. Caltrans Project Planning and Design Activities Guide.


ccc. Caltrans Formatted Highway Plan Sheets.

ddd. Caltrans Formatted Bridge Plan Sheets.

LOCAL MANUALS


hhh. “The Designated Level Methodology for Waste Classification and Cleanup Level Determination”, Central Valley Regional Water Quality Control Board.

iii. RWQCB - Region 2 Draft Fact Sheet for Reviewing Wetland and Riparian Projects.  
http://www.swrcb.ca.gov/rwqcb2/water_issues/programs/401_certs/fact_sheet_wetland_projects_12-1-06.doc

http://www.usace.army.mil/CECW/Pages/reg_supp.aspx (broken link)

http://www.usace.army.mil/CECW/Pages/reg_supp.aspx (broken link)

http://el.erdc.usace.army.mil/wetlands/wlpubs.html (broken link)
http://el.erdc.usace.army.mil/wetlands/pdfs/wlman87.pdf (broken link)

M. Field Safety.

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


2. The field work shall not be performed when conditions prevent a safe and efficient operation and shall only be performed with written authorization by Caltrans.

3. The Consultant shall provide, at no cost to Caltrans, all safety equipment to perform the required services in a safe manner including, but not limited to:
gloves, coveralls, sunscreen, insect repellents, fire extinguisher, hard-soled safety footwear, white hard hats, eye protection, hearing protection, and approved safety vests. The Consultant’s personnel shall wear hard-soled safety footwear, white hard hats, eye protection, hearing protection, and approved safety vests at all times while working in the field.

4. The Consultant shall provide, at no cost to Caltrans, appropriate safety training for all the Consultant’s and the Subconsultant’s office, laboratory, and field personnel, including training required for performing the work in an office setting or in the field to work on and near highways in a safe manner.

5. The Consultant shall be solely responsible for the protection of health and safety of its personnel, Subconsultants, and Subconsultant’s personnel in performance of the Contract.

N. Orientation Provided by Caltrans.

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

O. Monitoring and Review Procedure.

1. The Caltrans Contract Manager shall have the unilateral right, from time to time, or as requested by the Consultant, to monitor and review the progress and processes of the Consultant related to work performed under the Contract.

2. The performance of the Consultant Contract Manager, key personnel, and team shall be evaluated by the Caltrans Contract Manager, as needed, but no less frequently than annually, and at the expiration of the Contract. Unsatisfactory reviews of specific consultant personnel may result in Caltrans requesting that they be replaced with new personnel; the Consultant shall immediately replace personnel with individuals whose qualifications at a minimum equal those of the personnel replaced at no additional cost to Caltrans. Evaluation includes, but not be limited to, the following:
   b. Quality of Work.
   c. Timely submittal of reports, invoices, daily diaries, and other required documents.
   d. Early detection of problems and timely resolutions.
   e. Requesting timely approval for personnel changes and travel expenditure.
f. Responsiveness and ability to control costs.
g. DBE or DVBE Participation.
h. Conflicts of interest.

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

3. As a minimum, the monthly report should address the following specific areas:
   a. Time related project status via a bar chart schedule.
   b. Physical progress. (performance progress report on the Scope of Work)
   c. Amendment summary history.
   d. Narrative status report by task to include work accomplished in the previous month, work planned for the next month, identification of project issues, and an action plan to resolve issues. (descriptive progress report of all Task Orders).
   e. Earned Value Report.
   f. Graphical comparisons for actual progress vs. earned and planned progress for: physical (% complete), performance (hours complete), and cash flow.
   g. Bar Chart Schedule showing the Critical Path and Logic Network Schedule and identifying issues that would affect the project development activities and milestones.
   h. Monthly forecast of work report showing total dollars expended in current month, next month’s planned expenditures, and planned expenditures for the remainder of the fiscal years.
   i. Consultant shall give written notice to the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager within seven (7) working days after Consultant knows or should know of any cause or condition which may, under reasonably foreseeable circumstances, result in delay and cost over-runs for which Consultant may request an extension of time and monies to complete the services.
   j. Consultant shall report in a timely manner, through correspondence and monthly progress reports, whenever it appears that approved schedules outlined in the Task Order will not be met, whether or not the reasons are within the Consultant’s control. In the event the Task Order Scope and Schedule of the Services are modified, and the modified Schedule is approved by Caltrans, the Consultant shall submit a revised Milestone Schedule. Consultant shall perform the Services in accordance with the latest approved revised Task Order Milestone Schedule.

P. General Materials to be Provided or made available by Caltrans.
Materials (if deemed applicable, necessary, and when available from Caltrans) that may be furnished or made available by Caltrans and where listed in the individual Task Orders and the Contract, are for the Consultant’s use only, shall be returned at the end of the Contract. The Consultant shall use the materials in the execution of the specific work described in the Task Order. These materials may include, but not be limited to, the following:

1. Appropriate background or reference information for each Task Order.

2. Project special provisions, full-size and reduced-size sets of project plans, materials information handout, and construction contract and proposal, as necessary.

3. Caltrans standardized forms.

4. Caltrans shall provide Permits to Enter for private property access. The Consultant shall notify Caltrans, in writing, sufficiently in advance of its need to enter upon private property or facility to perform work. The Consultant’s notice shall specify the date, purpose, duration, location, and the time of day of the Consultant’s activities. The Consultant shall not perform work on property outside of the Caltrans right-of-way until Caltrans has obtained an entry permit from the property owner. The Consultant is responsible for notifying the property owner 48 hours in advance of entering the property, unless otherwise specified in the Permit. The Consultant shall notify the Caltrans Contract Manager within 48 hours if permission has been denied. The Consultant personnel shall carry the Permits to Enter on their person while performing work outside the Caltrans Right-of-Way. No work shall be performed by the Consultant outside the Caltrans Right-of-Way without Permits to Enter. The Consultant shall comply with all conditions imposed by the Caltrans Contract Manager and requirements set forth in the Permit to Enter. The Consultant shall be responsible for any damages that consultant did to owner property at Consultant’s own expense.

5. Appropriate background information, site topographic maps, as-built drawings, blank Caltrans plan sheet overlays, digital electronic seed files, cell libraries, lane closure request forms, right-of-way alignments and survey limits, preliminary utility location maps, areas where focused studies are needed, Construction Contract Documents, and Shop Drawings, as available, for each Task Order.

6. Digital Electronic templates of Task Order formats.

7. For Contract work on Caltrans’ Right-of-Way, an executed contract constitutes the consultant’s “Encroachment Permit.” The consultant (prime as well as any subconsultants) shall carry a copy of the fully executed contract along with the
pertinent Task Order(s) at all times while conducting work for Caltrans within Caltrans’ Right-of-Way.

8. All pertinent correspondence and investigations.

9. The Caltrans Contract Manager may designate a Caltrans Task Order Manager to manage the technical aspects of the Task Order or each specific Task Order.

10. The Caltrans Contract Manager or Caltrans designee shall review all deliverables for compliance, substance, and quality.


1. Relevant and existing documents, right-of-way record data, survey maps, control data, topographic maps, and planimetric maps, if any are available, that are applicable to the current project within the project limits.

2. Appropriate Archive Design Project History Files.

3. Reproducible project map(s), aerial photographs, and/or Digital highway inventory photography program (DHIPP) aerial photos, if available.

4. Unprotected and modifiable digital electronic file(s) in Adobe Creative Suite2 v 9.0.1 format or newer, of background border to be used in final photo simulations and photo/cross sectional illustrations.

5. Color digital images to be used as baseline imagery for the computer-generated high-level graphic/photo-realistic simulations and illustrations, if available and as specified in the Task Order.

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

R. Materials to be Provided by the Consultant.

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

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

2. The Consultant shall provide to its Roadway Design and related Project Development and Construction Services, Hydraulic Engineering Services, Landscape Architectural Services, Visual Impact Analysis personnel sets of the following that are applicable to the current project:
   c. Materials listed under section “Equipment Requirements”.

3. When performing work within Railroad Company property, the Consultant is required to obtain sufficient and/or adequate insurance coverage that shall comply with the Railroad Company’s requirements when performing work within their jurisdiction. The amount of insurance and types of coverage required by the Railroad Company may be above and beyond that required by Caltrans. The Consultant may be required to provide additional Railroad liability insurance including, but not limited to:
   b. Business Automobile Coverage Insurance.
   c. Worker Compensation and Employers Liability Insurance.
   d. Railroad Protective Liability Insurance.
   e. Umbrella or Excess Insurance.
   f. Pollution Liability Insurance.

S. Product Approval and Payment

1. All analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items produced by the Consultant in the performance of the Contract, shall be subject to the approval and acceptance by the Caltrans Contract Manager prior to invoicing and payment for these items.

2. All of the deliverables and tasks provided for acceptance under each Task Order shall comply with the terms, covenants and conditions of the Contract.

3. Upon completion of each deliverable or task, the Caltrans Contract Manager shall either accept or reject the completed work. In the event of non-acceptance due to errors, omissions, or non-compliance with the Caltrans Manuals, as revised as of the time of the Task Order, or the provisions of the Contract, the Consultant shall remedy the errors, omissions, or non-compliance to the satisfaction of the Caltrans Contract Manager at no cost to Caltrans prior to payment. Caltrans shall withhold payment until the work is satisfactorily completed and approved by the
Caltrans Contract Manager. Additional cost incurred to correct errors will not be compensated.

4. Caltrans shall not pay the Consultant for the Consultant’s work under the Contract and the charges incurred by the Consultant that does not conform to the requirements specified in the Contract and to the applicable Task Order, and such work shall be corrected at the Consultant’s sole expense at no additional cost to Caltrans.

5. All reviews, inspections and approvals made prior to the final acceptance of deliverables or Task Orders are intended only to provide interim authorizations to proceed and do not constitute final approval of the deliverable or Task Order.

6. Notwithstanding any other provision of the Agreement, until final acceptance of a Task Order under the Agreement, any acceptance or approval means approval to proceed, but it does not mean acceptance or approval of a deliverable or task, and, it does not reduce or eliminate any of Consultant’s duties or responsibilities under the Agreement.

T. General Deliverables.

All deliverables, intermediate work products, and original documents including, but not limited to, original field notes, photographs, reports, documents, plans, data, data files, edits to field data, adjustment calculations, final results, drawings, specifications, estimates, studies, record search, records, books, maps, manuscripts, manuals, digital electronic software developed, databases, background information, spreadsheets, procedural scripts, macros developed, and intellectual properties, developed pursuant to the Contract, shall be subject to the provisions of Exhibit D, sections XIX and XX and shall be sent to Caltrans upon completion of each Task Order deliverable and acceptance/approval of the work by the Caltrans Contract Manager or immediately upon request by the Caltrans Contract Manager. The Consultant shall retain a copy of all documents furnished to Caltrans until expiration of the Contract.

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


   The Consultant shall deliver unprotected and modifiable digital electronic files meeting the following requirements and as specified in each Task Order:
   a. Alphanumeric information (80 character, ASCII data type).
   b. Reports (Acrobat Writer 5 and above).
   c. Graphs, charts (Acrobat Writer 5 and above).
d. Compliance with standard naming convention (including, but not limited to, Project ID, County, Route/PM, Date).

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

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

4. All analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract shall be prepared on Caltrans standardized forms. Necessary forms shall be provided by Caltrans for the Consultant’s use.

5. All analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract shall be submitted in both hardcopy and unprotected and modifiable digital electronic files in the Caltrans-approved forms and in the Caltrans-approved and designated digital electronic formats (Microsoft Word, MicroStation, CaiCE, AutoCAD Civil 3D, PhotoShop, 8 1/2 x 11 in green, plastic, three ring binder), in accordance with the guidelines in the Contract and each Task Order, and shall conform to Caltrans standards and the requirements of the Caltrans Office Engineer at the end of Contract or when requested by the Caltrans Contract Manager or Caltrans designee. The unprotected and modifiable digital electronic files shall include the responsible person’s digital electronic signature and seal. The Consultant shall verify the latest version of software used prior to submittal. The Consultant shall also provide plot parameter (.par) or IPARM (.i) files in accordance with I-Plot standards.

6. At the end of each Task Order or when requested by the Caltrans Contract Manager, the Consultant shall also submit one (1) unprotected and modifiable digital electronic copy of all analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract in a specified digital device format (CD, DVD, and/or flash drive). The file formats shall be specified in each Task Order. Appropriate documentation shall accompany each digital device indicating the contents of each file.
7. When the Consultant is required to prepare and submit analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract and any approved Task Order to Caltrans or review analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items submitted to Caltrans by others, these documents shall be reviewed. They shall be submitted in draft as scheduled and the opportunity provided for Caltrans to provide comments and feedback, prior to final submittal. The specific schedule for Caltrans’ review of the Consultant’s submittals shall be specified in the Task Order.

The Consultant personnel involved in preparation or review of analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items shall be identified in the prepared or review report.

8. If the Consultant fails to submit the required analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract and any approved Task Order, Caltrans shall have the right to withhold payment and/or terminate the Contract in accordance with the termination provisions of the Contract per Exhibit D, Section III, Termination. If the Contract is terminated, the Consultant shall, at Caltrans’ request, return all materials recovered or developed by the Consultant under the Contract including, but not limited to, photos, field notes, computer data files, maps, artifact collections, catalogs, analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract.

9. For each Task Order, a milestone submittal schedule shall be prepared by the Consultant and approved by the Caltrans Contract Manager. Milestones may be changed by written agreement between the Caltrans Contract Manager and the Consultant Contract Manager through an amendment to the Task Order.

10. The Consultant shall prepare and update the Caltrans Work Breakdown Structure (WBS) as set forth in the Contract for each Task Order issued by the Caltrans Contract Manager showing a deliverables schedule. It is expected that the Consultant shall complete and meet the agreed upon schedule for each Task Order. Failure to complete the work based on the agreed upon schedule in the
Task Order may result in termination of the Task Order or the Contract. Caltrans may have work completed in any way allowed by law, for which the Consultant shall be liable for any additional costs incurred by Caltrans to complete the work. Such costs may be deducted from amounts due to the Consultant in pending or future invoices, or if the Contract is terminated, may be recouped by any means allowed by law.

11. The Consultant shall maintain a separate complete set of project files for each Task Order issued by the Caltrans Contract Manager performed under the Contract. The Consultant shall maintain two (2) sets of these files. One (1) set shall be maintained on site with the Consultant and the other set shall be updated by the Consultant monthly and delivered to the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager. These files shall be indexed in accordance with Caltrans’ Project Development Uniform File System (http://www.dot.ca.gov/hq/oppd/pdpm/chap_pdf/chapt07.pdf). These files shall be made available to the Caltrans Contract Manager during normal working hours and shall be transferred to Caltrans upon completion of work under the Task Order. If requested by the Caltrans Contract Manager, the Consultant shall provide these project files.

12. Deliverables specified in each Task Order shall be delivered to the attention and address indicated in each Task Order.

13. The Consultant shall be capable of working in either English or Metric units.

14. All deliverables shall be prepared in Imperial English Units unless an exception is approved. The units to be used for deliverables shall be addressed within individual Task Orders.

15. A Task Order may require the Consultant to use software and digital electronic formats other than those indicated in the Contract as needed to accomplish the objectives of the Task Order.

16. Quality Control Plan:

Prior to the work, the Consultant shall prepare the quality control plan and the minimum standard of work quality and obtain approval from the Caltrans Contract Manager, in effect for each and every Task Order during the entire time the work is being performed under the Contract. The Consultant shall complete the quality control plan and certify at the completion of work that all measures contained therein were satisfied. Caltrans shall perform quality assurance on the quality control plan to assure that quality control was satisfied.

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

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

17. Subject to Caltrans review, approval, and acceptance, the Consultant has total responsibility for and shall verify the accuracy and completeness of the analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract prepared by the Consultant or its Subconsultants for the projects as specified in the Contract and in each Task Order. All analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract shall be reviewed by Caltrans for conformity with project standards and the requirements in the Task Order and the Contract. The analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items
required by the Contract are subject to Caltrans’ review, approval, and acceptence. Reviews by Caltrans do NOT include detailed review or checking of major components, quantitative calculations, related details or accuracy of information. The responsibility for accuracy and completeness of such items remains solely that of the Consultant.

18. The Caltrans Contract Manager shall address all questions which may arise as to the quality or acceptability of deliverables furnished and work performed for the Contract.

19. Prepare the analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract in accordance with prevailing industry standards and in a form acceptable to the Caltrans Contract Manager. These items shall identify the preparer, the designated reviewers, and the criteria for acceptance. The deliverables shall satisfy the Caltrans acceptance criteria and tests. The work product shall be complete, of neat appearance, well-organized, technically and grammatically correct, independently checked for error, checked by designated reviewers (Caltrans and Consultant Personnel), dated, and shall conform to industry standards and all applicable Caltrans, State, and Federal Standards, Requirements, and Procedures. All deliverables shall be approved by the Caltrans Contract Manager or Caltrans designee.

The minimum standard of appearance, organization, and content of analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract, shall be that of similar types produced by Caltrans and set forth in related Caltrans manuals.

Caltrans and the Consultant shall develop and agree to a schedule for the services and deliverables to be completed and delivered, and where appropriate, for acceptance criteria and acceptance tests that the services and deliverables must satisfy as a prerequisite for approval by Caltrans. All deliverables shall satisfy the Standards set forth in “Standards” Section in order to be accepted for payment.


1. The Consultant shall obtain written approval from Caltrans for all analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items
required by the Contract. If there are no Caltrans standardized forms, the format and content requirements for all analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract shall be specified in each Task Order. All analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract to be used for the project

2. All Roadway Design and related Project Development and Construction Services, Hydraulics Engineering Services, Architectural Services, Visual Impact Analysis analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, deliverables, backup documents, other documents, and other items required by the Contract performed on computer shall be delivered to Caltrans including, but not limited to, the formats specified below:

a. Text-based documents shall be submitted as an Adobe Portable Document Format (“pdf”) file using Adobe Acrobat Professional version 5 or later software. The pdf file shall be inclusive of all graphics (e.g. page orientation, photographs or other images, charts, and tables) and be suitable for printing in final form. The pdf file shall:
   i. Contain functioning bookmarks, indexes, tables of contents or other hyperlinks as required by the Task Order.
   ii. Be configured (e.g. bookmarks, indexes, table of contents, thumbnails, annotations, signatures, and security settings) as required, or as directed by the Task Order.
   iii. Be optimized for use by Adobe Acrobat Reader 10 or newer.

b. Text-based documents shall also be submitted in Microsoft Word format, version 2007. The document shall include all graphics (e.g. photographs, image graphics, charts, and tables). Photographs shall be in “jpeg” file format. Other image graphics shall be in “gif” format unless otherwise specified.

c. All graphics (e.g. photographs or other drawings) shall be submitted separately from the pdf and Microsoft Word documents in archive-type file formats (e.g. photographs and bitmapped drawings as “tif”, MicroStation drawings as “dgn”, and vector drawings as “ai”) unless otherwise specified. The intent of this section is for the Consultant to provide Caltrans with a copy of each graphic in an uncompressed file format for archive purposes. The Consultant may suggest alternative formats that are compatible with this goal.

d. Spreadsheet files shall be submitted in Microsoft Excel format, version 2007, or format currently in use by Caltrans.
e. Word processing files shall be submitted in Microsoft Word format, version 2007, or format currently in use by Caltrans.
f. Database files shall be submitted in Microsoft Access format, version 2007, or format currently in use by Caltrans.
g. The Consultant shall not format digital electronic files as “view only” or “read only” unless so specified in the Task Order.
h. Other - As specified in the Task Order.

3. Plans shall be prepared in conformance with the current editions of Caltrans’ Plans Preparation Manual, the CADD User’s Manual, and the following:
   a. All CADD work shall be in compliance with Caltrans’ CADD User’s Manual. CADD work shall also incorporate, as deemed necessary by the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager, any revisions to the CADD User’s Manual that are made during the course of the Contract.
   b. The Consultant shall obtain and use the latest versions of the CADD files in order to conform to Caltrans’ graphics and plotting standards. Files needed include, but not be limited to: cell libraries for highways and structures, font resources, color tables, and graphics seed files. These files are provided only in MicroStation format (.dgn) and is accessible electronically from Caltrans’ Internet site at http://www.dot.ca.gov/hq/oppd/cadd/rsc_files/webpage.php (click on CTCELLIB.cel to download file).

4. All CADD graphics files submitted to Caltrans shall be two-dimensional (2-D) graphics files in MicroStation format (.dgn). All graphics files submitted shall display and plot properly on the District's plotting system. Effective October 1, 1992, in accordance with the CADD User’s Manual, submitted CADD plan sheet files should not contain any referenced data. All drawing data and features relating to a CADD plan sheet file shall be fully contained in that CADD file.


6. Diskettes are not acceptable to Caltrans. Any translation efforts necessary to obtain these formats shall be the responsibility of the Consultant at no extra cost to Caltrans.

7. The Consultant requests for applicable District CADD copies of plans or topographic maps (past or present) to complete the task shall be made in writing to the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager at a minimum two (2) weeks prior to their need. The request shall describe what is needed and the reasons therefore. The Caltrans Contract
Manager in coordination with the Caltrans Task Order Manager shall review the request and only forward request of information that is deemed necessary by the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager. Requests for additional CADD copies of information previously provided to the Consultant by Caltrans shall be at the Consultant’s expense, with no extra cost to Caltrans. The CADD files associated with another project (past or present) shall not be released without prior written authorization from the Caltrans Contract Manager or Caltrans designee.

8. The Consultant shall be responsible to convert any past CADD files and/or modify any CADD graphics to current standards. If CADD copies are not available, the Consultant shall convert what is available to meet current CADD submittal standards.

9. As part of the services required for the preparation of the PS&Es, the Consultant shall prepare and furnish Special Provisions for all items included in the plans which are not covered in the Standard Plans and Standard Specifications or require more detail than is presented on the project plans. Caltrans shall supply the Consultant with the Special Provisions’ standard format on microcomputer disks in Microsoft Word. The Consultant shall edit and prepare the Special Provisions specific to the project using the latest version of Microsoft Word. The Standard Special Provisions (SSPs) should be edited according to the instructions contained in the Contract and according to the guidelines in the Ready To List and Construction Contract Award (RTL) Guide. In addition, updated SSPs are maintained on Caltrans’ HQ website:
http://www.dot.ca.gov/hq/esc/oe/index.html#standards,
http://www.dot.ca.gov/hq/esc/oe/construction_standards.html. No disk containing Microsoft Word files shall be provided since SSP updates occur on a daily basis.

10. PS&Es shall be prepared in conformance with current editions of Caltrans’ Plans, Specifications, and Estimates Guide.

11. Where several drawings show different work in the same area, means shall be provided to assure that conflicts do not exist.

12. As-Awarded and As-Built plans shall be submitted on CD in digital electronic MicroStation (DGN) format in accordance with Caltrans standards which include:

a. CADD User’s Manual (March 30, 2011)

b. CADD User’s Manual Chapter 4.3 As-Built Plans (March 30, 2011)
On CD, the Consultant shall include digital electronic Roadway (see Note below) As-Built plans plot files as black-and-white tiff format approximately 500 kb in size. The tiff format As-Builts files shall follow the Caltrans Document Retrieval System (DRS) naming convention. All letters need to be in lower case. On CD, the Consultant shall provide the signed Oversight Engineer’s Certificate for consultant inspected construction projects. Along with the CD, the Consultant shall submit 11” x 17” paper copy of the As-Built Plans with all changes shown in red, including the As-Built Stamp, made during the Construction phase to the As-Awarded contract plans. Consultant shall strictly follow Caltrans drafting standards and levels. Drafting and Plans Manual:
Construction has the lead in handling CCO’s. All engineered design feature changes made during construction must be identified on the As-Built plans with the CCO number that prompted the change, a “cloud” (as noted in the Drafting and Plans Manual: [http://www.dot.ca.gov/hq/oppd/cadd/usta/caddman/english/4-3.pdf](http://www.dot.ca.gov/hq/oppd/cadd/usta/caddman/english/4-3.pdf), page 4.3-5 under #3) around what changed, and the striking through of superseded information. Depending on the nature of the change, Construction may take the responsibility for the change or when it affects the engineering design of the project, Construction must get prior concurrence from the original engineer in responsible charge of the plan sheet in question. Some changes during construction may appear minor in nature (such as changing the length for hot mix asphalt dike or slightly shifting the location of a drainage inlet to avoid an underground pipe) but still must be shown on the As-Built plans. It is preferred that even minor changes have a cloud around it for easy distinction from the original design. Any item of work that was part of the As-Awarded plans, but not constructed, the item must be crossed out stating it was not constructed. If the item affects the engineering design of the project, the CCO number or the reason it was not constructed must be shown. As-Built plans are to show the Encroachment Permit number, Cooperative Agreement number, Expenditure Authorization (EA) number and EFIS number, District, County, Route and Post Mile on the Title Sheet. An As-Built Stamp with the Expenditure Authorization/EFIS number, Construction Contract Acceptance Date, Resident Engineer’s Name and Signature is to be on the title sheet. An As-Built Stamp with the Expenditure Authorization/EFIS number, Construction Contract Acceptance Date and Resident Engineer’s Name is to be on all sheets, other than the title sheet, and on revised or new standard plans. As-Built plans are to be transmitted to the assigned Central Region Construction Unit Task Manager and submitted to the appropriate Central Region Document Retrieval System (DRS) Support Office for review and acceptance.


13. A Design Project History File (DPHF), a permanent project file, shall be compiled for all completed projects. The file consists of selected project development
records and final project construction records. These are to include all letters, memos, reports, etc. that document project decisions, or that would be useful (or required) to develop a subsequent project. The Uniform File System Directory (Project Development Procedures Manual Chapter 7, Section 2 (http://www.dot.ca.gov/hq/oppd/pdpm/chap_pdf/chapt07.pdf)) indicates which project development records should be included in the Project History File. Within the Central Region, a modified version of the Uniform File System Directory (Checklist) and additional requirements not found in Caltrans manuals are used and should be obtained from the Caltrans Project Manager or from the Central Region Document Retrieval System (DRS) Support Office and the Central Region Construction Project Records Management Office. The Design Project History File should not be cluttered with routine records not officially designated for inclusion. When the construction project is completed the Design Project History File is submitted in both hard copy and pdf Optical Character Recognition and web optimized format on CD once Construction Contract Acceptance is complete and Claims are 100% completed and the project can be reported for Project Close-out. When complete, the Design Project History File is to be transmitted to the assigned Central Region Task Manager and submitted to the Central Region Document Retrieval System (DRS) Support Office for review and acceptance.


15. Field measurements, test data and other documents as required by Caltrans procedures shall be recorded, maintained and submitted as directed by the Caltrans Resident Engineer.

V. Conflict of Interest.

1. All professional and technical engineering services such as design analysis, studies and deliverables produced by the Consultant shall be free of any conflict of interest and shall be subject to the approval and acceptance by Caltrans Contract Manager. The consultant shall inform the Caltrans Contract Manager of any ‘perceived’ conflict of interest as soon as discovered.

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

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

The following is (are) an example(s) of conflicts of interest:

- Providing design services for Caltrans and construction inspection services for the construction contractor on the same project.
- Bid and accept award for non-A&E construction contract on the same project that provided design services for.

The above list of conflict of interest scenarios is only a sample of types of conflicts of interest for the services provided under the contract but is not an exclusive list of potential conflicts.

2. The Consultant shall not receive compensation for any services or products in which the Consultant is found to have a conflict of interest. In the event of non-acceptance due to discovery of conflict of interest, the Consultant shall provide replacement deliverables free of any conflict of interest prior to payment. In the event replacement deliverables are not possible, the Consultant shall not receive compensation for the deliverables containing conflict of interest. Examples of conflict of interest include, but not be limited to, the following:

   a. Both preparing and reviewing the same technical Visual Impact Analysis Services work on the same project for Caltrans or others.
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