STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

REQUEST FOR QUALIFICATIONS NOTICE
NUMBER 12A1869

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 Patricia Nichols at patricia.nichols@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 Services for Interstate 405 Asset Management Design-Build Project. 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 $5,600,000.00 - $9,100,000.00.
C. The estimated contract term is 5 years.

D. Interviews will be held via WebEx on December 14, 2020. 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 December 14, 2020. The fee for profit shall be 10.4 percent, and the escalation shall be as follows:

<table>
<thead>
<tr>
<th>Period</th>
<th>Escalation</th>
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<tbody>
<tr>
<td>11/03/20-10/31/21</td>
<td>0%</td>
</tr>
<tr>
<td>11/01/21-10/31/22</td>
<td>1.5%</td>
</tr>
<tr>
<td>11/01/22-10/31/23</td>
<td>3.0%</td>
</tr>
<tr>
<td>11/01/23-10/31/24</td>
<td>3.0%</td>
</tr>
<tr>
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</tr>
<tr>
<td>11/01/25-10/31/26</td>
<td>3.0%</td>
</tr>
</tbody>
</table>

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 January 18, 2021.
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.

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 exist, 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. 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 November 30, 2020. 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, Patricia Nichols, at patricia.nichols@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
For Caltrans, Division of Project Delivery, District 12
On-Call Contract
for Interstate 405 Asset Management Design-Build Project in Orange County from Interstate 5 to Harbor Boulevard (EA 12-0Q970, Project Number 1218000010)

The terms, covenants and conditions set forth herein shall apply to Attachments 1A and 1B. If there is a variance or inconsistency in the terms, covenants and conditions set forth in this Attachment 1, on the one hand, and in Attachments 1A and 1B, on the other hand, the terms, covenants and conditions in Attachments 1A and 1B shall control.

1. Purpose of Work.

The Consultant shall perform consultation, research, professional and technical services required for Roadway Design and related Project Development Services, Request for Qualification (RFQ) and Request for Proposal (RFP) requirements for the Design-Build project and Project Management Services, on an “as-needed” basis to support Caltrans, Division of Project Delivery, District 12, in the development of proposed Caltrans District 12 Interstate 405 (I-405) Asset Management Design-Build Project in Orange County from Interstate 5 (I-5) to Harbor Boulevard (Blvd.), as more fully described in Attachments 1A, and 1B, respectively.

2. Explanation of Work.

The Caltrans Contract Manager shall assign specific work to the Consultant through the issuance of Task Orders describing in detail the services to be performed on the Project. The Consultant shall only perform work that is assigned in an authorized Task Order. This Contract does not guarantee that a Task Order shall be issued.

3. Required Services.

Pursuant to an authorized Task Order, the Consultant shall provide Services within the geographical jurisdiction of this 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. The specific Services shall be described in the attached Scope of Work(s).

The Scope of Work (SOW) of this contract has two (2) components: Roadway Design and related Project Development and Design support during Construction Services, and Project Management Services.
A. Attachment 1A describes the scope of Roadway Design, related Project Development, and Design support during construction Services to be provided by Consultant, if and as requested by and through authorized Task Order(s), at locations listed in Section B “Location of Work” of Attachment 1A.

B. Attachment 1B describes the scope of Project Management Service Services to be provided by Consultant, if and as requested by and through authorized Task Order(s), at locations listed in Section B “Location of Work” of Attachment 1B.

This Contract will have one Consultant Contract Manager to provide services shown in Attachment 1A and 1B.

4. Travel

The Consultant’s headquarters as defined in the Caltrans Travel Guide shall be identified in the Task Order for travel purposes or for the purpose of determining appropriate travel reimbursement.

The Caltrans Contract Manager’s prior written approval is required for all travel.
SCOPE OF WORK/DELIVERABLES

Roadway Design and related Project Development and Construction Services
for Interstate 405 Multi-Asset Design-Build Project in Orange County from Interstate 5 to Harbor Boulevard (12-0Q970, Project Number 1218000010)
for Caltrans, Division of Design, District 12
On-Call Contract

FOR DESIGN - ROADWAY DESIGN: (Roadway Design, Roadway Design and related Project Development and Construction)

A. Purpose of Work.

The Consultant shall perform Architectural and Engineering (A&E) consultation, research, professional and technical services required for Roadway Design and related Project Development and Construction Services, including, but not limited to, field sampling, analysis, reports and work related to project development, on an “as-needed” basis to support the Department of Transportation (Caltrans), Division of Design, District 12 from Project Report phase to construction phase completion of Interstate 405 (I-405) Multi-Asset Design-Build Project in Orange County from Interstate 5 (I-5) to Harbor Boulevard (Blvd.). 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, preparation of Request For Qualification (RFQ) and Request For Proposals (RFP) for Design-Build contract; support to Advertise and Award Design-Build contract; design support during PS&E and Construction; and project history files.

The Contract shall be Task Order driven and shall have a five (5) year duration, with Project Development related tasks performed within the first 48 months and A&E Design service for Construction related tasks to continue through the remaining duration of the Contract. No project development related tasks will be assigned after the first 48 months of the Contract.
1.   Exclusion of Work.

The following disciplines are excluded from the Contract:

a.   Environmental Studies - includes Preparation of Draft and Final Environmental Document and all permit activities to environmental agencies.

b.   Structural Engineering - includes new or retrofit design of bridge or major building facility structures.

c.   Geotechnical Engineering - includes all geotechnical testing, analysis, studies and reports.

d.   Material Testing during Construction Phase.

e.   Land Surveying.

f.   Right of Way Engineering.

g.   Value Analysis.

h.   Architecture.

i.   Existing Design Support - The Consultant shall not provide support for any elements designed by other consultants.

j.   For additional exclusions refer to "Location of Work".

B.   Location of Work.

The work shall be performed on a Multi-Asset Design-Build project as listed in Section C.4 of this Scope of Work to improve the State transportation system on I-405 in Orange County from I-5 to Harbor Blvd. for the Division of Design within the limits of District 12. The specific location within the above-described geographical limits of the work to be performed within this geographic area shall be identified in each Task Order. In some instances, data collection may involve regional analysis beyond the counties identified to properly assess the context and intensity of impacts to the concerned resources. In such instances, the project work shall not extend more than a thirty (30)-mile radius from the District/County, Division of Design, District 12 geographic boundary. These services shall be required to be provided domestically within the continental U.S.A. The
Consultant shall be capable of delivering the Roadway Design and related Project Development and Construction Services in the USA.

C. Required Services.
   1. Pursuant to an authorized Task Order, the Consultant shall provide Roadway Design and related Project Development during the PAED phase, Design-Build Request for Qualification and Request for Proposal support, and support and review of design deliverables during the PS&E and the Construction phase 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. The Consultant shall assist Caltrans, Division of Design, District 12 to produce procurement documents for delivering its commitments for the Design-Build project.

   2. Provided in Section C.4 is the only proposed Caltrans District 12 project. However, this does not constitute a commitment that the project will be initiated or completed or work assigned to the Consultant.

   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 the project listed in the Contract utilizing the services described in this Scope of Work and as described in a Task Order.

   3. 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 user ids 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.

4. The only project that Caltrans, Division of Design, District 12, plans to work on under the Contract is following one (1) project:

**12-0Q970, Project Number 1218000010, 12-ORA-405 - PM0.0/11.4: Multi-Asset, Pavement Rehabilitation (CAPM)**

This project is located on I-405, in Orange County, from I-5 to Harbor Blvd. (PM 0.0/11.4). The project location is within the jurisdictions of the Cities of Irvine, Costa Mesa, and a portion of unincorporated area of Orange County.

This project proposes to extend the life expectancy of pavement, improve safety for all modes of travelers as well as maintenance crews, enhance traffic operation, manage congestion, and provide the ability to collect, analyze, and utilize data for efficient systems performance along I-405 corridor within the project limits.

This project achieves the following performance objectives:

<table>
<thead>
<tr>
<th>Performance Objectives</th>
<th>PID Quantity</th>
<th>Unit of Measure</th>
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<tbody>
<tr>
<td>Pavement Class I</td>
<td>130.48</td>
<td>Lane-Miles</td>
</tr>
<tr>
<td>Ramps and Shoulders Pavement</td>
<td>4,808,000</td>
<td>SF</td>
</tr>
<tr>
<td>Bridge Approach/Departure Slabs</td>
<td>19,634</td>
<td>SF</td>
</tr>
<tr>
<td>Number of Bridges</td>
<td>3</td>
<td>EA</td>
</tr>
<tr>
<td>Lighting Rehabilitation</td>
<td>89</td>
<td>EA</td>
</tr>
<tr>
<td>Acceleration/Deceleration Lane</td>
<td>5,000</td>
<td>LF</td>
</tr>
<tr>
<td>Daily Vehicle Hourly Delay (DVHD) Reduced</td>
<td>3354</td>
<td>DVHD</td>
</tr>
<tr>
<td>Auxiliary Lane</td>
<td>0</td>
<td>EA</td>
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</tbody>
</table>
5. A&E contracts are for (1) architectural and engineering-related services relating to a project that are (2) professional services of an architectural or engineering nature and (3) required to be performed, approved, or logically/justifiably performed by (4) a person licensed, registered, or certified as an engineer or architect to provide the services. Notwithstanding any other provision in this Agreement, only an incidental amount of the total value of the services performed (about 10%) can pertain to non-A&E services (i.e. services that do not meet all the elements of the statutory definition of A&E services).

6. 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.

7. 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.

8. 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.

<table>
<thead>
<tr>
<th>Description</th>
<th>Value</th>
<th>Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bridge Access for Pedestrian &amp; Bicyclist</td>
<td>0</td>
<td>EA</td>
</tr>
<tr>
<td>Overpass/Underpass - Pedestrian &amp; Bike</td>
<td>0</td>
<td>EA</td>
</tr>
<tr>
<td>Collision Severity Reduction (Midwest Guardrail System)</td>
<td>21,000</td>
<td>LF</td>
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<tr>
<td>Crash Cushions</td>
<td>8</td>
<td>Location</td>
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<tr>
<td>Curb Ramp</td>
<td>80</td>
<td>EA</td>
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<tr>
<td>Roadside Rehabilitation</td>
<td>90</td>
<td>Acres</td>
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<tr>
<td>Roadside Safety Improvement</td>
<td>59</td>
<td>Location</td>
</tr>
<tr>
<td>Transportation Management System (CCTV)</td>
<td>97</td>
<td>EA</td>
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<tr>
<td>Changeable Message Sign (CMS)</td>
<td>4</td>
<td>EA</td>
</tr>
<tr>
<td>Smart Lighting</td>
<td>200</td>
<td>EA</td>
</tr>
</tbody>
</table>
9. 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.

10. The Roadway Design and related Project Development, support for Design-Build Request for Qualification and Request for Proposal, and Construction Services shall include, but not be limited to, tasks pertaining to Project Reports (PR), review 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-ways, 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).

11. The Consultant shall assist Caltrans Office Engineer by providing answers to the Design-Build Contractor.

12. If set forth in an authorized Task Order, the Consultant shall assist Caltrans, Division of Design, District 12, in reviewing and analyzing the Design-Build Contractor design deliverables.
13. The Consultant shall assist Caltrans, Division of Design, District 12, in reviews and approvals of all submittals from the Design-Build Contractor. A review time of one (1) week will be allowed.

14. 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 procurement documents for Design-Build contract 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.

15. Participate in performing Constructability Review: This task involves reviews of plans, special provisions, and construction sequencing. Review plans and stage construction prepared by the Design-Build Contractor

16. 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.

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

18. The Consultant and Subconsultant personnel shall not meet, discuss, nor confer with the public, Caltrans personnel, the Design-Build Contractor, 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.

19. 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; Design-Build Contractor, 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.

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

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

c. The Consultant shall not negotiate or make decisions in Caltrans' name. Caltrans shall retain responsibility for initiating and managing all final consultation, both informal and formal, with other consultants; other contractors; Design-Build Contractor, 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.

20. 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. 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
100.15 Project Management PS&E Component
100.20 Project Management - Construction Component

160 Perform Preliminary Engineering Studies and Draft Project Report (See Note 4)
165 Perform Environmental Studies and Prepare Draft Environmental Document (DED) (See Note 1)
170 Permits, Agreements, and Route Adoptions during PA&ED Component (Project Approval & Environmental Documentation) (See Note 1)
175 Circulate Draft Environmental Document and Select Preferred Project Alternative (See Note 1)
180 Prepare and Approve Project Report and Final Environmental Document (See Note 1)
185 Base Maps and Plan Sheets for PS&E Development (See Note 4)
205 Permits and Agreements during PS&E Component (See Note 1)
230 Prepare Draft PS&E (Plans, Specifications, and Estimates) (See Note 5)
235 Mitigate Environmental Impacts and Clean up Hazardous Waste (See Note 1 & 5)
240 Draft Structures PS&E (See Note 2 & 5)
240.60 Hydraulics Report (See Note 1 & 5)
250 Final Structures PS&E Package (See Note 2 & 5)

255 Circulate, Review, and Prepare Final District PS&E Package (See Note 5)
270 Construction Engineering and Contract Administration (See Note 1 & 5)
275 Construction Engineering and General Contract Administration of Structures Work (See Note 2)
285 Change Order Administration (See Note 1 & 5)
290 Resolve Contract Claims (See Note 1 & 5)

Notes:
1. For these WBS items, provide only engineering support such as mapping and/or design information and Contract Administration.
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.
3. Support for Legal Challenges
4. Work on these WBS items also includes support or preparation of RFQ & RFP.
5. Coordinate, review, and provide comments on Design-Build Contractor package submittals.

WBS 230 activities will only be applied to oversight the development of the project Plans and Estimates being prepared by the Design-Build contractor (and its consultant).

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 have demonstrated experience with similar Design-Build projects and or contracts. Similar Design-Build experience is essential to the successful delivery of this contact.

2. 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.
3. 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 least two (2) previous projects, unless otherwise approved by the Caltrans Contract Manager.

4. 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.

5. 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.

6. 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.

7. 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.

8. 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.
9. The Caltrans Contract Manager shall evaluate the adequacy (quality and quantity) of the work performed by the Consultant’s personnel, and determine 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.

10. 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.

11. 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.

12. 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.

13. 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.

14. 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 in coordination with the Caltrans Task Order Manager, Functional Manager, District/Region Area Construction (Claims) Engineer, Laboratory Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer.

The Consultant Contract Manager shall have a minimum of five (5) years of responsible experience performing the duties as a contract manager for similar Design-Build 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 (Civil) 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 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 involvement.
n. Ensuring compliance with the provisions in the Contract and all specific Task Order requirements.

3. Consultant Task Order Manager.

For each Task Order, the Consultant shall provide a Consultant Task Order Manager to coordinate the Consultant Task Order operations with the Caltrans Contract Manager in 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, District/Region Area Construction (Claims) Engineer, Laboratory Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer 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. A Consultant Task Order Manager for the preparation of the Design-Build RFQ and RFP shall have a minimum demonstrated experience of five (5) years in the preparation or assistance of preparation of RFQ and RFP’s for Design-Build contracts.


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 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 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.

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

7. In the Contract, a person who is authorized to review and approve Consultant Roadway Design and related Project Development and Construction 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 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.

8. 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 not fully approved by Caltrans bearing the signature of the Consultant Roadway Design 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 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 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 Roadway Design Responsible Person (or engineer, certified technician, the Consultant Contract Manager registered in the State of California).

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 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 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.

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.

If Caltrans determines that the Consultant’s services and work product need to be received outside of normal business hours (including instances where receipt is required to avoid danger to life or property), the Consultant may be directed to provide its services and work product during specific hours during the week (including hours that are outside of normal business hours). Night work may be required on projects involving high traffic areas. The Caltrans’ construction contractor’s operations may be restricted to specific hours during the week, which shall become the normal workday for Consultant’s personnel. Changes in hours or schedules shall be documented by amendment of Task Orders. Any shift differential rate pay shall be reimbursed in accordance with the applicable Department of Industrial Relations (DIR) determination.

On days when work is not performed by the construction contractor, such as rainy or unsuitable weather days, Consultant’s services shall not be provided unless authorized by the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager, Functional Manager, District/Region Area Construction (Claims) Engineer, Laboratory Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer.

The Caltrans Contract Manager in coordination with the Caltrans Task Order Manager, Functional Manager, District/Region Area Construction (Claims) Engineer, Laboratory Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer shall provide advance notice of one (1) working day(s)/twenty-four (24) hour/eight (8) hours if the Consultant’s services are not required as a result of a cessation of construction activities or if reassignment of personnel is required. If Caltrans fails to provide the required advance notice and the Consultant personnel are not required as a result of cessation of construction activities, Caltrans shall provide a maximum of four (4) hours compensation.
It is anticipated that variations in the Caltrans' construction contract activities will occur. During the contract period, the Caltrans Functional Manager and/or Contract Manager may ask the Consultant Contract Manager to reassign Consultant employees from a project or an office with low activity to assist on another project or office with high activity. The Consultant Contract Manager will be notified at least two (2) working days prior to this reassignment.

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

3. 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. Incidental training services may be provided only if the training involves the specific work product of the Agreement. Such incidental training services are permitted, but only if:

a. The training involves the specific work product created under the Agreement (and does not involve general A&E training and is not the work product of a previous agreement); and

b. The total aggregate cost of all training under the Agreement does not exceed 10% of the total authority of the Agreement; and

c. The training is an incidental task within the Agreement and not the purpose for entering into the Agreement.

12. 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.

vii. Web conferencing software that is compatible with Caltrans’ Information Technology and Information Security practices.

viii. Web-based file hosting service that is made accessible to Caltrans’ personnel, as required, to access project-related files.

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. In-house printing, reproduction, and delivery services.

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

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. Hand tools including but not limited to: shovels, gloves, pick, measuring tape, buckets, wheelbarrow, heat gun, sledgehammer, concrete and asphalt thermometers, clip board, calculator, peg book, as appropriate for the requested field personnel work.

e. All necessary safety equipment including fire extinguisher, hard-soled safety footwear, white hard hats, eye protection, hearing protection, and approved safety vests as appropriate for the requested field work to be performed safely and efficiently within operating highway and construction zone environments.

f. Necessary miscellaneous tools, non-consumables, and supplies including, but not limited to, hammers, and shovels.

g. Traffic cones, at a minimum 25, for traffic control as necessary. Such cones shall be 28 inches, minimum, in height.

h. Traffic control devices (including signs, sign bases, flags, and hand held signs) as required to perform the requested field personnel work.

3. The Consultant shall provide all necessary tools, instruments, equipment, materials, supplies, and safety equipment required to perform the work identified in each Task Order and 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’ Code of Safe Practices:
   http://www.dot.ca.gov/hq/construc/safety/

c. California Business and Professions Code:
   http://leginfo.legislature.ca.gov/faces/codesTOCSelected.xhtml?tocCode=BPC&tocTitle=Business+and+Professions+Code+-+BPC
d. California Code of Regulations: [https://govt.westlaw.com/calregs/Index?transitionType=Default&contextData=%28sc.Default%29](https://govt.westlaw.com/calregs/Index?transitionType=Default&contextData=%28sc.Default%29)


g. California Public Resources Code: [https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=PRC&division=13.&title=&part=&chapter=1.&article=](https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=PRC&division=13.&title=&part=&chapter=1.&article=)


http://www.dot.ca.gov/dist1/d1transplan/tisguide-Dec02.pdf

m. Caltrans Surveys Manual:

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

o. Construction Manual:
Chapter 5 Section 1 Project Records and Reports

http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm
http://www.dot.ca.gov/hq/oppd/pdpm/pdpm.htm

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

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

s. Caltrans CADD Users 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

t. CADD Users Manual Chapter 4.3 As-Built Plans (March 30, 2011)


Construction Staking Handbook:
Construction Staking: Chapter 12 of Caltrans Surveys Manual:
w. 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/HTM/06_plans_disclaim_US.htm 

x. 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 

y. 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 

z. 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 

aa. Project Plan Preparation Manual of Instructions: 
   http://www.dot.ca.gov/hq/esc/oe/project_plans/index.htm (broken link) 

bb. Caltrans Policy and Guidelines: Cost Estimate:
http://www.dot.ca.gov/hq/oppd/costest/costest.htm

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

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

ee. 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/

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

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

hh. 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)

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

jj. 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
kk. Caltrans Standard Environmental Reference, Biological Resources:

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

mm. Caltrans Quality Control and Assurance for Biological Technical Documents:

nn. Secretary of the Interior’s Professional Qualification Standards:
   http://www.nps.gov/history/local-law/arch_stnds_9.htm

oo. Secretary of the Interior’s Standards and Guidelines for Archaeology and Historic Preservation (Federal Register, Vol. 48, No. 190, September 1983):
   https://www.nps.gov/history/local-law/arch_stnds_0.htm

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

qq. 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

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

ss. Construction Policy Bulletins (CPBs):

tt. Caltrans Design Memorandum:
   http://www.dot.ca.gov/hq/oppd/design/index.htm

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

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

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

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

http://www.dot.ca.gov/hq/esc/construction/manuals/OSCCompleteManuals/BCRPVol1_Terms.pdf


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

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

ddd. AASHTO Pavement Design Guidance:
https://aashtojournal.org/2020/04/03/aashto-issues-revised-pavement-design-guide/

eee. Superpave Mix Design Standards:
http://www.asphaltinstitute.org

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


iii. Caltrans Falsework Manual:

jjj. Caltrans Trenching and Shoring Manual:

kkk. Caltrans Foundation Manual:
http://www.dot.ca.gov/hq/esc/construction/manuals/OSCCCompleteManuals/Foundation_Terms.pdf

lll. Caltrans Prestress Manual:

mmm. Other applicable Offices of Structure Construction manuals:
http://www.dot.ca.gov/hq/esc/construction/manuals/

nnn. Manual of Traffic Controls for Construction and Maintenance Work Zones:

ooo. Median Barrier Guidelines.
(Not a Caltrans Publication)

(Not a Caltrans Publication)

rrr. Division of Construction Oversight Engineer Field Guidelines.  
Chapter 4 Project Completion.  

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

Chapter 17.4 AS BUILT PLANS.  
http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm

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

vvv. Federal Highway Administration (FHWA) Guidance for Consultants:  
Procedures for the Protection of Historic Properties - Section 106 Process,  
and Guide for Consultants: Procedures for Completing the Natural Environment Study and Related Biological Reports:  
http://www.fhwa.dot.gov/  
http://www.fhwa.dot.gov/  
http://www.fhwa.dot.gov/cadiv/pre/guide3.htm (broken link)


http://www.epa.gov/epaoswer/hazwaste/test/main.htm
yyy. Caltrans Soil and Rock Logging Manual, Classification, and Presentation Manual:

zzz. State of California, Department of Water Resources, California Well Standards/Well Standards Bulletins, in Bulletins 74-81 and 74-90:
   http://www.water.ca.gov/groundwater/
   http://wdl.water.ca.gov/well_standards/well_standards_content.html

aaaa. California Department of Toxic Substances Control Guidance Manual:
   Monitoring Well Design and Construction for Hydrogeologic Characterization, Interim Final August 1994:
   http://www.dtsc.ca.gov/

bbbb. California Department of Toxic Substances Control Guidance manual:


dddd. Caltrans Biological Guide for Consultants:
   http://dot.ca.gov/ser/vol3/vol3.htm (broken link)


gggg. Caltrans Project Planning and Design Activities Guide.

hhhh. Caltrans Externally Financed Projects Branch (EFPB) Information and Procedures Guide.


oooo. Caltrans Bridge Memo to Designers.

pppp. Caltrans Bridge Standard Details Sheets.

qqqq. Caltrans Bridge Detail Decals.

rrrr. Caltrans Formatted Highway Plan Sheets.

ssss. Caltrans Formatted Bridge Plan Sheets.


LOCAL MANUALS

uuuu. “Site Assessment and Mitigation Manual” (SAM) of the San Diego County Department of Environmental Health (DEH).


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

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


M. Field Safety.

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

1. The Consultant shall maintain a working environment that is safe for project personnel and the public. The Consultant shall provide a Code of Safe Practices that includes at a minimum, fall protection safety, lead training, respirator
training, and promotes an awareness of health and safety requirements and
enforce applicable regulations and contract provisions for the protection of the
project personnel and the public. The Consultant’s personnel shall comply with
all safety provisions of the Caltrans Safety Manual
(http://www.dot.ca.gov/hq/opo/safety/safetymanual_toc.htm), Caltrans Surveys
Manual
(http://www.dot.ca.gov/hq/row/landsurveys/SurveysManual/Manual_TOC.html),
Caltrans Laboratory Safety Manual
Manual (http://www.dot.ca.gov/hq/traffops/signtech/signdel/trafficmanual.htm)
The Consultant shall comply with all Federal, State, and Local Occupational
Safety and Health Administration (OSHA) statutes, laws, codes, regulations,
policies, procedures, ordinances, standards, rules, specifications, performance
standards, and guidelines, and the safety instructions that Caltrans issues for
performance of Task Order work, applicable to the work under the Contract,
regarding safety equipment and procedures (including, but not limited to, use and
operation). Under no circumstance shall the Consultant’s safety policies be less
stringent than Caltrans’.

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.

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 reasonable 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.

Q. Roadway Design and related Project Development and Construction Materials to be Provided or made available by Caltrans.

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.

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 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 acceptance. Reviews by Caltrans do NOT include detailed review or checking of major components, quantitative calculations, related details or accuracy of information. The responsibility for accuracy and completeness of such items remains solely that of the Consultant.
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 includes.

2. All Roadway Design and related Project Development and Construction Services 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 Users Manual, and the following:
   a. All CADD work shall be in compliance with Caltrans’ CADD Users 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 Users 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 CTCELLLIB.cel to download file).

4. All CADD graphics files submitted to Caltrans shall meet latest Caltrans Standards.


6. 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.

7. 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.

8. As part of the services required for the preparation of the Design-Build Contract Documents, 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. No disk containing Microsoft Word files shall be provided since SSP updates occur on a daily basis.

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

10. 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 Users Manual (March 30, 2011)

   b. CADD Users Manual Chapter 4.3 As-Built Plans (March 30, 2011)

   c. Construction Manual (June 2013)
      Chapter 5 Section 1 Project Records and Reports

   d. Division of Construction Oversight Engineer Field Guidelines (June 2005)
      Chapter 4 Project Completion

   e. Encroachment Permits Manual (August 2, 2013)
      Chapter 206.2A As-Built Plans and Other Completion Records

   f. Local Assistance Procedures Manual (December 12, 2011)
      Chapter 17.4 AS BUILT PLANS
      http://www.dot.ca.gov/hq/LocalPrograms/lam/la.htm
g. Office of Special Funded Projects Information and Procedures Guide (June 2002)
   Chapter 1-9 Project Records

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

i. Project Development Procedures Manual
   Chapter 7 - Uniform File System (December 15, 2007)

j. Project Development Procedures Manual
   Chapter 15 - Final Project Development Procedures (March 4, 2010)

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, 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.

Note: Separate Caltrans Unit responsibilities apply to Structures As-Built plans. The Office of Structures Construction required project documentation will be processed by the structure construction oversight engineer in accordance with the Bridge Construction Records and Procedures Manual (Division of Engineering Services Technical Publications website: http://www.dot.ca.gov/hq/esc/techpubs/; http://www.dot.ca.gov/hq/esc/construction/manuals/OSCCompleteManuals/BCRPVol1.pdf; http://www.dot.ca.gov/hq/esc/construction/manuals/OSCCompleteManuals/BCRPVol2.pdf). Refer to Section 2-19.0 for job acceptance records required by the Office of Structure Construction and the corresponding submission responsibilities when the project includes structure work.

11. 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.


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 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 are examples 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.
- Being a prime or subconsultant on this contract and be part of future Design-Build team.
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.
SCOPE OF WORK/DELIVERABLES
Program/Project Management Services
for Interstate 405 Multi-Asset Design-Build Project in Orange County from Interstate 5 to Harbor Boulevard (12-0Q970, Project Number 1218000010)

for Caltrans, Division of Program/Project Management, District 12
On-Call Contract

FOR PROJECT MANAGEMENT

A. Purpose of Work.

The Consultant shall perform Architectural and Engineering (A&E) consultation, research, professional and technical services required for Program/Project Management Services on an “as-needed” basis to support the Department of Transportation (Caltrans), Division of Program/Project Management (PPM) District 12, from Project Report phase to construction phase completion of Interstate 405 (I-405) Multi-Asset Design-Build Project in Orange County from Interstate 5 (I-5) to Harbor Boulevard (Blvd.). 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, integration management; scope management; time management; cost management; quality management; resource management; communication management; risk management; project scheduling; project coordination; PM developments and project resource estimating services.

The Consultant shall not work during the Planning Phase (K-Phase) listed under the Work Breakdown Structure (WBS) 150 series.

The Consultant shall provide support when Caltrans lacks the expertise or available resources.

The Consultant shall provide services for the Project Management for Design-Build Project during PAED phase, Request for Qualification and Request for Proposal for Design-Build Contractor, Design-Build PS&E phase, and Design-Build Construction phase which is on the critical path for the completion of the Design-Build project. Caltrans may require extensive 24/7 service from the Consultant. The Consultant may also be assigned other tasks to support Caltrans.
B. Location of Work.

The work shall be performed on a Multi-Asset Design-Build project as listed in Section C.4 of this Scope of Work to improve the State transportation system on I-405 in Orange County from I-5 to Harbor Blvd. for the Division of PPM within the limits of District 12. The specific location within the above-described geographical limits of the work to be performed within this geographic area shall be identified in each Task Order. In some instances, data collection may involve regional analysis beyond the counties identified to properly assess the context and intensity of impacts to the concerned resources. In such instances, the project work shall not extend more than a thirty (30)-mile radius from the Division of PPM, District 12 geographic boundary. These services shall be required to be provided domestically within the continental U.S.A. The Consultant shall be capable of delivering the Program/Project Management Services in the USA.

C. Required Services.

1. Pursuant to an authorized Task Order, the Consultant shall provide Program/Project Management 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. The Consultant shall assist Caltrans, Division of PPM, District 12, in all PM related activities.

2. Provided in Section C.4 is the only proposed Caltrans project that the Consultant will be managing for Caltrans District 12. However, this does not constitute a commitment that the project will be initiated or completed or work assigned to the Consultant.

3. 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.

4. The only project that Caltrans, Division of PPM, District 12, plans to work on under the Contract is following one (1) project:

**12-0Q970, Project Number 1218000010, 12-ORA-405 - PM0.0/11.4: Multi-Asset, Pavement Rehabilitation (CAPM)**

This project is located on I-405, in Orange County, from I-5 to Harbor Blvd. (PM 0.0/11.4). The project location is within the jurisdictions of the Cities of Irvine, Costa Mesa, and a portion of unincorporated area of Orange County.

This project proposes to extend the life expectancy of pavement, improve safety for all modes of travelers as well as maintenance crews, enhance traffic operation, manage congestion, and provide the ability to collect, analyze, and utilize data for efficient systems performance along I-405 corridor within the project limits.

This project achieves the following performance objectives:

<table>
<thead>
<tr>
<th>Performance Objectives</th>
<th>PID Quantity</th>
<th>Unit of Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pavement Class I</td>
<td>130.48</td>
<td>Lane-Miles</td>
</tr>
<tr>
<td>Ramps and Shoulders Pavement</td>
<td>4,808,000</td>
<td>SF</td>
</tr>
<tr>
<td>Bridge Approach/Departure Slabs</td>
<td>19,634</td>
<td>SF</td>
</tr>
<tr>
<td>Number of Bridges</td>
<td>3</td>
<td>EA</td>
</tr>
<tr>
<td>Lighting Rehabilitation</td>
<td>89</td>
<td>EA</td>
</tr>
<tr>
<td>Acceleration/Deceleration Lane</td>
<td>5,000</td>
<td>LF</td>
</tr>
<tr>
<td>Daily Vehicle Hourly Delay (DVHD) Reduced</td>
<td>3354</td>
<td>DVHD</td>
</tr>
<tr>
<td>-----------------------------------------</td>
<td>------</td>
<td>------</td>
</tr>
<tr>
<td>Auxiliary Lane</td>
<td>0</td>
<td>EA</td>
</tr>
<tr>
<td>Bridge Access for Pedestrian &amp; Bicyclist</td>
<td>0</td>
<td>EA</td>
</tr>
<tr>
<td>Overpass/Underpass - Pedestrian &amp; Bike</td>
<td>0</td>
<td>EA</td>
</tr>
<tr>
<td>Collision Severity Reduction (Midwest Guardrail System)</td>
<td>21,000</td>
<td>LF</td>
</tr>
<tr>
<td>Crash Cushions</td>
<td>8</td>
<td>Location</td>
</tr>
<tr>
<td>Curb Ramp</td>
<td>80</td>
<td>EA</td>
</tr>
<tr>
<td>Roadside Rehabilitation</td>
<td>90</td>
<td>Acres</td>
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<td>Roadside Safety Improvement</td>
<td>59</td>
<td>Location</td>
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<tr>
<td>Transportation Management System (CCTV)</td>
<td>97</td>
<td>EA</td>
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<td>Changeable Message Sign (CMS)</td>
<td>4</td>
<td>EA</td>
</tr>
<tr>
<td>Smart Lighting</td>
<td>200</td>
<td>EA</td>
</tr>
</tbody>
</table>

5. A&E contracts are for (1) architectural and engineering-related services relating to a project that are (2) professional services of an architectural or engineering nature and (3) required to be performed, approved, or logically/justifiably performed by (4) a person licensed, registered, or certified as an engineer or architect to provide the services. Notwithstanding any other provision in this Agreement, only an incidental amount of the total value of the services performed (about 10%) can pertain to non-A&E services (i.e. services that do not meet all the elements of the statutory definition of A&E services).

6. 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.

7. 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.

8. 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.
9. The Consultant may be expected to spend time for extended assignments to perform A&E services at Caltrans offices. 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.

10. Program/Project Management Services include, but not be limited to:
   a. Assisting in the project management related functions of the Design-Build project.
   b. Coordinating with Regional Transportation Planning Agencies, Local Agencies, and other local project sponsors.
   c. Coordinating with the Design-Build Contractor.
   d. Updating and analyzing project workplans (historic trends on planning vs. expenditures, analysis and interview functions on the expenditure practices, current workplan resource analysis, consistent project management practices, and opportunity for efficiencies).
   e. Assisting the Federal Highway Administration (FHWA) and other review agencies to review documents submitted by Caltrans and other transportation agencies in California on projects assigned to the Consultant.
   f. Project integration management;
   g. Project scope management;
   h. Project time management;
   i. Project cost management;
   j. Project quality management;
   k. Project resource management;
   l. Project communication management;
   m. Project risk management;
   n. Project scheduling;
   o. Project coordination;
   p. PM development;
q. Project resource estimating services.

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)

a. WBS 100.10.05, 100.15.05 & 100.20.05 Initiation & Planning of each project phase
   i. Establish expenditure authorizations (EA).
   ii. Develop and update charter. This document should identify the purpose and need for the project, the type of documents to be developed, possible funding sources, constraints, and assumptions. It should incorporate by reference any agreements with the sponsors (including, but not be limited to, local agencies, maintenance).
   iii. Develop, maintain, update, and enter project information for input into project management database system(s) (including, but not be limited to, Primavera Project Planner Version 3.0 - P3, Expert Project Management - XPM, Project Management Control System - PMCS, Project Resource and Schedule Management - PRSM, Project Focus, CA Clarity PPM).
   iv. Update and develop Workplan (resourced schedule). Includes the projects scope, cost, and schedule elements.
   v. Develop, maintain, and update project Quality Management Plan.
   vi. Develop, maintain, and update project Communication Management Plan.
   vii. Provide support to develop, maintain, and update project Risk Management Plans and Risk Registers. Includes qualitative risk analysis, quantitative risk analysis, and various project simulations methods including Monte Carlo analysis.
viii. Develop, maintain, and update project Resource Management Plan (personnel and procurement).

ix. Develop, update and maintain project Resource Management Plans (staff and procurement). Includes working with task managers and functional units to develop work agreements for staff resources required to deliver the Design-Build Project. Enter and update resource information in project work plans.


xi. Prepare project change control documents including Project Change Requests (PCRs).

xii. Support the project status update process. Includes the entire status process from reporting work results to updating databases. Includes updating and revising work plan during execution of the phase.

xiii. Provide project data to support District status cycle, status meeting, close-out meetings, delivery plan and contract for delivery.

xiv. Communication and distribution of project records and information. Includes responses to all internal and external requests for information about the project.

xv. Quality assurance / Quality control for the Design-Build project data and information.

xvi. Sponsor, team, and stakeholder evaluations for project.

xvii. Perform independent reviews of project schedules and estimates.

xviii. Provide quality control relative to the project management aspects of various engineering reports required for Capital Outlay projects. Includes review of these reports and providing recommendations to the developer as well as the approving authority.

xix. Preparations for public meetings and participation in those meetings. This includes preparation of project exhibits and materials. Also includes development of needed advertisements and publication of these advertisements in newspapers, or other media.

xx. Assist in the development of various project agreements including interagency agreements, cooperative agreements, and Highway Improvement Agreements.

xxi. Assist in the review and update of project management related aspects of the plans, specifications and estimates (PS&E) package.

xxii. Assist in the preparation of Request for Funds and/or Project Notifications.

xxiii. Provide project management support for implementing Earned Value Management.
b. WBS 100.10.10, 100.15.10 & 100.20.10 Execution & Control of each project phase
   i. Status project. Includes the entire status process from reporting work results to updating databases. Includes updating and revising workplan during execution of the phase.
   ii. Communication and distribution of project records and information. Includes responses to all internal and external requests for information about the project.
   iii. Preparations for public meetings and participation in those meetings. This includes preparation of exhibits and materials and distribution of meeting notes.
   vii. Quality assurance / Quality control.
   viii. Procurement of resources.

c. WBS 100.10.15, 100.15.15 & 100.20.15 Close Out each project phase.
   Project Managers shall close out each component (phase) of the project in a formal and consistent manner. Proper Project Close-Out process is provided at http://pd.dot.ca.gov/pm/ProjectOffice/ProcessGuidance_Directives/Closeout.asp.
   i. Close out contracts and agreements.
   ii. Sponsor, team, and stakeholder evaluations.
   iii. Document lessons learned.
   iv. Close out reports.
   v. Close expenditure authorizations (EA).
   vi. Close out contracts and agreements necessary for project completion.
   vii. Providing project management support during the project close out process including completion of the close out report.
   viii. After the project is complete such as the Construction component, the Right of Way component (including excess property disposal), post-construction Environmental mitigation and any other necessary actions are finished, the expenditure authorizations (EAs) can be closed out.
   ix. Finalize
   x. Conduct Close-Out Meeting with Project Development Team.
   xi. Archive project files.
d. Provide only Program/Project Management tasks listed above shall be performed on the various project’s tasks listed including, but not limited to:

<table>
<thead>
<tr>
<th>WBS Code</th>
<th>WBS Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>100.10.35</td>
<td>Executed Cooperative Agreement for PA&amp;ED Component (Project Approval and Environmental Document)</td>
</tr>
<tr>
<td>100.15.20</td>
<td>Project Shelving (PS&amp;E)</td>
</tr>
<tr>
<td>100.15.25</td>
<td>Project Unshelving (PS&amp;E)</td>
</tr>
<tr>
<td>100.15.30</td>
<td>Updated Administrative Record and Support for Legal Challenges during PS&amp;E</td>
</tr>
<tr>
<td>100.15.35</td>
<td>Executed Cooperative Agreement for PS&amp;E Component</td>
</tr>
<tr>
<td>100.15.99</td>
<td>Other Project Management PS&amp;E Component Products</td>
</tr>
<tr>
<td>100.20</td>
<td>Project Management - Construction Component</td>
</tr>
<tr>
<td>100.20.20</td>
<td>Project Shelving (Construction)</td>
</tr>
<tr>
<td>100.20.25</td>
<td>Project Unshelving (Construction)</td>
</tr>
<tr>
<td>100.20.30</td>
<td>Updated Administrative Record during Construction</td>
</tr>
<tr>
<td>100.20.35</td>
<td>Executed Cooperative Agreement for Construction Component</td>
</tr>
<tr>
<td>100.20.99</td>
<td>Other Project Management Construction Component Products</td>
</tr>
</tbody>
</table>

Project management services include, but not be limited to:

i. Assisting in the programming of projects.

ii. Coordinating with Regional Transportation Planning Agencies, Local Agencies and other local project sponsors.

iii. Assisting in the management of State Highway project delivery

iv. Updating and analyzing project workplans (historic trends on planning vs. expenditures, analysis and interview functions on the expenditure practices, current workplan resource analysis, consistent project management practices, and opportunity for efficiencies).

v. Presenting and marketing of project management policies, practices and procedures to project delivery staff

vi. Assisting the Federal Highway Administration (FHWA) and other review agencies to review documents submitted by Caltrans and other transportation agencies in California on projects assigned to the Consultant.

vii. Advising District Division of Program and Project Management on the best practices in particular areas of program and project management

viii. Assisting District Division of Program and Project Management in implementing new program and project management tools
ix. Developing Statewide and District-wide guides and standards for project management

x. Mentoring Caltrans Project Managers

xi. Mainstreaming Intelligent Transportation System (ITS) planning into Caltrans’ Capital and Process Improvement projects pursuant to Director’s Policy on ITS (DP-26) and the United States Department of Transportation Final Rule for ITS (23CFR940).

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 have demonstrated experience in managing similar Design-Build projects and or contracts. Similar Design-Build experience is essential to the successful delivery of this contract.

2. 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.

3. 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.

4. 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.
5. 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.

6. 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.

7. 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.

8. 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.

9. The Caltrans Contract Manager shall evaluate the adequacy (quality and quantity) of the work performed by the Consultant’s personnel, and determine 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.

10. 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.

11. 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.

12. 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.

13. 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.

14. 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.

F. Program/Project Management Personnel Requirements.

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 in coordination with the Caltrans Task Order Manager, Functional Manager, District/Region Area Construction (Claims) Engineer, Laboratory Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer.

The Consultant Contract Manager shall have a minimum of five (5) years of responsible experience performing the duties as a contract manager for similar Program/Project Management 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 (Civil) 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 Program/Project Management Services work.

The Consultant Contract Manager shall have a documented minimum five (5) years of demonstrated experience acceptable to Caltrans as a Project Manager (Project Development Team leader who manages multi-disciplinary resources across all phases of the project) delivering highway projects. Certification as a Project Management Professional (PMP) from Project Management Institute (PMI) or other equivalent Project Management certification is desirable.

In addition to other specified responsibilities, the Consultant Contract Manager shall be responsible for all matters related to the Consultant’s personnel, Subconsultants, Program/Project Management Services 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. Reviewing work prepared by Consultant’s personnel.
p. Updating and managing XPM, PMCS, WPS, PRSM and other Caltrans’ Program Project Management Systems.
q. Qualifications at least equivalent to one of the following classifications in California State service:
i. Senior Transportation Engineer, Caltrans.

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, District/Region Area Construction (Claims) Engineer, Laboratory
Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer 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 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. Subconsultant Personnel

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

7. In the Contract, a person who is authorized to review and approve Consultant Program/Project Management 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 Program/Project Management Responsible Person. The Consultant Program/Project Management Responsible Person, shall be a (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 Project Management 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, 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 Project Management 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 Program/Project Management Responsible Person (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 Program/Project Management 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 Program/Project Management Responsible Person (or engineer, certified technician, the Consultant Contract Manager registered in the State of California).

10. Consultant Project Manager who manages multi-disciplinary resources across all phases of the project shall be assigned to manage this Design-Build project with Caltrans project management personnel on a full time basis.
The Consultant Project Manager:

a. Degree (Bachelors, Masters, or higher) in engineering, planning, or other transportation related field.

b. Shall have a documented minimum ten (10) years of demonstrated experience acceptable to Caltrans delivering Design-Build highway projects AND EITHER:
   i. A documented minimum one (1) year of demonstrated experience acceptable to Caltrans as a Project Manager (Project Development Team leader who manages multi-disciplinary resources across all phases of the project).
   OR
   ii. A documented minimum five (5) years of demonstrated experience acceptable to Caltrans as a Project Engineer in “Responsible Charge” of delivering highway projects.

b. Might be required to work on-site in the Caltrans Facilities during Caltrans building business hours which is 8:00 a.m. - 5:00 p.m.

c. A Registered Professional Civil Engineer licensed in the State of California is desirable.

d. Certification as a PMP from PMI or other equivalent Project Management certification is desirable.

e. Qualifications at least equivalent to one of the following classifications or higher in California State service:
   i. Senior Transportation Engineer, Caltrans.
   ii. Senior Architect.
   iii. Senior Bridge Engineer.
   iv. Senior Transportation Electrical Engineer (Specialist).
   v. Senior Transportation Electrical Engineer (Supervisor).
   vi. Senior Land Surveyor.
   vii. Senior Landscape Architect, Caltrans.
   viii. Senior Materials and Research Engineer.
   ix. Senior Mechanical Engineer, Caltrans.
   x. Senior Engineering Geologist.

11. Project Management Specialist(s) to provide project management support, project scheduling using CA Clarity Open Workbench, project coordination, program management, risk analysis, and expert project management services on an "as needed" basis.

Each Consultant personnel assigned as a Project Management Specialist(s) shall have:

a. Degree (Bachelors, Masters, or higher) in engineering, planning, or other transportation related field.
b. At a documented minimum five (5) years demonstrated experience acceptable to Caltrans delivering highway projects AND EITHER:
   i. A documented minimum one (1) year of demonstrated experience acceptable to Caltrans as a Project Manager (Project Development Team leader who manages multi-disciplinary resources across all phases of the project).
   OR
   ii. A documented minimum five (5) years of demonstrated experience acceptable to Caltrans as a Project Engineer in “Responsible Charge” of delivering highway projects.

c. Certification as a PMP from PMI or other equivalent Project Management certification is Mandatory.


e. At a minimum one specialist shall be a certified expert user of the Open Workbench scheduling software from CA Clarity.

f. Be available to work on-site in the Caltrans Facilities as required.

g. Experience as a Project Manager is desirable.

h. A Registered Professional Civil Engineer licensed in the State of California is desirable.

i. Experience managing or delivering highway projects is desirable.

12. Assistant Project Manager to provide Project Management Services and manage complex aspects of transportation related similar Design-Build projects on an "as needed" basis.

Each Consultant employee assigned as an Assistant Project Manager(s) shall have:

a. Degree (Bachelors, Masters, or higher) in engineering, planning, or other transportation related field.

b. A documented minimum five (5) years of demonstrated experience acceptable to Caltrans managing complex aspects of transportation related projects.

c. Qualifications at least equivalent to one of the following classifications in California State service:
   i. Transportation Engineer (Civil), Range C or D.
   ii. Transportation Engineer (Electrical), Range C or D.
   iii. Associate Architect.
   iv. Land Surveyor, Caltrans.
   v. Landscape Architect, Range C or D.
   vi. Associate Materials and Research Engineer.
   vii. Associate Mechanical Engineer, Caltrans.
   viii. Associate Engineering Geologist.
   ix. Associate Right of Way Agent.
x. Associate Environmental Planner.

13. Project Analyst to provide Program/Project Management Services on an "as needed" basis.

Each Consultant employee assigned as a Project Analyst (s) shall have:

a. Degree (Bachelors, Masters, or higher) in engineering, planning, or other transportation related field.

b. A documented minimum three (3) years of demonstrated experience on similar Design-Build projects acceptable to Caltrans supporting transportation related projects, in particular, providing support related to project management knowledge areas.

c. Qualifications at least equivalent to one of the following classifications in California State service:
   i. Transportation Engineer Technician.
   ii. Associate Governmental Program Analyst.

14. Program/Project Management Services personnel to provide Program/Project Management Services on an "as needed" basis.

Each Consultant personnel assigned as a Program/Project Management Services personnel:

a. Shall be available to work on-site in the Caltrans Facilities as required.

b. Program/Project Management experience is desirable.

c. Experience managing or delivering highway projects is desirable.

d. Certification as a PMP from PMI or other equivalent Project Management certification is desirable.

e. A Registered Professional Civil Engineer licensed in the State of California is desirable.

f. Qualifications at least equivalent to one of the following classifications in California State service:
   i. Transportation Engineer (Civil), Range C or D.
   ii. Transportation Engineer (Electrical), Range C or D.
   iii. Associate Architect.
   iv. Land Surveyor, Caltrans.
   v. Landscape Architect, Range C or D.
   vi. Associate Materials and Research Engineer.
   vii. Associate Mechanical Engineer, Caltrans.
   viii. Associate Engineering Geologist.
   ix. Associate Right of Way Agent.
   x. Associate Environmental Planner.
   xi. Transportation Engineer Technician.
   xii. Associate Governmental Program Analyst.
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.

If Caltrans determines that the Consultant’s services and work product need to be received outside of normal business hours (including instances where receipt is required to avoid danger to life or property), the Consultant may be directed to provide its services and work product during specific hours during the week (including hours that are outside of normal business hours). Night work may be required on projects involving high traffic areas. The Caltrans’ construction contractor’s operations may be restricted to specific hours during the week, which shall become the normal workday for Consultant’s personnel. Changes in hours or schedules shall be documented by amendment of Task Orders. Any shift differential rate pay shall be reimbursed in accordance with the applicable Department of Industrial Relations (DIR) determination.

On days when work is not performed by the construction contractor, such as rainy or unsuitable weather days, Consultant’s services shall not be provided unless authorized by the Caltrans Contract Manager in coordination with the Caltrans Task Order Manager, Functional Manager, District/Region Area Construction (Claims) Engineer, Laboratory Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer.

The Caltrans Contract Manager in coordination with the Caltrans Task Order Manager, Functional Manager, District/Region Area Construction (Claims) Engineer, Laboratory Supervisor, Headquarters’ Structural Construction Engineer, Resident Engineer, District Landscape Architect, District Surveys Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer.
Engineer, District Right-of-Way Engineer, District Water Quality Program Manager, District Deputy Director for Program/Project Management, District’s Traffic Operations Units, Project Coordinator, Deputy District Director for Environmental Analysis, District Surveys Office Chief, and/or District’s Public Information Officer shall provide advance notice of one (1) working day(s)/twenty-four (24) hour/eight (8) hours if the Consultant’s services are not required as a result of a cessation of construction activities or if reassignment of personnel is required. If Caltrans fails to provide the required advance notice and the Consultant personnel are not required as a result of cessation of construction activities, Caltrans shall provide a maximum of four (4) hours compensation.

It is anticipated that variations in the Caltrans' construction contract activities will occur. During the contract period, the Caltrans Functional Manager and/or Contract Manager may ask the Consultant Contract Manager to reassign Consultant employees from a project or an office with low activity to assist on another project or office with high activity. The Consultant Contract Manager will be notified at least two (2) working days prior to this reassignment.

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

3. 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. Incidental training services may be provided only if the training involves the specific work product of the Agreement. Such incidental training services are permitted, but only if:

   a. The training involves the specific work product created under the Agreement (and does not involve general A&E training and is not the work product of a previous agreement); and

   b. The total aggregate cost of all training under the Agreement does not exceed 10% of the total authority of the Agreement; and

   c. The training is an incidental task within the Agreement and not the purpose for entering into the Agreement.

12. 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.

K. Program/Project Management Equipment Requirements.

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, 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. Project Management/Scheduling (Open Workbench from CA Clarity)/Risk Software.
d. The Consultant shall provide a computer system for each person working under a Task Order that meets the Caltrans current specifications. Qualified Caltrans IT personnel shall install required software. Caltrans reserves the right to provide the computer equipment and access to computer system on a short-term, temporary basis if such items are beneficial to Caltrans’ interest.

e. Reference material, or other tools, used in providing deliverables.
f. 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.

g. In-house printing, reproduction, and delivery services.

h. Printing reports.
i. Laptop per Caltrans specifications.
j. Cell Phone.

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. Hand tools including but not limited to: shovels, gloves, pick, measuring tape, buckets, wheelbarrow, heat gun, sledgehammer, concrete and asphalt thermometers, clip board, calculator, peg book, as appropriate for the requested field personnel work.

e. All necessary safety equipment including fire extinguisher, hard-soled safety footwear, white hard hats, eye protection, hearing protection, and approved safety vests as appropriate for the requested field work to be performed safely and efficiently within operating highway and construction zone environments.

f. Necessary miscellaneous tools, non-consumables, and supplies including, but not limited to, hammers, and shovels.

g. Traffic cones, at a minimum 25, for traffic control as necessary. Such cones shall be 28 inches, minimum, in height.

h. Traffic control devices (including signs, sign bases, flags, and hand held signs) as required to perform the requested field personnel work.

3. The Consultant shall provide all necessary tools, instruments, equipment, materials, supplies, and safety equipment required to perform the work identified in each Task Order and 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’ Code of Safe Practices:
   http://www.dot.ca.gov/hq/construc/safety/

c. California Business and Professions Code:
   http://leginfo.legislature.ca.gov/faces/codesTOCSelected.xhtml?tocCode=BPC&tocTitle=Business+and+Professions&Code=+BPC

d. California Code of Regulations:
https://govt.westlaw.com/calregs/Index?transitionType=Default&contextData=%28sc.Default%29

e. California Health and Safety Code:

f. California Public Contract Code:

g. Request for Proposal (RFP) Manual

h. California Public Resources Code:
https://leginfo.legislature.ca.gov/faces/codes_displayText.xhtml?lawCode=PRC&division=13.&title=&part=&chapter=1.&article=

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

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

http://www.dot.ca.gov/hq/traffops/signtech/signdel/trafficmanual.htm
http://www.dot.ca.gov/hq/traffops/signtech/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

l. Caltrans Traffic Impact Studies (TIS) Guidelines:
http://www.dot.ca.gov/dist1/d1transplan/tisguide-Dec02.pdf
m. Caltrans Surveys Manual:

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

o. Construction Manual:
   Chapter 5 Section 1 Project Records and Reports

   http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm
   http://www.dot.ca.gov/hq/oppd/pdpm/pdpm.htm

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

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

s. Caltrans CADD Users 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

t. CADD Users Manual Chapter 4.3 As-Built Plans (March 30, 2011)


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

w. 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/HTM/06_plans_disclaim_US.htm

x. 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

y. 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

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

aa. Project Plan Preparation Manual of Instructions:
http://www.dot.ca.gov/hq/esc/oe/project_plans/index.htm (broken link)

bb. Caltrans Policy and Guidelines: Cost Estimate:
http://www.dot.ca.gov/hq/oppd/costest/costest.htm

cc. Caltrans Right of Way Manual:
dd. Caltrans Project Management Handbook:
   http://www.dot.ca.gov/hq/projmgmt/guidance.htm

ee. 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/

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

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

hh. 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)

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

jj. 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

kk. Caltrans Standard Environmental Reference, Biological Resources:

ll. Caltrans PEAR Handbook:
   http://www.dot.ca.gov/ser/pear.htm
mm. Caltrans Quality Control and Assurance for Biological Technical Documents:

nn. Secretary of the Interior’s Professional Qualification Standards:
   http://www.nps.gov/history/local-law/arch_stnds_9.htm

oo. Secretary of the Interior’s Standards and Guidelines for Archaeology and
    Historic Preservation (Federal Register, Vol. 48, No. 190, September
    1983):
    https://www.nps.gov/history/local-law/arch_stnds_0.htm

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

qq. 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

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

ss. Construction Policy Bulletins (CPBs):

tt. Caltrans Design Memorandum:
    http://www.dot.ca.gov/hq/oppd/design/index.htm

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

vv. Caltrans Environmental Handbook:
    http://www.dot.ca.gov/ser/envhand.htm

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

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

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

http://www.dot.ca.gov/hq/esc/construction/manuals/OSCCCompleteManuals/BCRPVol1_Terms.pdf


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

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

ddd. AASHTO Pavement Design Guidance:
https://aashtojournal.org/2020/04/03/aashto-issues-revised-pavement-design-guide/

eee. Superpave Mix Design Standards:
http://www.asphaltinstitute.org

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

ggg. Independent Assurance Manual:

iii. Caltrans Falsework Manual:  

jjj. Caltrans Trenching and Shoring Manual:  

kkk. Caltrans Foundation Manual:  
http://www.dot.ca.gov/hq/esc/construction/manuals/OSCCCompleteManuals/Foundation_Terms.pdf

lll. Caltrans Prestress Manual:  

mmm. Other applicable Offices of Structure Construction manuals:  
http://www.dot.ca.gov/hq/esc/construction/manuals/

nnn. Manual of Traffic Controls for Construction and Maintenance Work Zones:  
http://www.dot.ca.gov/hq/traffops/signtech/signdel/pdf/TMChapter5.pdf (broken link)  

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

(Not a Caltrans Publication)

(Not a Caltrans Publication)

rrr. Division of Construction Oversight Engineer Field Guidelines.
Chapter 4 Project Completion.

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

Chapter 17.4 AS BUILT PLANS.
http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm

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

vvv. Federal Highway Administration (FHWA) Guidance for Consultants:
Procedures for the Protection of Historic Properties - Section 106 Process,
and Guide for Consultants: Procedures for Completing the Natural Environment Study and Related Biological Reports:
http://www.fhwa.dot.gov/
http://www.fhwa.dot.gov/
http://www.fhwa.dot.gov/cadiv/pre/guide3.htm (broken link)


http://www.epa.gov/epaoswer/hazwaste/test/main.htm

yyy. Caltrans Soil and Rock Logging Manual, Classification, and Presentation Manual:

zzz. State of California, Department of Water Resources, California Well Standards/Well Standards Bulletins, in Bulletins 74-81 and 74-90:
http://wdl.water.ca.gov/well_standards/well_standards_content.html


gggg. Caltrans Project Planning and Design Activities Guide.


oooo. Caltrans Bridge Memo to Designers.

pppp. Caltrans Bridge Standard Details Sheets.

qqqq. Caltrans Bridge Detail Decals.

rrrr. Caltrans Formatted Highway Plan Sheets.
ssss. Caltrans Formatted Bridge Plan Sheets.


LOCAL MANUALS

uuuu. “Site Assessment and Mitigation Manual” (SAM) of the San Diego County Department of Environmental Health (DEH).


yyyy. 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)


3. All work shall be performed in accordance with current Project Management Handbook and Project Management Directives. Work not covered by the Caltrans published standards shall be performed in accordance with the generally accepted principles of project management, as described in "A Guide to the Project Management Body of Knowledge" published by the Project Management Institute at the following website http://www.pmi.org/.

M. Field Safety.

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

The Consultant shall comply with all Federal, State, and Local Occupational Safety and Health Administration (OSHA) statutes, laws, codes, regulations, policies, procedures, ordinances, standards, rules, specifications, performance standards, and guidelines, and the safety instructions that Caltrans issues for performance of Task Order work, applicable to the work under the Contract, regarding safety equipment and procedures (including, but not limited to, use and operation). Under no circumstance shall the Consultant’s safety policies be less stringent than Caltrans’.

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.

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.

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.
Q. Program/Project Management Materials to be Provided or made available by Caltrans.

Relevant and existing documents, if any are available, that are applicable to the current project within the project limits.

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 Program/Project Management Services personnel sets of the following that are applicable to the current project:
   c. Materials listed under section “Equipment Requirements”.
   d. Current version of the Project Management Body of Knowledge (PMBOK) published by the Project Management Institute.

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, 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/chapt_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 acceptance. Reviews by Caltrans do NOT include detailed review or checking of major components, quantitative calculations, related details or accuracy of information. The responsibility for accuracy and completeness of such items remains solely that of the Consultant.

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.

U. Program/Project Management Deliverables.

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. 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 includes, but not be limited to, the following:

2. All Program/Project Management Services 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.

V. Conflict of Interest.

The Consultant, subconsultant, or any of their subsidiaries, shall not provide services or be part of the future Design-Build team. Neither the Consultant, any subconsultants, nor their subsidiaries shall submit construction bids on any project where the Consultant, any subconsultant or their subsidiaries acted in the role of Project Manager.

In addition, throughout the term of the contract, the Project Manager and the Consultant must disclose any financial or business interest the Project Manager, Consultant, any subconsultants, or their subsidiaries may have: 1) for the project listed in the Scope of
Work, or, 2) prior to project assignment(s) if it was not disclosed in the SOQ, only if previously and reasonably unknown.