

FUNDING AGREEMENT  
BETWEEN  
CITY/COUNTY ASSOCIATION OF GOVERNMENTS OF SAN MATEO COUNTY  
AND  
KIMLEY-HORN  
FOR  
SMART CORRIDOR NORTHERN CITIES PA/ED SERVICES

This Agreement entered this \_\_\_\_ day of \_\_\_\_\_, 2019, by and between the City/County Association of Governments of San Mateo County, a Joint Powers Agency, hereinafter called "LOCAL AGENCY" or "C/CAG," and Kimley-Horn, hereinafter called "CONSULTANT." The entities are referred to individually as "party" and collectively as "parties."

W I T N E S S E T H

WHEREAS, C/CAG is a joint powers agency formed for the purpose of preparing, adopting, and monitoring a variety of county-wide state-mandated plans; and

WHEREAS, the C/CAG sponsored San Mateo County Smart Corridor Project (Smart Corridor) is an Intelligent Transportation System (ITS) project that extends along El Camino Real and major local streets connecting to US-101 and enables cities and the California Department of Transportation (Caltrans) to proactively manage daily traffic and non-recurring traffic congestion cause by diverted traffic due to major incidents on the freeway; and

WHEREAS, the Smart Corridor Northern Extension continues the implementation efforts along the US 101 corridor to the San Francisco County line and on Interstate 280 from Interstate 380 to the San Francisco County line primarily in the cities of Daly City, Brisbane, and Colma; and

WHEREAS, C/CAG is prepared to award funding for the development of the Project Approval and Environmental Documents (PA&ED) for the Smart Corridor Northern Cities; and

WHEREAS, C/CAG has determined that CONSULTANT has the qualifications and experience to perform the work; and

WHEREAS, C/CAG and CONSULTANT desire to enter into a formal agreement to specify the work scope to schedule to develop the Smart Corridor Northern Cities PA&ED in the amount not to exceed \$581,000; and

NOW, THEREFORE, IT IS HEREBY AGREED by the parties as follows:

**ARTICLE I INTRODUCTION**

A. This contract is between the following named, hereinafter referred to as, CONSULTANT and the following named, hereinafter referred to as, C/CAG:

The name of the “CONSULTANT” is as follows: Kimley-Horn  
The Project Manager for “CONSULTANT” will be Ryan Dole

The name of the “LOCAL AGENCY” is as follows:  
City/County Association of Governments of San Mateo County  
(C/CAG) The Contract Administrator for LOCAL AGENCY will be  
John Hoang

B. The work to be performed under this contract is described in Article II entitled Statement of Work and the approved CONSULTANT’s Scope of Work dated 2/27/2019 The approved CONSULTANT’s Cost Proposal, and other required Caltrans forms, are attached hereto (Exhibit A) and incorporated by reference. If there is any conflict between the approved Scope of Work and this contract, this contract shall take precedence.

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

D. CONSULTANT and the agents and employees of CONSULTANT, in the performance of this contract, shall act in an independent capacity and not as officers or employees or agents of LOCAL AGENCY.

E. Without the written consent of LOCAL AGENCY, this contract is not assignable by CONSULTANT either in whole or in part.

F. No alteration or variation of the terms of this contract shall be valid, unless made in writing and signed by the parties hereto; and no oral understanding or agreement not incorporated herein, shall be binding on any of the parties hereto.

G. The consideration to be paid to CONSULTANT as provided herein, shall be in compensation for all of CONSULTANT’s expenses incurred in the performance hereof, including travel and per diem, unless otherwise expressly so provided.

## **ARTICLE II STATEMENT OF WORK**

C/CAG is a joint powers agency designated by the Metropolitan Transportation Commission (MTC) as the Congestion Management Agency (CMA) for San Mateo County. C/CAG, acting as the CMA, is responsible for project selection, programming and overall delivery of federal aid funds received by the County. C/CAG has determined that consultant services are needed to develop the Project Approval and Environmental Documents for the Smart Corridor Northern Cities Extension project.

- A. CONSULTANT shall perform the broad range of project coordination services which are included in Exhibit B entitled "Scope of Work".

### **ARTICLE III CONSULTANT'S REPORTS OR MEETINGS**

- A. CONSULTANT shall submit progress reports on a quarterly basis. The report should be sufficiently detailed for the Contract Administrator to determine if CONSULTANT is performing to expectations, or is on schedule; to provide communication of interim findings, and to sufficiently address any difficulties or special problems encountered, so remedies can be developed.
- B. CONSULTANT's Project Manager shall meet with LOCAL AGENCY's Contract Administrator, as needed, to discuss progress on the contract.

### **ARTICLE IV PERFORMANCE PERIOD**

- A. This contract shall go into effect on **March 15, 2019**, contingent upon approval by LOCAL AGENCY, and CONSULTANT shall commence work after notification to proceed by LOCAL AGENCY's Contract Administrator. The contract shall end on **December 31, 2019**, unless extended by contract amendment.
- B. CONSULTANT is advised that any recommendation for contract award is not binding on LOCAL AGENCY until the contract is fully executed and approved by LOCAL AGENCY.

### **ARTICLE V ALLOWABLE COSTS AND PAYMENTS**

- A. CONSULTANT will be reimbursed for hours worked at the hourly rates specified in CONSULTANTs Cost Proposal (Exhibit A). The specified hourly rates shall include direct salary costs, employee benefits, overhead, and fee. These rates are not adjustable for the performance period set forth in this Contract.
- B. In addition, CONSULTANT will be reimbursed for incurred (actual) direct costs other than salary costs that are in the cost proposal and identified in the cost proposal and in the executed Task Order.
- C. Specific projects will be assigned to CONSULTANT through issuance of Task Orders.
- D. After a project to be performed under this contract is identified by LOCAL AGENCY, LOCAL AGENCY will prepare a draft Task Order; less the cost estimate. A draft Task Order will identify the scope of services, expected results, project deliverables, period of performance, project schedule and will designate a LOCAL AGENCY Project Coordinator. The draft Task Order will be delivered to CONSULTANT for review. CONSULTANT shall return the draft Task Order within ten (10) calendar days along with a Cost Estimate, including a written estimate of the number of hours and hourly rates per staff person, any anticipated reimbursable expenses, overhead, fee if any, and total dollar amount. After agreement has been

reached on the negotiable items and total cost; the finalized Task Order shall be signed by both LOCAL AGENCY and CONSULTANT.

- E. Task Orders may be negotiated for a lump sum (Firm Fixed Price) or for specific rates of compensation, both of which must be based on the labor and other rates set forth in CONSULTANT's Cost Proposal.
- F. Reimbursement for transportation and subsistence costs shall not exceed the rates as specified in the approved Cost Proposal.
- G. When milestone cost estimates are included in the approved Cost Proposal, CONSULTANT shall obtain prior written approval for a revised milestone cost estimate from the Contract Administrator before exceeding such estimate.
- H. Progress payments for each Task Order will be made monthly in arrears based on services provided and actual costs incurred.
- I. CONSULTANT shall not commence performance of work or services until this contract has been approved by LOCAL AGENCY, and notification to proceed has been issued by LOCAL AGENCY'S Contract Administrator. No payment will be made prior to approval or for any work performed prior to approval of this contract.
- J. A Task Order is of no force or effect until returned to LOCAL AGENCY and signed by an authorized representative of LOCAL AGENCY. No expenditures are authorized on a project and work shall not commence until a Task Order for that project has been executed by LOCAL AGENCY.
- K. CONSULTANT will be reimbursed, as promptly as fiscal procedures will permit upon receipt by LOCAL AGENCY'S Contract Administrator of itemized invoices in triplicate. Separate invoices itemizing all costs are required for all work performed under each Task Order. Invoices shall be submitted no later than 45 calendar days after the performance of work for which CONSULTANT is billing, or upon completion of the Task Order. Invoices shall detail the work performed on each milestone, on each project as applicable. Invoices shall follow the format stipulated for the approved Cost Proposal and shall reference this contract number, project title and Task Order number. Credits due LOCAL AGENCY that include any equipment purchased under the provisions of Article XI Equipment Purchase of this contract, must be reimbursed by CONSULTANT prior to the expiration or termination of this contract. Invoices shall be mailed to LOCAL AGENCY's Contract Administrator at the following address:

City/County Association of Governments of San Mateo County  
555 County Center, 5<sup>th</sup> Floor  
Redwood City, CA 94063  
Attention: John Hoang

- L. The period of performance for Task Orders shall be in accordance with dates specified in the Task Order. No Task Order will be written which extends beyond the expiration date of this Contract.
- M. The total amount payable by LOCAL AGENCY for an individual Task Order shall not exceed the amount agreed to in the Task Order, unless authorized by contract amendment.

- N. If the Consultant fails to satisfactorily complete a deliverable according to the schedule set forth in a Task Order, no payment will be made until the deliverable has been satisfactorily completed.
- O. Task Orders may not be used to amend this Agreement and may not exceed the scope of work under this Agreement.
- P. The total amount payable by LOCAL AGENCY for all Task Orders resulting from this contract shall not exceed \$581,000 (five hundred eighty-one thousand dollars). It is understood and agreed that there is no guarantee, either expressed or implied that this dollar amount will be authorized under this contract through Task Orders.

#### **ARTICLE VI TERMINATION**

- A. LOCAL AGENCY reserves the right to terminate this contract upon thirty (30) calendar days written notice to CONSULTANT with the reasons for termination stated in the notice.
- B. LOCAL AGENCY may terminate this contract with CONSULTANT should CONSULTANT fail to perform the covenants herein contained at the time and in the manner herein provided. In the event of such termination, LOCAL AGENCY may proceed with the work in any manner deemed proper by LOCAL AGENCY. If LOCAL AGENCY terminates this contract with CONSULTANT, LOCAL AGENCY shall pay CONSULTANT the sum due to CONSULTANT under this contract prior to termination, unless the cost of completion to LOCAL AGENCY exceeds the funds remaining in the contract. In that case, the overage shall be deducted from any sum due CONSULTANT under this contract and the balance, if any, shall be paid to CONSULTANT upon demand.
- C. The maximum amount for which the LOCAL AGENCY shall be liable if this contract is terminated is 581,000 dollars.

#### **ARTICLE VII COST PRINCIPLES AND ADMINISTRATIVE REQUIREMENTS**

- A. CONSULTANT agrees that the Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31.000 et seq., shall be used to determine the cost allowability of individual items.
- B. CONSULTANT also agrees to comply with federal procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- C. Any costs for which payment has been made to CONSULTANT that are determined by subsequent audit to be unallowable under 49 CFR, Part 18 and 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31.000 et seq., are subject to repayment by CONSULTANT to LOCAL AGENCY.

## **ARTICLE VIII RETENTION OF RECORDS/AUDIT**

For the purpose of determining compliance with Public Contract Code 10115, et seq. and Title 21, California Code of Regulations, Chapter 21, Section 2500 et seq., when applicable and other matters connected with the performance of the contract pursuant to Government Code 8546.7; CONSULTANT, subconsultants, and LOCAL AGENCY shall maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of the contract, including but not limited to, the costs of administering the contract. All parties shall make such materials available at their respective offices at all reasonable times during the contract period and for three years from the date of final payment under the contract. The state, State Auditor, LOCAL AGENCY, FHWA, or any duly authorized representative of the Federal Government shall have access to any books, records, and documents of CONSULTANT and its certified public accountants (CPA) work papers that are pertinent to the contract and indirect cost rates (ICR) for audit, examinations, excerpts, and transactions, and copies thereof shall be furnished if requested.

## **ARTICLE IX AUDIT REVIEW PROCEDURES**

- A. Any dispute concerning a question of fact arising under an interim or post audit of this contract that is not disposed of by agreement, shall be reviewed by LOCAL AGENCY'S Chief Financial Officer.
- B. Not later than 30 days after issuance of the final audit report, CONSULTANT may request a review by LOCAL AGENCY'S Chief Financial Officer of unresolved audit issues. The request for review will be submitted in writing.
- C. Neither the pendency of a dispute nor its consideration by LOCAL AGENCY will excuse CONSULTANT from full and timely performance, in accordance with the terms of this contract.
- D. CONSULTANT and subconsultant contracts, including cost proposals and ICR, are subject to audits or reviews such as, but not limited to, a contract audit, an incurred cost audit, an ICR Audit, or a CPA ICR audit work paper review. If selected for audit or review, the contract, cost proposal and ICR and related work papers, if applicable, will be reviewed to verify compliance with 48 CFR, Part 31 and other related laws and regulations. In the instances of a CPA ICR audit work paper review it is CONSULTANT's responsibility to ensure federal, state, or local government officials are allowed full access to the CPA's work papers including making copies as necessary. The contract, cost proposal, and ICR shall be adjusted by CONSULTANT and approved by LOCAL AGENCY contract manager to conform to the audit or review recommendations. CONSULTANT agrees that individual terms of costs identified in the audit report shall be incorporated into the contract by this reference if directed by LOCAL AGENCY at its sole discretion. Refusal by CONSULTANT to incorporate audit or review recommendations, or to ensure that the federal, state or local governments have access to CPA work papers, will be considered a breach of contract terms and cause for termination of the contract and disallowance of prior reimbursed costs.

## **ARTICLE X SUBCONTRACTING**

- A. Nothing contained in this contract or otherwise, shall create any contractual relation between LOCAL AGENCY and any subconsultant(s), and no subcontract shall relieve CONSULTANT of its responsibilities and obligations hereunder. CONSULTANT agrees to be as fully responsible to LOCAL AGENCY for the acts and omissions of its subconsultant(s) and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by CONSULTANT. CONSULTANT's obligation to pay its subconsultant(s) is an independent obligation from LOCAL AGENCY'S obligation to make payments to the CONSULTANT.
- B. CONSULTANT shall perform the work contemplated with resources available within its own organization and no portion of the work pertinent to this contract shall be subcontracted without written authorization by LOCAL AGENCY's Contract Administrator, except that, which is expressly identified in the approved Cost Proposal.
- C. CONSULTANT shall pay its subconsultants within ten (10) calendar days from receipt of each payment made to CONSULTANT by LOCAL AGENCY.
- D. All subcontracts entered into as a result of this contract shall contain all the provisions stipulated in this contract to be applicable to subconsultants.
- E. Any substitution of subconsultant(s) must be approved in writing by LOCAL AGENCY's Contract Administrator prior to the start of work by the subconsultant(s).

## **ARTICLE XI EQUIPMENT PURCHASE**

- A. Prior authorization in writing, by LOCAL AGENCY's Contract Administrator shall be required before CONSULTANT enters into any unbudgeted purchase order, or subcontract exceeding \$5,000 for supplies, equipment, or CONSULTANT services. CONSULTANT shall provide an evaluation of the necessity or desirability of incurring such costs.
- B. For purchase of any item, service or consulting work not covered in CONSULTANT's Cost Proposal and exceeding \$5,000 prior authorization by LOCAL AGENCY's Contract Administrator; three competitive quotations must be submitted with the request, or the absence of bidding must be adequately justified.
- C. Any equipment purchased as a result of this contract is subject to the following:  
"CONSULTANT shall maintain an inventory of all nonexpendable property. Nonexpendable property is defined as having a useful life of at least two years and an acquisition cost of \$5,000 or more. If the purchased equipment needs replacement and is sold or traded in, LOCAL AGENCY shall receive a proper refund or credit at the conclusion of the contract, or if the contract is terminated, CONSULTANT may



either keep the equipment and credit LOCAL AGENCY in an amount equal to its fair market value, or sell such equipment at the best price obtainable at a public or private sale, in accordance with established LOCAL AGENCY procedures; and credit LOCAL AGENCY in an amount equal to the sales price. If CONSULTANT elects to keep the equipment, fair market value shall be determined at CONSULTANT's expense, on the basis of a competent independent appraisal of such equipment. Appraisals shall be obtained from an appraiser mutually agreeable to by LOCAL AGENCY and CONSULTANT, if it is determined to sell the equipment, the terms and conditions of such sale must be approved in advance by LOCAL AGENCY." 49 CFR, Part 18 requires a credit to Federal funds when participating equipment with a fair market value greater than \$5,000 is credited to the project.

#### **ARTICLE XII STATE PREVAILING WAGE RATES**

- A. CONSULTANT shall comply with the State of California's General Prevailing Wage Rate requirements in accordance with California Labor Code, Section 1770, and all Federal, State, and local laws and ordinances applicable to the work.
- B. Any subcontract entered into as a result of this contract, if for less than \$25,000 for public works construction or less than \$15,000 for the alteration, demolition, repair, or maintenance of public works, shall contain all of the provisions of this Article, unless the awarding agency has an approved labor compliance program by the Director of Industrial Relations.

#### **ARTICLE XIII CONFLICT OF INTEREST**

- A. CONSULTANT shall disclose any financial, business, or other relationship with LOCAL AGENCY that may have an impact upon the outcome of this contract, or any ensuing LOCAL AGENCY construction project. CONSULTANT shall also list current clients who may have a financial interest in the outcome of this contract, or any ensuing LOCAL AGENCY construction project, which will follow.
- B. CONSULTANT hereby certifies that it does not now have, nor shall it acquire any financial or business interest that would conflict with the performance of services under this contract.

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

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

#### **ARTICLE XV PROHIBITION OF EXPENDING LOCAL AGENCY STATE OR FEDERAL FUNDS FOR LOBBYING**

- A. CONSULTANT certifies to the best of his or her knowledge and belief that:
1. No state, federal or local agency appropriated funds have been paid, or will be paid by-or-on behalf of CONSULTANT to any person for influencing or attempting to influence an officer or employee of any state or federal agency; a Member of the State Legislature or United States Congress; an officer or employee of the Legislature or Congress; or any employee of a Member of the Legislature or Congress, in connection with the awarding of any state or federal contract; the making of any state or federal grant; the making of any state or federal loan; the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any state or federal contract, grant, loan, or cooperative agreement.
  2. If any funds other than federal appropriated funds have been paid, or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency; a Member of Congress; an officer or employee of Congress, or an employee of a Member of Congress; in connection with this federal contract, grant, loan, or cooperative agreement; CONSULTANT shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- B. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
- C. CONSULTANT also agrees by signing this document that he or she shall require that the language of this certification be included in all lower-tier subcontracts, which exceed \$100,000 and that all such sub recipients shall certify and disclose accordingly.

#### **ARTICLE XVI STATEMENT OF COMPLIANCE**

- A. CONSULTANT's signature affixed herein, and dated, shall constitute a certification under penalty of perjury under the laws of the State of California that CONSULTANT has, unless exempt, complied with, the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Administrative Code, Section 8103.
- B. During the performance of this Contract, Consultant and its subconsultants shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (e.g., cancer), age (over 40), marital status, and denial of family care leave. Consultant and subconsultants shall insure that the evaluation and

treatment of their employees and applicants for employment are free from such discrimination and harassment. Consultant and subconsultants shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the 5 applicable regulations promulgated there under (California Code of Regulations, Title 2, Section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Contract by reference and made a part hereof as if set forth in full. Consultant and its subconsultants shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other Agreement.

- D. The Consultant shall comply with regulations relative to Title VI (nondiscrimination in federally-assisted programs of the Department of Transportation – Title 49 Code of Federal Regulations, Part 21 - Effectuation of Title VI of the 1964 Civil Rights Act). Title VI provides that the recipients of federal assistance will implement and maintain a policy of nondiscrimination in which no person in the state of California shall, on the basis of race, color, national origin, religion, sex, age, disability, be excluded from participation in, denied the benefits of or subject to discrimination under any program or activity by the recipients of federal assistance or their assignees and successors in interest.
- E. The Consultant, with regard to the work performed by it during the Agreement shall act in accordance with Title VI. Specifically, the Consultant shall not discriminate on the basis of race, color, national origin, religion, sex, age, or disability in the selection and retention of Subconsultants, including procurement of materials and leases of equipment. The Consultant shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the U.S. DOT's Regulations, including employment practices when the Agreement covers a program whose goal is employment.

#### **ARTICLE XVII DEBARMENT AND SUSPENSION CERTIFICATION**

- A. CONSULTANT's signature affixed herein, shall constitute a certification under penalty of perjury under the laws of the State of California, that CONSULTANT has complied with Title 2 CFR, Part 180, "OMB Guidelines to Agencies on Government wide Debarment and Suspension (nonprocurement)", which certifies that he/she or any person associated therewith in the capacity of owner, partner, director, officer, or manager, is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency; has not been suspended, debarred, voluntarily excluded, or determined ineligible by any federal agency within the past three (3) years; does not have a proposed debarment pending; and has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years. Any exceptions to this certification must be disclosed to LOCAL AGENCY.

- B. Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining CONSULTANT responsibility. Disclosures must indicate to whom exceptions apply, initiating agency, and dates of action.
- C. Exceptions to the Federal Government Excluded Parties List System maintained by the General Services Administration are to be determined by the Federal highway Administration.

#### **ARTICLE XVIII FUNDING REQUIREMENTS**

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

#### **ARTICLE XIX CHANGE IN TERMS**

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

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

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

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

- B. The goal for DBE participation for this contract is 19.2%. Participation by DBE consultant or subconsultants shall be in accordance with information contained in the Consultant Proposal DBE Commitment (Exhibit 10-O1), or in the Consultant Contract DBE Information (Exhibit 10-O2) attached hereto and incorporated as part of the Contract. If a DBE subconsultant is unable to perform, CONSULTANT must make a good faith effort to replace him/her with another DBE subconsultant, if the goal is not otherwise met.
- C. DBEs and other small businesses, as defined in 49 CFR, Part 26 are encouraged to participate in the performance of contracts financed in whole or in part with federal funds. CONSULTANT or subconsultant shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. CONSULTANT shall carry out applicable requirements of 49 CFR, Part 26 in the award and administration of US DOT-assisted agreements. Failure by CONSULTANT to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as LOCAL AGENCY deems appropriate.
- D. Any subcontract entered into as a result of this contract shall contain all of the provisions of this section.
- E. A DBE firm may be terminated only with prior written approval from LOCAL AGENCY and only for the reasons specified in 49 CFR 26.53(f). Prior to requesting LOCAL AGENCY consent for the termination, CONSULTANT must meet the procedural requirements specified in 49 CFR 26.53(f).
- F. A DBE performs a Commercially Useful Function (CUF) when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a CUF, the DBE must also be responsible with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a CUF, evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing, and other relevant factors.
- G. A DBE does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, examine similar transactions, particularly those in which DBEs do not participate.

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

#### **ARTICLE XXI CONTINGENT FEE**

CONSULTANT warrants, by execution of this contract that no person or selling agency has been employed, or retained, to solicit or secure this contract upon an agreement or understanding, for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees, or bona fide established commercial or selling agencies maintained by CONSULTANT for the purpose of securing business. For breach or violation of this warranty, LOCAL AGENCY has the right to annul this contract without liability; pay only for the value of the work actually performed, or in its discretion to deduct from the contract price or consideration, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

## **ARTICLE XXII DISPUTES**

- A. Any dispute, other than audit, concerning a question of fact arising under this contract that is not disposed of by agreement shall be decided by a committee consisting of LOCAL AGENCY's Contract Administrator and Executive Director, who may consider written or verbal information submitted by CONSULTANT.
- B. Not later than 30 days after completion of all work under the contract, CONSULTANT may request review by LOCAL AGENCY Governing Board of unresolved claims or disputes, other than audit. The request for review will be submitted in writing.
- C. Neither the pendency of a dispute, nor its consideration by the committee will excuse CONSULTANT from full and timely performance in accordance with the terms of this contract.

## **ARTICLE XXIII INSPECTION OF WORK**

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

## **ARTICLE XXIV SAFETY**

- A. CONSULTANT shall comply with OSHA regulations applicable to CONSULTANT regarding necessary safety equipment or procedures. CONSULTANT shall comply with safety instructions issued by LOCAL AGENCY Safety Officer and other LOCAL AGENCY representatives. CONSULTANT personnel shall wear hard hats and safety vests at all times while working on the construction project site.
- B. Pursuant to the authority contained in Section 591 of the Vehicle Code, LOCAL AGENCY has determined that such areas are within the limits of the project and are open to public traffic. CONSULTANT shall comply with all of the requirements set forth in Divisions 11, 12, 13, 14, and 15 of the Vehicle Code. CONSULTANT shall take all reasonably necessary precautions for safe operation of its vehicles and the protection of the traveling public from injury and damage from such vehicles.
- C. Any subcontract entered into as a result of this contract, shall contain all of the provisions of this Article.

## **ARTICLE XXV INSURANCE**

- A. Prior to commencement of the work described herein, CONSULTANT shall furnish LOCAL AGENCY a Certificate of Insurance stating that there is general comprehensive liability insurance presently in effect for CONSULTANT with a

combined single limit (CSL) of not less than one million dollars (\$1,000,000) per occurrence.

- B. The Certificate of Insurance will provide:
1. That the insurer will not cancel the insured's coverage without 30 days prior written notice to LOCAL AGENCY.
  2. That LOCAL AGENCY, its officers, agents, employees, and servants are included as additional insureds, but only insofar as the operations under this contract are concerned.
  3. That LOCAL AGENCY will not be responsible for any premiums or assessments on the policy.
- C. CONSULTANT agrees that the bodily injury liability insurance herein provided for, shall be in effect at all times during the term of this contract. In the event said insurance coverage expires at any time or times during the term of this contract, CONSULTANT agrees to provide at least thirty (30) days prior notice to said expiration date; and a new Certificate of Insurance evidencing insurance coverage as provided for herein, for not less than either the remainder of the term of the contract, or for a period of not less than one (1) year. New Certificates of Insurance are subject to the approval of LOCAL AGENCY. In the event CONSULTANT fails to keep in effect at all times insurance coverage as herein provided, LOCAL AGENCY may, in addition to any other remedies it may have, terminate this contract upon occurrence of such event.
- D. CONSULTANT or any SUBCONSULTANT performing the services on behalf of CONSULTANT shall not commence work under this Agreement until all Insurance required under this section has been obtained and such insurance has been approved by the C/CAG Staff. CONSULTANT shall furnish the C/CAG Staff with Certificates of Insurance evidencing the required coverage and there shall be a specific contractual liability endorsement extending the CONSULTANT's coverage to include the contractual liability assumed by the CONSULTANT pursuant to this Agreement. These Certificates shall specify or be endorsed to provide that thirty (30) days notice must be given, in writing, to C/CAG of any pending change in the limits of liability or of non-renewal, cancellation, or modification of the policy. Such Insurance shall include at a minimum the following:
- E. Workers' Compensation and Employer Liability Insurance: CONSULTANT shall have in effect, during the entire life of this Agreement, Workers' Compensation and Employer Liability Insurance providing full statutory coverage.
- F. Liability Insurance: CONSULTANT shall take out and maintain during the life of this Agreement such Bodily Injury Liability and Property Damage Liability Insurance as shall protect C/CAG, its employees, officers and agents while performing work covered by this Agreement from any and all claims for damages for bodily injury, including accidental death, as well as any and all operations under this Agreement, whether such operations be by the CONSULTANT or by any sub-CONSULTANT or by anyone directly or indirectly employed by either of them. Such insurance shall be combined single limit bodily injury and property damage for each occurrence and shall be not less than \$1,000,000 unless another amount is specified below and shows approval by C/CAG Staff.



Required insurance shall include:

	Required Amount	Approval by C/CAG Staff if under \$ 1,000,000
a. Comprehensive General Liability	\$ 1,000,000	_____
Workers' Compensation	\$ Statutory	_____

G. C/CAG and its officers, agents, employees and servants shall be named as additional insured on any such policies of insurance, which shall also contain a provision that the insurance afforded thereby to C/CAG, its officers, agents, employees and servants shall be primary insurance to the full limits of liability of the policy, and that if C/CAG, or its officers and employees have other insurance against a loss covered by such a policy, such other insurance shall be excess insurance only.

H. In the event of the breach of any provision of this section, or in the event any notice is received which indicates any required insurance coverage will be diminished or canceled, the C/CAG Chairperson, at his/her option, may, notwithstanding any other provision of this Agreement to the contrary, immediately declare a material breach of this Agreement and suspend all further work pursuant to this Agreement.

#### ARTICLE XXVI OWNERSHIP OF DATA

- A. Upon completion of all work under this contract, ownership and title to all reports, documents, plans, specifications, and estimates produce as part of this contract will automatically be vested in LOCAL AGENCY; and no further agreement will be necessary to transfer ownership to LOCAL AGENCY. CONSULTANT shall furnish LOCAL AGENCY all necessary copies of data needed to complete the review and approval process.
- B. It is understood and agreed that all calculations, drawings and specifications, whether in hard copy or machine-readable form, are intended for one-time use in the construction of the project for which this contract has been entered into.
- C. CONSULTANT is not liable for claims, liabilities, or losses arising out of, or connected with the modification, or misuse by LOCAL AGENCY of the machine-readable information and data provided by CONSULTANT under this contract; further, CONSULTANT is not liable for claims, liabilities, or losses arising out of, or connected with any use by LOCAL AGENCY of the project documentation on other projects for additions to this project, or for the completion of this project by others, except only such use as many be authorized in writing by CONSULTANT.
- D. Applicable patent rights provisions regarding rights to inventions shall be included in the contracts as appropriate (48 CFR 27, Subpart 27.3 - Patent Rights under Government Contracts for federal-aid contracts).
- E. LOCAL AGENCY may permit copyrighting reports or other agreement products. If copyrights are permitted; the agreement shall provide that the FHWA shall have the royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise

use; and to authorize others to use, the work for government purposes.

#### **ARTICLE XXVII CLAIMS FILED BY LOCAL AGENCY'S CONSTRUCTION CONTRACTOR**

- A. If claims are filed by LOCAL AGENCY's construction contractor relating to work performed by CONSULTANT's personnel, and additional information or assistance from CONSULTANT's personnel is required in order to evaluate or defend against such claims; CONSULTANT agrees to make its personnel available for consultation with LOCAL AGENCY'S construction contract administration and legal staff and for testimony, if necessary, at depositions and at trial or arbitration proceedings.
- B. CONSULTANT's personnel that LOCAL AGENCY considers essential to assist in defending against construction contractor claims will be made available on reasonable notice from LOCAL AGENCY. Consultation or testimony will be reimbursed at the same rates, including travel costs that are being paid for CONSULTANT's personnel services under this contract.
- C. Services of CONSULTANT's personnel in connection with LOCAL AGENCY's construction contractor claims will be performed pursuant to a written contract amendment, if necessary, extending the termination date of this contract in order to resolve the construction claims.

#### **ARTICLE XXVIII CONFIDENTIALITY OF DATA**

- A. All financial, statistical, personal, technical, or other data and information relative to LOCAL AGENCY's operations, which are designated confidential by LOCAL AGENCY and made available to CONSULTANT in order to carry out this contract, shall be protected by CONSULTANT from unauthorized use and disclosure.
- B. Permission to disclose information on one occasion, or public hearing held by LOCAL AGENCY relating to the contract, shall not authorize CONSULTANT to further disclose such information, or disseminate the same on any other occasion.
- C. CONSULTANT shall not comment publicly to the press or any other media regarding the contract or LOCAL AGENCY's actions on the same, except to LOCAL AGENCY's staff, CONSULTANT's own personnel involved in the performance of this contract, at public hearings or in response to questions from a Legislative committee.
- D. CONSULTANT shall not issue any news release or public relations item of any nature, whatsoever, regarding work performed or to be performed under this contract without prior review of the contents thereof by LOCAL AGENCY, and receipt of LOCAL AGENCY'S written permission.
- E. Any subcontract entered into as a result of this contract shall contain all of the provisions of this Article.

#### **ARTICLE XXIX NATIONAL LABOR RELATIONS BOARD CERTIFICATION**

In accordance with Public Contract Code Section 10296, CONSULTANT hereby states

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

#### **ARTICLE XXX EVALUATION OF CONSULTANT**

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

#### **ARTICLE XXXI RETENTION OF FUNDS**

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

#### **ARTICLE XXXII NOTIFICATION**

All notices hereunder and communications regarding interpretation of the terms of this contract and changes thereto, shall be effected by the mailing thereof by registered or certified mail, return receipt requested, postage prepaid, and addressed as follows:

CONSULTANT:

Kimley-Horn  
Ryan Dole, Project Manager  
300 Clay Street, Suite 325  
Oakland, CA 94612

LOCAL AGENCY:

City/County Association of Governments of San Mateo County  
John Hoang, Contract Administrator  
555 County Center, 5th Floor  
Redwood City, CA 94063

#### **ARTICLE XXXIII CONTRACT**

The two parties to this contract, who are the before named CONSULTANT and the before

named LOCAL AGENCY, hereby agree that this contract constitutes the entire agreement which is made and concluded in duplicate between the two parties. Both of these parties for and in consideration of the payments to be made, conditions mentioned, and work to be performed; each agree to diligently perform in accordance with the terms and conditions of this contract as evidenced by the signatures below.

## **COMPLIANCE WITH STATE AND FEDERAL LAWS**

CONSULTANT shall comply with applicable State of California and Federal laws, including but not limited to, the Caltrans Consultant Procurement Manual, Chapter 9 Non-A&E Consultants (attached hereto), including the following:

- A. CONSULTANT must use their own document procurement procedures which reflect applicable state, local, and tribal laws and regulations, provided that the procurements conform to applicable federal laws and regulations (2 CFR Part 200)
- B. CONSULTANT shall procure all projects by competitive proposals in a manner providing full and open competition consistent with federal and state standards (California State Public Contract Code 10335-10381)
  1. Request for proposals must be publicized and all evaluation factors and their relative importance identified
  2. Proposals must be solicited from an adequate number of qualified sources (no less than three)
  3. CONSULTANT must have a written procedure for evaluating proposals
  4. Consultants other than A&E consultants may be selected using cost or cost and qualifications (best value)
  5. Contract audit and review process described in Section 4.0 of the Caltrans Consultant Procurement Manual (attached hereto) is optional for non-A&E contracts
  6. Public agencies contracting with other public agencies to perform work needed an executed Memorandum of Understanding (MOU) or interagency agreement
  7. A consultant firm that was instrumental or listed in the application process for projects, such as ATP, is not entitled to be awarded a

contract for its implementation without a competitive procurement. All federal/state funded contracts must be competitively solicited.

C. Preparing Request for Proposals

1. RFP for professional services shall include minimum qualification requirements, solicitation and award time frames, term of agreement, scope of work, evaluation criteria and process, and technical proposal and performance specifications
2. CONSULTANT shall attach complete scopes of work outlining local agency and consultant responsibilities and all special provisions for the work/services needed, and have all funded approved. LOCAL AGENCY contacts, or the Contract Administrator should be identified in the RFP.
3. CONSULTANT shall comply with Section 9.8 Technical Proposal, 9.9 Cost Proposal, 9.10 DBE Consideration, 9.11 Solicitation and Award of Contracts, 9.12 Evaluation Criteria, 9.13 Oral Presentational, 9.14 Debriefing, 9.15 Protest/appeals/reinstatement procedures

D. Scope of Work

1. CONSULTANT shall prepare clear and concise scopes of work. SOWs must be detailed and specific and be organized in a logical manner. Sort work details by similar actions or requirements. Clearly define roles and responsibilities of consultant and local agency. Agency Contract Administrator should write SOWs to indicate what qualifications are required to perform the work and to express when, where, and how the work/service is to be performed.

E. Technical Proposal

The Technical proposal should include the following information:

1. Consultant Project Manager – qualifications, roles and responsibilities.
2. Methodology - description of work and overall approach, specific techniques that will be used and specific administrative and operations expertise to be used.
3. Workplan and Work Schedule - the technical proposal should include activities and tasks, and their delivery schedule.
4. Personnel - List of personnel who will be working on the project, and their resumes.
5. Facilities and resources (If applicable) - Explanation of where the services will be provided and what type of equipment is needed to perform services. Page 62 of 69 Consultant Procurement Manual April 2017
6. Sub-contracts - Identify all sub-contracts that are to be used, description of each and the work by each sub-consultant/sub-contractor. No work shall be subcontracted unless listed in the technical proposal. Sub-consultant resumes should be provided.

7. References - The technical proposal should provide at least three (3) clients for whom the proposer has performed work of similar nature to the request

#### F. Cost Proposal Worksheet

The RFP should provide a standard format for cost proposal that all proposers must include in their technical proposal. The cost proposal format can be broken down by specific tasks, showing hourly labor rates, level of effort and material, and/or by milestones and deliverables.

#### G. DBE Consideration

DBE consideration is required on all federal-aid funded contracts including non-A&E. Zero DBE goals must be approved by the DLAE prior to contract execution.

#### H. Solicitation and Award of Contracts

1. Advertisement for RFPs may be through the CONSULTANT website, local publications, and national publications. Minimum solicitation time is 14 calendar days.
2. The solicitation should inform potential bidders that questions must be submitted in writing to the CONSULTANT Project Manager/Administrator by a specified date and time. All pertinent technical information and answers to bidder's questions shall be provided to all potential bidders. Written responses to all questions will be collectively compiled and provided as an addendum.
3. Contracts may be modified or amended only if the contracts so provide. Amendments must be requested and executed prior to the termination date of the most recently approved original or amended contract. All records of contract activities shall be kept for three years after federal final voucher E-76 or state final voucher for State-Only funds.
4. Costs are reimbursable after state allocation by the California Transportation Commission (CTC) and/or the issuance of the federal E-76. The per diem rate shall not exceed the state rate. Contract Managers are responsible for monitoring expenditures on all contracts and verifying categories of work that require prevailing wage. A person in Responsible Charge of contract management is required for all federally funded projects.

#### I. Evaluation Criteria

1. Review all eligible proposals (i.e., those filed on time and in the manner prescribed) to determine which ones meet the format requirements and the standards specified in the RFP. Proposals meeting the minimum standards and format requirements can then be rated or scored. Those proposals shall be submitted to an agency evaluation committee. The evaluation committee will evaluate and score proposals using the methods specified in the RFP. The contract must be awarded to the responsible proposer whose proposal is given the highest score by an evaluation committee.

2. The Contract Administrator must verify that each proposal contains all of the forms and other information required by the RFP. If all required information is not provided, a proposal may be considered nonresponsive and rejected without evaluation. Proposals without information regarding, or not meeting, the required DBE utilization goal or without a Good Faith Effort documentation, late submittals, submittals to the wrong location, or submittals with inadequate copies are considered nonresponsive and shall be rejected. Submittal of additional information after the due date shall not be allowed. Documentation of when each proposal was received must be maintained in the project files. Copies of date stamped envelope covers or box tops are recommended.
3. Note that all criteria to be used to evaluate the technical proposals must have a logical foundation within the scope of work or within other technical requirements contained in the RFP. Each criterion must have a weight or level of importance, and it is recommended that total possible score for the evaluation criteria be one hundred (100) points. The proposed cost should be at least thirty percent (30%) of total points in evaluation criteria.
4. To establish effective competition, a minimum of three proposal must be evaluated. If only two proposals are received, a justification must be documented to proceed with the procurement. If only one proposal is received, a Non-Competitive process must be justified and a Public Interest Finding (PIF) (LAPM Exhibit 12-F) must be documented. In either case, the re-advertisement of the RFP should be considered as an option.
5. The committee must also evaluate reference checks and other information gathered independently. Reference checks shall be completed and other information gathered before the interviews are conducted. If necessary, the results of the reference checks or other information may be discussed with the highest ranked qualified consultants at the interviews.

J. Oral Presentations

1. Oral presentations are optional. The evaluation criteria must include factors/sub-factors and weights used to score the proposers performance at the oral presentation. The evaluation committee will only be able to score each proposer based upon this criteria.
2. The Contract Manager/Administrator should develop a set of questions related to the scope of work or the project to be asked during the evaluation committee question and answer (Q & A) section of the oral presentations. All proposers are asked the same questions for consistency.

K. Debriefing

1. The committee chairperson or designee will complete a final evaluation criteria scoresheet that will become part of the contract file. It can later be used during debriefing of unsuccessful

proposer(s) to point out deficiencies and weaknesses for each criterion.

L. Protest/Appeals/Reinstatement Procedures

Both state and federal regulations require well-defined protest/reinstatement procedures. It is essential that the procedures include a reasonable opportunity for the prospective consultant to present his/her case. The appeals procedures strengthens the process by which the contracting agency reaches its ultimate goal and helps defends its action against a claim of lack of due process. A termination clause and a provision for settlement of contract disputes are required. Protest procedures and dispute resolution processes should be in accordance with 2 CFR 200.318(k).

**ARTICLE XXXIV SIGNATURES**

IN WITNESS WHEREOF, the parties hereto have affixed their hands on the day and year first above written.

KIMLEY-HORN

CITY/COUNTY ASSOCIATION OF  
GOVERNMENT OF SAN MATEO COUNTY

\_\_\_\_\_  
Randy Durrenberger, P.E.  
Principal-in-Charge/Senior Vice President

\_\_\_\_\_  
Maryann Moise Derwin, C/CAG Chair

Approved as to form:

\_\_\_\_\_  
CONSULTANT Attorney

\_\_\_\_\_  
Matthew J. Sanders, Counsel for C/CAG



## **EXHIBIT A**

### **Caltrans Exhibits:**

1. **Consultant Cost Proposal (LAPM Exhibit 10-H)**
2. **Consultant Contract DBE Commitment (LAPM Exhibit 10-O2)**
3. **Consultant Management Support Role Conflict of Interest and Confidentiality Statement (LAPM Exhibit 10-U)**
4. **Consultant Annual Certification of Indirect Costs and Financial Management System (LAPM Exhibit 10-K)**

**EXHIBIT B**

## **SCOPE OF WORK**

### **Task 1: Project Management and Administration**

#### ***Objective:***

Management and administration to execute project progress, budget, and schedule; manage project expectations and risks; and manage quality.

#### ***Keys to Success:***

- Project Kick-Off Meeting to discuss project scope and expectations
- Develop and maintain critical path schedule to regularly inform C/CAG of deliverables, baseline schedule, and project costs, and provide regular updates of remaining effort
- Prepare and maintain realistic program cost estimates to manage expectations
- Proactive, effective communication and coordination with project stakeholders early in the project process to confirm project input, stakeholder goals, and to achieve consensus
- Prepare accurate monthly invoices with project status reports

#### ***Deliverables:***

- Prepare Meeting Agendas, Materials, and Notes for coordination meetings, and other Stakeholder Meetings
- Baseline Project Schedule and Monthly Updates
- Monthly Invoices with Project Status Reports

#### ***Approach:***

Kimley-Horn will prepare meeting materials, attend, and facilitate Project Kick-Off Meeting, twice-monthly coordination meetings (8-month project duration), and stakeholder meetings (up to 5 for Preliminary Engineering/Project Report, and up to 3 meetings for Environmental Documentation) throughout the project. The Kick-Off Meeting will discuss overall project schedule and constraints, review Scope of Work elements, define stakeholder communications and outreach strategy, and review administrative and invoicing procedures. Based on our understanding of the project elements and the Caltrans PA/ED process, we believe there are opportunities to streamline, or potentially eliminate, some of the technical studies. We will utilize the project kick-off meeting to discuss these opportunities.

Project coordination meetings will focus on project schedule, budget, and risks with key staff from C/CAG. Other stakeholder meetings will focus on stakeholder input, project expectations, building consensus, and project status. Meeting notes will be prepared for each meeting; schedule, budget, costs, and risks will be updated throughout the project.

Kimley-Horn will prepare a project schedule to reflect tasks, subtasks, milestones, and agency review periods for each deliverable. The schedule will be maintained in Microsoft Project throughout the duration of the project and will be submitted monthly as part of coordination meetings.

Kimley-Horn will submit monthly invoices with associated project status reports for the effort completed each month. Project reports will include status updates on completed and ongoing project tasks, completed deliverables, upcoming milestones, and potential constraints and risks to project progress.

### **Task 2: Environmental Studies and Documentation**

***Objective:***

Complete environmental process in a comprehensive manner and document the project needs to guide the overall approach and successful resolution of environmental constraints.

***Keys to Success:***

- Consistency and compliance with Caltrans' Environmental Handbook which provides Caltrans' guidance for the development and processing of federal environmental documentation.
- Given that the project is not controversial, not likely to induce growth in the area, and will improve traffic management and operations, the appropriate document for NEPA compliance for the project would be a Categorical Exclusion (CatEx) under pursuant to Section 23 USC 326, 23 CFR 771 activity (c)(8).
- Work closely with C/CAG to prepare the anticipated CEQA document of a Class 1 Categorical Exemption (CE) under CEQA Guidelines §15301, Existing Facilities.

***Deliverables:***

- Five (5) Draft copies of each technical study for C/CAG and Caltrans review.
- Five (5) Final copies of each technical study for C/CAG and Caltrans review and approval.
- One (1) Final copy for of each technical study for Caltrans NEPA processing.
- Five (5) copies of the Draft CE for review.
- Ten (10) copies of the Final CE and NOE for approval and posting at the County Clerk and the State Clearinghouse.

***Approach:***

Kimley-Horn has guided many agencies through the environmental process expected for this project, which is anticipated to be a Categorical Exemption (CE) under CEQA and a Categorical Exclusion (CatEx) under NEPA. It is our understanding that the technical studies will be prepared to support both the CE and the CatEx.

We have retained several specialty subconsultants to provide the technical memorandums that will be required by Caltrans. Each member of our team has a strong reputation and leverages that position to work closely with Caltrans on the specific requirements. Our approach emphasizes face-to-face meetings and discussions to confirm proposed approaches and contents.

The following environmental approach has been developed based on the following key assumptions:

- CEQA compliance document limited to an Initial Study/Mitigated Negative Declaration.
- All supporting technical documents will be developed pursuant to both NEPA and CEQA guidelines as administered by Caltrans and FHWA.
- One project design alternative is assessed through environmental review.

Our environmental work will be initiated with a kick-off meeting/discussion which will define expectations of the analysis, scheduling, and understanding of the project. The Kimley-Horn team will evaluate the necessary information with respect to the proposed project. Project research will include coordination with appropriate stakeholders to acquire relevant environmental data, previous studies for the area and other available files, exhibits, maps and reference documents. Environmental issues that may require further detailed study or that may delay or affect the viability of the proposed project will be documented.

## **Environmental Documentation**

A Mini-PEAR was prepared and included in the PSR prepared for the project. The PSR was approved by Caltrans on October 31, 2017. Environmental issues that may require further detailed study are documented in the PSR for C/CAG and Caltrans concurrence prior to the initiation of the technical study work program.

## **Technical Study Work Program**

Kimley-Horn proposes to prepare technical studies in conformance with NEPA, pertinent FHWA regulations, Caltrans' Environmental Handbook, and CEQA. Kimley-Horn will coordinate with Caltrans staff to formalize the specific content and format requirements for each study. Based upon our knowledge of the area and the project details, Kimley-Horn has identified the following assessments that will satisfy the project's environmental requirements (budgets for the following tasks assume responses on two (2) consolidated sets of agency review comments).

### ***Air Quality Impact Assessment and Conformity Determination***

The project is located within the San Francisco Bay Area Air Basin and under the jurisdiction of the Bay Area Air Quality Management District (BAAQMD). Fugitive dust and equipment exhaust emissions from construction activities will be quantitatively evaluated using the latest version of the Roadway Construction Emissions Model (RCEM). As the project involves Intelligent Transportation System (ITS) improvements and would not add roadway capacity or involve other physical roadway modifications, the analysis will briefly describe that the proposed project elements will improve roadway operations and not negatively impact air quality.

### ***Noise Analysis***

Kimley-Horn will review applicable noise and land use compatibility criteria for the project area. Noise standards regulating noise impacts will be discussed for land uses adjacent to the project. The construction noise impacts will be evaluated in terms of maximum levels (L<sub>max</sub>) and hourly equivalent continuous noise levels (Leq) and the frequency of occurrence. An analysis of vibration impacts will be based on federal vibration analysis guidance. Onsite noise-generating activities will be addressed qualitatively as it is assumed that operational activities would not change existing conditions. Noise measurements are excluded from this task.

### ***Biological Resources Analysis***

The Kimley-Horn team will perform research and compile online database lists of special-status species from the following sources:

- U.S. Fish and Wildlife Service (USFWS), California Department of Fish and Wildlife (CDFW), California Natural Diversity Database (CNDDDB), and California Native Plant Society (CNPS).
- Existing peer-reviewed literature, environmental documents, etc.

Our team will then conduct a reconnaissance level site visit to determine what biological resources and special-status species habitat may be present. We will prepare a Natural Environment Study – Minimal Impacts (NES-MI) following the Caltrans Standard Environmental Reference template format. The NES-MI evaluates all observed biological resources and provides avoidance and minimization measures for resources with potential to occur in or near the Project site.

### ***Cultural Resources and Section 106 Compliance***

As a subconsultant to Kimley-Horn, Architectural/Historical Consultants (A/HC) will conduct a record search and a field survey of the entire project corridor, and prepare an Archaeological Survey Report (ASR) and a Historic Property Survey Report (HPSR). This scope of work includes the following:

- **Area of Potential Effect (APE) Map** - The Kimley-Horn team will work with C/CAG and Caltrans to define an archaeological APE and we will submit a draft APE map to Caltrans for approval prior to the initiation of the archaeological survey.
- **Archaeological Survey Report (ASR) - Archival Research** - A record search for previous studies and recorded cultural sites will be requested from the Northwest Information Center (CHRIS), Sonoma State University, Rohnert Park, to include the project corridors and a 1/2-mile radius around it. Other background research into the prehistory, ethnography, and history of the project area will be undertaken as appropriate at nearby research facilities.

Native American Consultation - The Native American Heritage Commission (NAHC) in Sacramento and persons or tribes on its consultants list for San Mateo County will be contacted to determine if they have information regarding archaeological sites and Traditional Properties in that project area and immediate surrounding area. Native American tribes and organizations on the AB52 list for San Mateo County will be contacted and invited to consult on the project within the statutory 30-day period. Consultation will use the suggested template circulated by Caltrans District 4 Office of Cultural Resources Studies.

Archaeological Survey - An on-foot archaeological survey of the project corridor will be undertaken. All open areas (not covered by asphalt and concrete) will be inspected for historic and prehistoric artifacts and features. Any necessary standard DPR 523 forms (Primary Record and Archaeological Site Record) will be completed.

An Archaeological Survey Report for submission by C/CAG to Caltrans will be prepared following the guidelines in the Caltrans Standard Environmental Reference, Volume 2, Exhibit 5.1. It will include a summary of the records search results, Native American consultations, brief historic and ethnographic background sections, description of field methodology, results of the survey, and necessary maps. It will also include any site records prepared for the project area.

- **Historic Properties Survey Report (HPSR)** - The HPSR is a summary report that includes the final draft of the APE map, discusses documentation efforts, the findings of the ASR (and, if necessary, an Extended Phase I ASR), and summarizes the National Register eligibility conclusions for cultural resources. The document also provides evidence of coordination with Native American groups, local government, and other interested persons and organizations, and requests the concurrence of the State Office of Historic Preservation if needed. The final draft of the ASR will be attached as an appendix. The HPSR and appendices will be submitted to Caltrans PQS for review and revisions will be made as necessary.

This scope of work assumes that takes of private property are anticipated; therefore, no Historic Resources Evaluation Report (HRER) has been requested. This proposal does not include possible additional work, such as an Extended Phase 1 Archaeological Survey. If such work is needed, a separate Scope of Work and Budget will be prepared.

### ***Initial Site Assessment***

The Kimley-Horn team will review the previous studies performed for the Project. The purpose of an Initial Site Assessment (ISA) is to evaluate the Project area for the presence of Recognized Environmental Conditions (RECs). The ISA will be prepared in general accordance with American Society for Testing and Materials (ASTM) Standard E-1527-13 per Caltrans Standard Environmental Reference (SER) Environmental Handbook (EH) Volume 1, Chapter 10, “Guidelines for Hazardous Materials, Hazardous Waste, and Contamination,” and Environmental Protection Agency (EPA) Standards and Practices for All Appropriate Inquiries (AAI) (40 CFR Part 312). Exceptions to the ASTM standard include: no title searches, property appraisals, or interviews will be performed for the Project area.

- **Database Review** - The Kimley-Horn team will review all pertinent data, including previous studies provided by C/CAG and the Project Team, site investigation reports, Caltrans Bridge Inspection Reports, and federal and state records within 1-mile of the Project area. As part of the study, the following sources will be reviewed for the purpose of determining the potential for RECs within the Project limits that may impact the proposed improvements:
  - » Environmental Data Resources (EDR) Corridor Report (6-mile corridor) Radius Map™ Report, EDR Aerial Photo Decade Report, EDR Historical Topo Map Report, EDR Certified Sanborn Map Report, and the EDR City Directory Image Report
  - » Department of Toxic Substances Control EnviroStor Database
  - » State Water Resources Control Board GeoTracker Database
  - » United States Department of Agriculture Natural Resources Conservation Service Web Soil Survey
  - » San Mateo County (County) Land Use and Zoning Maps and Assessor/Recorder records

The Kimley-Horn team will order an EDR database search for the Project, which is a database search of all regulated underground storage tanks; active and closed case files of cleanup operations; hazardous materials treatment, storage, and disposal facility (TSDF); historical cleaners and auto shops; and regulated sites.

The Kimley-Horn team will review these available records to determine the potential presence of RECs based on previous land use and any historical operations in or near the Project. This research will also be used to help support the lack of RECs in the Project area.

- **Field Reconnaissance** - The Kimley-Horn team will conduct a field reconnaissance to assess the existing conditions within and in the vicinity of the Project area, and to visually observe any indications of RECs within the Project limits. The visual observations will be documented, and photographs of the site conditions at the time of the visit will be taken. The data from the site reconnaissance will be compared to the historical information and EDR database findings to determine if there are existing or potential RECs at the Project area.
- **ISA Report** - The results of the database search and site reconnaissance will be summarized and presented in a report of the findings, describing the existing or potential RECs in or near the Project. The Kimley-Horn team will submit an ISA Report to C/CAG and the Project Team, and incorporate comments received into the Final ISA Report. The report will comply with CEQA/NEPA requirements. If there are existing or potential RECs within the Project Corridor, our team will provide recommendations in the ISA Report to run specific laboratory analyses on the soil samples collected. This additional field sampling would be performed as part of a Preliminary Site

Investigation (PSI) to confirm the presence or lack of suspected RECs.

### ***Aerially Deposited Lead (Optional)***

While it is not anticipated that an aerially-deposited lead (ADL) study will be required since proposed improvement are expected to be placed in existing paved areas, if required by Caltrans, the Kimley-Horn team will perform an aerially-deposited lead (ADL) study to evaluate soil along the Project Corridor in Daly City and Oyster Point Areas as identified in the Project Study Report (PSR). Specifically, soil will be sampled for ADL in areas proposed for soil disturbance during upcoming construction activities to install Trailblazer Signs (TBS). Sampling will be conducted at TBS locations along local arterials parallel to US 101 and Interstate 280.

Although leaded fuel has been prohibited in California since the 1980s, ADL from vehicle emissions may still be present in surface and near-surface soils in unpaved areas along California highways and roadways. Since lead is ubiquitous in the environment, sampling and analysis of soil is performed during project development to determine if lead concentrations are at levels that require special management and/or disposal. The DTSC-Caltrans Statewide Agreement for Caltrans For Reuse of Aerially Deposited Lead-Contaminated Soils, March 2016 (Agreement), provides guidelines for soil reuse based on lead concentrations in soil. To use the Agreement, a minimum number of samples must be taken from specific depths (0-1', 1-2', and 2-3') in ADL-risk areas (exposed soil areas within 50 feet of the roadway during the leaded fuel era) and analyzed for lead and pH; concentrations of lead are then compared to regulatory levels (80 milligrams per kilogram) to evaluate soil reuse/disposal. The Kimley-Horn team will perform an ADL study consistent with Caltrans District 4 ADL study standards.

- **Field Work and Laboratory Analyses** - The Kimley-Horn team will perform an ADL Study for the Project Corridor in accordance with the Agreement and prepare by doing the following:
  - » Prepare the encroachment permit for Caltrans District 4 and City/County Agencies (as required). Drilling permits are not required for depths less than 10 ft bgs.
  - » Prepare a site-specific Sampling and Analysis Plan (SAP) and Health and Safety Plan.
  - » Mark out in white paint the proposed ADL sample locations and contact USA North 811 a minimum of 72 hours prior to the start of field sampling.
  - » Schedule traffic control (in accordance with Caltrans requirements), the driller, and procure a laboratory for analytical testing.
  - » Prior to field work, secure rights of entry, encroachment permits, or drilling/demolition permits, as required.
  
- » 14 borings (TBS locations) will be sampled using a Direct Push Technology (DPT) rig with a 5-foot acetate liner. The acetate liner will be cut into specific intervals, 0-1, 1-2, and 2-3 feet below ground surface (bgs), following Caltrans protocol, and analyzed for lead using EPA 6020 and pH using EPA 9045. At least two duplicate samples will be collected from the same boring (one per day), handled in the same manner as the other samples, and analyzed for the same constituents as part of a QA/QC process for the laboratory.
- » The soil samples will be submitted to a State Certified laboratory for analytical testing. Any sample exceeding 50 mg/kg of total lead will be tested for Soluble Limit Threshold Concentration (STLC) using the California



Waste Extraction Test (CA WET) to determine the hazardous waste characterization under California Code of Regulations. If any sample exceeds the STLC limit (5 mg/L), that sample will be analyzed using the Toxicity Characteristic Leaching Procedure (TCLP) for characterization under federal guidelines, if needed.

- » The borings will be backfilled with grout and capped with soil cuttings and tamped.
- » The results of the field work will be summarized and presented in an ADL Study Report, describing the field work, soil sample collection, laboratory analyses, and calculation of the 95% Upper Confidence Limit (UCL) to statistically evaluate average lead concentrations in soil within the Project Corridor. The ADL Study data will be used to verify lead concentrations in soil at TBS locations, to evaluate the available options for soil disposal or reuse, and to provide specific guidance for waste management and worker safety during construction activities. We will incorporate the comments received from C/CAG and Project Team into the Final ADL Report.

### ***Water Quality Assessment***

The Kimley-Horn team will: 1) identify and describe the current and upcoming laws that relate to water quality; 2) describe the beneficial uses as detailed by the Regional Water Quality Control Board (RWQCB) Basin Plan for all potentially-affected waters; 3) discuss water quality objectives for all potentially affected waters; 4) collect and present any monitoring data from other agencies; 5) list potential sources of pollutants; and 6) describe the watershed, existing drainage, and hydrologic conditions. We will evaluate the water quality impacts for each proposed alternative and recommend possible best management practices or Project features to address water quality issues. We will document our findings in a technical report.

### ***Paleontological Identification Report***

The Kimley-Horn team will prepare a PIR in accordance with the Caltrans guidelines. This entails research, synthesis, and compilation of existing paleontological and geological data. We will map the Project area onto a high-resolution geologic map. We will conduct paleontological record searches to determine if previous fossil localities are known within or near the proposed Project. A record search of the Project area and one-mile buffer will be requested from the University of California Museum of Paleontology at Berkeley (UCMP). Due to recent turnover in museum staff, the UCMP may be unresponsive to the records search request; therefore, the record search will be supplemented with published and unpublished literature reviews and database searches. Our team will review and synthesize data to determine the paleontological and geological context of the Project area.

The results of the analysis of existing data will be compiled in a PIR. The PIR will also include a preliminary discussion of potential Project impacts on paleontological resources and, if appropriate, propose recommendations, such as preparation of a Paleontological Evaluation Report (PER) and/or Paleontological Mitigation Plan (PMP).

### ***Preliminary Geotechnical Report***

The Kimley-Horn team will prepare a Preliminary Geotechnical Report for the proposed pole structures. This approach is included in the Project Report and is intended to provide preliminary geotechnical information for subsequent design. This scope includes research and data collection based on geologic maps and other previous studies. Generally, the geotechnical issues relevant to the proposed TBS structures are presented in a qualitative manner with no specific design recommendations. No field exploration work is expected for this phase; however site review is proposed to supplement data research. Based on our initial assessment of the proposed project elements, our scope of work assumes preliminary geotechnical evaluations at four trailblazer locations, particularly those located in Brisbane

along Tunnel Avenue.

### ***Deminimus Section 4(f) Evaluation***

Kimley-Horn will prepare a Section 4(f) Evaluation pursuant to the Department of Transportation Act of 1966, which prohibits the Secretary of Transportation from approving any program or project which requires the use of any publicly owned land from a public park, recreation area, or wildlife and waterfowl refuge of national, state or local significance as determined by federal, state, or local officials having jurisdiction thereof, or any land from an historic site of national, state, or local significance (Department of Transportation Act of 1983, 49 U.S.C. Section 21).

Using the Section 4(f) checklist and with Caltrans' format guidance, Kimley-Horn will provide the Section 4(f) Evaluation based on Caltrans' expectations. The Section 4(f) Evaluation will include an introduction; discussion of the proposed action; description of the Section 4(f) properties; Applicability of Section 4(f) on the resource, including use of the property and potential impacts; discussion of avoidance alternatives; and measures to minimize harm.

Based on our understanding of the project, it is our opinion that any impacts would be temporary in nature and thus, the appropriate level of documentation should be a De Minimis Section 4(f) Evaluation. In addition, based on our knowledge of the potential cultural resources, we do not anticipate including a Section 4(f) evaluation on any historic site of national, state, or local significance. If a historical resource is identified in the HPSR/ASR and the project would impact the resource, then Caltrans would be consulted as to the appropriate Section 4(f) evaluation.

Kimley-Horn will prepare a Notice of Intent to Adopt a U.S. Department of Transportation Act Section 4(f) Finding pursuant to the Department of Transportation Act of 1966 and Caltrans District 4 requirements and procedures. An Area of Impact Map will be attached to the Public Notice. Kimley-Horn will work with C/CAG and Caltrans District 4 to determine the best way to post the notice. Notices will be posted for 30 days to allow the public to review the Section 4(f) Evaluation. This posting will coincide with the 30-day NEPA EA and CEQA IS/MND public review periods.

### ***Environmental Compliance***

- **CEQA Compliance** - Kimley-Horn will prepare a Class 1 CE in conformance with CEQA Guidelines Section 15301, Existing Facilities, and the regulations requirements and procedures of the responsible Public Agency with jurisdiction by law. Kimley-Horn will prepare the CE for review and approval by C/CAG. Upon approval of the CE, Kimley-Horn will prepare the Notice of Exemption (NOE). The NOE will be delivered to the California Office of Planning and Research, State Clearinghouse, and will work with C/CAG to post the NOE at the Office of the County Clerk for the required 30 days.
- **NEPA Compliance** - Kimley-Horn will prepare a NEPA CatEx, with supporting technical studies identified above, pursuant to Section 23 USC 326, 23 CFR 771 activity (c)(8). Kimley-Horn will also prepare a Draft Environmental Commitments Record (ECR), if necessary, which will be submitted to the Department for review and approval.

### **Task 3: Project Report/Project Approval**

#### ***Objective:***

Conduct preliminary engineering to review and confirm existing conditions and create project details. Prepare an approved Project Report with associated documents.

### ***Keys to Success:***

- Conduct regular focus meetings with key Caltrans staff, before and during Project Report development to convey project goals and approach as well as quickly resolve comments.
- Perform thorough field review and preliminary engineering to develop project element design that avoids impacts to right-of-way, utilities, and environmental resources.
- Develop preliminary cost estimate to conform the project to allocated funding and budget.

### ***Deliverables:***

- Topographic Survey and Base Map
- Utility Request Letters and Utility Maps
- Technical Memorandum – Existing Conditions Inventory and Field Device Recommendations
- Preliminary Engineering (30% Design Level) Plans - Up to two (2) iterations
- Preliminary Cost Estimate
- Traffic Methodology Memorandum
- Traft and Final Traffic Operations Analysis Report
- Administrative Draft Project Report to C/CAG and Caltrans
- Draft Project Report for Circulation
- Administrative Draft Final Project Report to C/CAG and Caltrans
- Final Project Report

All deliverables are assumed to be electronic except for the Draft Project Report for Circulation and the Final Project Report. Kimley-Horn will provide up to ten (10) hard copies of the Draft and Final Project Reports.

### ***Approach***

#### **Surveying and Mapping**

For the development of the base mapping and preliminary engineering plans, the Kimley-Horn team will conduct topographic surveys of the project corridors. A detailed topographic survey of the project area is not anticipated as the project elements and work will be confined to ITS elements and communications which will not require roadway or other intensive civil design. It is expected that all proposed ITS equipment will be placed within sidewalk areas, on existing traffic signal poles, or within the roadway. As such, the topographic survey information will capture sidewalk and roadway widths, right-of-way, and utility conflicts to identify the locations of new equipment.

The topographic survey will be conducted on both sides of the street on project corridors, with survey shots at 200-300 foot intervals and at major roadway geometric changes. The survey will capture:

- Back of sidewalk
- Face of curb
- Lip of Gutter
- Curb returns and mid-point of returns at intersections
- Surface utilities: manholes, pull boxes, valves, street light and utility poles, catch basins, and USA markings

While no utility relocations are anticipated to complete the proposed project, existing utility information will be requested from utility operators within the project vicinity. Kimley-Horn will document the existing utility

information on a color-coded utility tracking drawing and document it by owner, type, size, voltage, and material in a utility tracking table and on plan sheets. No potholing or field survey is proposed to confirm utility location records under this task.

In addition, Kimley-Horn will request as-built information from the local agencies on the project corridors, including existing traffic signal equipment and roadway/geometric plans.

Utilizing the gathered information, Kimley-Horn will conduct site visits and field reviews to observe and verify existing geometric features, drainage, utilities, signage, striping, traffic signal operations, and other readily apparent features that are deemed by Kimley-Horn to be relevant to the development of preliminary engineering plans.

### **Preliminary Engineering**

As Kimley-Horn was the developer of the Project Study Report for Phase 4 of the Smart Corridors, we are already familiar with the project goals, corridor deficiencies, and proposed alternative. Using the surveying and data collection information, Kimley-Horn will refine and advance the initial alternative from the PSR phase. Kimley-Horn's conceptual design will coordinate and evaluate improvements from known projects taking place along the project corridors to identify potential overlap of work. One example includes the opportunity to collocate or share fiber optic cables with the County's school district fiber. The project will be developed to produce preliminary (approximately 30% design level) improvement plans to identify project element locations that avoid impacts to environmentally sensitive areas, right-of-way, and utilities. Additionally, the plans will provide sufficient detail to adequately inform the development of a Preliminary Cost Estimate and facilitate evaluations for a cost-effective design approach.

### **Preliminary Cost Estimate**

Kimley-Horn will prepare a preliminary cost estimate to provide and assess construction costs to confirm proposed improvements conform to project budgets. The cost estimate will be developed to provide a detailed breakdown of the capital work, and would also include the cost of support needed for the PS&E and construction phases of the project.

### **Traffic Analysis**

Kimley-Horn will provide travel forecasting and traffic operational analysis services to support the Project Report and Environmental Documents, this will include the preparation of a Traffic Operations Analysis Report (TOAR). Kimley-Horn will coordinate with C/CAG and Caltrans to identify the parameters of the traffic study and confirm the scope of the analysis including opening and future horizon years, traffic data sources, traffic diversion volumes, and measures of performance criteria (e.g., LOS). Based on the input from C/CAG and Caltrans, Kimley-Horn will prepare a Traffic Analysis Methodology Memorandum to document approach, assumptions, and analyses to be completed for the project.

Traffic operational analysis will be performed based on the existing, opening and future forecast traffic volumes developed from travel demand model. Traffic analyses will be performed using Highway Capacity Manual (HCM). A Draft TOAR will be prepared and circulated to the project team for review and comment. Based on C/CAG, Caltrans, and other project team comments, Kimley-Horn will prepare the Final TOAR. The information from the TOAR will

be utilized to develop the relevant Traffic section of the Project Report.

### **Project Report**

In accordance with Appendix K of the Caltrans Project Development Procedure Manual, Kimley-Horn will prepare a draft PR that documents the need for the Project, summarizes key points from the draft environmental studies, and summarizes scope, cost, schedule, and overall impacts to enable an informed decision to be made to proceed with Project Approval. Following circulation of the draft Environmental Documents, consideration of public comments, and the selection of the preferred build alternative, Kimley-Horn will develop and submit the final Project Report to Caltrans for Project Approval. The Final CE and NOE will be attached to the final Project Report.



## **EXHIBIT B**

**EXHIBIT C**

**CALTRANS PROCUREMENT MANUAL**