



## Consultant for C/CAG Equity Assessment and Framework Development



# 1 Introductory Letter

December 31, 2021

Kim Springer  
Transportation Systems Coordinator  
City/County Association of Governments (C/CAG)  
555 County Center – 5th Floor  
Redwood City, CA 94063

**RE: Proposal to Complete an Equity Assessment of C/CAG's Programs and Develop an Equity Framework**

Dear Mr. Springer,

C/CAG is leading the way to ensure its current and future programs and processes address every potential opportunity to improve equitable outcomes for the communities of San Mateo County. To be successful in advancing and deploying equitable solutions, equity must be internalized as a process and an outcome within an agency's work to shape policies, projects, and programs representing the diverse needs of the community it serves.

HNTB is excited for the opportunity to support the important work C/CAG is engaged in to deliver more equitable outcomes for the San Mateo community, which will build on our own body of equity-related work for the recently branded **Community Transportation Benefits Program, in partnership with C/CAG as part of the San Mateo Express Lanes Joint Powers Authority (SMCEL-JPA)** over the past several years.

We are uniquely positioned to help C/CAG meet your ambitious goals in three critical ways:

- **Local and Regional Understanding:** With our experience in San Mateo and our work with many other local agencies in the region - as well as with the regional agency itself, Metropolitan Transportation Commission (MTC) — we bring a keen understanding and awareness around the local and regional context of this work and the various equity issues at play within the Bay Area.
- **Deeply Experienced Project Team:** Together HNTB and CauseIMPACTS — a woman-owned, small business — have helped many clients locally, statewide, and nationally to navigate the complex work of incorporating equity into internal frameworks to achieve more equitable outcomes for their communities.
- **Informed Approach:** Our approach prioritizes early research around C/CAG's policies, processes, projects, and programs, as well as discovery with community-based organizations (CBOs) and program partners to understand San Mateo County's history as a means to inform training design and develop an Equity Framework that moves C/CAG toward truly actionable advances.

This proposal details HNTB's approach to assessing C/CAG's programs and policies, and developing a tailored and actionable Equity Framework, highlighting our staff's capabilities and our extensive experience supporting Bay Area agencies to embed equity within their organizational DNA and provide meaningful benefits to their communities. It also demonstrates our commitment to equity with 38 percent Disadvantaged Business Enterprise (DBE) participation, which exceeds C/CAG's stated goal. As Northern California Office Leader, I am authorized to negotiate the proposed contract and bind our firm.

During your selection process, please contact Project Manager Christa Cassidy, AICP, with any questions at Ccassidy@hntb.com or 510-587-8786.

Respectfully,



**Jeff Watson, PE, PMP**  
Northern California Office Leader  
Vice President

# 2 Executive Summary



## 2. Executive Summary

Equity has deep implications for all of C/CAG's core areas of focus — transportation, housing, climate, stormwater, air quality, airport land use, and waste. Each of these areas represents a benefit or burden on different demographic groups and geographies depending on factors like community representation in the planning process, funding allocation, and legacies of historical decision-making. San Mateo County is a region of contrasts. It is home to the most expensive zip code in the country and some of the region's poorest census tracts. It is both the heart of Silicon Valley and a major agricultural player. Its international airport connects the Bay Area to the rest of the world, while many neighborhoods lack bike lanes to safely connect from one side of U.S. 101 to the other. Taken together, these contrasts make an especially compelling case for advancing equity.

HNTB recognizes the diverse set of issues in San Mateo County and is excited about the opportunity to partner with C/CAG to develop an approach that will deepen the agency's understanding of equity and build institutional capacity to promote more equitable outcomes for the broader community. We will combine our technical and policy expertise with lessons learned from previous equity projects to achieve C/CAG's forward thinking vision for the future of the region.

C/CAG has demonstrated tremendous commitment to equity, exploring this critical issue outside the confines or requirements of any particular program or project. C/CAG is to be commended for taking this step to redress past harm and open pathways to new opportunities for those who live and work in San Mateo County. As C/CAG's partner on San Mateo (SM) 101 Express Lanes Equity Program, recently branded Community Transportation Benefits Program, we are ready to build on our established relationship in a new, focused capacity with equity at the core.

The HNTB team is uniquely positioned to deliver this project effectively and authentically for three key reasons:



**Local and Regional Understanding:** Through our past and ongoing work with C/CAG as part of the SM 101 Express Lanes Project and its associated Equity Program over the past two years, we have developed an understanding of C/CAG's staff and its agency's priorities, as well of those of its partner agencies and other stakeholders. We conducted extensive outreach to local CBOs defined above in the letter, and stakeholders to gain a full perspective on the landscape of equity issues faced by historically underserved communities in San Mateo County. This foundational understanding of the County's most vulnerable community members and their needs allows us to start ahead and stay ahead of the short timeline we have set out for ourselves to deliver this work. As partners to many agencies in the region, including the MTC, we bring a regional context when developing solutions for local issues. Equity issues are not unique to San Mateo County, nor are they confined by jurisdictional boundaries, and we recognize that the solutions we develop as part of this work should be replicable and scalable elsewhere in the region.



**Christa Cassidy, AICP,**  
*has delivered multiple equity-centered projects. She brings a wealth of knowledge from other efforts focused on defining and measuring equity, as well as a body of research conducted on challenges that transportation agencies in the Bay Area face related to embedding equity into their work.*



**Deeply Experienced Project Team:** Equity is both a principle and a practice for the HNTB team. We live up to this commitment by exceeding the DBE goal by partnering with CauseIMPACTS for more than a third of the project. Together, HNTB and CauseIMPACTS bring a depth of experience in equity-focused projects, meaning our team will be able to customize an approach to deliver C/CAG's vision for the community.

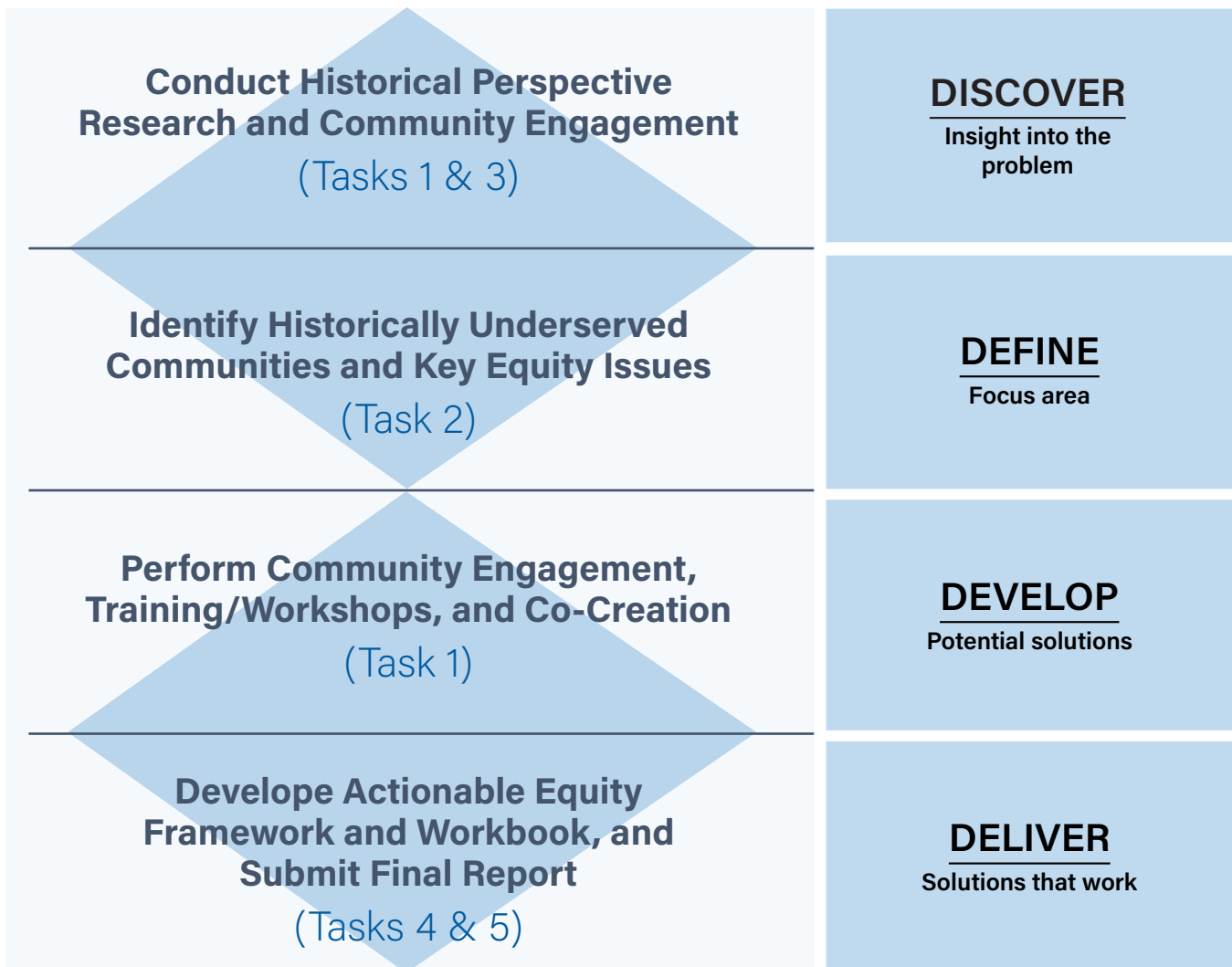
Locally, we developed the Community Transportation Benefits Program — a regional first that is serving as a model to provide substantial transportation benefits to the County's historically underserved communities through partnerships with the County's leading social services providers, Samaritan House and the Core Service Agencies. Statewide, we have helped agencies — like Los Angeles County Metropolitan Transportation Agency (Metro) and the Ventura County Workforce Development Board — embed equity into their way of doing business through employee trainings and procurement process restructuring. Nationally, we have engaged diverse stakeholders — from El Paso to Cleveland — to deliver context-specific community projects that prioritize the needs of those historically left out of the planning process.



**Our Informed Approach:** Our approach to developing the equity assessment and framework is to frontload several subtasks from Task 3 to inform staff awareness training design with knowledge about best practices, context about existing agency programs and practices, and the perspectives of CBOs and partners.

Our decision to frontload this work is rooted in our experience on equity projects as well as best practices for building equity. These best practices prioritize an initial phase to **DISCOVER**. In this case, the discovery phase will shape a training curriculum and framework outlining solution development. Our work will be buttressed by an in-depth analysis to **DEFINE** who the historically underserved communities in San Mateo County are, where they live, and what equity issues they face. This research, analysis, and the ideas we **DEVELOP** in the training sessions with staff, CBOs, and program partners will inform our effort to **DELIVER** the agency's Equity Framework. The Framework will be accompanied by a suite of other tools to support its implementation like an employee workbook.

*Our Informed Approach*



Ultimately this Equity Framework will get C/CAG staff speaking the same language and working toward the same equity-related goals. It will provide the internal organization and knowledge base needed to assert more equitable solutions externally, serving as a model in the region and beyond.

# 3 Consultant Information Qualifications & Experience

# 3. Consultant Information Qualifications & Experience

**HNTB Corporation**, founded in 1914, provides a full range of transportation infrastructure-related services, including planning, environmental, engineering, design, and program and construction management. With more than 5,000 professionals across 75 offices nationwide, we have the capacity and resources available to help our clients develop and implement innovative solutions for transportation projects of any size.

## National Leaders in Infrastructure and Mobility Equity

We help shape programs and policies through an equity lens to improve connectivity — for highways and roadways, rail and transit as well as for bicycle and pedestrian use. Our experts have been integral to advancing complex, vital projects across the country, such as those depicted in the photos below and the local projects highlighted on the pages that follow.

Our expertise includes:

- Sophisticated understanding of federal priorities on equity and environmental justice that can guide client programs and policies
- Support in addressing infrastructure and mobility equity considerations in making investment decisions
- Deep experience in community engagement and public outreach to support communications with underserved communities
- Guidance on projects that may raise equity concerns and risk management around those issues

Here in the Bay Area and nationwide, we have helped shape programs and policies through an equity lens to improve connectivity — for highways and roadways, rail and transit as well as for bicycle and pedestrian use. Our experts remain integral resources, advancing complex, vital projects such as those nationally depicted in the photos below, and locally in the subsequent project reference pages:



*Opportunity Corridor Project,  
Cleveland, OH*



*Co-Created Transit-Oriented  
Development Plan, Harvey, ND*



*City of El Paso, TX: GO 10 Public  
Involvement*



**OUR DBE PARTNER**

**CauseIMPACTS** is a women-owned social impact strategy and consulting firm that helps clients clarify, create, measure, and amplify the impact they make by using robust policy and statistical analysis, coalition building, group facilitation, program design, capacity building training, and program evaluation. CauseIMPACTS works collaboratively across sectors to develop unique partnerships, leverage resources, and support innovative solutions that help clients drive social change, measure and evaluate social impact, and effectively communicate this impact. They have helped numerous government agencies assess their programs and procurement processes as they relate to equity and put forth actionable and meaningful solutions for putting equity into action.



## Local Infrastructure & Mobility Equity Relevant Experience

The following projects highlight our team's qualifications and experience related to this project.

### SMCEL-JPA, COMMUNITY TRANSPORTATION BENEFITS PROGRAM, SAN MATEO, CA



**Project Objective:** Develop an equity program for SMCEL-JPA to provide meaningful benefits to the community, known as the Community Transportation Benefits Program.

**Project Description:** HNTB oversaw the SMCEL-JPA's equity study, which was used to develop the Community Transportation Benefits Program for the SMCEL-JPA. HNTB developed the scope of work to contract the study and assisted in the evaluation and selection process. Matthew Click and Lacy Vong provided guidance on the study's research design and methods for analyzing and developing alternatives as well as coordinating the community outreach strategy. With Christa serving as the Deputy Project Manager for the Equity Study, HNTB supported the consulting team to form a regionally diverse advisory board, interview key stakeholders, develop a guiding document for the study, partner with community-based organization (CBO) to co-create engagement activities to solicit input from historically underserved communities, assess the transportation behavior and mobility challenges of communities of concerns, and develop equity program options to address these needs. As part of that work, the team identified 40 CBOs that serve the diverse community in San Mateo County, and reached out to them with the opportunity to partner with SMCEL-JPA. The team also met with and presented at more than 20 local meetings to get community input on mobility challenges and program options, including hosting a public meeting in four languages.

**Project Outcome:** The project is ongoing. The overall outcome is to implement the Community Transportation Benefits Program, which will provide meaningful benefits to equity priority communities in the County. As a result of the Equity Study, the initial phase will provide eligible participants in San Mateo County pre-loaded Clipper cards and FasTrak toll tags.

**Contracting Agency:**  
San Mateo County Express  
Lanes Joint Powers  
Authority (SMCEL-JPA)

**Contracting Agency  
Project Manager:**  
April Chan  
Executive Officer,  
Planning & Development,  
San Mateo County  
Transportation Authority,

**Contracting Agency  
Contact Information:**  
(650) 508-6228  
ChanA@samtrans.com

**Contract Amount:**  
\$4.26M

**Funding Sources:**  
SMCTA Local Measure  
A, Private Contributions,  
Federal, State (ITIP, STIP,  
LPP, SB 1 SCC), Regional  
Bridge Tolls, and Future Toll  
Revenue

**Date of Contract:**  
November, 1, 2019

**Date of Completion:**  
Ongoing

**Consultant Project  
Manager:**  
Matt Click, AICP  
(703) 999-8444  
MClick@hntb.com

## BART, LINK 21, STRATEGIC ADVISORY AND PROGRAM MANAGEMENT SERVICES, NORTHERN CALIFORNIA, CA



**Project Objectives:** Deliver an interconnected mega regional passenger rail network, connected by a new transbay rail corridor; transform the BART and Regional Rail network into a faster, more integrated system that provides a safe, efficient, equitable and affordable means of travel for all types of trips within the Northern California megaregion and beyond; and re-envision rail in a way that maximize benefits and minimize burdens for communities that traditionally suffer negative impacts from infrastructure projects.

**Project Description:** HNTB is supporting BART and CCJPA in the governing, planning, positioning, funding, and delivery of this first-of-its-kind mega-program. We are working diligently to develop and execute a robust equity strategy that informs all elements of program work and will serve as the new standard for megaprojects nationwide. Building upon research and interviews with stakeholders throughout the Megaregion about how equity should be considered on Link21, we developed an Equity Blueprint, a guiding document outlining Link21's high-level equity strategy. A major pillar of the blueprint is co-creation, a process used to gather input from systematically marginalized community members and integrate the knowledge and expertise these community members bring from their own lived experience directly into program decisions. By critically thinking through normal practices, we are identifying ways to incorporate equity throughout all program work, instead of considering it as only an engagement piece.

**Project Outcome:** In 2021, we hosted two rounds of community co-creation, partnering with more than 30 CBOs and reaching 680 community members through workshops and more than 1,500 through a poll. The personal experiences and opinions shared by community members in these workshops are currently informing several aspects of the program, including the revision of the Link21 priority population definition to go beyond local, regional, and state definitions of Disadvantaged Communities (DACs). The design team is considering the location of priority populations in their initial concept work and endeavor to create options and service improvements that benefit these communities. We also used community feedback to revise the Equity Vision Statement and Equity Commitment, which are part of the program's foundational documents. Our commitment to co-creation, coupled with our expertise to turn community input into actionable steps, has helped Link21 establish partnerships with key stakeholders and create strong program frameworks.

**Contracting Agency:**  
Bay Area Rapid Transit  
(BART)

---

**Contracting Agency  
Project Manager:**  
Sadie Graham  
Program Director

---

**Contracting Agency  
Contact Information:**  
(510) 821-8260  
sgraham@bart.gov

---

**Contract Amount:**  
\$50M

---

**Funding Sources:**  
BART Measure RR, RM3,  
and CalSTA Funds

---

**Date of Contract:**  
August 1, 2019

---

**Date of Completion:**  
Ongoing

---

**Consultant Project  
Manager:**  
Perter Gertler  
(510) 851-1867  
pgertler@hntb.com

## TIMMA/SFCTA, TRANSPORTATION AFFORDABILITY PROGRAM FOR TREASURE ISLAND MOBILITY MANAGEMENT AGENCY, SAN FRANCISCO BAY AREA, CA



**Project Objective:** Develop a program to support transit and transportation affordability for current and future below-market rate households.

**Project Description:** To support the exponential growth, the mobility plan supports the “transit first” community vision, including enhanced bus service, a new ferry, and substantial bike and pedestrian improvements. An integrated congestion pricing program with vehicle tolling and priced parking will subsidize transit costs and incentivize mode choice. Additionally, the mobility program includes one of the most mature equity programs, including toll affordability for existing residents and a steeply discounted transit pass for residents who qualify for affordable housing. HNTB is leading the development and implementation of the TIMMA mobility equity program. HNTB provided a technical analysis of alternatives and their financial impact to inform decisions on the program’s policy. HNTB also developed outreach material and supported TIMMA with presentations to key stakeholders and the community — essential for conveying the benefits of the program. To successfully roll out the program, HNTB’s technical experts who are experienced with operationalizing programs continues to be key in developing a phased implementation plan, which thoroughly identified potential challenges and strategies to address them.

**Project Outcome:** The project is ongoing. Through the work performed to date, proposed congestion pricing policies and the toll affordability programs have served as a valuable input to defining the systems and operational processes needed for delivering equity. This has already begun to inform the next phase of system procurement, regional partnering, and a needs assessment for agency assets that must be planned and budgeted prior to deployment.

**Contracting Agency:**  
San Francisco County  
Transportation Authority  
(SFCTA)

---

**Contracting Agency  
Project Manager:**  
Rachel Hiatt, Acting  
Deputy Director for  
Planning

---

**Contracting Agency  
Contact Information:**  
(415) 522-4809  
rachel.hiatt@sfcta.org

---

**Contract Amount:**  
\$2M

---

**Funding Sources:**  
TBD – Seeking various  
grants and funding  
strategies

---

**Date of Contract:**  
2018

---

**Date of Completion:**  
Ongoing

---

**Consultant Project  
Manager:**  
Samantha Soules  
(206) 708-4498  
SSoules@hntb.com



## METRO, CBO PARTNERING AND PROCUREMENT STRATEGY, LOS ANGELES, CA



**Project Objective:** Develop a CBO partnering and procurement strategy for Metro. Assess how the agency partners with CBOs, how the agency could partner, and whether a policy should be developed to facilitate CBO contracting in order to increase equity and access to Metro funding. Metro conducted this study after immense political pressure to engage CBOs more equitably in their work and mitigate harm conducted across the region by its large infrastructure projects.

**Project Description:** CauseIMPACTS conducted policy research to identify existing barriers to CBO inclusion in Metro's programs and contracting as well as best practices in CBO partnering across public agencies. Then, CauseIMPACTS conducted robust stakeholder outreach and engagement to over 30 nonprofit and CBOs in the region. This engagement took place through one-on-one conversations, focus groups, surveys, and community forums. CauseIMPACTS also conducted an agency-wide scan of how CBOs were partnered with across all departments to identify opportunities to deepen connections or ameliorate past challenges. Throughout the project, CauseIMPACTS facilitated a 20-member internal working group to make sure that Metro staff were brought along on the findings and recommendations along the way.

**Project Outcome:** CauseIMPACTS delivered a final report and toolkit to Metro that included guidelines for how Metro can improve CBO partnering and procurement language to enhance CBO partnership and CBO compensation guidelines as well as a checklist for departments to use to assess when CBOs should be engaged on a project. CauseIMPACTS also trained staff on the historical challenges to CBO partnerships and how to advance equitable partnerships with CBOs for future and ongoing projects. Simultaneously, CBOs received training on how to partner and work with Metro to advance Metro's mission and bottom line. The final deliverable was an agency-wide CBO partnership strategy through which Metro can increase equity in the region and compensate CBOs for their expertise that was delivered to the Board.

**Contracting Agency:**  
Los Angeles County  
Metropolitan Transportation  
Agency (Metro)

---

**Contracting Agency  
Project Manager:**  
Elizabeth Carvajal

---

**Contracting Agency  
Contact Information:**  
(213) 604-3181  
carvajale@metro.net

---

**Contract Amount:**  
\$300K

---

**Funding Sources:**  
Board Appointed,  
Non-Federal Funds

---

**Date of Contract:**  
February 2019

---

**Date of Completion:**  
May 2020

---

**Consultant Project Manager:**  
Jessica Daugherty  
Principal  
CauseIMPACTS  
(714) 390-6301  
jessica@causeIMPACTS.com

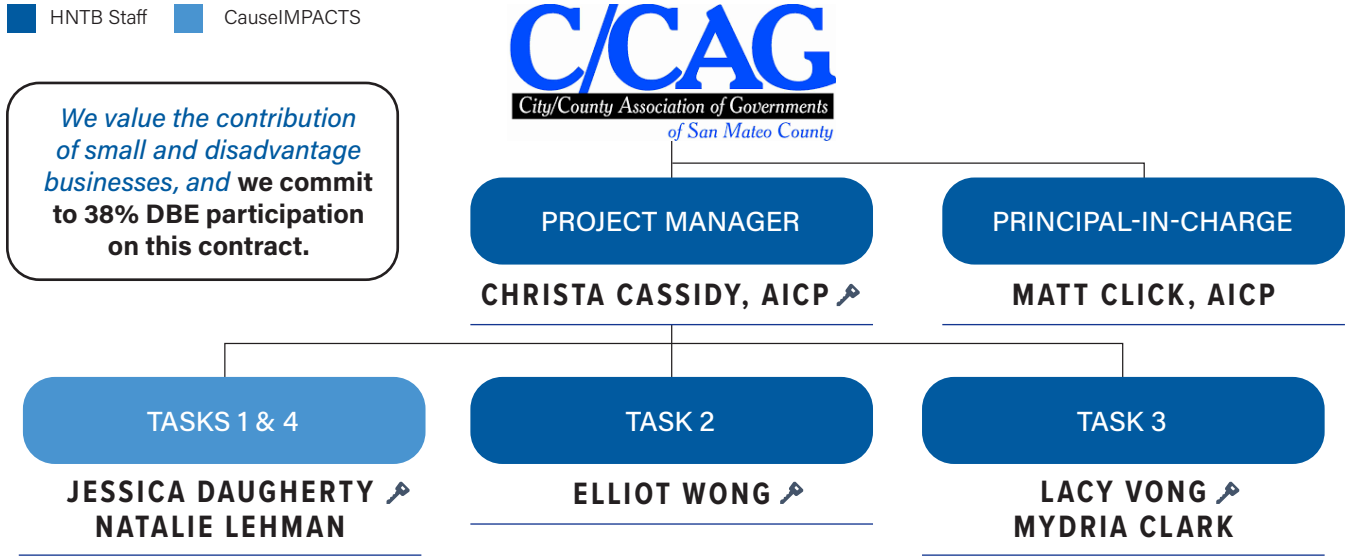


# 4 Organization and Approach

# 4. Organization and Approach

HNTB is proud to present a highly qualified team to meet the needs of this project while also supplementing our own expertise through inclusion of a Disadvantaged Business Enterprise (DBE) on our team — meeting C/CAG’s goals of achieving equity and inclusion.

■ HNTB Staff ■ CauseIMPACTS



## NIMBLE AND EFFICIENT ORGANIZATION

Our team organization brings a wealth of local and national experience in developing equity programs and tools for public sector agencies like C/CAG. The project team is comprised of four key staff and a bench of talent with expertise in equity, planning, and community engagement. We selected team members with intimate knowledge of the County’s diverse communities and a diversity of perspectives for the project.

Our organizational chart above illustrates the lean team structure that will keep us nimble and efficient in achieving the project goals within our proposed eight-month project time frame. We have facilities available for team members to utilize throughout the course of this project at our Oakland and San Jose offices, depending on local COVID regulations.

## PROJECT AND MANAGEMENT APPROACH

HNTB will deliver a high-quality equity assessment and an actionable Equity Framework that helps C/CAG move the needle on equity across all of its policies, programs, and processes; and by extension, across the County. Christa Cassidy, our project manager and a local transportation equity specialist, will directly oversee the scope of work and be actively engaged in all tasks. Her management approach for this project is comprised of the following elements:

**Communications/Meetings:** HNTB will meet with C/CAG staff biweekly to report on project progress, solicit input from staff on next steps, share insights from research and outreach, and review deliverables.

**Quality:** All deliverables developed by the project team will meet HNTB’s standards for quality results. We have also included in our project budget hours for a quality manager to provide input on key project deliverables.

**Subconsultant Management:** HNTB is excited to partner with CauseIMPACTS and exceed the DBE goal for this project by nearly doubling it. HNTB will hold a project kickoff meeting with CauseIMPACTS to confirm the work plan, key deliverables, and deadlines. The project team will continue to meet on a weekly basis to report on progress; identify challenges that could impact project schedule or budget and make adjustments as necessary, and confirm resourcing, using the project plan as our guiding plan, and as outlined in Section 6: Schedule of Work.

## KEY TEAM MEMBERS

The roles, experience, and qualifications of key team members are described below, followed by their resumes.



**Christa Cassidy, AICP**, will serve as Project Manager and will lead Task 5. Christa heads HNTB's transportation equity work and currently serves as the Equity Program deputy project manager for the SM 101 Express Lanes Project. She is also the Link 21 Program's Land Use Lead. In the past, she has served as the deputy project manager for technical assistance for CARB/SGC's Sustainable Transportation Equity Program (STEP). **Christa has conducted comprehensive research on what it takes for agencies to adopt equity into their work and has ground-truthed her findings with transportation agencies around the Bay Area, identifying challenges and opportunities for applying equity to programs and projects.** Christa will draw on her urban planning expertise and experience spearheading the North America Regional Equity Strategy to embed equity into the internal project processes for the firm she worked with before joining HNTB. She has focused her career on integrating equity into all projects, and is committed to C/CAG and its staff as they take this admirable leap toward a more equitable San Mateo County.



**Jessica Daugherty** is the Principal of CauseIMPACTS. She will serve as the lead for Tasks 1 and 4, and provide support and thought leadership for Task 3. Jessica's work focuses on enhancing collaboration, equity, and systems change by building cross-sector partnerships and innovative projects that drive change from multiple levels. She spent 10 years in the nonprofit sector, developing programs and community organizing campaigns, forging transit and education coalitions, and evaluating the impact of community efforts. She then spent three years in the public sector where she worked on criminal justice, transportation, education, and housing issues. **Jessica has deep experience developing programs for public, private, and nonprofit entities that engage multiple stakeholders to create collective impact projects.** She is equally comfortable facilitating large cross-sector workgroups as she is doing extensive statistical and policy analysis. This breadth of experiences and skills allows Jessica to see projects from a birds-eye view and innovate solutions that others may not see.



**Elliott Wong** will serve as the lead for Task 2. He is a transportation planner with a strong understanding of the demographics, transportation services, and infrastructure in the San Francisco Bay Area; he has experience in transit operations planning, GIS analysis, asset management, and funding and financing for a wide variety of projects. Elliott is known for his successfully delivering interdisciplinary tasks for projects. **Elliott has extensive experience analyzing census demographic data and California-specific Low-Income Community (LIC) and historically underserved community data for projects like Valley Link, Valley Rail, and the Transportation Agency for Monterey County (TAMC) Rail Network Integration for funding grant analysis like Transit and Intercity Rail Capital Program (TIRCP).** He has performed priority population community impact analyses for environmental documents on projects like Link21 and Oakland-Alameda Access Project (OAAP).



**Lacy Vong** will serve as the lead for Task 3. Lacy has more than two decades of experience analyzing government policies, procedures, and regulations for a wide range of programs, from environmental justice to national security. She specializes in transportation equity, operations, compliance, and policy development. **She is passionate about making sure benefits are distributed equitably when it comes to delivery of public goods and services.** She's currently supporting five agencies across California with equity policy reviews and program development. Prior to joining HNTB, Lacy led numerous program reviews, including research on best practices, which resulted in recommendations to federal agencies and considerations for U.S. Congress.



## Christa Cassidy, AICP

### Project Manager & Task 5 Lead

Christa is a transportation planner with over a decade of experience. Her professional background at the intersection of conservation and urban planning allows her to align environmental and social equity goals to deliver projects with multiple benefits for people and the planet. Christa specializes in projects focused on transportation equity, emerging mobility, resiliency, and transportation and land use policy. She has the ability to manage complex stakeholder engagements in both rural ranching and diverse urban communities, developing transportation demand management plans for the country's biggest employers, and crafting thought pieces on the future of mobility and equity. Her work to date illustrates this range of expertise, including projects for local park districts, metropolitan planning organizations, nonprofits, utility providers, and transit agencies.

#### FIRM

HNTB

#### EDUCATION

Master of City Planning,  
University of California,  
Berkeley

BS, Environmental Studies,  
University of Utah

BS, Urban Planning,  
University of Utah

#### PROFESSIONAL REGISTRATIONS

American Institute of  
Certified Planners (AICP)

#### YEARS WITH HNTB

<1

#### TOTAL YEARS OF EXPERIENCE

12

## RELEVANT PROJECT EXPERIENCE

### **SMCEL-JPA, Community Transportation Benefits Program, San Mateo, CA.**

*Transportation Equity Planner.* Christa serves as a Transportation Equity Planner supporting the SMCEL-JPA's efforts to implement and operate 22 miles of dynamically priced toll express lanes in the U.S. 101 corridor connecting San Francisco with Silicon Valley. This \$540M project will prioritize continuous traffic management while reducing congestion, improving travel time reliability, increasing vehicle throughput by applying technology in the corridor. She has a key role in the implementation of the Equity Program that will use toll revenue to fund initiatives to help address long-standing mobility challenges for Equity Priority Communities in San Mateo County. In this role, she oversees HNTB's partnership with Samaritan House to administer the program to individuals who qualify for program benefits. She was also the deputy project manager for the San Mateo Express Lanes Equity Study that preceded the program prior to joining HNTB.

### **BART/CCJPA, Link21 Strategic Advisory and Program Management Services,**

*Northern CA. Equity and Land Use Strategy.* Christa provides strategic advising related to equity and land use for the multibillion-dollar Link21 program, which includes 21 counties and more than 160 cities. In this role, she is developing the land use strategic framework which aims to leverage the influence of Link 21 to enrich and stabilize communities and achieve equitable and transit supportive land uses across the megaregion. As part of this work, she is developing an anti-displacement approach to ensure that land use changes related to the project stabilize communities, rather than perpetuate harm.

*All Home, Bay Area, CA. Deputy Project Manager.* Christa was the deputy project manager for Arup's leadership of All Home's Regional Impact Council. In this role, Christa interfaced with the effort's Regional Impact Council and its co-chairs to assess feasibility and implementation opportunities for the group's policy proposals, culminating in the development of the Regional Action Plan which aims to reduce homelessness in the Bay Area by 75 percent in the next three years through targeted policy interventions across the region. As part of this effort, she helped the organization apply a racial equity lens to its goals and strategies.

## REFERENCES

1. Richard France, Principal, Estolano Advisors, (970) 217-8788, richard@estolanoadvisors.com | Sustainable Transportation Equity Program (STEP) Technical Assistance
2. Ken Kirkey, Chief Partnership Officer, All Home, (510) 414-3902, kkirkey@allhomeca.org | All Home Regional Impact Council Facilitation





## Jessica Daugherty

Tasks 1 & 4 Lead

Jessica is a policy analyst and program developer with 20 years of experience developing social justice solutions and programs across sectors. Her work focuses on enhancing collaboration, equity, and systems change by building cross-sector partnerships and innovative projects that drive change from multiple levels. She has extensive experience developing programs for public, private, and nonprofit entities. Jessica is equally comfortable facilitating large cross-sector workgroups as she is doing extensive statistical and policy analysis. This breadth of experiences and skills allows her to see projects from a birds-eye view and innovate solutions that others may not see.

### FIRM

CauseIMPACTS

### EDUCATION

Master of Public Policy,  
University of California,  
Los Angeles

BA, International  
Relations/Global Studies,  
University of California,  
Santa Barbara

### PROFESSIONAL REGISTRATIONS

N/A

### YEARS WITH CauseIMPACTS

7

### TOTAL YEARS OF EXPERIENCE

20

## RELEVANT PROJECT EXPERIENCE

### **Metro, CBO Partnering and Procurement Strategy, Los Angeles, CA.** *Project Manager.*

Jessica developed a strategy for Metro to assess how the agency partners with CBOs, how the agency could partner, and whether a policy should be developed to facilitate CBO contracting in order to increase equity and access to Metro funding. Jessica conducted best practices research into what other agencies do to partner with CBOs, an agency-wide scan of how CBOs were partnered with, detailed engagement of community-based organizations across the County, surveys and focus groups, and policy and investment recommendations. A key part of this scope was to train staff how to equitably partner with community-based organizations. To accomplish this, Jessica developed a CBO Partnering 101 and 102 training for Metro staff as well as a How to Partner with Metro training for CBOs. The final deliverable was an agency-wide CBO partnership strategy through which Metro can increase equity in the region and compensate CBOs for their expertise.

### **California American Water, Diverse Business Procurement Program and Sponsorship, Multiple Location, CA.** *Project Manager.*

Jessica conducted analysis and created evaluations that quantified the true impact made by California American Water's diverse business procurement sponsorship program. The project included surveys to existing diverse suppliers to identify what is currently working and to identify gaps. Finally, Jessica developed diverse business outreach strategies and tools to increase diverse business exposure, engagement, and procurement; and recommended policy recommendations and strategies to increase and improve supplier diversity.

### **Ventura County Workforce Development Board, Ventura County Regional Work-Based-Learning Strategy, Ventura, CA.** *Project Manager.*

In this role, Jessica developed and facilitated a thirty-member, cross-sector coalition of stakeholders. She then guided this coalition to asset map existing education and workforce resources in the region and then identify how they can collaborate to fill the existing gaps. Her role continues today as the coalition facilitator, trainer, and project evaluator.

## REFERENCES

1. Elizabeth Carvajal, Senior Director, Transit Oriented Communities, Metro, (213) 604-3181, carvajale@metro.net | Community Based Organization (CBO) Partnering and Procurement Strategy
2. Rebecca Evans, Director, Ventura County Workforce Development Board, (805) 758-8411, rebecca.evans@ventura.org | Ventura County Regional Work-Based-Learning Strategy



## Elliott Wong

### Task 2 Lead

With seven years of technical experience in public infrastructure projects, Elliott has a strong understanding of the transportation services and infrastructure in the San Francisco Bay Area. He is very familiar with transit operations planning, GIS analysis, asset management, emergency management, and funding and financing for a wide variety of transit projects. An expert in complex GIS and data analytics with a focus on asset management and travel demand modeling, Elliott models impacts to communities with a focus on effects to equity and priority populations. Elliott also has extensive experience with project scheduling, data management, field surveying, safety management, and technical writing.

#### FIRM

HNTB

#### EDUCATION

BA, Applied Ecology and Environmental Science, University of California, Santa Cruz

BA, Economics, University of California, Santa Cruz

#### PROFESSIONAL REGISTRATIONS

N/A

#### YEARS WITH HNTB

2

#### TOTAL YEARS OF EXPERIENCE

7

## RELEVANT PROJECT EXPERIENCE

**BART/CCJPA, Link21 Strategic Advisory and Program Management Services, Northern CA. *Planner/GIS Analyst.*** Elliott is working on alternatives development for both geographic alignment and planned passenger rail service and operations. He has helped develop custom tools for alternatives analysis and preliminary rail transit service and operations modeling. Elliott is leading GIS modeling for planning and engineering tasks for the program as well as data and qualitative coordination with the market analysis/travel demand team.

**San Joaquin Regional Rail Commission (SJRRRC)/Altamont Corridor Express (ACE), Altamont Corridor Vision - EIR, San Joaquin & Santa Clara Counties, CA. *Planner/GIS Analyst.*** Elliott led the traffic volume, GIS, and network analyses for the transportation master planning effort for the ACE rail service expansion projects.

**BART, Asset Management Financial Planning, Oakland, CA. *Project Coordinator.*** Elliott managed and coordinated the efforts of a subconsultant (SEAMS) to assess the criticality of asset lifecycles as well as predict the deterioration rates of the District's assets. He also planned a facilities condition assessment pilot to meet FTA TAM Plan requirements.

**BART, Logistics Planning, Oakland, CA. *Deputy Project Manager.*** Elliott analyzed BART's warehouse management system and documented the District's existing processes. He developed new processes to streamline and optimize the District's current system. In addition, he wrote the updated logistics process manual for the training of the District's logistics personnel.

## REFERENCES

1. Steve Croteau, Senior Environmental Planner, Caltrans D4, (707) 572-7149, [steven.croteau@dot.ca.gov](mailto:steven.croteau@dot.ca.gov) | Last Chance Grade
2. Emily Alter, Acting Manager, Title VI/Environmental Justice, Bay Area Rapid Transit, (510) 506-3946, [ealter@bart.gov](mailto:ealter@bart.gov) | Link 21



## Lacy Vong

### Task 3: Lead

**FIRM**  
HNTB

**EDUCATION**  
MS, Public Policy &  
Management, Carnegie  
Mellon University  
BA, Economics, Brooklyn  
College

**PROFESSIONAL  
REGISTRATIONS**  
N/A

**YEARS WITH HNTB**  
1

**TOTAL YEARS OF  
EXPERIENCE**  
22

With 22 years of experience, Lacy is the subject matter expert in transportation equity, compliance, and policy development. She brings experience from her roles as Senior Policy Analyst and Operations Manager from the U.S. Government Accountability Office (GAO) where she analyzed and made recommendations for the improvement of various federal programs, including transportation and national infrastructure. Lacy has worked with municipalities, metropolitan planning and transportation commissions, transit agencies, and transportation authorities to understand federal requirements and regulations. In addition, in her role as the Operations Manager for GAO's Oakland Field Office, she has hands on experience with diversity, equity, and inclusion (DEI) training in the workplace and implementing an agencywide DEI policy.

## RELEVANT PROJECT EXPERIENCE

### **SMCEL-JPA, Community Transportation Benefits Program, San Mateo, CA.**

*Deputy Program Manager.* Lacy is supporting SMCEL-JPA's efforts to implement and operate 22 miles of dynamically priced toll express lanes in the U.S. 101 corridor connecting San Francisco with Silicon Valley. She is advising on the implementation of the Equity Program and provided strategic advice on the project's equity study, including guidance on the community engagement strategy, literature review, and best practices in assessing equity for transportation and congestion management projects. As part of the study, she participated in over 20 virtual meetings, interviews, and working sessions with stakeholders, community-based organizations, advocates, transportation leaders, and equity priority community members focus on engaging them in the decision-making process.

### **TIMMA/SFCTA, Strategic Program Management & Advisory Services for Treasure Island Mobility Implementation, San Francisco, CA.**

*Deputy Program Manager.* Lacy supports TIMMA as the Deputy Program Manager in the strategic planning and delivery of the transportation plan. The plan implements a multi-modal integrated program to manage travel demand as Treasure Island undergoes the largest housing development San Francisco has experienced in decades. Currently, Treasure Island is one of the most diverse and low-income communities in San Francisco. Lacy provides strategic advice on toll policy including equity program policy options for residents and non-residents, including businesses and their low-income employees.

### **BATA, Regional Customer Service Center (RCSC) Equity Policy Review, San Francisco, CA.**

*Senior Policy Specialist.* Lacy provides policy analysis for the agency's Equity Action Plan including data analytics to develop a baseline, identifying opportunities for improvement, and recommending changes to policies and operations to make the program more equitable. The RCSC handles electronic toll collection, customer service and back-office activities for the seven Caltrans toll bridges, the Golden Gate Bridge, and regional express lanes operators. In 2020, BATA accelerated its timeline for implementing all-electronic tolling (AET) in order to keep its employees and customers safe, which created an opportunity to conduct a comprehensive review of the FasTrak policies using MTC's equity platform to modernize the program to make it more accessible and affordable.

## REFERENCES

1. Lysa Hale, Project Manager, MTC, (415) 778-5284, lhale@bayareametro.gov | Equity Action Plan
2. Rachel Hiatt, Acting Director of Planning, San Francisco County Transportation Authority/Treasure Island Mobility Management Agency, (415) 522-4809, rachel.hiatt@sfcta.org | Treasure Island Transportation Plan



## Matt Click, AICP

### Principal-in-Charge

Matt has 25 years of congestion pricing, policy, and communications experience, that includes congestion and road pricing, priced managed lanes, greenfield tolling, social equity and toll relief, traffic, revenue forecasting, and P3s. Matt is one of the industry's most recognized specialists in priced managed lanes, equity, and congestion pricing. Matt has worked across the U.S. advising toll authorities, regional transportation agencies and state DOTs about planning, financing, and implementing congestion pricing projects and programs. He has worked on pricing projects in California, Florida, Texas, Georgia, Illinois, Washington D.C., North Carolina, New York City, Minnesota, Virginia, Kansas, and Washington. Matt has experience working with both the public- and private-sectors, including public tolling authorities, private concessionaires, state departments of transportation, metropolitan planning organizations, regional transportation authorities and the federal government.

#### FIRM

HNTB

#### EDUCATION

MS, Urban and Regional  
Planning, Florida State  
University

BS, Political Science and  
Sociology, Florida State  
University

#### PROFESSIONAL REGISTRATIONS

American Institute of  
Certified Planners (AICP)

#### YEARS WITH HNTB

10

#### TOTAL YEARS OF EXPERIENCE

25

## RELEVANT PROJECT EXPERIENCE

### **SMCEL-JPA, Community Transportation Benefits Program, San Mateo, CA.**

*Policy/Program Manager.* Matt reports directly to the elected JPA Board of Directors and is responsible for developing the overall tolling program for this start-up toll express lane agency. This includes toll policy, toll system implementation oversight, social equity, traffic and revenue auditing, public and stakeholder outreach. The JPA is responsible for implementing and operating 22 miles of dynamically priced tolled express lanes in the U.S. 101 corridor connecting San Francisco with Silicon Valley. This \$540M project will prioritize continuous traffic management while reducing congestion, improving travel time reliability, increasing person throughput, and applying technology in the corridor.

### **San Diego Association of Governments (SANDAG), 5 Big Moves - Regional Congestion Pricing Elements of Long-Range Transportation Plan, San Diego, CA.**

*Regional Congestion Pricing and Express Lanes Lead.* Developed and analyzed the feasibility of over 20 express lane and congestion pricing projects and programs across the San Diego region. These projects include express lanes, cordon pricing, Road Usage Charging, curb pricing, and dynamic transit pricing. Work included, policy, equity, communications, traffic modeling, financial feasibility, and a toll technology assessment; and will result in a list of congestion pricing projects to move forward in the project development process for implementation in San Diego over the next 30 years.

### **Georgia Department of Transportation (GDOT), Major Mobility Investment Program, Atlanta, GA.**

*Program Delivery Support Manager.* Matt oversaw the tolling and communications programs as part of the implementation of an \$11B capital program, which includes four major congestion-priced express lanes within the Metro Atlanta Region: making it the largest and most complex urban express lane network in the world. The work includes the establishment of tolling policy, designing tolling methodology, significant stakeholder outreach, substantial public engagement, social equity and environmental justice analysis, marketing, branding, and robust media relationship management.





## Mydria Clark

### Task 3 Support

Mydria currently serves as Deputy Equity Manager for one of HNTB's most visible contracts: BART and CCJPA's Link21 Program. Her work on this 20-year program has focused on equitable public engagement activities that make sure the perspectives of marginalized communities are included throughout the planning and design process. She also monitors and supports small business participation on this program. Mydria has worked with tolling agencies to develop equitable policies. Through her work, Mydria's goal is to collaborate with agencies to develop sustainable and equitable mobility solutions.

#### FIRM

HNTB

#### EDUCATION

Master of Journalism,  
Broadcast, University of  
California, Berkeley  
BA, Print Journalism,  
University of Connecticut

#### PROFESSIONAL REGISTRATIONS

Diversity, Equity  
and Inclusion in the  
Workplace, Certificate

#### YEARS WITH HNTB

6

#### TOTAL YEARS OF EXPERIENCE

15

## RELEVANT PROJECT EXPERIENCE

### **SMCEL-JPA, Community Transportation Benefits Program, San Mateo, CA.**

*Toll System Analyst.* Mydria has provided strategic advice on the project's equity study and has assisted in developing presentations to familiarize stakeholders with procedures and regional practices used in operating and enforcing toll policies and regulations. She is currently developing the expenditure plan to determine how toll revenue will be utilized.

### **BART/CCJPA, Link21 Strategic Advisory and Program Management Services, Northern CA.**

*Deputy Equity Manager.* Mydria provides strategic support regarding how to incorporate equity throughout the program. She has been primarily involved with engagement and outreach activities and has organized and facilitated co-creation workshops with community-based organizations. The goal of the workshops is to give priority populations (e.g., historically underserved or marginalized communities that would be most impacted by the program) the opportunity to contribute to the vision, mission, and objectives of the Link21 program.

### **TIMMA/SFCTA, Strategic Program Management & Advisory Services for Treasure Island Mobility Implementation, San Francisco, CA.**

*Toll System Analyst.* Mydria collaborated with staff from TIMMA and the Treasure Island Development Authority (TIDA) to develop a toll policy for the Treasure Island Transportation Plan, which involves the tolling of vehicles that travel on and off the Island. Using input from participants in the community outreach meetings, she helped develop a toll policy that includes an equity/affordability program for current residents and a mobility subsidy program for specific businesses and non-profit organizations located on the Island. Mydria also developed a fact sheet to help TIMMA secure additional funding for the project.

### **BATA, FasTrack Regional Customer Service Center (RCSC) Policy Review for Affordability and Access, San Francisco, CA.**

*Tolling Consultant.* Mydria evaluated the RCSC's regulatory and operational policies, highlighting equity-related concerns within these policies to help BATA develop solutions that improve access and affordability for motorists who use BATA's toll bridges and express lanes.

### **Riverside County Transportation Commission (RCTC, Express Lanes Consulting Services On-Call Task Order 10 - Toll Program Staffing Assessment, Riverside County, CA.**

*Tolling Consultant.* Mydria developed an interview guide, conducted interviews with current RCTC staff, and prepared a summary of findings and recommendations to help RCTC assess its organization structure and prepare for expansion of its toll program with the addition of the I-15 express lanes in late 2020 and future express lanes and freeway improvement projects.



## Natalie Lehman

### Tasks 1 & 4 Support

As a Senior Researcher, Natalie executes the research and fact-gathering process using a variety of methods, including surveys, interviews, and focus groups. She participates in all aspects of the projects (e.g., design, data collection/analysis, and dissemination). She can analyze and synthesize quantitative and qualitative data and learnings into actionable insights and design principals and identify systems-level patterns and frameworks. Natalie supports in the creation of materials, reports, and other outputs to showcase the impact of the research. Natalie is a detailed researcher and skilled group facilitator. She is passionate about building sustainable, equitable, and thriving communities by developing leaders, improving policies, and increasing collaborative efforts within the private, public, and nonprofit sectors.

#### FIRM

CauseIMPACTS

#### EDUCATION

MS, Organizational  
Leadership & Learning,  
Pepperdine University

BA, Organizational  
Communication,  
California State  
University, Chico

Minor, Marketing,  
California State  
University, Chico

Minor, Managing for  
Sustainability, California  
State University, Chico

#### PROFESSIONAL REGISTRATIONS

N/A

#### YEARS WITH CauseIMPACTS

2

#### TOTAL YEARS OF EXPERIENCE

11

## RELEVANT PROJECT EXPERIENCE

### **City of Iowa City, Community-Based Social Marketing (CBSM) and Engagement of Disproportionately Impacted Communities, Iowa City, IA.** *Senior Researcher.*

Natalie served as the Senior Researcher and led all community engagement and research for this equity project. Natalie conducted outreach to community-based organizations in the City with a focus on organizations that serve Black, Latinx, and Asian-American residents, seniors, low-income households, members of the LGBTQ+ community, and the neurodiverse. Natalie then developed a SWOT assessment of the strengths and weaknesses of the City's existing community engagement strategies and how they can improve collaboration with organizations and individuals who are disproportionately impacted by climate change.

### **Lake Tahoe Community College, Equitable Student Enrollment and Engagement, Lake Tahoe, NV.** *Project Manager.*

Natalie led all aspects of this equity project which assessed both internal and external processes of the college's outreach, enrollment and retention systems. Natalie collected and assessed student enrollment data, conducted student focus groups, and identified barriers that prevented students from enrolling and staying in college. She then facilitated staff listening sessions and evaluated internal systems and protocols that may inadvertently be making student enrollment and retention more complex than it needs to be. Natalie finally developed recommendations for how to attract, retain, and enroll disadvantaged students and create processes to streamline the system to ensure equity and efficiency were at the forefront.

### **Results for America, How to Encourage and Enhance City /County Collaborations to Advance Economic Mobility Initiatives and Outcomes.**

*Senior Researcher.* Natalie conducted a literature review to identify best practices in city/county government collaborations and then developed a key learnings memo for the client to memorialize the research. She then developed three model case studies and a training deck to support the client's ability to teach others about how to best facilitate cross-governmental collaboration. Finally, Natalie supported the writing and creation of a City/County Collaboration Playbook that can be used to teach government entities how to collaborate and provide them with the tools needed to develop programs across departments and agencies.

# 5 Scope of Work

# 6 Schedule of Work

## 5. Scope of Work

Our scope of work is centered around developing products that C/CAG can immediately use to embed equity throughout its policies and programs. Our high-level, three-step process is described below:

**Step 1:** We will conduct research to develop a robust understanding of equity best practices among Congestion Management Agencies/County Transportation Authorities (CMA/CTA) as well as the equity gaps in C/CAG's current programs, projects, policies, and processes. At the same time, we will conduct a technical assessment to identify historically underserved communities in the County and measure how they are impacted by different equity issues over which C/CAG has influence.

**Step 2:** We will then develop a suite of trainings — including workshops with local CBOs and partner agencies — to define equity for the agency, and provide important historic context around equity issues in an effort to ground staff in the legacy of past planning and policy decisions that have disproportionately burdened low-income communities of color in the County.

**Step 3:** We will bring these components together to verify that at the end of this contract, C/CAG has an actionable Equity Framework and final report memorializing the effort overall. This work will improve C/CAG's awareness of equity concerns and will have positive cascading benefits to the most vulnerable communities across the County.

We will use HNTB's firmwide management tools and processes to effectively manage schedule, scope, budget, and quality. We will also participate in monthly project reviews with our local operations, delivery, and financial leads to discuss and mitigate any issues or negative impacts.

The following tasks outline the project team's approach to elevating equity in C/CAG's work in more detail. C/CAG exercises tremendous influence in the built environment. Our aim in this scope is to empower staff through training,

and to create a road map for the agency through an Equity Framework that drives outcomes that serve the needs of all and contributes to equitable, sustainable, and thriving communities in the County.

### Task 1: C/CAG Staff Awareness Training

An agency's staff are critical to any effort aiming to incorporate equity more holistically into its projects and process. After all, staff will make the current and future planning decisions for the agency and, like all of us, have implicit biases that may play a role in outcomes. Task 1 aims to empower C/CAG staff as equity experts to advance equity in their projects and processes through a suite of three workshops designed and delivered by CauselMPACTS. These workshops will enrich C/CAG staff members' perspectives around equity, and create a culture of commitment to driving equitable outcomes across C/CAG's diverse portfolio of projects and programs. We propose to move the research on CMA/CTA best practices and C/CAG program, project, policy, and process review before the workshops in Task 1 to ground our curriculum in an understanding of existing conditions and best practices to facilitate more effective and productive staff training sessions. This re-sequencing is based on equity-related best practices, and acknowledges the nuances of equity and what it looks like to different communities as well as the need to understand context before developing solutions.

#### *Task 1.1 Equity Co-Creation & Historical Perspective Training*

CauselMPACTS will explore the definition of equity with C/CAG staff by drawing on equity best practices research of CMAs/CTAs, and will discuss C/CAG's role in advancing equity through their programs and projects. The outcome of this training is a co-created definition of equity and identification of pathways for integrating equity into C/CAG's ethos and mission at every level of the agency. The final definition will be reviewed and approved by the C/CAG Board and staff. As part of this conversation,

**For most of the 20th Century, people of color were subject to redlining, disproportionately impacted by urban renewal efforts, and discriminated against for housing and jobs. The legacy of these practices are long-lasting in the built environment and are present in San Mateo County where Highway 101 and the nearby rail corridor serve as a dividing line between areas east of the corridor which are largely more diverse and low-income, and areas west of the corridor, largely more affluent and white.**

CauseIMPACTS will provide a rich historical background on equity issues in the County — with an eye toward C/CAG’s influence on these issues — as important background information for building staff awareness and making sure harmful past patterns are not inadvertently repeated. This history will touch on the legacy of urban renewal and redlining on communities of color in the County, and will reach as far back as the Ramaytush Ohlone, upon whose land San Mateo sits. CauseIMPACTS will draw heavily on the review of C/CAG program, projects, policies, and processes in Task 3 to inform the training design by placing it into a context familiar with all staff. CauseIMPACTS will develop an equity pledge platform for Board and staff to sign to close-out the training as a way to memorialize the agency’s commitment to upholding the Equity Framework in their work. While emblematic, such a pledge signals to C/CAG’s stakeholders across the County that equity is a priority. This training is contemplated to be split into two sessions, each two hours long. The second session will be the final training session under Task 1; it will be informed by other CBO and partner trainings as well as research conducted under Task 3.

**Task 1.2 CBO Perspective Training**

HNTB is excited to leverage the extensive CBO relationships we have built in the County over the past two years through the Community Transportation Benefits Program. The equity training, which will be co-created by these CBOs, will introduce valuable community perspectives to facilitate staff understanding. This training will shed light on important equity issues — particularly related to health — faced by historically underserved communities in the county within C/CAG’s focus areas and give staff a road map for engaging with CBOs in their future work.

To develop and conduct this training, CauseIMPACTS will conduct outreach to a number of C/CAG’s CBO partners to identify historic challenges, concerns, and opportunities to increase equity. HNTB will review our local CBO relationships with CauseIMPACTS and determine at least four that are most appropriate to engage. Then, CauseIMPACTS will identify CBO partners to engage as co-trainers to present findings to C/CAG staff. CauseIMPACTS will secure agreements with selected CBOs, schedule trainings with C/CAG, and facilitate and combine training content development. As the time of our CBO partners are highly valued, we plan to appropriately compensate the selected CBOs for their participation in this training. This training will be presented in two sessions, each 1.5 hours long.

**Task 1.3 Program Partner Training**

The efficacy of C/CAG’s Equity Framework depends, in part, on willingness of C/CAG’s partners to align with and support it. CauseIMPACTS will engage up to eight of C/CAG’s program partners to identify integration

opportunities and areas to leverage the Equity Framework across organizations for maximum impact to stakeholders. As a result of our work as the Policy/Program Manager (PPM) for SMCEL-JPA, we have established contacts and are familiar with the missions of all the partner organizations identified by C/CAG, which will enhance our ability to generate a list of partnering opportunities. CauseIMPACTS will accommodate partner organization’s schedules, conduct one-on-one video teleconferencing sessions, and facilitate two 1.5-hour joint discussions between the selected program partners and C/CAG to share community sentiments. This task will culminate with the development of a list of integration opportunities to be incorporated in the eventual Equity Framework.

**Task 1 Deliverables:**

- C/CAG final equity definition
- Board and staff pledge platform
- Six trainings — totaling 10 hours — including PowerPoint decks, notes, and other materials

Local CBOs we know and will engage in this project include:

**Nuestra Casa**

**PCC** San Mateo County Paratransit Coordinating Council

**SAMARITAN HOUSE** Samaritan House

**NORTH FAIR OAKS COMMUNITY COUNCIL** North Fair Oaks Community Council

**South San Francisco Public Library FOUNDATION** South San Francisco Library Foundation

**Project WeHOPE**

**Youth United for Community Action**

**Historic Old Town Homeowners and Renters Association (HOTHRA)**

**Core Services Agency Network Members**



## Task 2: Define Historically Underserved Communities in San Mateo County and Assess Equity Impacts

As the adage goes, “You can’t manage what you don’t measure.” In this case, C/CAG cannot extend benefits to the County’s historically underserved communities without an understanding of who they are, where they live, and how they have been impacted by past and emerging issues.

### Task 2.1 Define Historically Underserved Communities

A critical path step in this project is defining the historically underserved communities to whom C/CAG would like the Equity Framework to provide benefits, tailored and segmented to the agency’s core areas. Our proposal for historically underserved communities will be derived from the equity definition conceived by staff in Task 1.1 and informed by our review of C/CAG’s programs and projects in Task 3 as well as other regional definitions like MTC’s Equity Priority Communities. Defining historically

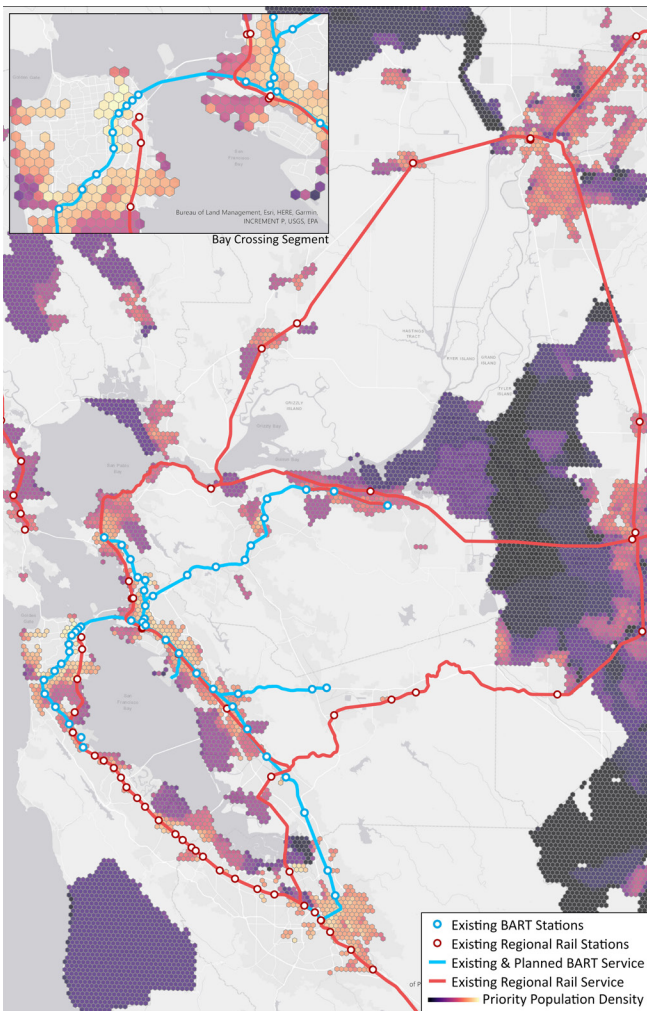
underserved communities gives staff a lens into where the County’s most vulnerable populations live, and the process will further create a standard across programs, offering a baseline from which they can measure impacts of different investments on these groups. We will leverage the geospatial work conducted for the Community Transportation Benefits Program to identify target populations to expedite the data collection process and begin the analysis in earnest. Our team will ground truth our proposal for the defined historically underserved communities with the CBOs engaged in Task 1 to make sure that this effort goes beyond the desktop and is rooted in local knowledge. HNTB will review C/CAG’s existing work to build on, rather than duplicate, past efforts — identifying the best tools for determining where the County’s historically underserved communities are located, both geographically and demographically, and developing a static map featuring those communities. Our deep experience and comfort working with different equity tools and datasets (like CalEnviroScreen 4.0 and MTC’s Equity Priority Communities) as well as our knowledge of each tool’s strengths and relevance will create efficiencies in this task that will cascade to the rest of the project.

### Task 2.2 Assess Equity Impacts on Historically Underserved Communities

We will perform a geographic analysis of impact factors to the historically underserved communities using existing equity focused socioeconomic data as well as natural hazard, built environment, census, and transit access data. This will inform the development of metrics based on visualized impacts. We will identify a suite of equity metrics related to C/CAG’s core areas — like pollution-related illness, displacement risk, and access to transportation — to understand the equity issues currently facing these communities to inform our Equity Framework and arm staff with more data around the needs in the County’s historically underserved communities. We will groundtruth our equity metrics with CBOs during our engagement with them in Task 1 for relevance.

#### Task 2 Deliverables:

- Replicable methodology for identifying C/CAG’s historically underserved communities
- Consolidated map of targeted historically underserved communities for C/CAG by program/project area
- Assessment of equity impacts of C/CAG’s work on historically underserved communities



*Draft deliverable for Link 21: an analysis identifying equity priority populations, intended for illustrative purposes only.*

### **Task 3: C/CAG Programmatic Review and Equity Integration: Equity Framework**

Our team comes to this work with an understanding of C/CAG's programs, projects, and governance structure given our role as a PPM for the SMCEL-JPA and close working relationship with C/CAG in the development of the Community Transportation Benefits Program. With this understanding, we will be able to evaluate the agency's ability to advance equitable outcomes externally based on its internal structure, and propose an Equity Framework that helps embed equity into C/CAG's DNA. We will consult with CBOs and other program partners in Tasks 1.2 and Task 1.3 to make sure the agency's desired equitable outcomes are aligned with the community's needs and concerns.

#### **Task 3.1 Summary of CMA/CTA Equity Best Practices**

Early in the project, our team will conduct a statewide scan for CMA/CTA equity best practices to inform the design of our staff workshops in Task 1 as well as the final Equity Framework. The team will draw on prior transportation equity research as well as Christa's recent transportation equity road show in which she met with transportation agencies at the local and regional level to groundtruth findings and narrow in on key issues in practice. Through the transportation equity research and the road show, Christa gained insight into the larger landscape of agencies and their equity practices that will provide helpful benchmarks in our work to assess C/CAG's policies and programs in Task 3.3 and 3.4. The team plans to leverage prior work exploring the ways transportation agencies address transportation equity to benefit C/CAG's goals, allowing HNTB to be efficient with C/CAG's resources while applying our findings to policy questions with countywide impacts. We will conduct additional research on equity principles and guiding frameworks that have been adopted by other CMA/CTAs in this work to round out our research.

#### **Task 3.2 Define C/CAG's Role in Equity Across Core Areas**

C/CAG deals with numerous issues that impact quality of life in the County. Building on the work conducted in Task 1, HNTB will keep an eye toward the different ways in which C/CAG can advance equity in its core areas of focus — transportation, housing, climate, stormwater, air quality, airport land use, and waste — and detail this in the final Equity Framework, rather than developing a definition as its own discrete deliverable. Given C/CAG's diverse scope of offerings, its role in advancing equity might look different depending on the program area, and this exploration will delineate it as appropriate. For instance, C/CAG has specific responsibilities related to protecting communities near the San Francisco International Airport through its land use policymaking to ensure that historically underserved communities in the vicinity are protected from noise and environmental pollution issues generated by the

airport, while their planning and policymaking for bike and pedestrian projects may focus on communities with low access to sidewalks or bike lanes.

#### **Task 3.3 Analysis of Existing Program and Project Equity Integrations**

The HNTB team will perform an analysis of existing C/CAG programs and projects early in the project process to understand the ways C/CAG has been incorporating equity into its programs and projects, explicitly or implicitly. An initial scan of programs shows that equity is included in some of the more recent plans, like C/CAG's Active Transportation Plan published in 2021, while others, like the County Energy and Water Strategy from 2014, makes no mention of equity. HNTB will conduct a full scan to understand where there are gaps and identify paths to bring the various programs into parity with — or exceed — equity standards.

There are dependencies between this task and Task 1 as our analysis of programs and projects will inform our approach to the staff workshops in Task 1, while the equity definition developed in Task 1 will inform our analysis of equity integration across programs and projects. We intend to stay in close communications with CauseIMPACTS to maintain a feedback loop between the two.

#### **Task 3.4 Review C/CAG's Policies, Processes, and Bylaws for Equity Gaps**

The HNTB team will conduct an initial review of C/CAG's structure, policies, processes, and bylaws early in the project process to build a foundational knowledge of existing conditions within the agency. This review will be conducted through detailed desk research, relying heavily

#### **Sample Interview Questions for C/CAG:**

- 1. Where are the barriers and opportunities for bringing equity into the agency's way of doing work?**
- 2. Who are the hardest to reach populations in the County and what efforts has C/CAG made to reach them in the past?**
- 3. What tools would help you incorporate equity into your day-to-day work?**
- 4. What would success look like to you for the equity assessment and framework?**

on the C/CAG website and board meeting minutes as well as other resources provided by C/CAG staff. HNTB will assess these policies, processes, and bylaws for strengths, weakness, and opportunities for promoting equity. For instance, in her work with BATA Regional Customer Service Center (RCSC) Equity Policy Review to review the FasTrak policies, Mydria Clark, who is supporting Lacy on this task, developed a document review log to capture any equity issues within the policies and draft potential recommendations. We will use the same approach when reviewing C/CAG's operational documents, and will synthesize our findings in a memo that outlines the agency's challenges and opportunities related to the equity implications of its policies and processes. As with Task 3.3, heavy interplay exists between Task 3.4 and Task 1 with our initial review of policies in Task 3.4 informing workshop design, and with the equity definition developed in Task 1 informing our assessment of equity gaps in C/CAG's policies, processes, and bylaws. As such, we will stay in lockstep with CauseIMPACTS to verify the two tasks inform one another.

### **Task 3.5 Staff Interviews**

The team will conduct interviews with each C/CAG staff member that will be 30-40 minutes long to build a robust understanding of staff-level perspectives on equity in the agency's programs, projects, policies, and processes. The HNTB team will dive deep on questions related to findings from Tasks 3.3 and 3.4. The interviews will help guide HNTB toward specific C/CAG practices and processes in need of closer review in the context of their equity implications and inform the overall Equity Framework in Task 3.6.

### **Task 3.6 Develop Actionable Equity Framework**

HNTB and CauseIMPACTS will craft an Actionable Equity Framework that accounts for C/CAG staff and partner's feedback, and local CBO input; the findings from HNTB's review of programs, projects, policies, and processes; and our technical assessment of historically underserved communities and the equity issues they face. Christa is uniquely positioned to help Lacy deliver this task, as she developed an Equity Framework for her previous employer aimed at improving staff's understanding about equity implications of their work, outlining a step-by-step process for embedding equity into every stage of the project process. Christa will draw heavily on this experience, but will lean into feedback from the local CBOs and C/CAG staff and board to make it specific to San Mateo, and C/CAG, specifically. The framework will include overarching equity principles as well as guidance about how the principles are implemented across all programs. Our team will solicit feedback on the draft Equity Framework from C/CAG, local CBOs, and program partners before finalizing to make sure it includes all tools necessary for successful implementation by C/CAG staff and Board.

### **Task 3 Deliverables:**

- Summary of CMA/CTA Equity Best Practices
- Analysis of Existing C/CAG Program and Policy Equity Integrations
- Summary of Equity Gaps in C/CAG's Policies, Processes, and Bylaws
- Actionable Equity Framework

### **Task 4: Reports, Policy, and Statement**

HNTB and CauseIMPACTS will share responsibilities under Task 4, defined under each subtask below. This task will develop the documentation and hand-on tools needed for implementation of the Equity Framework.

#### **Task 4.1 Workbook of Best Practices, Definitions, Equity Focus Areas for Review and Ongoing and Future Staff Training**

Our team will create a workbook for staff that will serve as reference as they bring equity into their day-to-day job functions and implement the Equity Framework. Much of the content in the workbook will be derived from earlier tasks like the CMA/CTA policy scan, the co-creation of an equity definition, and the technical analysis. The workbook will be organized by procedural equity and outcome-based equity, as staff's approach to bringing equity into their work will differ depending on where they are in their project stage.

#### **Task 4.2 Recommendations for Project Scoring Rubrics, Language, and Metrics for Evaluating Equity in Procurement and Program/Project Evaluation**

During this task, the team will develop supplemental tools to support C/CAG staff's implementation of the Equity Framework. The complete list of tools will be determined during prior tasks but may include an equity checklist, questions for consideration when developing partnerships, and an equity charter for partnering. At a minimum, tools will include: 1) A template for developing and evaluating procurements to ensure they are written equitably from the start; 2) A rubric for scoring C/CAG projects based on equity principles; and 3) A program evaluation facilitator's guide to provide staff with the tools needed to use the evaluation and make sure that time is spent on identifying challenges and solutions to them after each project.

### Task 4.3 Sample Language for Contracts, the C/CAG Website, RFPs, Outreach and Other Documents

Our team will work with C/CAG staff to make sure its equity commitment is communicated through all available public channels. We will draft content about the Equity Framework to be made available on C/CAG’s website, a one-pager about C/CAG’s equity principles and framework that can be shared with external partners, draft language for inclusion in contracts and RFPs to bind grantees and other partners to upholding the agency’s equity commitment, and the like.

#### Task 4 Deliverables:

- Workbook for staff that includes implementation tools
- Project scoring rubric and procurement evaluation tool
- Sample language for contracts, RFPs, website

### Task 5: Final Report

The HNTB team will develop a draft report and accompanying PowerPoint slide deck memorializing all the work in Tasks 1 through 4, and present to C/CAG Board and Committees for feedback and questions. HNTB will revise based on one set of consolidated feedback from Board and staff, and will submit a final report and PowerPoint slide deck to C/CAG staff.

#### Deliverables:

- Draft report and PowerPoint slide deck
- Final report and PowerPoint slide deck

## 6. Schedule of Work

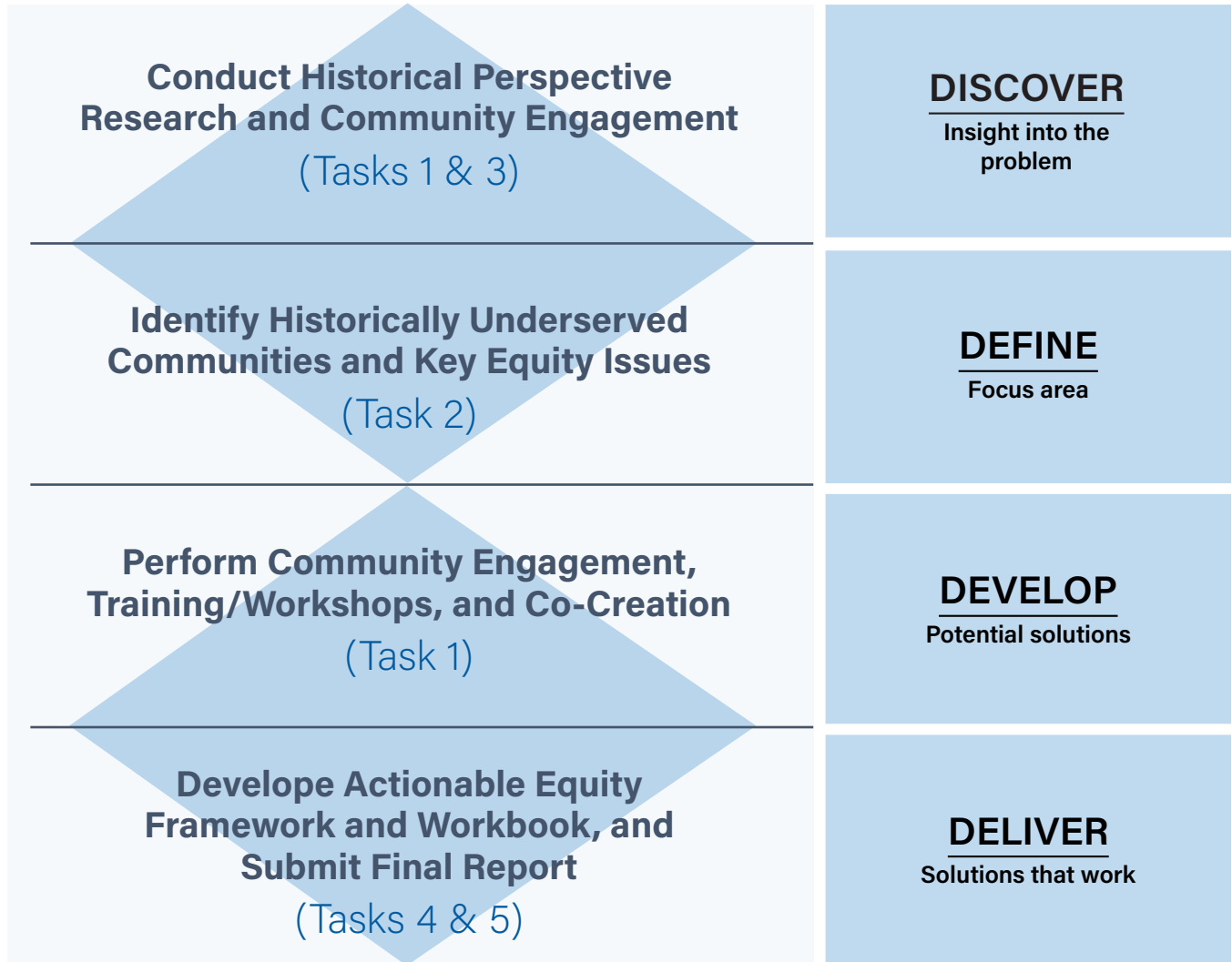
TASK	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
<b>1. Staff Awareness Training</b>		1			4				
<b>2. Development of Historically Underserved Community Definition</b>				3					
<b>3. C/CAG Programmatic Review and Equity Integration</b>			2			5			
<b>4. Reports, Policy, and Statement</b>							6		
<b>5. Final Report to C/CAG Board/Committees</b>									7

#### Deliverables

- 1 First Round of Training
- 2 CMA/CTA Best Practices and C/CAG Programs Review
- 3 Historically Underserved Communities Definition and Equity Metrics Assessment
- 4 Second Round of Training and Equity Definition
- 5 Interviews Complete and Equity Framework
- 6 Staff Workbook and Project Scoring and Language Recommendations
- 7 Final Report Out



The double-diamond framework displayed below is intended to communicate the interconnected nature of the tasks outlined in the Schedule of Work). The diamonds represent divergent thinking — exploring an issue more widely or deeply — which leads to convergent action — taking focused action. The Schedule of Work identifies the time to perform each task, and timing of key deliverables while the double-diamond framework illustrates the iterative nature of our process.





# 7 Conflict of Interest Statement

# 8 Litigation

---

## 7. Conflict of Interest Statement

---

Although HNTB serves as the Policy/Program Manager (PPM) to SMCEL-JPA in which 3 members of C/CAG's Board are also a part of and works with C/CAG staff and its Executive Director, we believe there are no conflicts of interests that would have an impact upon the outcome of this project. Besides the PPM role for SMCEL-JPA, neither HNTB nor CauseIMPACTS have any financial, business, or other relationships with C/CAG or San Mateo County cities or communities that may have an impact upon the outcome of this project. Neither HNTB nor CauseIMPACTS have current clients who may have a financial interest in the outcome of this project.

---

## 8. Litigation

---

From time to time, HNTB Corporation is a defendant in lawsuits related to its professional services throughout the more than 78 HNTB offices in the United States. HNTB is a privately held corporation. Statements regarding litigation and claims must remain confidential on the advice of its insurance carrier and legal counsel, and oftentimes as a requirement of settlement release documents. Given this confidentiality requirement, we are unable to provide the level of detail outlined in the proposal request. We can, however, affirm that there are no past or present matters that would adversely affect HNTB's ability to properly perform any contracts awarded to us. HNTB and its insurer will consider requests for specific information regarding litigation directed only through its Chief General Counsel, George Wolf, at 715 Kirk Drive, Kansas City, Missouri 64105, or by phone at (816) 472-1201.

# 9

# Contract Agreement

## 9. Contract Agreement

Thank you for the opportunity to provide comments on the proposed contract agreement. The table below summarizes our comments.

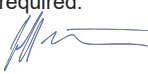
SECTION	COMMENT	GROUND/REASON
<b>Section 2. Payments</b>	HNTB requests the inclusion of language that allows for <b>annual escalation</b> .	In the event that the project goes beyond one-year, HNTB requests that the proposed annual escalation rate in the cost proposal be memorialized within the contract. In addition, it would be prudent to include an invoice dispute provision to protect both parties.
<b>Section 6. Contract Term/Termination</b>	HNTB requests the right to discuss and modify Section 6 <b>Contract Term/Termination</b> .	HNTB requests that the language related to termination be revised to include liability for damages to the other party.
<b>Section 7. Hold Harmless/Indemnity</b>	HNTB requests the right to discuss mutually agreeable changes to the <b>Hold Harmless/Indemnity language</b> .	When defense obligations are required, it is HNTB's policy to request certain disclaimers or develop mutually agreeable language on the cost related to the duty to defend. In addition, HNTB reserves the right to discuss liability limits for judgments, losses, expenses, and damages of any kind under the contract.
<b>Section 8. Insurance</b>	HNTB reserves the right to discuss specific <b>insurance terms and coverage</b> during negotiations to identify mutually agreeable language that is consistent with HTNB's policies.	HNTB's insurance policies have specific terms and requirements for triggering coverage in the event of a claim, which is assessed per claim within certain limits.
<b>N/A</b>	HNTB requests the inclusion of <b>standard of care</b> language to the Agreement.	The Agreement does not include language on the standard of care. HNTB recommends adding language for prudence and the protection of all parties.
<b>N/A</b>	HNTB requests the inclusion of <b>dispute resolution</b> language to the Agreement.	The Agreement does not include a clear dispute resolution process. HNTB recommends to include a defined, time-bound dispute provision beginning with negotiation and mediation to protect C/CAG and HNTB.



# 10 Federal-Aid Provisions

**EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT**

1. Local Agency: C/CAG of San Mateo County      2. Contract DBE Goal: 19%  
 3. Project Description: Consultants for C/CAG Equity Assessment and Framework Development  
 4. Project Location: San Mateo County, CA  
 5. Consultant's Name: HNTB Corporation      6. Prime Certified DBE:

7. Description of Work, Service, or Materials Supplied	8. DBE Certification Number	9. DBE Contact Information	10. DBE %
Equity Training Services, Evaluation Method, and Other Report Contributions	CUCP #33729 Metro File #7589	(714) 390-6301/ jessica@causeimpacts.com	38%
<b>Local Agency to Complete this Section</b>			38.00 %
17. Local Agency Contract Number: _____ 18. Federal-Aid Project Number: _____ 19. Proposed Contract Execution Date: _____ 20. Consultant's Ranking after Evaluation: _____  Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.  _____ _____ _____	<b>11. TOTAL CLAIMED DBE PARTICIPATION</b>		
IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.   _____ 12. Preparer's Signature      13. Date Jeff Watson, PE, PMP      (510) 587-8717 _____ 14. Preparer's Name      15. Phone N. CA Office Leader, VP _____ 16. Preparer's Title			

DISTRIBUTION: Original – Included with consultant's proposal to local agency.

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



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

One Gateway Plaza  
Los Angeles, CA 90012-2952

213.922.2000 Tel  
metro.net



## CALIFORNIA UNIFIED CERTIFICATION PROGRAM

September 12, 2017

CUCP# 44729  
Metro File #7589

Mrs. Jessica Daugherty  
causeIMPACTS LLC  
5301 W. 119th Place  
Inglewood, CA 90304

**Subject: Disadvantaged Business Enterprise Certification**

Dear Mrs. Jessica Daugherty:

We are pleased to advise you that after careful review of your application and supporting documentation, the Los Angeles County Metropolitan Transportation Authority (Metro) has determined that your firm meets the eligibility standards to be certified as a Disadvantaged Business Enterprise (DBE) as required under the U.S. Department of Transportation (U.S. DOT) Regulation 49 CFR Part 26, as amended. This certification will be recognized by all of the U.S. DOT recipients in California. Your firm will be listed in the California Unified Certification Program (CUCP) database of certified DBEs under the following specific area(s) of expertise that you have identified on the NAICS codes form of the application package:

NAICS 541611: ADMINISTRATIVE MANAGEMENT AND GENERAL MANAGEMENT CONSULTING SERVICES

NAICS 541613: MARKETING CONSULTING SERVICES

NAICS 541820: PUBLIC RELATIONS AGENCIES

NAICS 611430: PROFESSIONAL AND MANAGEMENT DEVELOPMENT TRAINING

NAICS 813319: OTHER SOCIAL ADVOCACY ORGANIZATIONS

Your DBE certification applies only for the above code(s). You may review your firm's information in the CUCP DBE database which can be accessed at the CUCP website at [www.californiaucp.org](http://www.californiaucp.org). Any additions and revisions must be submitted to Metro for review and approval.

In order to ensure your continuing DBE status, you are required to submit an annual update along with supporting documentation. If no changes are noted, then your DBE status remains current. If there are changes, Metro will review to determine continued DBE eligibility. Please note, your DBE status remains in effect unless Metro notifies you otherwise.

Also, should any changes occur that could affect your certification status prior to receipt of the annual update, such as changes in your firm's name, business/ mailing address, ownership, management or control, or failure to meet the applicable business size standards or personal net worth standard, please notify Metro immediately. Failure to submit forms and/or change of information will be deemed a failure to cooperate under Section 26.109 of the Regulations.

Metro reserves the right to withdraw this certification if at any time it is determined that it was knowingly obtained by false, misleading, or incorrect information. Your DBE certification is subject to review at any time. The firm thereby consents to the examination of its books, records and documents by Metro.

9/12/2017

Page 2  
September 12, 2017  
causeIMPACTS LLC

Congratulations, and thank you for your interest in the DBE program. Should you have any questions, please contact us at (213) 922-2600. For information on Metro contracting opportunities, please visit our website at [www.metro.net](http://www.metro.net).

Sincerely,

A handwritten signature in black ink, appearing to be 'Shirley Wong', written over a horizontal line.

Shirley Wong  
Sr. Certification Officer  
Diversity & Economic Opportunity Department

9/12/2017





## Attachment G: California Levine Act Statement

### California Levine Act Statement

California Government Code Section 84308, commonly referred to as the "Levine Act," prohibits any City/County Association of Governments of San Mateo County (C/CAG) Board Member from participating in any action related to a contract if he or she receives any political contributions totaling more than \$250 within the previous twelve months, and for three months following the date a final decision concerning the contract has been made, from the person or company awarded the contract. The Levine Act also requires a member of the C/CAG Board who has received such a contribution to disclose the contribution on the record of the proceeding.

A list of C/CAG Board members can be found at <https://ccag.ca.gov/committees/board-of-directors-2/>. Proposers are responsible for accessing this link to review the names prior to answering the following questions.

1. Have you or your company, or any agent on behalf of you or your company, made any political contributions of more than \$250 to any C/CAG Board Member in the 12 months preceding the date of the submission of your proposals or the anticipated date of any Board action related to this contract?

YES  NO

If yes, please identify the Board Member(s):

2. Do you or your company, or any agency on behalf of you or your company, anticipate or plan to make any political contribution of more than \$250 to any C/CAG Board Member in the three months following any Board action related to this contract?

YES  NO

If yes, please identify the Board Member(s):

Answering yes to either of the two questions above does not preclude the C/CAG from awarding a contract to your firm or any taking any subsequent action related to the contract. It does, however, preclude the identified Board Member(s) from participating in any actions related to this contract.

12/31/21

Date



Signature of authorized individual

Jeff Watson, PE, PMP

Type or write name of authorized individual

HNTB Corporation

Type or write name of company

**EXHIBIT 10-K CONSULTANT ANNUAL CERTIFICATION OF  
INDIRECT COSTS AND FINANCIAL MANAGEMENT SYSTEM**

*(Note: If a Safe Harbor Indirect Cost Rate is approved, this form is not required.)*

**Consultant's Full Legal Name:** HNTB Corporation

**Important:** Consultant means the individual or consultant providing engineering and design related services as a party of a contract with a recipient or sub-recipient of Federal assistance. Therefore, the Indirect Cost Rate(s) shall not be combined with its parent company or subsidiaries.

**Indirect Cost Rate:** Combined

Rate \_\_\_\_\_ % OR

Home Office Rate 135.38 % and Field Office Rate (if applicable) 85.90 %

Facilities Capital Cost of Money .17 % (if applicable) Field (On-Location Services) FCCM: .06%

**Fiscal period \*** Jan 2020 - Dec 2020

\* Fiscal period is annual one year applicable accounting period that the Indirect Cost Rate was developed (not the contract period). The Indirect Cost Rate is based on the consultant's one-year applicable accounting period for which financial statements are regularly prepared by the consultant.

I have reviewed the proposal to establish an Indirect Cost Rate(s) for the **fiscal period** as specified above and have determined to the best of my knowledge and belief that:

- All costs included in the cost proposal to establish the indirect cost rate(s) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) 48, Code of Federal Regulations (CFR), Chapter 1, Part 31 (48 CFR Part 31);
- The cost proposal does not include any costs which are expressly unallowable under the cost principles of 48 CFR Part 31;
- The accounting treatment and billing of prevailing wage delta costs are consistent with our prevailing wage policy as either direct labor, indirect costs, or other direct costs on all federally-funded A&E Consultant Contracts.
- All known material transactions or events that have occurred subsequent to year-end affecting the consultant's ownership, organization, and indirect cost rates have been disclosed as of the date of this certification.

I am providing the required and applicable documents as instructed on Exhibit 10-A.

**Financial Management System:**

Our labor charging, job costing, and accounting systems meet the standards for financial reporting, accounting records, and internal control adequate to demonstrate that costs claimed have been incurred, appropriately accounted for, are allocable to the contract, and comply with the federal requirements as set forth in Title 23 United States Code (U.S.C.) Section 112(b)(2); 48 CFR Part 31.201-2(d); 23 CFR, Chapter 1, Part 172.11(a)(2); and all applicable state and federal rules and regulations.

Our financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts;
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into separate cost

accounts;

- Ability to accumulate and segregate allowable direct costs by project, contract and type of cost;
- Internal controls to maintain integrity of financial management system;
- Ability to account and record costs consistently and to ensure costs billed are in compliance with FAR;
- Ability to ensure and demonstrate costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and federal and state requirement

**Cost Reimbursements on Contracts:**

I also understand that failure to comply with 48 CFR Part 16.301-3 or knowingly charge unallowable costs to Federal-Aid Highway Program (FAHP) contracts may result in possible penalties and sanctions as provided by the following:

- Sanctions and Penalties - 23 CFR Part 172.11(c)(4)
- False Claims Act - Title 31 U.S.C. Sections 3729-3733
- Statements or entries generally - Title 18 U.S.C. Section 1001
- Major Fraud Act - Title 18 U.S.C. Section 1031

**All A&E Contract Information:**

- Total participation amount \$ 4,168,246,046 on all State and FAHP contracts for Architectural & Engineering services that the consultant received in the last three fiscal periods.
- The number of states in which the consultant does business is 46.
- Years of consultant's experience with 48 CFR Part 31 is 60+.
- Audit history of the consultant's current and prior years (if applicable)
  - Cognizant ICR Audit
  - Local Gov't ICR Audit
  - Caltrans ICR Audit
  - CPA ICR Audit
  - Federal Gov't ICR Audit

I, the undersigned, certify all of the above to the best of my knowledge and belief and that I have reviewed the Indirect Cost Rate Schedule to determine that any costs which are expressly unallowable under the Federal cost principles have been removed and comply with Title 23 U.S.C. Section 112(b)(2), 48 CFR Part 31, 23 CFR Part 172, and all applicable state and federal rules and regulations. I also certify that I understand that all documentation of compliance must be retained by the consultant. I hereby acknowledge that costs that are noncompliant with the federal and state requirements are not eligible for reimbursement and must be returned to Caltrans.

DocuSigned by:  
 Name\*\*: Craig Denson Title\*\*: Chief Financial Officer  
 Signature: C70B35EE5C614DD... Date of Certification (mm/dd/yyyy): 12/3/2021  
 Email\*\*: cdenson@hntb.com Phone Number\*\*: (816) 527-2373

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

Note: ***Both prime and subconsultants as parties of a contract must complete their own Exhibit 10-K forms. Caltrans will not process local agency's invoices until a complete Exhibit 10-K form is accepted and approved by Caltrans Audits and Investigations.***

Distribution: 1) Original - Local Agency Project File  
 2) Copy - Consultant  
 3) Copy - Caltrans Audits and Investigations

**EXHIBIT 10-K CONSULTANT ANNUAL CERTIFICATION OF  
INDIRECT COSTS AND FINANCIAL MANAGEMENT SYSTEM**

*(Note: If a Safe Harbor Indirect Cost Rate is approved, this form is not required.)*

Consultant's Full Legal Name: \_\_\_\_\_ Cause/MPACTS \_\_\_\_\_

**Important:** Consultant means the individual or consultant providing engineering and design related services as a party of a contract with a recipient or sub-recipient of Federal assistance. Therefore, the Indirect Cost Rate(s) shall not be combined with its parent company or subsidiaries.

**Indirect Cost Rate:**

Combined Rate 50.00 % **OR**

Home Office Rate 0.00 % and Field Office Rate (if applicable) 0.00 %

Facilities Capital Cost of Money 0.00 % (if applicable)

**Fiscal period \*** Dec 31, 2021 - Dec 31, 2022

\* Fiscal period is annual one year applicable accounting period that the Indirect Cost Rate was developed (not the contract period). The Indirect Cost Rate is based on the consultant's one-year applicable accounting period for which financial statements are regularly prepared by the consultant.

I have reviewed the proposal to establish an Indirect Cost Rate(s) for the **fiscal period** as specified above and have determined to the best of my knowledge and belief that:

- All costs included in the cost proposal to establish the indirect cost rate(s) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) 48, Code of Federal Regulations (CFR), Chapter 1, Part 31 (48 CFR Part 31);
- The cost proposal does not include any costs which are expressly unallowable under the cost principles of 48 CFR Part 31;
- The accounting treatment and billing of prevailing wage delta costs are consistent with our prevailing wage policy as either direct labor, indirect costs, or other direct costs on all federally-funded A&E Consultant Contracts.
- All known material transactions or events that have occurred subsequent to year-end affecting the consultant's ownership, organization, and indirect cost rates have been disclosed as of the date of this certification.

I am providing the required and applicable documents as instructed on Exhibit 10-A.

**Financial Management System:**

Our labor charging, job costing, and accounting systems meet the standards for financial reporting, accounting records, and internal control adequate to demonstrate that costs claimed have been incurred, appropriately accounted for, are allocable to the contract, and comply with the federal requirements as set forth in Title 23 United States Code (U.S.C.) Section 112(b)(2); 48 CFR Part 31.201-2(d); 23 CFR, Chapter 1, Part 172.11(a)(2); and all applicable state and federal rules and regulations.

Our financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts;
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into separate cost



accounts;

- Ability to accumulate and segregate allowable direct costs by project, contract and type of cost;
- Internal controls to maintain integrity of financial management system;
- Ability to account and record costs consistently and to ensure costs billed are in compliance with FAR;
- Ability to ensure and demonstrate costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and federal and state requirement

Cost Reimbursements on Contracts:

I also understand that failure to comply with 48 CFR Part 16.301-3 or knowingly charge unallowable costs to Federal-Aid Highway Program (FAHP) contracts may result in possible penalties and sanctions as provided by the following:

- Sanctions and Penalties - 23 CFR Part 172.11(c)(4)
- False Claims Act - Title 31 U.S.C. Sections 3729-3733
- Statements or entries generally - Title 18 U.S.C. Section 1001
- Major Fraud Act - Title 18 U.S.C. Section 1031

All A&E Contract Information:

- Total participation amount \$ 0.00 on all State and FAHP contracts for Architectural & Engineering services that the consultant received in the last three fiscal periods.
- The number of states in which the consultant does business is 1.
- Years of consultant’s experience with 48 CFR Part 31 is 3.
- Audit history of the consultant’s current and prior years (if applicable)
  - Cognizant ICR Audit                       Local Gov’t ICR Audit                       Caltrans ICR Audit
  - CPA ICR Audit                                       Federal Gov’t ICR Audit

I, the undersigned, certify all of the above to the best of my knowledge and belief and that I have reviewed the Indirect Cost Rate Schedule to determine that any costs which are expressly unallowable under the Federal cost principles have been removed and comply with Title 23 U.S.C. Section 112(b)(2), 48 CFR Part 31, 23 CFR Part 172, and all applicable state and federal rules and regulations. I also certify that I understand that all documentation of compliance must be retained by the consultant. I hereby acknowledge that costs that are noncompliant with the federal and state requirements are not eligible for reimbursement and must be returned to Caltrans.

Name\*\*: Jessica Daugherty

Title\*\*: Principal

Signature: 

Date of Certification (mm/dd/yyyy): 12/28/2021

Email\*\*: jessica@causeIMPACTS.com

Phone Number\*\*: 7143906301

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

Note: ***Both prime and subconsultants as parties of a contract must complete their own Exhibit 10-K forms. Caltrans will not process local agency’s invoices until a complete Exhibit 10-K form is accepted and approved by Caltrans Audits and Investigations.***

- Distribution:**
- 1) Original - Local Agency Project File
  - 2) Copy - Consultant
  - 3) Copy - Caltrans Audits and Investigations

11

# Cost Proposal

(Under Separate Cover)



111 Broadway 9th Floor,  
Oakland, CA 94607

[www.hntb.com](http://www.hntb.com)