



# TOWN OF FAIRFAX

## REQUEST FOR PROPOSAL

PRELIMINARY ENGINEERING,  
ENVIRONMENTAL AND DESIGN SERVICES  
FOR

### HIGHWAY BRIDGE PROGRAM

Meadow Way Bridge (No. 27C0008) Replacement  
Creek Road Bridge (No. 27C0144) Seismic Retrofit

### BRIDGE PREVENTIVE MAINTENANCE PROGRAM

Canyon Road Bridge (No. 27C0146)  
Marin Drive Bridge (No. 27C0143)  
Spruce Road Bridge (No. 27C0141)

**MARCH 2013**

Submit proposal to:

Wayne Bush  
Acting Public Works Director  
Town of Fairfax  
142 Bolinas Rd  
Fairfax, CA 94930

**PROPOSALS DUE BY: 11:00 A.M., Wednesday, ~~February 27~~ April 24, 2013**

Formatted: Not Highlight

Formatted: Not Highlight

## TABLE OF CONTENTS

<b><u>SECTION</u></b>	<b><u>PAGE</u></b>
1. INTRODUCTION.....	2
2. DESCRIPTION OF PROJECT .....	2
3. SCOPE OF WORK.....	3
4. CONTENTS OF PROPOSAL.....	8
5. FEE PROPOSAL.....	10
6. RFP DISTRIBUTION AND INFORMAL SELECTION PROCESS.....	10
7. RIGHT TO REJECT ALL PROPOSALS.....	11
8. CONSULTANT SELECTION TIMELINE .....	11
9. EXHIBITS	
EXHIBIT I – PROJECT DESCRIPTIONS, LOCATIONS, AND LIMITS	
EXHIBIT II – PROJECT DELIVERY SCHEDULE	
EXHIBIT III – EVALUATION CRITERIA	
EXHIBIT IV – SAMPLE PROFESSIONAL SERVICES AGREEMENT (INC. INSURANCE REQUIREMENTS)	
EXHIBIT V – DISADVANTAGED BUSINESS ENTERPRISE INFORMATION:	
NOTICE TO PROPOSERS DBE INFORMATION (Local Assistance Procedures Manual Exhibit 10-I)	
LOCAL AGENCY PROPOSER DBE COMMITMENT (CONSULTANT CONTRACTS) - (Local Assistance Procedures Manual Exhibit 10-O1)	
LOCAL AGENCY PROPOSER DBE INFORMATION (CONSULTANT CONTRACTS) - (Local Assistance Procedures Manual Exhibit 10-O2)	
DBE INFORMATON – GOOD FAITH EFFORTS (Local Assistance Procedures Manual Exhibit 15-H)	
EXHIBIT VI – BRIDGE INSPECTION REPORTS	
BRIDGE SCOUR PLAN OF ACTION REPORTS	

**TOWN OF FAIRFAX**  
**HIGHWAY BRIDGE PROGRAM (HBP)**  
**BRIDGE PREVENTIVE MAINTENANCE PROGRAM (BPMP)**

**INTRODUCTION**

The Town of Fairfax is inviting qualified consulting engineering firms or consulting teams to submit a proposal to provide engineering and environmental services for the replacement of Meadow Way Bridge over San Anselmo Creek, the seismic retrofit of Creek Road Bridge over San Anselmo Creek, and the preparation of a Bridge Preventive Maintenance Program (BPMP) for three other bridges in the Town. This project is funded by the Highway Bridge Program (HBP), administered by Caltrans Local Assistance. HBP authorization has been obtained for Preliminary Engineering (PE), including environmental assessment and design, for the bridges on Meadow Way and Creek Road. The BPMP has been programmed and is awaiting authorization.

This set of bridge projects (“the Project”, as defined below) is funded through the Highway Bridge Program (HBP). The purpose of the Program is to replace, seismically retrofit, or maintain public highway bridges when the State and the Federal Highway Administration determine that a bridge is significantly important and is unsafe because of structural deficiencies, physical deterioration, or functional obsolescence.

The Project scope of work may include, but is not limited to, bridge and approach road Plans, Specifications & Estimate (PS & E), Geotechnical Investigation, Bridge Architecture, Mapping and Design Surveys, Right-of-Way (ROW) Engineering, Hydrologic and Hydraulic Analyses, Creek Geomorphology, Materials Testing, Traffic Handling, Utilities, Landscape Design, Project Management and Coordination, Environmental Assessment and Permitting, and Public Outreach. Consultant must be familiar with the guidelines and requirements of the Highway Bridge Program as administered by Caltrans. The Town reserves the right to adjust the scope of services as deemed appropriate and necessary.

The Town’s consultant is expected to scope the Project based on the Project descriptions provided, as well as its team’s site inspection and observations prior to the proposal. Once the Project is awarded, the consultant will provide services to secure additional federal funds if the current funds are inadequate. The consultant will also assist the Town with obtaining supplemental funds to meet the local obligation amounts from other local sources.

One consultant will be selected to handle all the tasks within the Project. The Project is to be handled in a turnkey fashion, including not only the technical tasks, but all administrative tasks, such as invoicing Caltrans, documentation, response to Caltrans and audit requirements, right-of-way certification, construction authorization, internal Town filing setup, etc. The Consultant will likely be working with Caltrans directly under the Acting Public Works Director’s supervision. The consultant is to prepare an expenditure plan that lays out monthly cash flow expectations between the consultant and the Town. As much as possible, the Town needs a smooth approach to invoicing to avoid spikes that create payment problems due to cash flow.

The Town of Fairfax has established a DBE goal for this project of 4.6% (see Exhibit V for further information).

## **DESCRIPTION OF THE PROJECT**

There are two bridges in the Town of Fairfax eligible for replacement and seismic retrofit funds and three others for which a Bridge Preventive Maintenance Program (BPMP) shall be prepared.

**Replacement – Meadow Way Bridge** (No. 27C-0008 over San Anselmo Creek), possibly including a temporary bridge.

**Seismic Retrofit – Creek Road Bridge** (No. 27C-0144 over San Anselmo Creek)

**BPMP – Canyon Road Bridge** (No. 27C-0146 over San Anselmo Creek)  
May include wingwall replacement, wingwall fortification, abutment repairs

**Marin Drive Bridge** (No. 27C-0143 over Fairfax Creek)  
May include wingwall replacement, wingwall repairs, spall repairs

**Spruce Road Bridge** (No. 27C-0141 over Fairfax Creek)  
May include polyester concrete deck overlay, spall repairs, joint seal replacement, foundation erosion protection repairs

No as-built plans are available for any of the bridges, except two superstructure replacement plan sheets from 1996 for Canyon Road Bridge. Detailed descriptions of the replacement and seismic retrofit work required for the bridges can be found in Exhibit I. Because of federal funding, environmental assessment for both NEPA (Caltrans lead) and CEQA (Town of Fairfax lead) clearances will be required before final engineering can begin.

Exhibit I includes a map showing the locations of the bridges in this project.

## **SCOPE OF WORK**

Consultant's general scope of work includes the preliminary engineering, environmental clearance, and design work necessary to replace Meadow Way Bridge, seismically retrofit Creek Road Bridge and correct the deficiencies of the bridges on Canyon Road, Marin Road and Spruce Road under the BPMP, for which funding is available and will be obtained in the future. Said designs will comply with all environmental requirements and will result in sets of bid-ready PS&E to be submitted to the Town and Caltrans for construction funding approval and authorization. Because of its more limited scope, the BPMP portion is expected to be advertised separately as one bid set ahead of the other two bridges, requiring a separate set of PS&E documents. Creek Road Bridge and Meadow Way Bridge may be advertised together as one contract, but the consultant is expected to be prepared to provide two separate sets of PS&E documents, if it becomes necessary to advertise each bridge separately. Construction management services are not included in this request for proposal.

The task list generally consists of the preparation of plans, specifications and estimates for the Project, including the preparation of all necessary CEQA, NEPA, Caltrans Local Assistance, Federal and any other agency-required documents. More specifically, the scope of work will include, but will not be limited to the following tasks. Other related services to produce Caltrans-approved bid sets should be anticipated.

**ELEMENTS OF SCOPE FOR REPLACEMENT & SEISMIC RETROFIT:**

**TASK 1- PRELIMINARY ENGINEERING –BRIDGE TYPE SELECTION STUDY (FOR MEADOW WAY BRIDGE), SEISMIC RETROFIT STRATEGY (FOR CREEK ROAD BRIDGE) AND ENVIRONMENTAL ASSESSMENT**

Bridge construction and permits must satisfy Local, State and Federal procedures for funding and environmental compliance. Preliminary engineering of bridge alternatives and selection of a preferred alternative is required in order for the project environmental impacts to be assessed. The work scope shall include, but is not limited to:

1. Attend Project Kickoff Meeting for both bridges in this task.
2. Attend Field Review and complete draft Field Review and Preliminary Environmental Studies (PES) Forms for both bridges in this task. Revise the PES forms based on the results of the Field Review.
3. Conduct Aerial Photogrammetry, Surveys, Mapping, and Right-of-Way Research, as needed for both bridges.
4. Prepare Hydrology and Bridge Hydraulics Report as well as Location Hydraulic Study Report (for environmental document) for both bridges in this task.
5. Perform Creek Geomorphological and Bridge Scour Analysis for both bridges in this task.
6. Undertake Geotechnical / Foundation Investigation, including R Values and recommendations for approach roadway design for both bridges in this task.
7. Determine whether lighting will be necessary for Meadow Way Bridge.
8. Conduct Roadway Alignment and Temporary Bridge Alignment Studies as needed. (Meadow Way Bridge).
9. For both bridges in this task, perform environmental and cultural resources assessment and draft appropriate documents; allow for public review and incorporate comments to issue final environmental documents that comply with Caltrans and CEQA/NEPA requirements; identify the regulatory agencies and obtain permits as needed. Consultant must ensure all proper environmental studies are conducted to clear all requirements and obtain the necessary permits.
10. Conduct Studies for Temporary Traffic Handling during construction for both bridges in this task.
11. Prepare and present alternatives assessment and make recommendation for the preferred bridge type (Meadow Way Bridge replacement project) in the Bridge Type Selection Report.
12. Perform testing to determine the concrete and rebar strengths and the approximate layout and sizes of the reinforcement in Creek Road Bridge. Perform bridge seismic analysis and prepare a Seismic Retrofit Strategy Report, including bridge replacement alternative(s), if necessary, and the cost of each option.

Formatted: Font: Not Bold

Formatted: Font: Not Bold

13. Implement a separate public outreach workshop for each bridge to effectively communicate the goals of the Project with the public, the Town Council and other stakeholders. Additionally, make at least one combined presentation to the public and another to the Town Council.
14. Submit for approval Bridge General Plans – (30% Design) for bridge replacement and bridge seismic retrofit.

**TASK 2 – BRIDGE AND SEISMIC RETROFIT DESIGN, ENGINEERING,  
PREPARATION OF PLANS, SPECIFICATIONS AND ESTIMATES (PS&E)**

Prepare plans, specifications, estimates and contract bid documents for each bridge in this portion of the Project. Specifications are to incorporate Town of Fairfax General Provisions and are to be prepared in final form and ready for bid. Tasks and deliverables provided by Consultant shall include the following during the design phase:

1. Consider Town's available project funding for the design process, provide recommendations for work scope adjustments based on budgetary constraints, and provide assistance in obtaining supplemental funding, as necessary.
2. Obtain necessary outside agency permits to satisfy the NEPA requirements. Prepare application packages for agencies that require permits for construction and work through the permit approval process.
3. Furnish additional surveys and geotechnical services required for [projectthe bridges](#).
4. Meet with Town Public Works staff and present preliminary design and construction cost estimates for review.
5. Coordinate with impacted utility companies, as needed, and schedule the planned relocations and improvements.
6. Perform an additional public outreach workshop for each bridge and make at least one presentation to the Town Council. Provide response to public and Town Council inquiries.
7. Assist the Town with ROW Certification / Temporary Construction Easements.
8. Prepare PS&E for Roadway/Civil Design, Detour Plans, Temporary Traffic Handling, Striping, Signage, SWPPP, Drainage, Landscaping, Creek Improvements (within the project footprint), Bridge Lighting (if necessary) and Structural Design. Prepare 65%, 90% and 100% design submittals.
9. Because of the environmental sensitivities of the project area, Best Management Practices (BMPs) design must be incorporated in the design. Both motorized and non-motorized access must remain available during construction.
10. All plans must be Caltrans-compliant and prepared using AutoCAD 2010 (or later) platform. Specifications shall use the latest Caltrans Standard Specifications, Special Provisions, Bridge Reference Specifications, and The Standard Specifications of the Cities and County of Marin. Submit electronic copies of plans and specifications (both AutoCAD and PDF) in addition to hard copies.
11. Consultant is required to provide all final deliverables, such as plans, studies, reports, calculations, permits and other documents, in sufficient count, as may be necessary, in addition to those listed in this RFP, for project approval. The final product for bid

advertisement shall also include one (1) set of unbound plans, specifications and estimate (PS&E), camera-ready and suitable for reproduction.

12. Implement turnkey project management and quality control services, including independent check by a separate licensed engineer for bridge and retrofit designs and quantity estimating tasks, as well as constructability reviews.
13. Prepare funding application for authorization to proceed with construction and submit to Caltrans Local Assistance for E-76 Authorization. Prepare ROW Certification documents for each bridge.
14. Provide bid phase support, including attending a pre-bid meeting, respond to requests for information and assist with any required bid addenda
15. Provide design services during construction. Respond to RFIs from the Contractor and perform technical reviews of submittals as required.
16. Meet with Public Works on a monthly basis, throughout the project period and provide project status briefings as needed.

## **ELEMENTS OF SCOPE FOR BRIDGE PREVENTIVE MAINTENANCE PROGRAM (BPMP):**

### **PHASE 1 BPMP SCOPE OF WORK**

1. Refer to the deficiencies of the three bridges stated earlier in this RFP. Conduct a preliminary assessment to analyze the bridges for existing and potential issues in coordination with the Bridge Preventive Maintenance Program goals, which appear in “Bridge Preventive Maintenance Program Guidelines” posted at Caltrans web site [and](#) reached through this link:

<http://www.dot.ca.gov/hq/LocalPrograms/hbrr99/hbrr99a.htm>.

2. As a part of a thorough assessment, the Consultant should also document any issues related to the age, construction, structural integrity, geometry, foundations and/or support structures of the bridge. Include any other related items affecting the integrity or lifespan of the bridges, public safety, or the overall functionality of the bridges. Specify deficiencies which may be outside of the limitations of the Preventive Maintenance Program.

3. After inspections and tests, where required, the consultant shall prepare a detailed Final Assessment Report, including preliminary plans and costs, narratives, listing of the environmental studies to be undertaken, etc. Document all of the necessary repairs and/or maintenance items. Provide design alternatives with cost, when justifiable. The approved BPMP Assessment Report will constitute the 30% level of completion for the BPMP component of the Town’s project.

4. The consultant is required to be familiar with the work items specifically eligible for HBP reimbursement under the Bridge Preventive Maintenance Program, appearing in the Caltrans web site cited above.

5. Prepare the Field Review and Preliminary Environmental Studies (PES) Form and attend the Field [Review](#) meeting. [Revise the PES form based on the results of the Field Review.](#)



## **PHASE 2 BPMP SCOPE OF WORK**

The baseline BPMP project is that which addresses all the work necessary to address the deficiencies of the three bridges noted earlier under "DESCRIPTION OF THE PROJECT." The full scope of Phase 2 work shall be dependent on the final results of the Phase 1 analysis and the BPMP Assessment Report generated by the consultant. Depending on the results of the Assessment Report, the contract with the consultant will be modified to include all of the necessary tasks, design, and environmental requirements for completing this portion of work.

The Phase 2 scope of work may generally be described as follows:

1. Provide technical studies and documentation for CEQA and NEPA clearance. Coordinate with pertinent regulatory agencies and stakeholders, and obtain all necessary agency permits. Perform environmental and cultural resources assessment and draft appropriate documents; allow for public review and incorporate comments to issue final environmental documents that comply with Caltrans and CEQA/NEPA requirements. Consultant must ensure all proper environmental studies are conducted to clear all requirements and obtain the necessary permits.
2. Perform field surveys and right-of-way research, as necessary. The right-of-way work shall be coordinated with Caltrans District 4 Local Assistance for the project right-of-way certification needs, post-PS&E period. Temporary construction easements may be required.
3. Coordinate a public outreach and workshop for all three bridges (e.g. meetings with stakeholders and Town Council meetings). For cost estimation, a total of two (2) meetings/workshops may be assumed and can be combined with other project workshops, if deemed reasonable by the Town.
4. Provide the necessary geotechnical studies for the design of improvements.
5. Include flood plain limits, a hydrology and hydraulics report and recommendations, and a Location Hydraulic Report for each bridge, if necessary.
6. Prepare plans, specifications and estimates for the project improvements. In addition to the structural details, the plans will identify all information regarding above-grade, at-grade and below-grade modifications, all exposed and underground utilities, manholes, gate valve boxes, survey monuments and any structures that would be affected by project construction.
7. Documents will be in a Caltrans-compliant format (units, scaling, etc.) and as approved by the Town of Fairfax. All plans must be prepared using AutoCAD, version 2010 or later. Electronic copies of the PS&E (AutoCAD, Word and PDF) must be submitted to the Town of Fairfax in addition to hard copies. It is anticipated that draft plans and documents will be submitted for approval at key stages of project development (i.e. 60%, 95% and 100%). Prepare Engineer's Estimate for project and design to accompany plans & specifications at 95%, and 100% submittals.
8. Because of the environmental sensitivities of the project area, Best Management Practices (BMPs) design must be incorporated in the design. Both motorized and non-motorized access must remain available during construction.

9. Attend project and schedule update meetings, as appropriate, based on scope/agenda topics. The meetings may be combined with those held monthly for the bridge replacement and retrofit design. The consultant will be responsible for detailed progress reports.
10. Consultant is required to provide all final deliverables, such as plans, studies, reports, calculations, permits and other documents, in sufficient count, as may be necessary, in addition to those listed in this RFP, for project approval. The final product for bid advertisement shall also include one (1) set of unbound plans, specifications and estimate (PS&E) suitable for reproduction.
11. Implement turnkey project management and quality control services, including independent check by a separate licensed engineer for ~~bridge and retrofit designs~~ and quantity estimating tasks, as well as constructability reviews.
12. Prepare funding application for authorization to proceed with construction and submit to Caltrans Local Assistance for E-76 Authorization. Prepare ROW Certification documents for each bridge.
13. Provide assistance during bid period, as well as during the construction. Attend a pre-bid meeting, provide technical assistance for responding to bidder's inquiries, bid evaluation, response to RFIs, perform technical reviews of submittals as required, etc.

## **CONTENTS OF PROPOSAL**

To maintain uniformity in the evaluation process, your proposal shall be limited to a maximum of 60 pages on single-sided, 8½" x 11" paper (occasional 11" x17" sheets for charts and graphics are acceptable). The text font (ARIAL, TAHOMA, or similar) shall not be smaller than size 10. The cover letter, table of contents, front and back covers, section dividers, DBE Forms, and resumes are excluded from the page count. **The proposal shall be bound, with tabbed section dividers, and include the following sections in order:**

### **Cover Letter**

Include the primary consultant's name and business address, as well as the Project Manager's name, telephone number and email address. Summarize your understanding of the project and briefly introduce your team. Address any exceptions to the Insurance requirements and/or the Professional Services Agreement, both of which are attached as Exhibit IV. The cover letter shall be signed by the person authorized to negotiate a contract for proposed services with the Town of Fairfax on behalf of submitting firm/team.

### **Organization Chart**

Clearly identify the prime consultant, all subconsultants, and their respective roles. Show the Project Manager and the key staff proposed for this project, including subconsultants' staff. Excluding circumstances beyond the consultant's control, it is expected that the project team proposed under this proposal will remain unchanged throughout the duration of the project. Replacement of key staff without consultation with the Town of Fairfax will not be permitted.

**Prime Consultant Introduction**

Include contact information and a brief summary of the firm’s organization and history. (Provide a résumé of each key team member in Appendix 1). Provide two references (name, title, agency, and telephone number) for the Project Manager and Task Leaders from similar type/size projects.

**Subconsultant Introduction**

Include contact information and a brief summary of the firm’s organization, history, and two firm references. Provide a brief résumé (one page each) of each key team member in Appendix 1.

**Relevant Project Experience**

Include similar type/size projects that your team has completed. Provide a project description, services provided, consulting fees and the project’s construction cost. Discuss whether the design and construction were completed on time and within budget.

**Project Understanding and Approach**

Describe your firm/team’s understanding of the work to be performed and identify the approach for key services and/or issues anticipated for this project. Describe Project Manager’s and firm/team support and approach to managing project to ensure effort is completed on schedule and within established budget.

**Project Schedule**

Describe the firm/team’s (and specifically individual key team members’) projected workload and capacity to complete the project according to proposed schedule. Indicate stages of work, time frames, and your team’s ability to perform the required services in a timely manner. Indicate the methods and tools used to develop the schedule and the plans to update it throughout the life of the project.

**Scope of Services**

Provide a detailed description of the proposed scope of services through PS & E, ~~and~~ bid support and construction support. The scope of services submitted with the Consultant’s proposal must include a list and number of all deliverables, digital and hard copy, to be provided. Consultant must also plan for the necessary meetings for every aspect of the improvements program.

Formatted: Space After: 6 pt

**Additional Information**

Provide any additional relevant information that may be useful for this project. Please limit this information to not more than two pages.

**DBE Requirements:**

Include the completed DBE forms found in Exhibit V.

**Appendix 1**

Include the key team members’ résumés.

Formatted: Space After: 6 pt

### **FEE PROPOSAL**

1. Two copies of your proposed fee shall be submitted in a separate sealed envelope, ~~within the proposal package,~~ plainly labeled “Fee Proposal” with the prime company’s name and the project title.
2. The fee shall include services for PS & E, ~~and~~-bid support and services during construction.
3. The fee proposal shall include a cover letter stating the not-to-exceed fee, and separate fee schedules depicting individual project tasks, staff hours, and basic hourly charge rates. The fee proposal shall reflect all anticipated fee increases during the contract duration.
4. The final contract price may be negotiated.

### **RFP DISTRIBUTION, SUBMISSION, AND SELECTION PROCESS**

The Town will notify select firms as well as advertise publicly.

#### **For questions concerning the RFP:**

Questions concerning the RFP should be submitted via e-mail. The Town will collect questions on the RFP through **Wednesday, April 10**, 2013.

RFP Questions should be sent to: [wtbush01@gmail.com](mailto:wtbush01@gmail.com) (Wayne Bush)

The e-mail subject line should read: **RFP Questions for Highway Bridge Program**

The Town will respond to the RFP related questions as a group in writing, via email, to all contact persons of interested firms by **Wednesday, April 17**, 2013.

Five (5) copies of the proposal package are due by **11:00 a.m. on Wednesday, April 24, 2013**. The package shall be labeled “**Highway Bridge Program RFP**” and submitted to the Director of Public Works at the following address:

**Wayne Bush – Acting Public Works Director**

Town of Fairfax  
142 Bolinas Rd  
Fairfax, CA 94930

Late, faxed, or incomplete proposals will not be accepted.

Consultant Selection Committee will evaluate each proposal and rank the consultant teams based on the technical information, qualifications and check of references provided in the proposal. A copy of the evaluation sheet is enclosed for reference as Exhibit III. At the discretion of the Public Works Manager, interviews of the top ranked firms may be required. If interviews are necessary they will be held at the Town of Fairfax, tentatively scheduled for the **week of May 6**, 2013, after which the top-ranked team will be selected to negotiate the contract.

A blank Professional Services Agreement and appropriate attachments are enclosed for your review as Exhibit IV. Consultant’s final scope of services will be attached and become part of the executed agreement as an exhibit. Each consultant must fully inform themselves of all project conditions and the efforts required to successfully complete the project. Failure to do so will not relieve the selected consultant of the obligations to carry out the contract.

Please also refer to Exhibit IV for the necessary amounts of general liability, automotive, worker’s compensation and professional liability insurance. The appropriate endorsements are

also identified with the Professional Services Agreement. The selected consultant will be required to provide insurance certifications for the given amounts.

**RIGHT TO REJECT ALL PROPOSALS**

The Town of Fairfax reserves the right to reject any or all proposals submitted, and no representation is made hereby that any contract will be awarded pursuant to this RFP or otherwise. The Town also reserves the right to award a portion of work, or combination thereof.

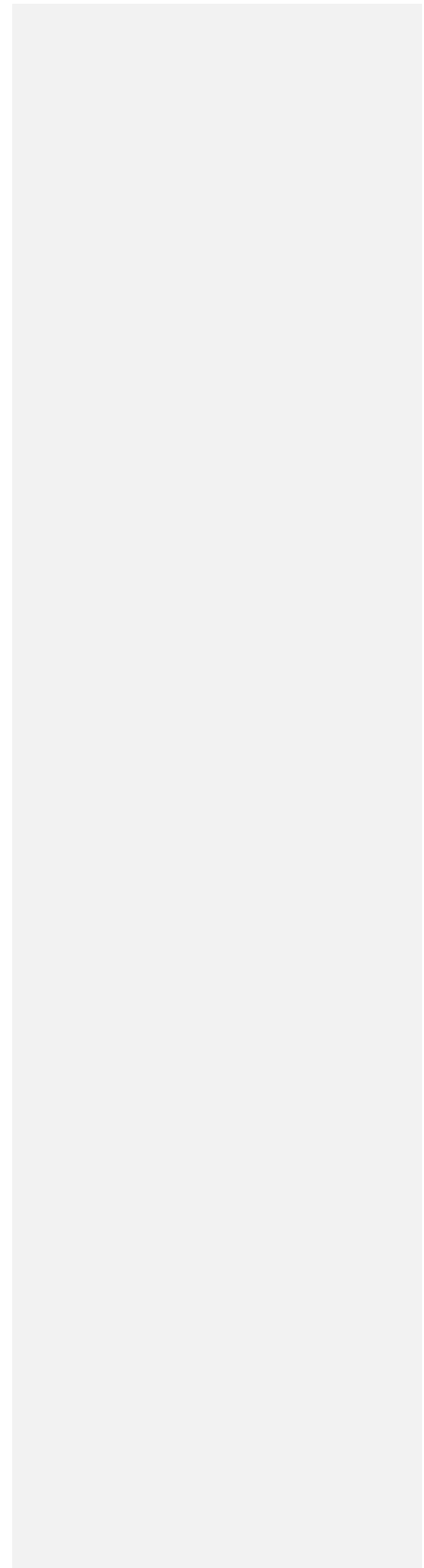
All costs incurred in the preparation of the proposal, the submission of additional information and/or any aspect of a proposal prior to award of a written contract will be borne by the respondent. The Town will provide only the staff assistance and documentation specifically referred to herein and will not be responsible for any other cost or obligation of any kind which may be incurred by the respondent. All proposals submitted to the Town of Fairfax will become the property of the Town.

**CONSULTANT SELECTION TIMELINE:**

- Advertising/Distribution of RFP      March 13, 2013 (Wednesday)
- RFP Question Submittal Deadline      April 10, 2013 (Wednesday)
- RFP Question Response Email      April 17, 2013 (Wednesday)
- RFP Submittal Deadline      April 24, 2013 11:00 a.m. (Wednesday)
- Consultant Interviews      (Week of) May 6, 2013 (tentative)
- Consultant Selection      May 16, 2013 (Thursday)

(See also Exhibit II – Project Delivery Schedule)

## **EXHIBIT I – PROJECT DESCRIPTION AND LOCATION**



**MEADOW WAY BRIDGE REPLACEMENT**  
**Federal Project No. 5277 (025)**  
**Detailed Project Description**

The existing Meadow Way Bridge was constructed in the 1950s over San Anselmo Creek with a steel and timber superstructure on timber substructure pile extensions. The bridge has four spans, is approximately 70 feet long and 10 feet wide, and supports one lane of traffic nearly 25 feet above the creek bed. The bridge spans an average width to relatively wide section of San Anselmo Creek at a very sharp left channel bend and serves as the only egress and ingress point to a nearly two dozen residences across the creek from Cascade Drive.

There are no as-built plans available for the existing bridge. It has a Sufficiency Rating of 44 and is Functionally Obsolete. A scour Plan of Action (POA) report, filed with the Office of Structures maintenance in September 2010 recommended the structure be placed on the scour-critical bridges. The bridge is not historically significant and eligible for replacement. The Town has secured HBP funds to replace it.

The new bridge will likely be a one-lane crossing, approximately 80' long. The width of right-of-way through this crossing is limited and homes are located alongside of the approach roadways at all four corners of the bridge. This limited ROW width will also have to accommodate a single-lane temporary bridge, placed adjacent to the existing bridge, during the construction without impacting these properties. The Town will reevaluate the bridge geometrics when right-of-way and topographic survey data are completed.

Bridge replacement will require the demolition and removal of the existing bridge, including the partial removal of underground piling. The excavated abutment foundation areas may have to be enlarged to accommodate the foundations of the new bridge. Bridge replacement will necessitate access to, and construction work, in San Anselmo Creek. The access to the creek will likely be by ramping locally to the river bed area. Construction work in the creek may include new bridge foundations and driving or drilling new piles. Temporary supports, or falsework, may be placed in the creek in order to construct the new bridge superstructure. The construction work may be a one- or two-season project.

## **CREEK ROAD BRIDGE REPLACEMENT Federal Project No. 5277 (005) Detailed Project Description**

The Creek Road Bridge over San Anselmo Creek, a structure in the Town of Fairfax, was constructed in 1929. This is a 4-span reinforced concrete structure, made up of four sets of reinforced concrete T-girders per span, simply supported on an abutment at each end of the bridge and on three 2-column bents in the creek. There are no as-built plans available for the bridge. However, a set of seismic retrofit plans, prepared in 1997 but never advertised, is available for the bridge. The previous funding for the project was de-obligated and the Town has secured new Seismic Safety Program funds to determine the bridge's vulnerabilities according to today's Caltrans standards. The bridge is not historically significant. A September 2010 Scour Plan of Action Report did not find significant bridge foundation scour.

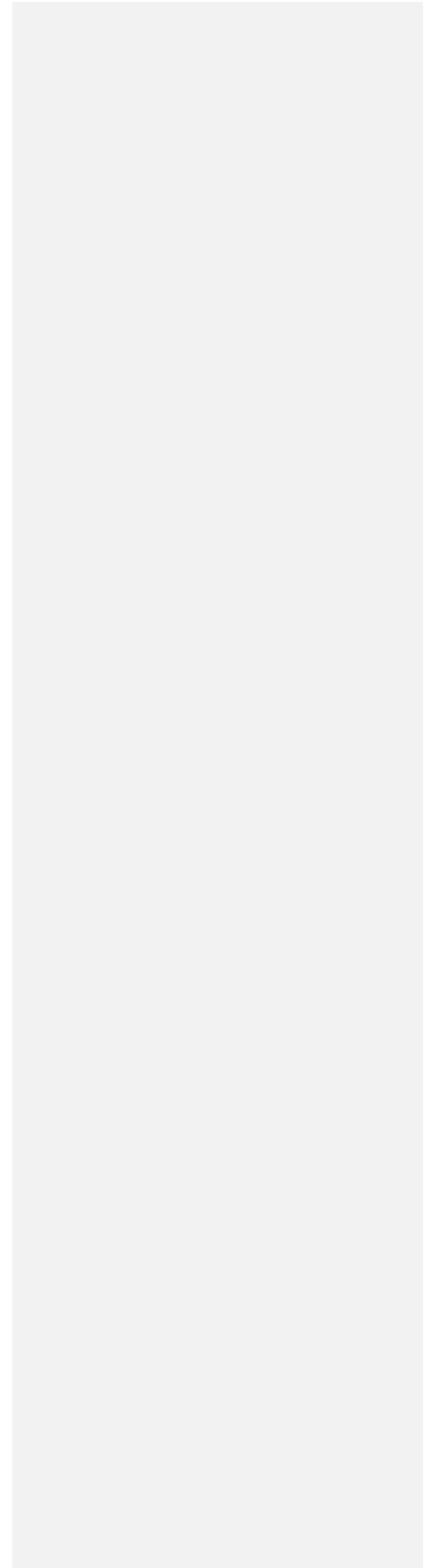
In the initial PE phase of the project, during the Seismic Retrofit Strategy period, structural seismic vulnerability analysis will be performed again. A Seismic Retrofit Strategy Report for the bridge will be prepared by the Town and submitted to Caltrans. Retrofit concepts to address the bridge's seismic deficiencies will be presented. The construction cost of each of the concepts studied will be estimated and included in the Strategy Report. Replacement bridge options will also be studied and their cost estimates will be prepared.

Whether the bridge is seismically retrofitted or replaced, certain geotechnical, hydraulic and environmental studies will be conducted. To avoid the higher cost and environmental impacts of working on the elements of the bridge below its deck, the goal of seismic retrofit will be to limit the construction work to the superstructure and bridge approach roadway elements as much as possible. However, based on the vintage of the bridge construction, typical vulnerabilities in the bridge substructure and foundation are evident. The concrete bridge columns lack proper steel rebar confinement, having the potential of bursting and collapse under the extreme compressive seismic loads. The bridge is also stated to be on shallow spread footings, which may also be seismically inadequate.

These conditions may necessitate the retrofitting of the bridge columns and foundations and access to, as well as construction work, in San Anselmo Creek. The access to the creek will likely be by ramping locally to the river bed area. The retrofit work in the creek may involve excavation around the existing bridge foundations to expose the shallow bridge footings, partially removing and enlarging them, driving or drilling new piles around them, and finally backfilling around and over the footings. Strengthening of the columns, the cap beams over the columns and placement of cable restrainers to tie the superstructure together may be necessary. The strengthening of the columns may require placing concrete or steel plate "jackets" around them and/or casting concrete infill walls between the columns. The cap beams may be reinforced and enlarged externally with concrete and prestressing. The existing bridge abutments may have to be fortified. All of this work requires operations below the bridge deck and from the creek.



Bridge replacement will require the demolition of the existing bridge and hauling the debris away. The underground foundations will also be dug up and removed. The excavated foundation areas may have to be enlarged to accommodate the foundations of the new bridge. Bridge replacement may be done either in two stages, keeping a limited width of the bridge open during the construction of the new bridge, or in one stage by closing this stretch of Creek Road and detouring the traffic. The new bridge may also be multi-span, made of concrete or steel. For these foundations, driving or drilling new piles will likely be necessary, followed by the construction of the new footings, columns and abutments. Temporary supports, or falsework, may be placed in the creek in order to construct the new bridge superstructure. After the concrete has attained sufficient strength, the temporary supports will be removed from the creek. The construction work may be a two-season project.



**EXHIBIT II – APPROXIMATE PROJECT DELIVERY SCHEDULE**

Formatted: Centered

**Consultant Selection**

RFP to Consultants (Advertise)	March 13, 2013
Deadline for questions	April 10, 2013
Response to questions	April 17, 2013
Submit proposals to town	April 24, 2013
Interviews	May 8, 2013
Consultant Selection	May 16, 2013
Award PSA Contract (Council Mtg.)	June 5, 2013

**Initial Phase 4 Schedule**

Kickoff Meeting (All Bridges)	June 17, 2013
Assessment Report (BPMP)	August 2, 2013
Caltrans Field Review Form & PES Form	August 2013

**Follow-Up Phase 2 Schedule (All Bridges Meadow Way & Creek Road)**

Caltrans Field Review	Fall 2013
30% Design submittal	FFY 2014/15
NEPA Authorization	FFY 2014/15
60% Design submittal	FFY 2015/16
95% Design submittal	FFY 2015/16
Final PS&E submittal to Caltrans	FFY 2016/17

**Construction (Meadow Way and Creek Road) FFY 2016/17**

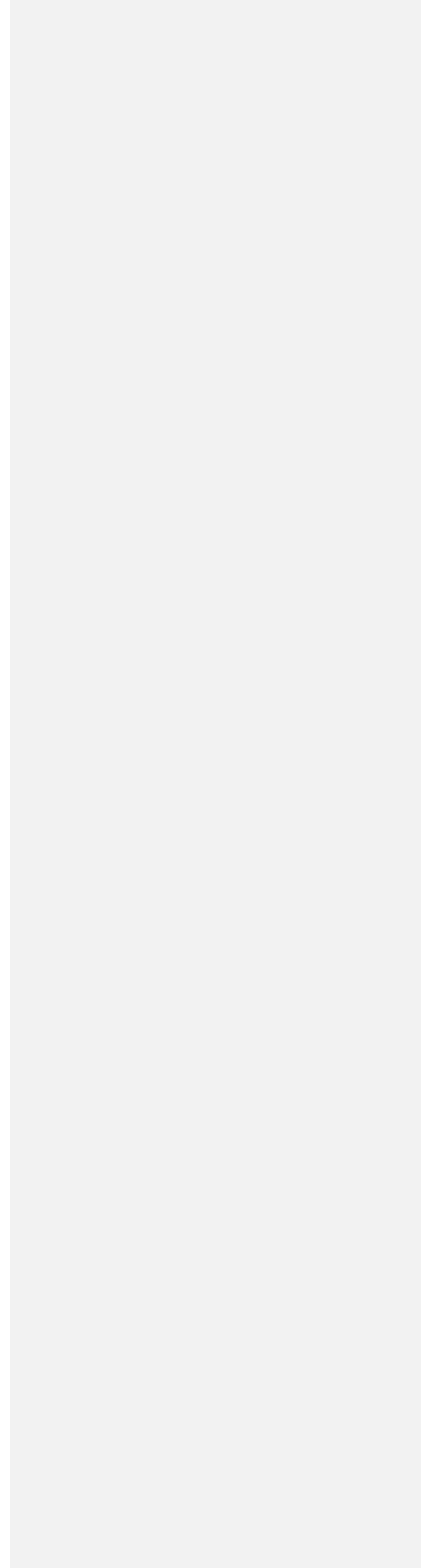
**Consultant shall complete the PS&E for BPMP so that the improvements can be constructed in FFY 2015/2016.**

## EXHIBIT III – EVALUATION CRITERIA

### Selection Criteria and Weighting Percentages

Criteria	Weight
<ul style="list-style-type: none"><li>• <b>Project Team:</b> This includes the team’s qualifications and relevant individual experience, unique qualifications of key personnel, time commitment of key members and the strength of the Organization Chart</li></ul>	20%
<ul style="list-style-type: none"><li>• <b>Project Understanding and Approach:</b> This includes demonstrated knowledge of the work required, explanation of the project, knowledge of Caltrans and Town of Fairfax processes, and innovative approaches and internal measures for timely completion of project</li></ul>	25%
<ul style="list-style-type: none"><li>• <b>Scope</b> This includes the relevance, completeness and logic of the scope</li></ul>	25%
<ul style="list-style-type: none"><li>• <b>Project Management &amp; Approach</b> This includes the ability <del>and willingness to respond to Town or State requirements and accessibility to these agencies</del> <u>to manage the project in a turnkey fashion, responsiveness to the Town and its citizens’ needs, quality and timeliness of the deliverables and budget control.</u></li></ul>	20%
<ul style="list-style-type: none"><li>• <b>References</b> This includes record of producing quality product on similar projects on time and within budget</li></ul>	10%
<b>Total</b>	<b>100%</b>

**EXHIBIT IV – SAMPLE PROFESSIONAL SERVICES  
AGREEMENT (INC. INSURANCE REQUIREMENTS)**





**TOWN OF FAIRFAX**  
142 BOLINAS ROAD, FAIRFAX, CALIFORNIA 94930  
PHONE (415) 453-1584 / FAX (415) 453-1618

**PROFESSIONAL SERVICES AGREEMENT FOR TOWN ENGINEER SERVICES  
INCLUDING PRELIMINARY AND CONSTRUCTION ENGINEERING ON FEDERAL  
AID PROJECTS**

**ARTICLE I INTRODUCTION**

A. This AGREEMENT, made and entered into \_\_\_\_\_, 20\_\_, between the following named, hereinafter referred to as, CONSULTANT and the following named, hereinafter referred to as, LOCAL AGENCY:

The name of the CONSULTANT is as follows:

The Project Manager for the "CONSULTANT" will be \_\_\_\_\_.

The name of the "LOCAL AGENCY" is as follows:

Town of Fairfax  
142 Bolinas Road  
Fairfax, CA 94930

The Contract Manager for the LOCAL AGENCY will be \_\_\_\_\_.

B. The work to be performed under this contract is described in Article II entitled Statement of Work and the approved CONSULTANT's Proposal dated \_\_\_\_\_. The approved CONSULTANT's Proposal is attached hereto (Attachment I) and incorporated by reference. If there is any conflict between the approved Proposal and this contract, this contract shall take precedence.

C. When the services to be provided under this Agreement are "design professional" services to be performed by a design professional, CONSULTANT shall, to the fullest extent permitted by law, indemnify, protect, defend and hold harmless LOCAL AGENCY, and its employees, officials, agents and volunteers ("Indemnified Parties") for all claims, demands, costs or liability that arise out of, pertain to, or relate to the negligence, recklessness, or willful misconduct of CONSULTANT, its officers, employees, agents, in said performance of professional services under this Agreement, excepting only liability arising from the sole negligence, active negligence or intentional misconduct of LOCAL AGENCY.

Other than in the performance of professional services by a design professional and to the full extent permitted by law, CONSULTANT shall indemnify, defend and hold harmless LOCAL AGENCY and any Indemnified Parties, from and against any liability, (including liability for claims, suits, actions,

arbitration proceedings, administrative proceedings, regulatory proceedings, losses, expenses or costs of any kind, interest, defense costs, reasonable attorneys fees and expert witness fees), where same arises out of the performance of this Agreement by CONSULTANT, its officers, employees, agents, and sub-consultants, excepting only that resulting from the sole negligence, active negligence or intentional misconduct of LOCAL AGENCY, its employees, officials, or agents.

- D. The CONSULTANT and the agents and employees of CONSULTANT, in the performance of this agreement, shall act in an independent capacity and not as officers or employees or agents of the LOCAL AGENCY.
- E. The LOCAL AGENCY may terminate this agreement with CONSULTANT should CONSULTANT fail to perform the covenants herein contained at the time and in the manner herein provided. In the event of such termination, the LOCAL AGENCY may proceed with the work in any manner deemed proper by the LOCAL AGENCY. If the LOCAL AGENCY terminates this agreement with the CONSULTANT, LOCAL AGENCY shall pay CONSULTANT the sum due the CONSULTANT under this agreement prior to termination, unless the cost of completion to the LOCAL AGENCY exceeds the funds remaining in the contract. In which case the overage shall be deducted from any sum due the CONSULTANT under this agreement and the balance, if any, shall be paid the CONSULTANT upon demand.
- F. Without the written consent of the LOCAL AGENCY, this agreement is not assignable by CONSULTANT either in whole or in part.
- G. No alteration or variation of the terms of this contract shall be valid, unless made in writing and signed by the parties hereto; and no oral understanding or agreement not incorporated herein, shall be binding on any of the parties hereto.
- H. The consideration to be paid CONSULTANT as provided herein, shall be in compensation for all of CONSULTANT's expenses incurred in the performance hereof, including travel and per diem, unless otherwise expressly so provided.

## **ARTICLE II STATEMENT OF WORK**

### **A. Consultant Services**

Detailed services which the CONSULTANT shall provide under this agreement are described in the approved CONSULTANT's Proposal (Attachment I).

## **ARTICLE III PERFORMANCE PERIOD**

- A. This contract shall go into effect on \_\_\_\_\_, contingent upon approval by the LOCAL AGENCY, and the CONSULTANT shall commence work after notification to proceed by the LOCAL AGENCY'S Contract Manager. The contract shall end on \_\_\_\_\_, unless extended by contract amendment.
- B. The CONSULTANT is advised that any recommendation for contract award is not binding on the LOCAL AGENCY until the contract is fully executed and approved by the LOCAL AGENCY.

**ARTICLE IV ALLOWABLE COSTS AND PAYMENTS**

- A. For the full performance of the services described herein by CONSULTANT, the LOCAL AGENCY shall reimburse the CONSULTANT either on a Lump Sum or a Time and Materials basis for services rendered in accordance with the rates shown in the attached CONSULTANT’s Cost Proposal. The determination of payment method will be based on the type of project and shall be determined in advance of work performed on each project.
- B. The CONSULTANT will not be reimbursed for actual costs that exceed the estimated wage rates, employee benefits, travel, equipment rental, overhead, and other estimated costs set forth in the approved CONSULTANT’S Cost Proposal, unless additional reimbursement is provided for by contract amendment. In no event, will the CONSULTANT be reimbursed for overhead costs at a rate that exceeds the LOCAL AGENCY’s approved overhead rate set forth in the Cost Proposal. In the event, that the LOCAL AGENCY determines that a change to the work from that specified in the Cost Proposal and contract is required, the contract time and/or actual costs reimbursable by the LOCAL AGENCY shall be adjusted by contract amendment to accommodate the changed work. The maximum total cost as specified in Paragraph “H” shall not be exceeded, unless authorized by contract amendment.
- C. Reimbursement for transportation and subsistence costs shall not exceed the rates specified in the approved CONSULTANT’s Proposal.
- D. CONSULTANT shall obtain prior written approval for a revised milestone cost estimate from the Contract Manager before exceeding such cost estimate.
- E. Progress payments will be made monthly in arrears based on services provided and allowable incurred costs. If CONSULTANT fails to submit the required deliverable items according to the schedule set forth in the Statement of Work, the LOCAL AGENCY shall have the right to delay payment and/or terminate this Agreement in accordance with the provisions of Article V Termination.
- F. No payment will be made prior to approval of any work, nor for any work performed prior to approval of this contract.
- G. The CONSULTANT will be reimbursed, as promptly as fiscal procedures will permit upon receipt by the LOCAL AGENCY’s Contract Manager of itemized invoices. Invoices shall be submitted no later than 45-calendar days after the performance of work for which the CONSULTANT is billing. Invoices shall detail the work performed on each milestone as applicable. Invoices shall reference this contract number and project title. The final invoice must contain the final cost and all credits due the LOCAL AGENCY including any equipment purchased under the provisions of Article XVII Equipment Purchase of this contract. The final invoice should be submitted within 60-calendar days after completion of the CONSULTANT’s work. Invoices shall be mailed to the LOCAL AGENCY’s Contract Manager at the following address:  
  
Town of Fairfax/\_\_\_\_\_  
142 Bolinas Road  
Fairfax, CA 94930
- H. The total amount LOCAL AGENCY shall pay to CONSULTANT shall not exceed \$\_\_\_\_\_.
- I. All subcontracts in excess of \$25,000 shall contain the above provisions.

## **ARTICLE V TERMINATION**

- A. Discretionary. Either party may terminate this agreement without cause upon thirty (30) days written notice mailed or personally delivered to the other party.
- B. Cause. Either party may terminate this agreement for cause upon ten (10) days written notice mailed or personally delivered to the other party, and the notified party's failure to cure or correct the cause of the termination notice, to the reasonable satisfaction of the party giving such notice, within thirty (30) days of the receipt of said notice.
- C. Effect of Termination. Upon receipt of notice of termination, neither party shall incur additional obligations under any provision of this agreement without the prior written consent of the other.
- D. Return of Documents. Upon termination, any and all LOCAL AGENCY documents or materials provided to CONSULTANT and any and all of CONSULTANT's documents and materials prepared for or relating to the performance of its duties under this agreement, shall be delivered to the LOCAL AGENCY as soon as possible, but not later than thirty (30) days after termination.

## **ARTICLE VI DELAYS AND EXTENSIONS**

As described in Article VIII, this agreement provides for an appropriate extension of time in case of unavoidable delays and for consideration of corresponding warranted adjustments in payment.

## **ARTICLE VII FUNDING REQUIREMENTS**

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

## **ARTICLE VIII CHANGE IN TERMS**

- A. This contract may be amended or modified only by mutual written agreement of the parties.



- B. The CONSULTANT shall only commence work covered by an amendment after the amendment is executed and notification to proceed has been provided by the LOCAL AGENCY's Contract Manager.
- C. There shall be no change in the CONSULTANT's Project Manager or members of the project team, as listed in the approved Proposal, which is a part of this contract without prior written approval by the LOCAL AGENCY's Contract Manager.
- D. This agreement contains provisions that permit mutually acceptable changes in the scope, character or complexity of the work; if such changes become desirable or necessary as the work progresses. Adjustments to the basis of payment and to the time for performance of the work shall be established by a written contract amendment to accommodate the changes in work.

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

CONSULTANT must give consideration to DBE firms as specified in 23 CFR 172.5(b), 49 CFR Part 26, and in Exhibit 10-I "*Notice to Bidders/Proposers Disadvantaged Business Enterprise Information*" and in Exhibit 10-J "*Standard Agreement For Subcontractor/DBE Participation*".

#### **Exhibit 10-I NOTICE TO BIDDERS/PROPOSERS DISADVANTAGED BUSINESS ENTERPRISE INFORMATION**

##### **A. TERMS AS USED IN THIS DOCUMENT**

- The term "Disadvantaged Business Enterprise" or "DBE" means a for-profit small business concern as defined in Title 49, Part 26.5, Code of Federal Regulations (CFR).
- The term "bidder" also means "proposer" or "offerer."
- The term "Agreement" also means "Contract."
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term "Small Business" or "SB" is as defined in 49 CFR 26.65.

##### **B. AUTHORITY AND RESPONSIBILITY**

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Agreements financed in whole or in part with federal funds (See 49 CFR 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs"). The Contractor should ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The bidder/proposer shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Bidders/Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

##### **C. SUBMISSION OF DBE INFORMATION**

- 1. "Local Agency Proposer/Bidder-DBE (Consultant Contracts)-Information" form will be included in the Agreement documents to be executed by the successful bidder. The purpose of the form is to collect data required under 49 CFR 26. Even if no DBE participation will be reported, the successful bidder must execute and return the form.

#### D. DBE PARTICIPATION GENERAL INFORMATION

It is the bidder's responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department's DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime contractor, subcontractor, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- D. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55; that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- E. The bidder (prime contractor) shall list only one subcontractor for each portion of work as defined in their bid/proposal and all DBE subcontractors should be listed in the bid/cost proposal list of subcontractors.
- F. A prime contractor who is a certified DBE is eligible to claim all of the work in the Agreement toward the DBE participation except that portion of the work to be performed by non-DBE subcontractors.

#### E. RESOURCES

1. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance. Bidder/Proposer may call (916) 440-0539 for web or download assistance.
2. Access the CUCP database from the Department of Transportation, Civil Rights, Business Enterprise Program website at:  
[http://www.dot.ca.gov/hq/bep/find\\_certified.htm](http://www.dot.ca.gov/hq/bep/find_certified.htm)
  - Click on the link in the left menu titled Find a Certified Firm
  - Click on Query Form link, located in the first sentence
  - Click on Certified DBE's (UCP) located on the first line in the center of the page
  - Click on Click To Access DBE Query Form
  - Searches can be performed by one or more criteria
  - Follow instructions on the screen
  - ~~“Start Search,” “Requery,” “Civil Rights Home,” and “Caltrans Home” links are located at the bottom of the query form~~
3. How to Obtain a List of Certified DBEs without Internet Access DBE Directory: If you do not have Internet access, Caltrans also publishes a directory of certified DBE firms extracted from the on-line database. A copy of the directory of certified DBEs may be

ordered from the Caltrans Division of Procurement and Contracts/Material and Distribution Branch/Publication Unit, 1900 Royal Oaks Drive, Sacramento, CA 95815, Telephone: (916) 445-3520.

F. WHEN REPORTING DBE PARTICIPATION, MATERIAL OR SUPPLIES PURCHASED FROM DBES MAY COUNT AS FOLLOWS:

1. If the materials or supplies are obtained from a DBE manufacturer, one hundred percent of the cost of the materials or supplies will count toward the DBE participation. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises, the materials, supplies, articles, or equipment required under the Agreement and of the general character described by the specifications.
2. If the materials or supplies purchased from a DBE regular dealer, count sixty percent of the cost of the materials or supplies toward DBE participation. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Agreement are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
3. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
4. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

G. WHEN REPORTING DBE PARTICIPATION, PARTICIPATION OF DBE TRUCKING COMPANIES MAY COUNT AS FOLLOWS:

1. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible.
2. The DBE must itself own and operate at least one fully licensed, insured and operational truck used on the Agreement.
3. The DBE receives credit for the total value of the transportation services it provides on the Agreement using trucks it owns, insures, and operates using drivers it employs.
4. The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the Agreement.

5. The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. The DBE does not receive credit for the total value of the transportation services provided by the lessee, since these services are not provided by the DBE.
6. For the purposes of this Section 4, a lease must indicate that the DBE has exclusive use and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, as long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

#### **Exhibit 10-J**

### **STANDARD AGREEMENT FOR SUBCONTRACTOR/DBE PARTICIPATION**

#### **A. Subcontractors**

1. Nothing contained in this Agreement or otherwise, shall create any contractual relation between the Agency and any subcontractors, and no subcontract shall relieve the Contractor of his/her responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the Agency for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the Agency's obligation to make payments to the Contractor.
2. Any subcontract in excess of \$25,000, entered into as a result of this Agreement, shall contain all the provisions stipulated in this Agreement to be applicable to subcontractors.
3. Contractor shall pay its subcontractors within ten (10) calendar days from receipt of each payment made to the Contractor by the Agency.
4. Any substitution of subcontractors must be approved in writing by the Agency's Contract Manager in advance of assigning work to a substitute subcontractor.

#### **B. Disadvantaged Business Enterprise (DBE) Participation**

- A. This Agreement is subject to 49 CFR, Part 26 entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." Bidders who obtain DBE participation on this contract will assist Caltrans in meeting its federally mandated statewide overall DBE goal.
- B. DBE and other small businesses, as defined in 49 CFR, Part 26 are encouraged to participate in the performance of agreements financed in whole or in part with federal funds. The Contractor, subrecipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Agreement. The Contractor shall carry out applicable requirements of 49 CFR, Part 26 in the award and administration of US DOT- assisted agreements. Failure by the Contractor to carry out these requirements is a material breach of this Agreement, which may result in the termination of this Agreement or such other remedy as the recipient deems appropriate.

C. Any subcontract entered into as a result of this Agreement shall contain all of the provisions of this section.

C. Performance of DBE Contractors and other DBE Subcontractors/Suppliers

1. A DBE performs a commercially useful function when it is responsible for execution of the work of the Agreement and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE must also be responsible with respect to materials and supplies used on the Agreement, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, evaluate the amount of work subcontracted, industry practices; whether the amount the firm is to be paid under the Agreement is commensurate with the work it is actually performing, and other relevant factors.
2. A DBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, Agreement, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, examine similar transactions, particularly those in which DBEs do not participate.
3. If a DBE does not perform or exercise responsibility for at least thirty percent of the total cost of its Agreement with its own work force, or the DBE subcontracts a greater portion of the work of the Agreement than would be expected on the basis of normal industry practice for the type of work involved, it will be presumed that it is not performing a commercially useful function.

D. Prompt Payment of Funds Withheld to Subcontractors

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

E. DBE Records

1. The Contractor shall maintain records of materials purchased and/or supplied from all subcontracts entered into with certified DBEs. The records shall show the name and business address of each DBE or vendor and the total dollar amount actually paid each DBE or vendor, regardless of tier. The records shall show the date of payment and the

total dollar figure paid to all firms. DBE prime Contractors shall also show the date of work performed by their own forces along with the corresponding dollar value of the work.

2. Upon completion of the Agreement, a summary of these records shall be prepared and submitted on the form entitled, "Final Report-Utilization of Disadvantaged Business Enterprises (DBE)," CEM-2402F (Exhibit 17-F in Chapter 17 of the LAP), certified correct by the Contractor or the Contractor's authorized representative and shall be furnished to the Contract Manager with the final invoice. Failure to provide the summary of DBE payments with the final invoice will result in twenty-five percent (25%) of the dollar value of the invoice being withheld from payment until the form is submitted. The amount will be returned to the Contractor when a satisfactory "Final Report Utilization of Disadvantaged Business Enterprises (DBE)" is submitted to the Contract Manager.
  - a. Prior to the fifteenth of each month, the Contractor shall submit documentation to the Agency's Contract Manager showing the amount paid to DBE trucking companies. The Contractor shall also obtain and submit documentation to the Agency's Contract Manager showing the amount paid by DBE trucking companies to all firms, including owner-operators, for the leasing of trucks. If the DBE leases trucks from a non-DBE, the Contractor may count only the fee or commission the DBE receives as a result of the lease arrangement.
  - b. The Contractor shall also submit to the Agency's Contract Manager documentation showing the truck number, name of owner, California Highway Patrol CA number, and if applicable, the DBE certification number of the truck owner for all trucks used during that month. This documentation shall be submitted on the Caltrans<sup>22</sup> Monthly DBE Trucking Verification, CEM-2404(F) form provided to the Contractor by the Agency's Contract Manager.

#### F. DBE Certification and De-certification Status

If a DBE subcontractor is decertified during the life of the Agreement, the decertified subcontractor shall notify the Contractor in writing with the date of de-certification. If a subcontractor becomes a certified DBE during the life of the Agreement, the subcontractor shall notify the Contractor in writing with the date of certification. Any changes should be reported to the Agency's Contract Manager within 30 days.

When Reporting DBE Participation, Material or Supplies purchased from DBEs may count as follows:

1. If the materials or supplies are obtained from a DBE manufacturer, 100 % of the cost of the materials or supplies will count toward the DBE participation. A DBE manufacturer is a firm that operates or maintains a factory or establishment that produces on the premises, the materials, supplies, articles, or equipment required under the Agreement and of the general character described by the specifications.
2. If the materials or supplies purchased from a DBE regular dealer, count 60 % of the cost of the materials or supplies toward DBE goals. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Agreement, are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must

be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.

3. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment, shall be by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
4. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

#### **ARTICLE X RETENTION**

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

#### **ARTICLE XI COST PRINCIPLES**

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

## **ARTICLE XII CONTINGENT FEE**

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

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

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

Subcontracts in excess of \$25,000 shall contain this provision.

## **ARTICLE XIV DISPUTES**

- A. Any dispute, other than audit, concerning a question of fact arising under this contract that is not disposed of by agreement shall be decided by a committee consisting of the LOCAL AGENCY's Contract Manager and LOCAL AGENCY's Public Works Director and ~~CONSULTANTS's~~CONSULTANT's Managing Principal, who may consider written or verbal information submitted by the CONSULTANT.
- B. Not later than thirty (30) days after completion of all deliverables necessary to complete the plans, specifications and estimate, the CONSULTANT may request review by the LOCAL AGENCY GOVERNING BOARD of unresolved claims of disputes, other than audit. The request for review will be submitted in writing.
- C. Neither the pendency of a dispute, nor its consideration by the committee will excuse the CONSULTANT from full and timely performance in accordance with the terms of this contract.

## **ARTICLE XV AUDIT REVIEW PROCEDURES**

- A. Any dispute concerning a question of fact arising under an interim or post audit of this contract that is not disposed of by agreement, shall be reviewed by the LOCAL AGENCY'S CHIEF FINANCIAL OFFICER.



- B. Not later than thirty (30) days after issuance of the final audit report, the CONSULTANT may request a review by the LOCAL AGENCY'S CHIEF FINANCIAL OFFICER of unresolved audit issues. The request for review will be submitted in writing.
- C. Neither the pendency of a dispute nor its consideration by the LOCAL AGENCY will excuse the CONSULTANT from full and timely performance, in accordance with the terms of this contract.

#### **ARTICLE XVI SUBCONTRACTING**

- A. The CONSULTANT shall perform the work contemplated with resources available within its own organization; and no portion of the work pertinent to this contract shall be subcontracted without written authorization by the LOCAL AGENCY'S Contract Manager, except that, which is expressly identified in the approved Proposal.
- B. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all the provisions stipulated in this contract to be applicable to subcontractors.
- C. Any substitution of sub-contractors must be approved in writing by the LOCAL AGENCY's Contract Manager.

#### **ARTICLE XVII EQUIPMENT PURCHASE**

- A. Prior authorization in writing, by the LOCAL AGENCY's Contract Manager shall be required before the CONSULTANT enters into any unbudgeted purchase order, or subcontract exceeding \$5,000 for supplies, equipment, or CONSULTANT services. The CONSULTANT shall provide an evaluation of the necessity or desirability of incurring such costs.
- B. For purchase of any item, service or consulting work not covered in the CONSULTANT's Proposal and exceeding \$5,000 prior authorization by the LOCAL AGENCY's Contract Manager; three competitive quotations must be submitted with the request, or the absence of bidding must be adequately justified.
- C. Any equipment purchased as a result of this contract is subject to the following: "The CONSULTANT shall maintain an inventory of all nonexpendable property. Nonexpendable property is defined as having a useful life of at least two years and an acquisition cost of \$5,000 or more. If the purchased equipment needs replacement and is sold or traded in, the LOCAL AGENCY shall receive a proper refund or credit at the conclusion of the contract, or if the contract is terminated, the CONSULTANT may either keep the equipment and credit the LOCAL AGENCY in an amount equal to its fair market value, or sell such equipment at the best price obtainable at a public or private sale, in accordance with established LOCAL AGENCY procedures; and credit the LOCAL AGENCY in an amount equal to the sales price. If the CONSULTANT elects to keep the equipment, fair market value shall be determined at the CONSULTANT's expense, on the basis of a competent independent appraisal of such equipment. Appraisals shall be obtained from an appraiser mutually agreeable to by the LOCAL AGENCY and the CONSULTANT, if it is determined to sell the equipment, the terms and conditions of such sale must be approved in advance by the LOCAL AGENCY."

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

## ARTICLE XVIII INSPECTION OF WORK

The CONSULTANT and any subcontractor shall permit the LOCAL AGENCY, the state, and the FHWA to review and inspect the project activities and files at all reasonable times during the performance period of this contract including review and inspection on a daily basis.

## ARTICLE XIX SAFETY

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

## ARTICLE XX INSURANCE

- A. During the term of this agreement, CONSULTANT, shall maintain, at no expense to LOCAL AGENCY, the following insurance policies:
  - 1. A commercial general liability insurance policy in the minimum amount of one million (\$1,000,000) dollars per occurrence for death, bodily injury, personal injury, or property damage.
  - 2. An automobile liability (owned, non-owned, and hired vehicles) insurance policy in the minimum amount of one million (\$1,000,000) dollars per occurrence.
  - 3. If any licensed professional performs any of the services required to be performed under this Agreement, a professional liability insurance policy in the minimum amount of one million (\$1,000,000) dollars to cover any claims arising out of the CONSULTANT's performance of services under this Agreement.
- B. The insurance coverage required of the CONSULTANT by Article XX, Section A, shall also meet the following requirements:
  - 1. The insurance shall be primary with respect to any insurance or coverage maintained by LOCAL AGENCY and shall not call upon LOCAL AGENCY's insurance or coverage for any contribution.
  - 2. Except for professional liability insurance, the insurance policies shall be endorsed for contractual liability and personal injury.

3. Except for professional liability insurance, the insurance policies shall be specifically endorsed to include the LOCAL AGENCY, its officers, agents, and employees as additionally named insureds under the policies.
  4. CONSULTANT shall provide to LOCAL AGENCY, (a) Certificates of Insurance evidencing the insurance coverage required herein, and (b) specific endorsements naming LOCAL AGENCY, its officers, agents and employees, as additional insureds under the policies.
  5. The insurance policies shall provide that the insurance carrier shall not cancel, terminate or otherwise modify the terms and conditions of said insurance policies except upon thirty (30) days written notice to LOCAL AGENCY.
  6. If the insurance is written on a Claims Made Form, then, following termination of this Agreement, said insurance coverage shall survive for a period of not less than five (5) years.
  7. The insurance policies shall provide for a retroactive date of placement coinciding with the effective date of this Agreement.
  8. The insurance shall be approved as to form and sufficiency by LOCAL AGENCY and the City Attorney.
- C. If it employs any person, CONSULTANT shall maintain worker's compensation and employer's liability insurance, as required by the State Labor Code and other applicable laws and regulations, and as necessary to protect both CONSULTANT and ~~LOCAL~~ LOCAL AGENCY against all liability for injuries to CONSULTANT 's officers and employees.

#### **ARTICLE XXI OWNERSHIP OF DATA**

- A. Upon completion of all work under this contract, ownership and title to all reports, documents, plans, specifications, and estimates produce as part of this contract will automatically be vested in the LOCAL AGENCY; and no further agreement will be necessary to transfer ownership to the LOCAL AGENCY. The CONSULTANT shall furnish the LOCAL AGENCY all necessary copies of data needed to complete the review and approval process.
- B. It is understood and agreed that all calculations, drawings and specifications, whether in hard copy or machine-readable form, are intended for one-time use in the construction of the project for which this contract has been entered into.
- C. The CONSULTANT is not liable for claims, liabilities, or losses arising out of, or connected with the modification, or misuse by the LOCAL AGENCY of the machine-readable information and data provided by the CONSULTANT under this agreement; further, the CONSULTANT is not liable for claims, liabilities, or losses arising out of, or connected with any use by the LOCAL AGENCY of the project documentation on other projects for additions to this project, or for the completion of this project by others, except only such use as may be authorized in writing by the CONSULTANT.
- D. Applicable patent rights provisions described in 41 CFR 1-91, regarding rights to inventions shall be included in the Agreements as appropriate.
- E. The CONSULTANT is not liable for claims, liabilities or losses arising out of, or connected with, the modification or misuse by the LOCAL AGENCY of the machine readable information and data

provided by the CONSULTANT under this agreement; further, the CONSULTANT is not liable for claims, liabilities or losses arising out of, or connected with, any use by the LOCAL AGENCY of the project documentation on other projects; for additions to this project, or for the completion of this project by others, except only such use as may be authorized, in writing, by the CONSULTANT.

- F. The LOCAL AGENCY may permit copyrighting reports or other agreement products. If copyrights are permitted; the agreement shall provide that the FHWA shall have the royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use; and to authorize others to use, the work for government purposes.
- G. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all of the provisions of this Article.

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

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

#### **ARTICLE XXIII CONFIDENTIALITY OF DATA**

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

D. The CONSULTANT shall not issue any news release or public relations item of any nature, whatsoever, regarding work performed or to be performed under this contract without prior review of the contents thereof by the LOCAL AGENCY, and receipt of the LOCAL AGENCY'S written permission.

E. Any subcontract entered into as a result of this contract shall contain all of the provisions of this Article.

F. All information related to the construction estimate is confidential, and shall not be disclosed by the CONSULTANT to any entity other than the LOCAL AGENCY.

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

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

#### **ARTICLE XXV EVALUATION OF CONSULTANT**

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

#### **ARTICLE XXVI STATEMENT OF COMPLIANCE**

The CONSULTANT's signature affixed herein, and dated, shall constitute a certification under penalty of perjury under the laws of the State of California that the CONSULTANT has, unless exempt, complied with, the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Administrative Code, Section 8103.

#### **ARTICLE XXVII DEBARMENT AND SUSPENSION CERTIFICATION**

A. The CONSULTANT's signature affixed herein, shall constitute a certification under penalty of perjury under the laws of the State of California, that the CONSULTANT has complied with Title 49, Code of Federal Regulations, Part 29, Debarment and Suspension Certificate, which certifies that he/she or any person associated therewith in the capacity of owner, partner, director, officer, or manager, is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency; has not been suspended, debarred, voluntarily excluded, or determined ineligible by any federal agency within the past three (3) years; does not have a proposed debarment pending; and has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years. Any exceptions to this certification must be disclosed to the LOCAL AGENCY.

- B. Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining CONSULTANT responsibility. Disclosures must indicate to whom exceptions apply, initiating agency, and dates of action.

**ARTICLE XXVIII STATE PREVAILING WAGE RATES**

- A. The CONSULTANT shall comply with the State of California’s General Prevailing Wage Rate requirements in accordance with California Labor Code, Section 1775, and all federal, state, and local laws and ordinances applicable to the work.
- B. Any subcontract entered into as a result of this contract if for more than \$25,000 for public works construction or more than \$15,000 for the alteration, demolition, repair, or maintenance of public works, shall contain all of the provisions of this Article.

**ARTICLE XXIX CONFLICT OF INTEREST**

- A. The CONSULTANT shall disclose any financial, business, or other relationship with LOCAL AGENCY that may have an impact upon the outcome of this contract, or any ensuing LOCAL AGENCY construction project. The CONSULTANT shall also list current clients who may have a financial interest in the outcome of this contract, or any ensuing LOCAL AGENCY construction project, which will follow.
- B. The CONSULTANT hereby certifies that it does not now have, nor shall it acquire any financial or business interest that would conflict with the performance of services under this agreement.
- C. Any subcontract in excess of \$25,000 entered into as a result of this contract, shall contain all of the provisions of this Article.
- ~~D. The CONSULTANT hereby certifies that neither the CONSULTANT, its employees, nor any firm affiliated with the CONSULTANT providing services on this project prepared the Plans, Specifications, and Estimates for any construction project included within this contract. An affiliated firm is one, which is subject to the control of the same persons through joint ownership, or otherwise.~~
- E. The CONSULTANT further certifies that neither CONSULTANT, nor any firm affiliated with the CONSULTANT, will bid on any construction subcontracts included within the construction contract. Additionally, CONSULTANT certifies that no person working under this contract is also employed by the construction contractor for any project included within this contract.
- F. Except for subcontractors whose services are limited to materials testing, no subcontractor who is providing service on this contract shall have provided services on the design of any project included within this contract.

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

The CONSULTANT warrants that this contract was not obtained or secured through rebates kickbacks or other unlawful consideration, either promised or paid to any LOCAL AGENCY employee. For breach or violation of this warranty, LOCAL AGENCY shall have the right in its discretion; to terminate the

contract without liability; to pay only for the value of the work actually performed; or to deduct from the contract price; or otherwise recover the full amount of such rebate, kickback or other unlawful consideration.

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

A. The CONSULTANT certifies to the best of his or her knowledge and belief that:

1. No state, federal or local agency appropriated funds have been paid, or will be paid by-or-on behalf of the CONSULTANT to any person for influencing or attempting to influence an officer or employee of any state or federal agency; a Member of the State Legislature or United States Congress; an officer or employee of the Legislature or Congress; or any employee of a Member of the Legislature or Congress, in connection with the awarding of any state or federal contract; the making of any state or federal grant; the making of any state or federal loan; the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any state or federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid, or will be paid to any person for influencing or attempting to influence an officer or employee of any federal agency; a Member of Congress; an officer or employee of Congress, or an employee of a Member of Congress; in connection with this federal contract, grant, loan, or cooperative agreement; the CONSULTANT shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

B. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, US. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

C. The CONSULTANT also agrees by signing this document that he or she shall require that the language of this certification be included in all lower-tier subcontracts, which exceed \$100,000, and that all such sub recipients shall certify and disclose accordingly.

**ARTICLE XXXII NOTIFICATION**

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

CONSULTANT:

LOCAL AGENCY:  
Town of Fairfax

---

142 Bolinas Road  
Fairfax, CA 94930

**ARTICLE XXXIII      AGREEMENT**

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



**ARTICLE XXXIV      SIGNATURES**

By \_\_\_\_\_, for \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

TOWN OF FAIRFAX, a municipal corporation

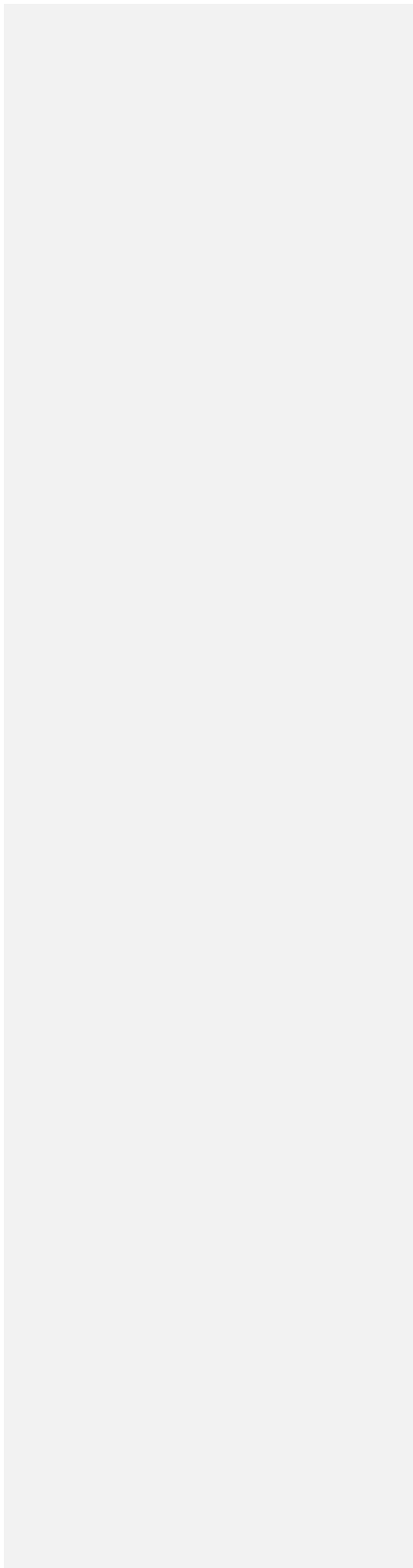
By \_\_\_\_\_, Mayor

By \_\_\_\_\_, Town Manager

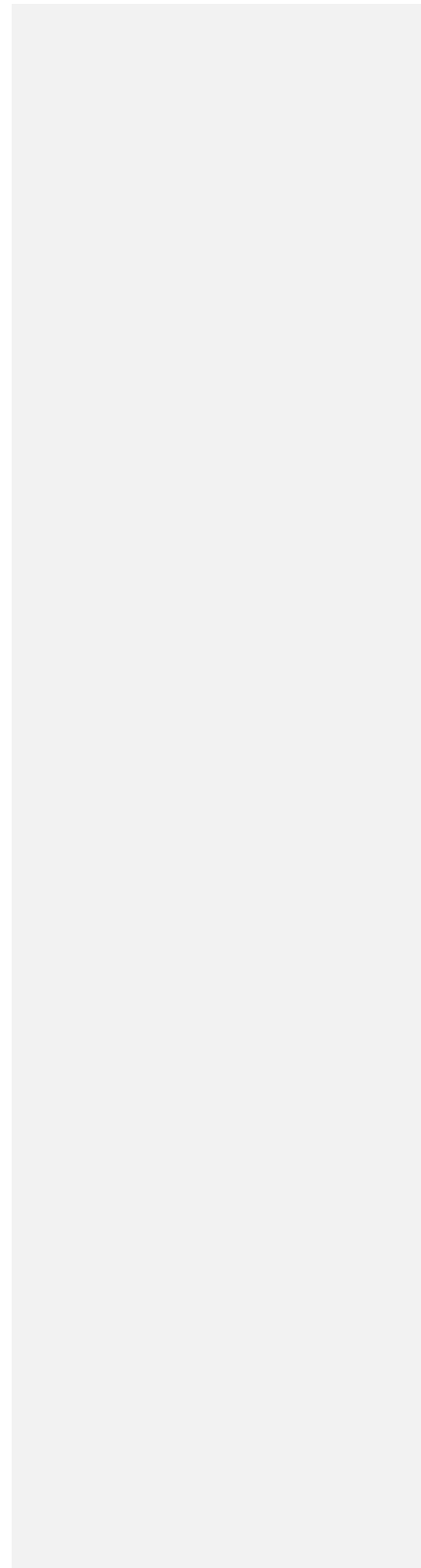
By \_\_\_\_\_, Clerk

Approved as to Form:

\_\_\_\_\_  
Town Attorney



**EXHIBIT V – DISADVANTAGED BUSINESS  
ENTERPRISE INFORMATION**



## Exhibit 10-I Notice to Proposers DBE Information

TOWN OF FAIRFAX  
December 18, 2012

**The Agency has established a DBE goal for this Agreement of 4.6%**

### 1. TERMS AS USED IN THIS DOCUMENT

- The term “Disadvantaged Business Enterprise” or “DBE” means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Part 26.5, Code of Federal Regulations (CFR).
- The term “Agreement” also means “Contract.”
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term “Small Business” or “SB” is as defined in 49 CFR 26.65.

### 2. AUTHORITY AND RESPONSIBILITY

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Agreements financed in whole or in part with federal funds (See 49 CFR 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”). The Contractor should ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

### 3. SUBMISSION OF DBE INFORMATION

If there is a DBE goal on the contract, a “Local Agency Proposer DBE Commitment (Consultant Contract)” (Exhibit 10-O1) form shall be included in the Request for Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards the contract goal, and all DBE participation shall be collected and reported.

A “Local Agency Proposer DBE Information (Consultant Contract)” (Exhibit 10-O2) form shall be included with the Request for Proposal. The purpose of the form is to collect data required under 49 CFR 26. This form collects all DBE participation. Even if no DBE participation will be reported, the successful proposer must execute and return the form.

### 4. DBE PARTICIPATION GENERAL INFORMATION

It is the proposer’s responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department’s DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime contractor, subcontractor, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
  1. The proposer is a DBE and will meet the goal by performing work with its own forces.
  2. The proposer will meet the goal through work performed by DBE subcontractors, suppliers or trucking companies.
  3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.
- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subcontractor for each portion of work as defined in their proposal and all DBE subcontractors should be listed in the bid/cost proposal list of subcontractors.
- G. A prime contractor who is a certified DBE is eligible to claim all of the work in the Agreement toward the DBE participation except that portion of the work to be performed by non-DBE subcontractors.

## 5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Civil Rights, Business [Enterprise Program](#) web site at: <http://www.dot.ca.gov/hq/bep/>.  
  
Click on the link in the left menu titled *Disadvantaged Business Enterprise*  
  
Click on *Search for a DBE Firm* link  
  
Click on *Access to the DBE Query Form* located on the first line in the center of the page  
  
Searches can be performed by one or more criteria  
  
Follow instructions on the screen
- C. How to Obtain a List of Certified DBEs without Internet Access:

DBE Directory - If you do not have Internet access, Caltrans also publishes a directory of certified DBE firms extracted from the online database. A copy of the directory of certified DBEs may be ordered from the Caltrans Publications Unit at (916) 263-0822, 1900 Royal Oaks Drive, Sacramento, CA 95815-3800.

**6. MATERIALS OR SUPPLIES PURCHASED FROM DBES COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS:**

- A. If the materials or supplies are obtained from a DBE *manufacturer*, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Agreement and of the general character described by the specifications.
- B. If the materials or supplies are purchased from a DBE *regular dealer*, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Agreement are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

**7. FOR DBE TRUCKING COMPANIES: CREDIT FOR DBES WILL COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS:**

- A. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular Agreement, and there cannot be a contrived arrangement for the purpose of meeting the DBE goal.
- B. The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the Agreement.
- C. The DBE receives credit for the total value of the transportation services it provides on the Agreement using trucks it owns, insures, and operates using drivers it employs.
- D. The DBE may lease trucks from another DBE firm including an owner-operator who is certified as a DBE. A DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the Agreement.

E. The DBE may also lease trucks from a non-DBE firm, including an owner-operator. A DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. A DBE does not receive credit for the total value of the transportation services provided by the lessee, since these services are not provided by the DBE.

F. For the purposes of this Section D, a lease must indicate that the DBE has exclusive use and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, as long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.

**Exhibit 10-O1: Local Agency Consultant DBE Commitment**

**REPLACE WITH TWO-PAGE PDF**

**EXHIBIT 10-02: Local Agency Proposer DBE Information (Consultant Contracts)**

**REPLACE WITH TWO-PAGE PDF**



**EXHIBIT VI – ~~Marin County – Ross Valley~~  
~~Watershed CIP Report~~**  
**Bridge Inspection Reports**  
**Bridge Plans of Action**

## **Marin County – Ross Valley Watershed CIP Report**

Consultant is encouraged to review the following information to which links are provided below:

The Ross Valley Flood Protection and Watershed Program:

<http://www.marinwatersheds.org/rossvalleywatershed-org/index.html>

Capital Improvement Plan Study for Flood Damage Reduction and Creek Management for Flood Zone 9/Ross Valley by Stetson Engineers, May 2011:

<http://www.marinwatersheds.org/documents/CIPStudyReportMay2011.pdf>

Specific Plates in the report that may be helpful:

<http://www.marinwatersheds.org/documents/Plate2-1GeneralOverview.pdf>

<http://www.marinwatersheds.org/documents/Plate2-2.1FF.pdf>

<http://www.marinwatersheds.org/documents/Plate2-2.2FF.pdf>

<http://www.marinwatersheds.org/documents/Plate2-2.3FF.pdf>

<http://www.marinwatersheds.org/documents/Plate2-2.4FF.pdf>

## **U.S. Army Corps of Engineers**

Flood Evaluation of Corte Madera Creek:

<http://www.spn.usace.army.mil/cortemaderacreek/index.html>

**Bridge Inspection Reports  
And  
Bridge Scour Evaluations / Plans of Action**

