



**SHASTA REGIONAL TRANSPORTATION AGENCY
INFILL & REDEVELOPMENT INCENTIVE PROGRAM, Cycle II**

**REQUEST FOR PROPOSALS
FOR PROJECTS LOCATED IN THE DOWNTOWN REDDING
STRATEGIC GROWTH AREA**

RFP issued April 27, 2017

**Pre-Proposal Conference will be held
10:30am to Noon on May 2, 2017**

**Proposals must be received no later than
5:00 PM on May 31, 2017**

To receive notices when information and possible RFP addenda become available, interested applicants must subscribe to SRTA's bid posting webpage:

<http://www.srta.ca.gov/bids.aspx>

**Shasta Regional Transportation Agency
1255 East Street, Suite 202
Redding, CA 96001
(530) 262-6190**

Key Dates and Contact Information

Schedule/Timeline:

| | |
|--|--|
| April 27, 2017 | RFP published |
| May 2, 2017 | Pre-application question and answer (with call-in option) |
| May 4, 2017 | Deadline to submit additional questions in writing |
| May 5, 2017 | SRTA to provide single response to all written inquiries |
| May 31, 2017, 5:00pm | Deadline to submit project proposals |
| June 27, 2017 | Staff recommendation to SRTA Board of Directors for approval |
| July 5, 2017 | Technical Services Agreement executed |
| TBD, based on AHSC program schedule (estimated October 2017) | Submit AHSC capital grant application |

Pre-Application Question and Answer:

Date: May 2, 2017
Time: 10:30am to Noon
Location: SRTA offices (1255 East Street, Suite 202, Redding, CA)
Call-in option: (866) 906-9888, participant code 8514637#

SRTA contact information (for minor administrative questions only):

Daniel Wayne, Senior Planner
530-262-6186
dwayne@srta.ca.gov

Dan Little, Executive Director
530-262-6190
dlittle@srta.ca.gov

City of Redding contact information (for questions regarding local plans and processes, and to request a letter of local agency concurrence):

Chuck Aukland, Assistant Director, Public Works Department
530-245-7156
caukland@ci.redding.ca.us

Steve Bade, Housing Manager
530-245-7129
sbade@ci.redding.ca.us

Introduction

The Shasta Regional Transportation Agency (SRTA) seeks proposals for projects that combine mixed-use land development and multi-modal transportation infrastructure and services. The selected proposal will receive pre-development technical assistance and grant writing services. An initial budget of \$120,000 has been estimated. A higher amount may be recommended (up to \$175,000) if the proposed scope of work is critical to the project, the project concept is believed to be highly competitive for future capital grant funding, and there is a substantial combined cash and in-kind match from the developer, the city of Redding, and/or other interested entities.

Only one project in the Downtown Redding strategic growth area will be selected (see attached boundary map). The selected proposal will then compete for up to \$20 million in Affordable Housing and Sustainable Communities (AHSC) program funds to be used for land development and transportation infrastructure and programs resulting in reduced vehicle miles traveled.

Qualified developers, in conjunction with an appropriate team of technical consultants, are invited to submit a project concept and technical scope of work in accordance with this request for proposals (RFP). Each proposal shall have a lead consultant for the purpose of entering into a SRTA technical services agreement (see attached template), and who will be responsible for overall project management, management of sub-consultants, project communications, invoicing, and so forth.

Background and Purpose of the SRTA Infill & Redevelopment Incentive Program

In 2015, the SRTA Board of Directors adopted aggressive goals for reducing vehicle miles traveled and associated greenhouse gas emissions in the Shasta Region, while also enhancing mobility for people and goods. This is being accomplished, in part, through multi-modal transportation investments (i.e. public transit, bicycle, and pedestrian facilities and services) combined with incentives for transportation-efficient land use patterns (i.e. higher density, mixed use development in proximity to employment and other common trip destinations). To maximize the impact, these efforts are focused on strategic growth areas identified in the 2015 Regional Transportation Plan for the Shasta Region, including the Downtown Redding Strategic Growth Area. Co-outcomes, including urban revitalization, economic development, public health and safety, ag land preservation, environmental sustainability, and climate change resiliency, have also been identified as high-priority objectives.

Recent activities and accomplishments include the following:

- A \$20 million Affordable Housing and Sustainable Communities (AHSC) grant was awarded to the city of Redding and K2 Development to restore the transportation grid through the central business district and to construct a four-story mixed use development featuring 79 new residential units and over 20,000 square feet of commercial space. Residents of the project will be provided reduced cost transit passes.
- A \$2.4 million Active Transportation Program (ATP) grant was awarded to the city of Redding to connect the Sacramento River Trail to Downtown Redding. A SRTA commitment of

\$400,000 was instrumental in obtaining the ATP grant. Upon completion, users of the Sacramento River Trail will be able to access Downtown Redding jobs, retail, and community activities.

- California Street/southbound State Route 273 through Downtown Redding received a lane diet to make room for a buffered bicycle lane.
- Caltrans awarded grant funds to complete the Downtown Redding Transportation Plan and the Downtown Redding Specific Plan Update.
- Redding Area Bus Authority (RABA) implemented new cross-town express service using Low-Carbon Transit Operations Program (LCTOP) funds.

Eligible Projects

The 'project' will be defined by the applicant, but must:

- 1) Be located in the Downtown Redding Strategic Growth Area and build upon the Redding Downtown Loop and Affordable Housing Project (Cycle II AHSC grant);
- 2) Demonstrate support from the city of Redding, as evidenced by a letter of support and commitment to actively participate in the project design and Cycle III AHSC grant application (letter of support from staff is adequate for submittal, followed by formal approval from Redding City Council prior to project selection by the SRTA Board of Directors on June 27, 2017);
- 3) Have site control, or the demonstrated commitment from owner to sell or otherwise relinquish site control. Note: several parcels currently owned by the city of Redding or Redding Area Bus Authority have been identified as potential sites, conditioned upon consideration and approval by the city council (see Attachment B);
- 4) Meet community needs, as demonstrated by a nexus to adopted and draft local plans (i.e. general plan, transportation plan, specific plan, etc.) and documented consultation with applicable community stakeholders;
- 5) Be laser-focused on the objectives and evaluation criteria of the Affordable Housing and Sustainable Communities Program. Information regarding the AHSC program is available online from the California Strategic Growth Council at <http://www.sgc.ca.gov/Grant-Programs/AHSC-Program.html>.

The proposed project concept will be considered the starting point for negotiation. The developer must be flexible and willing to work with residents, downtown stakeholders, city of Redding, and SRTA to identify and incorporate the needs and expectations of the community into the project design. Please note that all information and products resulting from available incentives shall be considered SRTA property unless identified and agreed upon in advance as proprietary to the developer. Proprietary elements should generally be paid by the developer.

Eligible Activities

Planning funds for SRTA's Infill and Redevelopment Incentive Program are limited to activities allowed by the funding agency and each funding source has various terms and conditions of use. In general, funds can only be used for planning purposes to identify needs and ready projects that

address these needs. No hard costs for equipment, land, construction, or similar items are permitted. Prior to awarding incentives for any project, SRTA will review and match each proposed work task to the appropriate fund source.

Examples of activities eligible for funding under this procurement including the following:

- 1) Technical services needed to ready the project for approval by the city of Redding and to satisfy all thresholds associated with an AHSC program, such as:
 - Site/urban planning;
 - Architectural design (up to schematic design and design development);
 - Parking analysis and feasibility studies;
 - Civil engineering;
 - Structural engineering;
 - Transportation engineering;
 - Traffic impact studies;
 - California Emissions Estimator Model (CalEEMod) calculations;
 - Housing market studies;
 - Energy calculations;
 - Community outreach;
 - Affordable housing consultation;
 - Professional pre-construction cost estimating; and
 - Other similar activities as necessary to meet the objectives of this RFP/call for projects.
- 2) Technical grant writing services needed to prepare and submit a thorough and competitive AHSC capital grant application.

Ineligible Activities:

- 1) Developer staff time, direct/indirect expenses, and other non-consultant time and materials.
- 2) Site preparation, construction, equipment purchase, engineering/architectural blueprints; and California Environmental Quality Act (CEQA) review.

Matching Requirement:

There is no minimum matching requirement; however, the developer should be a financially invested partner in the pre-development process. Using the provided scope and budget worksheet, the developer should indicate all cash and in-kind contributions toward the project concept and grant application. In addition, cash and in-kind contributions from other project stakeholders (e.g. city of Redding, philanthropic organizations, etc.) are strongly encouraged and should be indicated in the worksheet. Requests for funding over \$120,000 should aim for 50% cash and in-kind match.

Eligible Applicants and Responsibilities

The lead consultant representing the developer will be required to enter into a technical services agreement (see attached template) with SRTA. Additional consultants and service providers shall

work under the direction of the lead consultant and must be listed by name in the proposal with a description of work performed, deliverables, and fees. The lead consultant shall identify a project manager that will be responsible for providing day to day work flow management, communications, invoicing, reporting, and quality control.

The developer shall serve as a third-party without direct financial interest in the agreement, but shall be actively engaged with SRTA, city of Redding, and the lead consultant in managing the project and ensuring the highest quality deliverables. Upon AHSC grant award, the developer must have the ability and financial capacity to deliver the project in accordance with the terms of the grant agreement.

Proposal Contents

Proposals should be thorough but also concise and efficient. At a minimum, the following information should be included and clearly labeled in order:

- 1) Transmittal letter, signed by an officer who may contractually bind the business. The proposal shall contain a firm offer for a minimum of 30 days and contain a statement that all activities and deliverables within the proposed scope of work will be rendered at the provided not-to-exceed budget.
- 2) Statement of understanding regarding the objectives of SRTA's Infill & Redevelopment program and the Strategic Growth Council's AHSC program.
- 3) List of developer personnel and sub-consultants on the project team, including a summary of their qualifications and work experience (resumes may be included as an attachment).
- 4) Developer's ability to build the project if awarded AHSC grant funds, as demonstrated by similar projects successfully completed and a qualified third-party assessment of financial capacity.
- 5) Description of the proposed project, including:
 - Parcel number(s).
 - Evidence of site control. If future control is anticipated, demonstrate willingness of existing owner and any terms or conditions thereof. In addition to privately-owned parcels, vacant and underutilized city of Redding-owned parcels may be considered (see Attachment B).
 - Anticipated floor area ratio, number of housing units (affordable and market rate), and square footage of commercial/employment space.
 - Proposed community space (i.e. publicly accessible space for events, markets, etc.).
 - Transportation-related amenities resulting in increased usage of alternative transportation modes.
 - Parking strategy sensitive to community and AHSC priorities.
 - Relationship to the Downtown Redding Transportation Plan and Downtown Redding Specific Plan update.
 - Any additional, out-of-the-box elements that would distinguish the project among the AHSC program competition (e.g. innovative ways connect the project to an economic development initiative, ag land preservation, and so forth).

- 6) Past and planned outreach to the city of Redding and others leaders in downtown investment (e.g. Viva Downtown, Shasta Historical Society, etc), as demonstrated by letters of support;
- 7) Work plan, budget, and deliverables, based on the delivery of all work products and final draft grant application no later than October 2, 2017 (see attached Excel worksheet template, a downloadable version of which is available online at <http://www.srta.ca.gov/bids.aspx>).
- 8) Cost proposal, indicating hourly fee schedule by personnel and materials; cost by task; and total cost to complete the project. Work tasks not requested for SRTA funding should be included in the overall scope of work with indication of cash and/or in-kind fund source(s) in order to qualify for points for match (see Proposal Evaluation Criteria).

Pre-Proposal Conference

A pre-proposal conference will be held as follows:

Date: May 2, 2017
 Time: 10:30am to Noon
 Location: SRTA offices (1255 East Street, Suite 202, Redding, CA)
 Call-in: (866) 906-9888, participant code 8514637#

Written questions concerning this RFP not addressed during the pre-proposal conference may be submitted via email no later than 5:00pm, May 4, 2017, to Daniel Wayne, Senior Planner, at srta@srta.ca.gov.

Schedule

| | |
|---------------------|--|
| April 27, 2017 | RFP published |
| May 2, 2017 | Pre-Application question and answer (w/ call-in option). Minutes to be posted online by 5pm |
| May 4, 2017 | Deadline to submit additional questions in writing |
| May 5, 2017 | SRTA to provide single response to all written inquiries |
| May 31, 2017, 5pm | Deadline to submit project proposals |
| June 27, 2017 | Staff recommendation to SRTA Board of Directors for approval |
| July 5, 2017 | Technical Services Agreement executed |
| TBD (est. Oct 2017) | Submit AHSC capital grant application |

Interested applicants are responsible for subscribing to SRTA’s bid posting webpage at <http://www.srta.ca.gov/bids.aspx> in order to receive addenda to this RFP and responses to questions.

Proposal Evaluation

A panel will be formed to evaluate the proposals and make a recommendation in consultation with the executive director. The SRTA Board of Directors will make the final selection. The proposal evaluation shall be based on the scoring criteria presented below. Proposals that fail to include all required elements may be found non-responsive and will be not evaluated.

| Proposal Evaluation Criteria | Points |
|---|---------------|
| Thoroughness of proposal in meeting the objectives of this RFP and local and regional plans | 20 |
| Degree to which project addresses AHSC program objectives | 20 |
| Project support, as demonstrated by letters of support and documentation of community collaboration toward the project concept | 20 |
| Ability to deliver the project if awarded an AHSC grant, as demonstrated by financial capacity and experience delivering similar projects | 20 |
| Matching funds (cash and in-kind) | 20 |
| Total Points | 100 |

Should multiple proposals be received, the lead consultant and developer representing each proposal will most likely be invited to an interview, in which case SRTA will provide a list of questions in advance. Presentations will be allowed, with a specified time limit.

Contract Amount and Award

The anticipated start date is July 5, 2017. Unless directed otherwise, all work must be completed in time to submit a grant application under Cycle III of the AHSC program. The deadline to submit applications has not yet been announced, but is anticipated to be in October 2017. The actual amount awarded shall be based on funding availability and the value of the services to be provided. An initial budget of \$120,000 has been estimated for these activities; however, additional funds may be requested (up to \$175,000) if the proposed scope of work is critical to the project, the project concept is believed to be highly competitive, and there is a substantial combined cash and in-kind match from the developer, the city of Redding, and/or other community stakeholders.

Standard Consulting Agreement

SRTA’s standard Technical Services Agreement (TSA) will be used for the agreement between SRTA and the selected consultant. SRTA’s TSA template is provided by attachment to this RFP.

Protest Procedure

All protests, signed by the protesting party, must be in writing within three (3) business days from the results notification and be addressed to the SRTA Executive Director. Include a description of the expected relief or corrective action in the protest. The protest should stipulate an issue of fact concerning the following points:

- A matter of bias, discrimination, or conflict of interest on the part of an evaluator(s);
- Errors in computing the score; and/or
- Non-compliance with procedures described in this RFP or SRTA’s established policies.

SRTA will only consider protests based on the above points. SRTA will reject protests without merit if they address issues such as an evaluator's professional judgment on the objective quality of a proposal. The SRTA Executive Director will review and respond to protests within five (5) business days from receipt. Protests considered unresolved by the protesting party will be forwarded to the SRTA Board of Directors either at the meeting at which the subject contract is under consideration, or at a subsequent meeting.

Proposal Submittal

Proposals may be submitted in person, by mail, or electronically as follows:

Shasta Regional Transportation Agency
Attn: Daniel Wayne, Senior Planner
1255 East Street, Suite 202
Redding, CA 96001
srta@srta.ca.gov

Submittals must be received at the SRTA office by the stated deadline. No proposals will be accepted after this time. **Postmarks are not acceptable.** Consultants may forward their proposal by email or by mail, or delivery service. Proposal receipt will be acknowledged by email.

The cost of preparing and submitting a proposal, pre-contract meetings, and participating in an interview—if held—are at the sole expense of the proposer. SRTA reserves the right to reject any or all proposals, and to waive any informality, technical defect, or clerical error in any proposal at SRTA's discretion. Solicitation of proposals in no way obligates SRTA to contract with any firm or individual. The decision to approve and award a contract is at the discretion of SRTA.

Public Records Act: All proposals submitted in response to the RFP will become the exclusive property of SRTA. At such time the SRTA Executive Director recommends a proposal to the board of directors and such recommendation appears on the board agenda, all proposals submitted in response to the RFP shall become a matter of public record and shall be regarded as public records. **If there are any trade or proprietary secrets included by the consultant, the consultant may provide a different copy of the proposal that would be acceptable to release to the public. If an alternate document is not made available to SRTA by the consultant, then the original proposal, as submitted, will be released as requested.** Proprietary information can include secret formulas, processes, and methods used in production. It can also include a company's business and marketing plans, salary structure, customer lists, contracts, and details of its computer systems. In some cases, the special knowledge and skills that an employee has learned on the job are considered to be a company's proprietary information.

Modification or Withdrawal of Proposal: Any proposal received prior to the deadline may be withdrawn or modified either personally, through e-mail, or by written request of the consultant. To be considered, the modification must be received in writing (email acceptable) prior to the deadline. Proposals may be withdrawn following the proposal deadline for good cause; please consult with the RFP contact person to discuss this.

RFP Addendum or Addenda: Any changes to the RFP will be made by written addenda issued by SRTA, and shall be considered part of the RFP. The RFP deadline may be extended dependent upon the nature of the changes issued. Upon issuance, such addenda shall be incorporated into the agreement documents, and shall prevail over inconsistent provisions of earlier issued documentation. Any addenda will be posted on-line only. It will be the consultant's responsibility to assure that all addenda are incorporated into the proposal as required according to all the terms and conditions for submittal of the proposal. In no event will SRTA modify the RFP with less than five (5) days remaining to the deadline, without extending the RFP deadline.

Verbal Agreement or Conversation: No prior, current, or post-award verbal conversations or agreement(s) with any officer, agent, or employee of SRTA shall affect or modify any terms or obligations of this RFP, or any contract resulting from this procurement.

Special Funding Considerations: Any contract resulting from this RFP will be financed with funds available to SRTA. The contract for this service is contingent upon the provision of these funds to SRTA. In the event these funds are reduced or eliminated, SRTA reserves the right to terminate or revise any contract.

DBE Requirement: SRTA has determined that disadvantaged business enterprises, as defined in 49 CFR Part 26, will have the opportunity to compete fairly for contracts financed, in whole or in part, with federal funds. SRTA has a disadvantaged business enterprise (DBE) goal of 5.1% for federal fiscal years 2015/2016/2017. SRTA encourages respondents to include the participation of DBE businesses within your proposal.

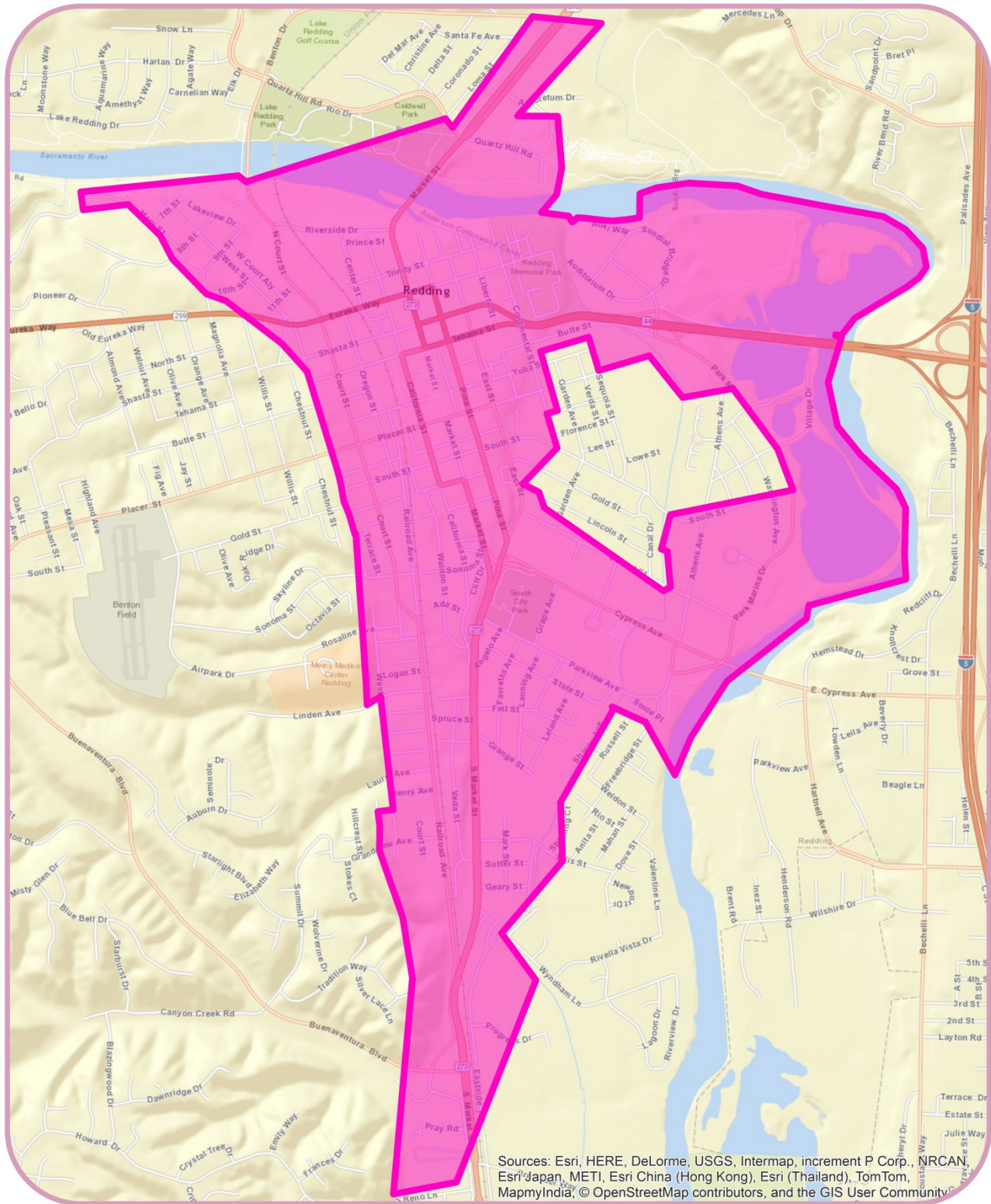
Equal Employment Opportunity/Affirmative Action: In awarding a contract to a consultant, SRTA includes language within the contract which requires the consultant to certify their compliance with federal regulations.

Debriefing

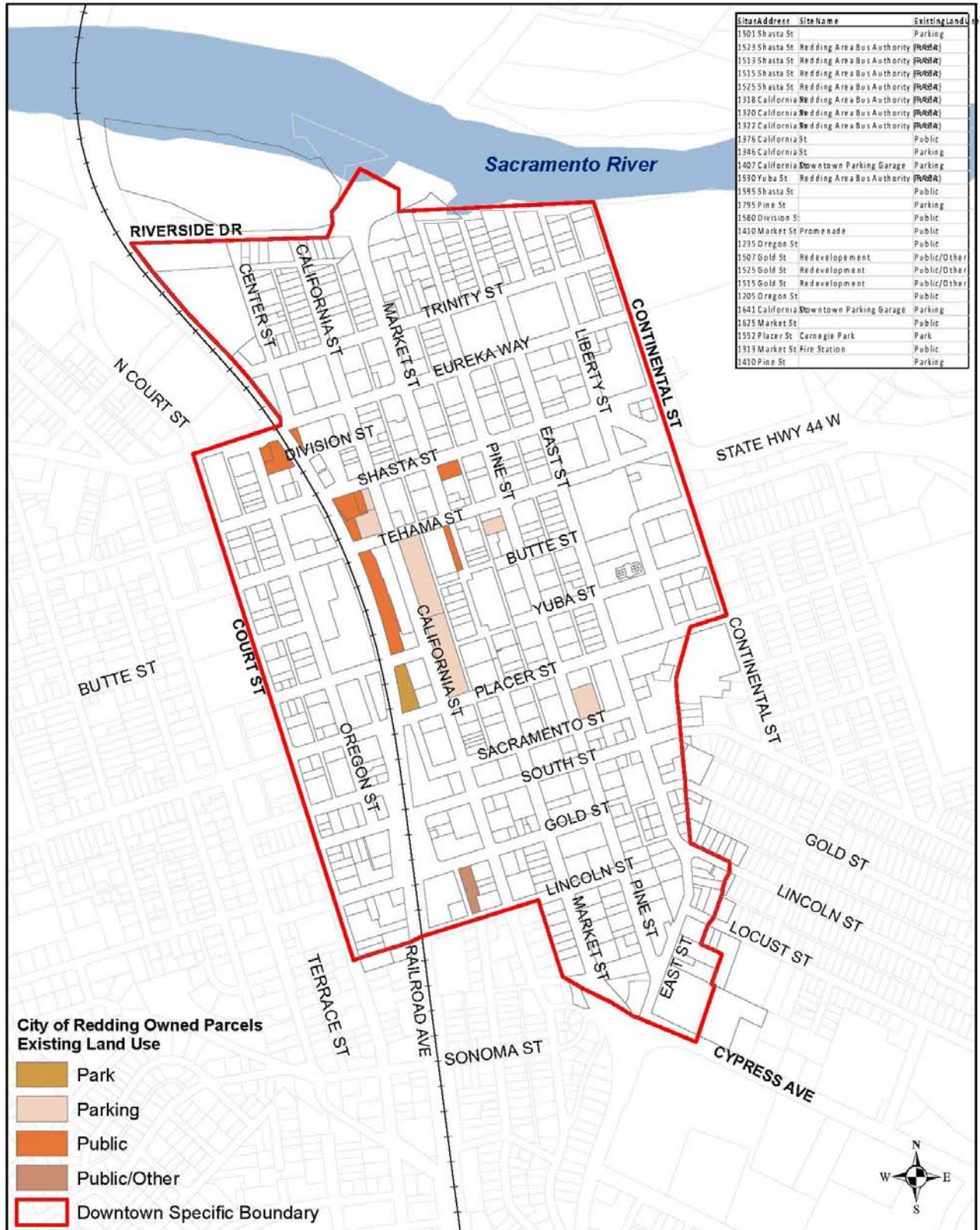
SRTA will provide an informal debriefing to interested consultants not selected, once a final contract has been negotiated and executed.

Attachment A: Boundary Map of the Downtown Redding Strategic Growth Area

Redding Strategic Growth Area



Attachment B: City of Redding Owned Parcel Potentially Available for Infill and Redevelopment



P:\Downloads\MapDocuments\CityOwned_Vacant.mxd Apr 14, 2017

Attachment C: Sample Excel Worksheet for Project Scope and Budget
Downloadable Excel Worksheet is Available Online at the Following Location
and may be modified as needed:
<http://www.srta.ca.gov/bids.aspx>

DRAFT

**Shasta Regional Transportation Agency
Infill & Redevelopment Incentive Program, Cycle II**

Template Scope and Budget Proposal Worksheet

Downloadable Excel worksheet is available online at <http://www.srta.ca.gov/bids.aspx> and may be modified as needed

| Applicant Name: | | Insert Name of Applicant | | | | |
|-------------------------|--|--|-----------------------------|-----------------------|-----------------------------------|---|
| Project Title: | | Insert Project Title | | | | |
| | | Fund Source | | | | |
| | | Name of Consultant or responsible party if cash or in-kind | Amount SRTA Incentive Funds | Amount Matching Funds | Source of Match (Cash or In-Kind) | Deliverables |
| Task 1: | Site Planning & Urban Design (Sample Task) | | | | | |
| 1.1 | Site plan, including affordable housing, commercial space, market space, and active open space elements | Name of consulting firm | \$ 5,000 | | | Two-dimensional site plan for project site |
| 1.2 | Urban design plan showing integration with surrounding land uses and planned and proposed sustainable transportation | Name of consulting firm | \$ 5,000 | | | |
| 1.3 | | Name of developer | | \$ 1,000 | In-Kind | |
| 1.4 | | Name of third-party partner | | \$ 1,000 | Cash | |
| Task 1 Subtotal: | | | \$ 10,000 | \$ 2,000 | | |
| Task 2: | Architectural Schematic Design (Sample Task) | | | | | |
| 2.1 | Architectural Schematic Design | Name of consulting firm | \$ 5,000 | | | Architectural rendering |
| 2.2 | | | | | | |
| 2.3 | | | | | | |
| 2.4 | | | | | | |
| Task 2 Subtotal: | | | \$ 5,000 | \$ - | | |
| Task 3: | Ag Land Conservation Incentive Program (Sample Task) | | | | | |
| 3.1 | Develop ag land conservation incentive package in consultation with targeted land owners | Name of consulting firm | \$ 5,000 | | | Conservation incentive package, documentation of outreach to prospective landowners |
| 3.2 | | | | | | |
| 3.3 | | | | | | |
| 3.4 | | | | | | |
| Task 3 Subtotal: | | | \$ 5,000 | \$ - | | |
| Task 4: | Bicycle and Electric Vehicle Share Facility Design and Program (Sample Task) | | | | | |
| 4.1 | Bicycle and electric vehicle program plan | Name of Consultant | | \$1,000 | In-kind | Program business plan, including start-up and ongoing expenses and revenue |
| 4.2 | Design and itemized cost estimate for a facility needed to support a bicycle and electric vehicle share program | Name of third-party partner | \$5,000 | | | Itemized project budget |
| 4.3 | | | | | | |
| 4.4 | | | | | | |
| Task 4 Subtotal: | | | \$ 5,000 | \$ 1,000 | | |
| Task 5: | Traffic Circulation and Parking Plan (Sample Task) | | | | | |
| 5.1 | | | | | | |
| 5.2 | | | | | | |
| 5.3 | | | | | | |
| 5.4 | | | | | | |
| Task 5 Subtotal: | | | \$ - | \$ - | | |
| Task 6: | Pre-Construction Cost Estimating (Sample Task) | | | | | |
| 6.1 | | | | | | |
| 6.2 | | | | | | |
| 6.3 | | | | | | |
| 6.4 | | | | | | |
| Task 6 Subtotal: | | | \$ - | \$ - | | |
| Task 7: | CalEEMod calculations (Sample Task) | | | | | |
| 7.1 | | | | | | |
| 7.2 | | | | | | |
| 7.3 | | | | | | |
| 7.4 | | | | | | |
| Task 7 Subtotal: | | | \$ - | \$ - | | |
| Task 8: | Affordable Housing Finance Plan (Sample Task) | | | | | |
| 7.1 | | | | | | |
| 7.2 | | | | | | |
| 7.3 | | | | | | |
| 7.4 | | | | | | |
| Task 8 Subtotal: | | | \$ - | \$ - | | |
| Task 9: | Pre-Construction Cost Estimating (Sample Task) | | | | | |
| 6.1 | | | | | | |
| 6.2 | | | | | | |
| 6.3 | | | | | | |
| 6.4 | | | | | | |
| Task 6 Subtotal: | | | \$ - | \$ - | | |
| Task 10: | Copy format for additional tasks as needed... | | | | | |
| 7.1 | | | | | | |
| 7.2 | | | | | | |
| 7.3 | | | | | | |
| 7.4 | | | | | | |
| Task 8 Subtotal: | | | \$ - | \$ - | | |
| Total | | | \$25,000 | \$3,000 | | |

Attachment D: Sample SRTA Technical Services Agreement

DRAFT

[Number 2016-insert numerical sequence here based on TSA tracking spreadsheet next #]

**TECHNICAL SERVICES AGREEMENT BETWEEN
THE SHASTA REGIONAL TRANSPORTATION AGENCY AND
[Insert firm's name here] FOR PREPARATION OF [Insert purpose here]**

This agreement is entered into between the Shasta Regional Transportation Agency ("SRTA") and [Insert consultant name here] ("Consultant") for the purpose of [Insert purpose here].

1. RESPONSIBILITIES OF CONSULTANT

- A) Consultant shall complete the services outlined in the scope of work shown in Attachment A.
- B) As required by California Government Code Section 7550, each document or report prepared by Consultant, for or under the direction of SRTA pursuant to this agreement, shall contain the numbers and dollar amount of the agreement and all subcontracts under the agreement relating to the preparation of the document or written report. If multiple documents or written reports are the subject of the agreement or subcontracts, the disclosure section may also contain a statement indicating that the total contract amount represents compensation for multiple documents or written reports. Consultant shall label the bottom of the last page of the document or report as follows: Shasta Regional Transportation Agency, agreement number, and dollar amount. If more than one document or report is produced under this agreement, Consultant shall add: "This [document or report] is one of [number] produced under this agreement."

2. RESPONSIBILITIES OF SRTA

- A) SRTA shall compensate Consultant as set forth in section 3 of this agreement and shall monitor Consultant's performance.
- B) SRTA shall review draft documents in a timely manner.
- C) SRTA will provide [Insert any SRTA commitments here], in a timely manner.

3. COMPENSATION

Compensation shall be based on expenses associated with the bid deliverables, per the budget shown in Attachment B. Compensation shall not exceed \$[Insert amount here] for the services described in both Attachments A and B.

4. BILLING AND PAYMENT

Consultant shall submit to SRTA within thirty days (30) after completion of the services described in section 1, an itemized, mailed (email not acceptable) invoice of services rendered and an accompanying progress report. Consultant may submit periodic invoices (no more than twelve per year) as work is completed during the term of this agreement; however, not less than quarterly Consultant shall submit an invoice and progress report. SRTA shall make payment within 30 days of receipt of Consultant's correct and approved invoice(s). All requests for payment must include a narrative of services performed in the period by task, and any agreed-upon deliverables per Attachments A and B.

For travel and subsistence (per diem) expenses of Consultant and its subcontractors, Consultant rates shall not exceed rates authorized to be paid rank and file State employees under current State Department of Personnel Administration (DPA) rules. If the rates invoiced by Consultant are in excess of DPA rates, SRTA will not reimburse those amounts in excess of the DPA rates.

Consultant will require that it and its subcontractors be obligated to agree, that (a) the Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allowability of individual project cost items (contractors shall refer to, 2 CFR, Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and/or parties shall comply with applicable regulations (i) 2 CFR part 220, "Cost Principles for Educational Institutions (OMB Circular A-21);" (ii) 2 CFR part 230, "Cost Principles for Non-Profit Organizations (OMB Circular A-122); and (b) all parties shall comply with Federal administrative procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Contractor, and subcontractor(s), as applicable shall comply with Federal administrative procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

Consultant, and its subcontractors, shall establish and maintain an accounting system conforming to Generally Accepted Accounting Principles (GAAP) to support Requests for Reimbursement which segregate and accumulate the costs of work elements by line item (i.e direct labor, other direct costs, consultants/subcontractor, etc.) and enable the determination of incurred costs at interim points of completion, and provide support for reimbursement payment vouchers or invoices.

For the purpose of determining compliance with Title 2, California Government Code, Chapter 6.5, Article 2, Section 8546.7, Consultant and its subcontractors shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts and/or

agreements, including, but not limited to, the costs of administering those various contracts and/or agreements. All of the above referenced parties shall make such contracts and/or agreements available at their respective offices at all reasonable times during the entire period of the contract duration and for three (3) years from the date of final payment to Consultant or until audit resolution is achieved for each annual SRTA Overall Work Program Agreement, whichever is later. The State, the California State Auditor, or any duly authorized representative of the State or the United States Department of Transportation, shall each have access to any books, records, and documents that are pertinent to the fulfillment of the contracts/ and/or agreements for audits, examinations, excerpts, and transactions, and Consultant and its subcontractors shall furnish copies thereof if requested.

5. TERM OF AGREEMENT AND SCHEDULE

This agreement shall commence on the date of SRTA board of directors, or executive director, signing and shall terminate upon completion of the services described in section 1, or on [Insert termination date here], whichever is earlier, unless this agreement is terminated under the provisions of Section 6. of this agreement.

[INSERT AGREED UPON SCHEDULE AND OTHER SCOPE OF WORK ITEMS]

Subcontractor contracts containing Federal and State planning funds are required to be competitively bid and awarded in accordance with Title 49, CFR, Part 18, Section 18.37 and consistent with Local Assistance Procedure Manual, Ch. 10 or successors thereto.

6. TERMINATION OF AGREEMENT

- A) Termination for Convenience – This agreement may be terminated by either party for any reason and at any time by giving no less than thirty (30) days written notice of such termination to the other party and specifying the effective date thereof; provided, however, that no such termination may be effected by the agency unless an opportunity for consultation is provided prior to the effective date of the termination.
- B) Termination for Cause – If Consultant materially fails to perform duties to the satisfaction of SRTA or if Consultant fails to fulfill in a timely and professional manner obligations under this agreement, or if Consultant violates any of the terms or provisions of this agreement, then SRTA shall have the right to terminate this agreement for cause effective immediately upon SRTA giving written notice thereof to Consultant. The Consultant shall retain the contract project manager as specified within this agreement. If the project manager is revised, SRTA shall require notice within seven days of the change. SRTA retains the right to terminate the contract if the project manager change is not acceptable to SRTA. Under termination for cause, SRTA is not liable for the Consultant’s costs on undelivered work and is entitled to the repayment of advance and progress payments, if any, applicable to that work.

If termination for cause is given by SRTA to Consultant and it is later determined that Consultant was not in default or the default was excusable, then the notice of termination shall be deemed to have been given without cause pursuant to paragraph C of this section.

- C) Termination without Cause – SRTA may terminate this agreement without cause on 30 days’ written notice to Consultant. SRTA shall pay Consultant for all work satisfactorily completed as of the date of notice.
- D) Immediate Termination – SRTA may terminate this agreement immediately upon oral and/or written notice should funding cease, or be materially decreased, during the term of this agreement.
- E) Stop Work Order – SRTA may, in order to investigate a possible deficiently-performing consultant or, in some instances protect itself and/or consultant from financial risk associated with lapsed funding, may request a stop order on all consultant work associated with this agreement. Such stop work order will be delivered in writing to the consultant and shall be effective immediately.
- F) SRTA’s right to terminate this agreement may be exercised by the Executive Director, or his/her designee.
- G) Disposition of, Title to and Payment for Work upon Expiration or Termination –

Upon expiration of this agreement or termination for cause or termination for the convenience of a party, all finished or unfinished documents and other materials (e.g. finished and unfinished reports, data, studies, photographs, charts, and other documents), if any, and all rights therein shall become, at the option of SRTA, the property of and shall be promptly returned to SRTA, although Consultant may retain a copy of such work for its personal records only. Unless otherwise expressly provided in this agreement, any copyrightable or patentable work created by Consultant under this agreement shall be deemed a “work made for hire” for purposes of copyright or patent law and only SRTA shall be entitled to claim or apply for the copyright or patent thereof.

- I) Payment Terms Upon Termination – Consultant shall only be paid for services completed and provided prior to the notice of termination. Consultant shall be paid for the percentage of work completed under the Agreement, as agreed to by the agency, to the total compensation authorized by the agreement, less payments of compensation previously made.

7. DISPUTE RESOLUTION

Any dispute between Consultant and SRTA relating to the implementation or administration of this agreement may be attempted to be resolved through the following process:

- A) The parties shall first attempt to resolve the dispute informally in meetings or communications between Consultant and SRTA. If the dispute remains unresolved fifteen (15) days after it first arises, Consultant may request that SRTA issue a recommended decision on the matter in dispute. The SRTA project manager shall issue the recommended decision in writing and provide a copy to Consultant.
- B) The recommended decision of the SRTA project manager shall become final unless, within fifteen (15) days of receipt of such recommended decision, Consultant submits a written request for review to the SRTA executive director. In connection with any such review, Consultant and SRTA shall be afforded an opportunity to be heard and to offer evidence on the issues presented. If the dispute remains unresolved after review by the executive director, either party may seek judicial resolution of the dispute in an appropriate court within Shasta County, California.
- C) Pending final resolution of a dispute under this section, Consultant shall proceed diligently with performance in accordance with this agreement and SRTA's recommended decision.

8. ENTIRE AGREEMENT; AMENDMENTS

- A) This agreement supersedes all previous agreements relating to the subject of this agreement and constitutes the entire understanding of the parties hereto. Consultant shall be entitled to no other benefits other than those specified herein. Consultant specifically acknowledges that in entering into and executing this agreement, Consultant relies solely upon the provisions contained in this agreement and no others.
- B) No changes, amendments, or alterations shall be effective unless in writing and signed by both parties. However, minor amendments which do not result in a substantial or functional change to the original intent of the agreement and do not cause an increase to the maximum amount payable under this agreement may be agreed to in writing between Consultant and the executive director. If the proposed minor amendment alters the project schedule, a revised project schedule will be required from the Consultant for this agreement.
- C) The headings that appear in this agreement are for reference purposes only and shall not affect the meaning or construction of this agreement.

9. NONASSIGNMENT OF AGREEMENT; NON-WAIVER

Inasmuch as this agreement is intended to secure the specialized services of the Consultant, Consultant may not assign, transfer, delegate or sublet any interest herein without the prior written consent of SRTA. The waiver by SRTA of any breach of any requirement of this agreement shall not be deemed to be a waiver of any other breach.

10. EMPLOYMENT STATUS OF CONSULTANT

Consultant shall, during the entire term of this agreement, be construed to be an independent contractor and nothing in this agreement is intended nor shall be construed to create an employer-employee relationship, a joint venture relationship, or to allow SRTA to exercise discretion or control over the professional manner in which Consultant performs the services which are the subject matter of this agreement; provided, however, that the services to be provided by Consultant shall be provided in a manner consistent with the professional standards applicable to such services. The interest of SRTA is to ensure that services shall be rendered and performed in a competent, efficient, timely and satisfactory manner. Consultant shall be fully responsible for payment of all taxes due to the State of California or the federal government which would be withheld from compensation if Consultant were an SRTA employee. SRTA shall not be liable for deductions for any amount, for any purpose, from Consultant's compensation. Consultant shall not be eligible for coverage under SRTA workers' compensation insurance plan nor shall Consultant be eligible for any other SRTA benefit. Consultant must issue W-2 and 941 Forms for income and employment tax purposes, for all of Consultant's assigned personnel under the terms and conditions of this agreement.

11. INDEMNIFICATION

Consultant shall defend, hold harmless, and indemnify SRTA, its elected officials, officers, employees, and agents against all claims, suits, actions, costs, expenses (including but not limited to reasonable attorney's fees of SRTA counsel and counsel retained by SRTA, expert fees, litigation costs, and investigation costs), damages, judgments, or decrees by reason of any person's or persons' injury, including death, or property (including property of SRTA) being damaged by the negligent acts, willful acts, or errors or omissions of the Consultant or any of Consultant's subcontractors, any person employed under Consultant, or under any subcontractor, or in any capacity during the progress of the work, except when the injury or loss is caused by the sole negligence or intentional wrongdoing of SRTA. Consultant shall also defend and indemnify SRTA for any adverse determination made by the Internal Revenue Service or the State Franchise Tax Board and/or any other taxing or regulatory agency and shall defend, indemnify and hold harmless SRTA with respect to Consultant's "independent contractor" status that would establish a liability on SRTA for failure to make social security deductions or contributions or income tax withholding payments, or any other legally mandated payment.

For professional services provided under this agreement, Consultant shall indemnify, defend, and hold harmless SRTA, its elected officials, officers, employees, agents, and volunteers from and against any and all claims, demands, actions, losses, liabilities, damage, and costs, including reasonable attorneys' fees, arising out of or resulting from the negligent performance of the professional services provided under this agreement.

12. INSURANCE COVERAGE

- A) Consultant and any subcontractor shall obtain, from an insurance carrier authorized to transact business in the State of California, and maintain continuously during the term of this agreement Commercial General Liability Insurance, including coverage for owned and non-owned automobiles, and other insurance necessary to protect SRTA and the public with limits of liability of not less than \$1 million combined single limit bodily injury and property damage; such insurance shall be primary as to any other insurance maintained by SRTA.
- B) Consultant and any subcontractor shall obtain and maintain continuously required Workers' Compensation and Employer's Liability Insurance to cover Consultant, subcontractor, Consultant's partner(s), subcontractor's partner(s), Consultant's employees, and subcontractor(s) employees with an insurance carrier authorized to transact business in the State of California covering the full liability for compensation for injury to those employed by Consultant or subcontractor. Consultant hereby certifies that Consultant is aware of the provisions of section 3700 of the Labor Code which requires every employer to insure against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of the Labor Code, and Consultant will comply with such provisions before commencing the performance of the work of this agreement.
- C) Consultant shall obtain and maintain continuously a policy of Errors and Omissions coverage with limits of liability of not less than \$1 million.
- D) Consultant shall require subcontractors to furnish satisfactory proof to them that liability and workers' compensation and other required types of insurance have been obtained and are maintained similar to that required of Consultant pursuant to this agreement. Consultant shall not allow any contract or subcontract to continue without proper insurance in effect after notification of the lapse of requisite insurance.
- E) With regard to all insurance coverage required by this agreement:
 - (1) Any deductible or self-insured retention exceeding \$25,000 for Consultant or subcontractor shall be disclosed to and be subject to approval by SRTA prior to the effective date of this agreement.

- (2) If any insurance coverage required hereunder is provided on a “claims made” rather than “occurrence” form, Consultant or subcontractor shall maintain such insurance coverage with an effective date earlier or equal to the effective date of the agreement and continue coverage for a period of three years after the expiration of the agreement and any extensions thereof. In lieu of maintaining post-agreement expiration coverage as specified above, Consultant or subcontractor may satisfy this provision by purchasing tail coverage for the claims-made policy. Such tail coverage shall, at a minimum, provide coverage for claims received and reported three years after the expiration date of the agreement.
- (3) All insurance (except workers’ compensation and professional liability) shall include an endorsement or an amendment to the policy of insurance which names the *Shasta Regional Transportation Agency (SRTA), its elected officials, officers, employees, agents, and volunteers as an additional insured* and provides that coverage shall not be reduced or canceled without 30 days written prior notice certain to SRTA. The Additional Insured coverage shall be equal to Insurance Service Office endorsement CG 20 10 for on-going operations and CG 20 37 for completed operations.
- (4) Each insurance policy (except for workers’ compensation and professional liability policies), or endorsement thereto, shall contain a “separation of insureds” clause which shall read:
- “Separation of Insureds.”
- Except with respect to the Limits of Insurance, and any rights or duties specifically assigned in this Coverage Part to the first Named Insured, this insurance applies:
- a) As if each Named Insured were the only Named Insured; and
- b) Separately to each suit insured against whom a claim is made or suit is brought.”
- (5) Consultant shall provide SRTA with an endorsement or amendment to Consultant’s policy of insurance as evidence of insurance protection before the effective date of this agreement. The accountant/finance officer, or his designee, shall approve the insurance certificate. A copy of the insurance certificate will be kept in the project file.
- (6) The insurance required herein shall be in effect at all times during the term of the agreement. In the event any insurance coverage expires at any time during the term of the agreement, Consultant shall provide, at least twenty (20) days prior to said expiration date, a new endorsement or policy amendment

evidencing insurance coverage as provided for herein for not less than the remainder of the term of the agreement or for a period of not less than one year. In the event Consultant fails to keep in effect at all times insurance coverage as herein provided and a renewal endorsement or policy amendment is not provided within ten (10) days of the expiration of the endorsement or policy amendment in effect at inception of the agreement, SRTA may, in addition to any other remedies it may have, terminate the agreement upon the occurrence of such event and pay in full all contractual invoices for work completed prior to expiration of insurance.

- (7) If the endorsement or amendment does not reflect the limits of liability provided by the policy of insurance, Consultant shall provide SRTA a certificate of insurance reflecting those limits.

13. NOTICE OF CLAIM/APPLICABLE LAW/VENUE

- A) If any claim for damages is filed with Consultant or if any lawsuit is instituted concerning Consultant's performance under this agreement and that in any way, directly or indirectly, contingently or otherwise, affects or might reasonably affect SRTA, Consultant shall give prompt and timely notice thereof to SRTA. Notice shall be prompt and timely if given within thirty (30) days following the date of receipt of a claim or ten days following the date of service of process of a lawsuit.
- B) Any dispute between the parties, and the interpretation of this agreement, shall be governed by the laws of the State of California. Any litigation shall be venued in Shasta County.

14. FEDERAL CERTIFICATIONS AND ASSURANCES

- A) The Consultant shall adhere to the requirements contained in SRTA's annual Certification and Assurances (FHWA and FTA "Metropolitan Transportation Planning Process Certification") submitted as part of SRTA's OWP, pursuant to 23 CFR 450.334 and 23 U.S.C. 134. This Certification shall be published annually in SRTA'S OWP. Such requirements shall apply to the Consultant to the same extent as SRTA and may include, but are not limited to:
- (1) 23 U.S.C. 134, 49 U.S.C. 5303, and this subpart;
 - (2) In nonattainment and maintenance areas, section 174 and 176 (c) and (d) of the Clean Air Act, as amended (42 U.S.C. 7504, 7506 (c) and (d)) and 40 CFR part 93.
 - (3) Title VI of the Civil Rights Act of 1964 and Title VI Assurance executed by California under 23 U.S.C. 324 and 29 U.S.C. 794;
 - (4) Section 1101(b) of the SAFETEA-LU (Pub. L. 109-59) and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects;

- (5) The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37, and 38;
 - (6) 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity;
 - (7) 23 CFR part 230, regarding the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts;
 - (8) The Older Americans Act, as amended (42 U.S.C. 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance;
 - (9) Section 324 of title 23 U.S.C. regarding the prohibition of discrimination based on gender; and
 - (10) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities.
- B) The Consultant shall additionally comply with the requirements contained in the annual FTA "Certifications and Assurances for FTA Assistance," including "Certifications and Assurances Required of Each Applicant" and the "Lobbying Certification" in compliance with 49 U.S.C. Chapter 53; published annually in SRTA'S OWP and found online at http://www.fta.dot.gov/grants/12825_93.html. Such assurances shall apply to the Consultant to the same extent as SRTA, including but not limited to the following areas:
- (1) Authority of Applicant and its Representatives;
 - (2) Standard Assurances;
 - (3) Intergovernmental Review Assurance;
 - (4) Nondiscrimination Assurance;
 - (5) Suspension and Debarment Certification;
 - (6) U.S. OMB Assurances in SF-424B and SF-424D.

15. DISADVANTAGED BUSINESS ENTERPRISE (DBE)

- A) It is the policy of SRTA, the California Department of Transportation, and the U.S. Department of Transportation, that Disadvantaged Business Enterprises (DBEs), as defined in 49 CFR Part 26, shall have an equal opportunity to receive and participate in the performance of agreements financed in whole or in part with FHWA/FTA funds provided under this agreement.

- B) The Consultant, its employees, and its sub-contractors shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of FHWA/FTA funds-assisted contract or in the administration of SRTA's DBE program per the requirements of 49 CFR Part 26. Failure to carry out the requirements of this paragraph shall constitute a breach of contract and may result in termination of this agreement or such other remedy SRTA may deem appropriate.
- C) If Consultant proposed the contract project with Disadvantaged Business Enterprise participation, the Consultant will adhere to the stated participation rate unless otherwise agreed to, in writing, between SRTA and the Consultant for circumstances beyond the control of the Consultant.

Consultant will take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible.

Affirmative steps shall include:

- (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
 - (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
 - (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;
 - (4) Establishing delivery schedules, where the project requirements permit, that encourage participation by small and minority business, and women's business enterprises;
 - (5) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce;
- D) The Consultant shall, as required by 49 CFR part 26, include the language in Attachment C into all contracts funded in whole or in part with funds authorized in this agreement.

16. EQUAL EMPLOYMENT OPPORTUNITY/NONDISCRIMINATION

- A) In the performance of work undertaken pursuant to this agreement, the Consultant for itself, its assignees, and successors in interest, shall affirmatively require that its employees and subcontractors shall not unlawfully discriminate, harass or allow

harassment, against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (including cancer), age (over 40), marital status, denial of family and medical care leave, and denial of pregnancy disability leave.

- B) The Consultant shall ensure that the evaluation and treatment of its employees and applicants for employment, as well as its subcontractors, are free from such discrimination and harassment. The Consultant shall comply with the provisions of the Fair Employment and Housing Act (Government Code, Section 12900 et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285.0 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing the Government Code sections referenced above, are incorporated into this agreement by reference and made a part hereof as set forth in full. The Consultant shall give written notice of their obligations under this clause to labor organizations with which they have collective bargaining or other labor agreements.

- C) In the event of the Consultant's noncompliance with the nondiscrimination provisions of this agreement, SRTA shall impose such contract sanctions as it, the DOT, or other applicable funding agency may determine to be appropriate, including, but not limited to:
 - (1) Withholding of payments to the Consultant under this agreement until the Consultant complies; and/or
 - (2) Cancellation, termination or suspension of the agreement, in whole or in part.

- D) Consultant shall permit access to all records of employment, employment advertisements, application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission or any other agency of the State of California designated by the State to investigate compliance with this section.

- E) The Consultant shall include the provisions of this Section in every agreement with its subcontractor(s). The Consultant shall take such action with respect to any such agreement as SRTA, the DOT, or other applicable funding agency may direct as a means of enforcing such provisions, including sanctions for noncompliance.

17. COMPLIANCE WITH LAWS

- A) Consultant will observe and comply with all applicable federal, state, and local laws,

ordinances, and codes which relate to the services to be provided pursuant to this agreement.

- B) Consultant agrees to adhere to the Buy America regulations which apply to federally- assisted, typically development and/or construction activities subject to a NEPA determination, procurements exceeding certain amounts. Buy America regulations require Consultant to provide goods produced or manufactured in the US, unless the federal government has granted a waiver authorized by those regulations.
- C) When using federal funds, Consultant will, for any contract of over \$30,000, abide by lobbying disclosure requirements, per compliance with 31 U.S.C. 1352. For contracts which exceed \$100,000, Consultant shall require the following language of this subsection to be included in all subcontracts.
- (1) By signing this agreement, Consultant certifies, to the best of its knowledge and belief, that no state or federal 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 federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any state or federal contract, grant, loan, or cooperative agreement.
 - (2) If any funds other than state or federal 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 Federal Standard Form-LL, "Disclosure Form to Report Lobbying," in accordance with those form instructions.
 - (3) This certification is a material representation of fact, upon which reliance was placed when this AGREEMENT was entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. and by the MFTA between SRTA and the state or, alternatively, the grant agreement with the respective funding entity. Any persons who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and more than \$100,000 for each such failure.
- D) Consultant acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § § 3801 et seq . and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying contract, the Consultant certifies

or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying contract or the FTA assisted project for which this contract work is being performed. In addition to other penalties that may be applicable, the Consultant further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Consultant to the extent the Federal Government deems appropriate.

Consultant also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on the Consultant, to the extent the Federal Government deems appropriate.

- E) Consultant is required to acknowledge the mandatory standards and policies related to every efficiency that are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. 6321, et. seq.).
- F) Consultant acknowledges that it will not enter into contracts for over \$25,000 with suspended or debarred consultants (Executive Order 12549; 49 CFR part 29). This contract is a covered transaction for purposes of 49 CFR Part 29. As such, Consultant is required to verify that neither itself, its principals, as defined at 49 CFR 29.995, or affiliates, as defined at 49 CFR 29.905, are excluded or disqualified as defined at 49 CFR 29.940 and 29.945.

Consultant is required to comply with 49 CFR 29, Subpart C and must include the requirement to comply with 49 CFR 29, Subpart C in any lower tier covered transaction it enters into.

By signing and submitting its bid or proposal, Consultant certifies as follows:

The certification in this clause is a material representation of fact relied upon by SRTA. If it is later determined that the Consultant knowingly rendered an erroneous certification, in addition to remedies available to SRTA, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. Consultant agrees to comply with the requirements of 49 CFR 29, Subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. Consultant further agrees to include a provision requiring such compliance in its lower tier covered transactions.

- G) Consultant will comply with appropriate Patent and Rights in Data requirements (37 C.F.R. Part 401 and 49 C.F.R. Part 18).

- H) Consultant will comply with 49 U.S.C. 40118 in accordance with the General Service Administration's regulations at 41 C.F.R. Part 301-10.
- I) Consultant, in accordance with 49 U.S.C. Section 5325(b)(3), will ensure that all federally assisted contracts and subcontracts including program management, architectural engineering, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping or related services must be performed (i.e. a consultant cannot incur and invoice the agency any unallowable, unallocable, or unreasonable costs prohibited by the Federal Acquisition Regulations (FAR) and/or the contract terms and conditions) and audited in accordance with FAR Part 31 cost principles. The consultant, its sub-consultants, and sub-recipients must accept FAR indirect cost rates for one-year applicable accounting periods established by a cognizant federal or state government agency, if those rates are not currently under dispute, and these established rates will apply for purposes of contract estimation, negotiation, administration, reporting, change order, options, and payments, not limited by administrative or de facto ceilings.
- J) Consultant shall at all times comply with all applicable Federal Transit Administration (FTA) regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between SRTA and FTA, as they may be amended or promulgated from time to time during the term of this contract. Consultant's failure to so comply shall constitute a material breach of this contract.
- K) Consultant agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.
- L) SRTA and Consultant acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this contract and shall not be subject to any obligations or liabilities to SRTA, Consultant, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.
- M) The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in [FTA Circular 4220.1E](#) are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Consultant shall not perform any act, fail to perform any act, or refuse to comply with any

SRTA requests which would cause SRTA to be in violation of the FTA terms and conditions.

18. ACCESS TO RECORDS/RETENTION

SRTA, federal, and state officials shall have access to any books, documents, papers, and records of Consultant which are directly pertinent to the subject matter of this agreement for the purpose of auditing or examining the activities of Consultant or SRTA. Except where longer retention is required by federal or state law, Consultant shall maintain all records for five years after SRTA makes final payment hereunder.

19. LICENSES AND PERMITS

Consultant shall possess and maintain all necessary licenses, permits, certificates, and credentials required by the laws of the United States, the State of California, County of Shasta, and all other appropriate governmental agencies, including any certification and credentials required by SRTA. Failure to maintain the licenses, permits, certificates, and credentials shall be deemed a breach of this agreement and constitutes grounds for the termination of this agreement by SRTA.

20. PERFORMANCE STANDARDS

Consultant shall perform the services required by this agreement in accordance with the industry and/or professional standards applicable to Consultant's services.

21. CONFLICT OF INTEREST

Consultant, including its officers and employees, is required, prior to entering into this agreement, to inform agency of any real or apparent organizational conflict of interest. Such organizational conflict of interest exists when the nature of the work to be performed under a contract may, without some restriction on future activities, results in an unfair competitive advantage to the Consultant, or may impact the Consultant's objectivity in performing the contract work.

22. NOTICES

A) Any notice required to be given pursuant to the terms and provisions of this agreement shall be in writing and shall be sent first-class mail to the following addresses:

| | |
|-------------|---|
| If to SRTA: | Shasta Regional Transportation Agency Attn: Dan Little, AICP, Executive Director 1255 East Street, Suite 202 Redding, CA 96001 |
|-------------|---|

If to Consultant: [Insert Consultant name here]
Attn: [Insert contact/title here]
[Insert address here]
[Insert city, state and zip code here]

B) Notice shall be deemed to be effective two days after mailing. Any oral notice authorized by this agreement shall be deemed to be effective immediately.

23. CONFIDENTIALITY

During the term of this agreement, both parties may have access to information that is confidential or proprietary in nature. Both parties agree to preserve the confidentiality of, and to not disclose, any such information to any third party without the express written consent of the other party or as required by law. This provision shall survive the termination, expiration, or cancellation of the agreement.

24. SCOPE AND OWNERSHIP OF WORK

All research data, reports, and every other work product of any kind or character arising from or relating to this agreement shall become the property of SRTA and be delivered to SRTA upon completion of its authorized use pursuant to the agreement. SRTA may use such work products for any purpose whatsoever. All works produced under this agreement shall be deemed works produced by a contractor for hire, and all copyright with respect thereto shall vest in SRTA without payment of royalty or any other additional compensation.

Notwithstanding anything to the contrary contained in this agreement, all proposals submitted in response to an RFP will become the exclusive property of the agency. At such time as the executive director recommends a proposal to the SRTA Board of Directors and such recommendation appears on the board agenda, all proposals submitted in response to the RFP shall become a matter of public record and shall be regarded as public records. **If there are any trade or proprietary secrets included by the consultant, the consultant may provide a different copy of the proposal that would be acceptable to release to the public. If an alternate document is not made available to SRTA by the consultant, then the original proposal, as submitted, will be released as requested.** Proprietary information can include secret formulas, processes, and methods used in production. It can also include a company's business and marketing plans, salary structure, customer lists, contracts, and details of its computer systems. In some cases, the special knowledge and skills that an employee has learned on the job are considered to be a company's proprietary information.

25. SEVERABILITY

If any portion of this agreement or application thereof to any person or circumstance is declared invalid by a court of competent jurisdiction or if it is found in contravention of any federal or state statute or regulation, the remaining provisions of this agreement, or the application thereof, shall not be invalidated thereby and shall remain in full force and effect to the extent that the provisions of this agreement are severable.

IN WITNESS THEREOF, SRTA and Consultant have executed this agreement on the day and year of the last signature set forth below. By their signatures below, each signatory represents that he/she has the authority to execute this agreement and to bind the party on whose behalf his/her execution is made.

SHASTA REGIONAL TRANSPORTATION AGENCY

Date: _____

SRTA Chair

[Insert Consultant Name Here]

Date: _____

By: _____
Principal/President

Tax I.D.#: _____

Approved as to form:

JOHN KENNY
Counsel, Shasta Regional Transportation Agency

**Attachment A
SCOPE OF WORK**

Attach Scope of Work Here

///INSERT AGREED UPON SCOPE OF WORK///

Attachment B
BUDGET

Attach Budget Here

///INSERT AGREED UPON BUDGET///

Maximum Compensation:

\$/

If On-Demand Work, Include Fee Schedule Based on RFP or RFP responses. The fee scheule submitted by a consultant remains the same for the life of the contract, unless specifically provided for in the RFP/RFQ.

Attachment C

CPG Subrecipient Responsibilities for DBE include:

- Participation in the race neutral DBE Program when contracting/awarding to subrecipients or planning consultants involving any fraction of federal CPG funds.
- Participation in the race neutral DBE Program even if subrecipients have not contracted out work to sub-recipients or consultants. They must also complete, sign and turn in the FTA DBE Uniform Report form, showing zero dollars. This information will provide necessary data for the federally mandated Caltrans DBE disparity study.
- Completion of the FTA DBE Uniform Report form twice a year: April 1st and October 1st. The DBE Uniform Report shows the federal dollar amount provided through contract/s as well as DBE participation in these contracts. This information will provide necessary data for the federally mandated Caltrans DBE disparity study and reporting to the FTA. The completed forms are sent to the appropriate HQ ORIP Liaison.
- Development and implementation of a DBE Program following the Caltrans DBE Program Plan, pursuant to the Master Fund Transfer Agreement, Article IV, Section 2. This Plan formally acknowledges the statutory and/or regulatory requirements with its race-neutral measures, and their commitment to comply with all the prescribed responsibilities explained herein.
- Development and maintenance of a Bidder's List, consisting of information about all DBE and non-DBE firms that bid or quote on CPG-assisted contracts. The Bidder's List includes the name, address, DBE/non-DBE status, age and annual gross receipts of firms.
- Inclusion of the following clause is required, verbatim, in each CPG-assisted contract:
 - The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of United States Department of Transportation-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy, as recipient deems appropriate.
- Inclusion of contractual language specifying prompt payment clauses are required in the foregoing provisions. These prompt payment clauses benefit all subcontractors equally.

- **Prompt Progress Payment to Subcontractors**—A prime contractor or subcontractor shall pay to any subcontractor not later than 10-days of receipt of each progress payment, in accordance with the provision in Section 7108.5 of the California Business and Professions Code concerning prompt payment to subcontractors. The 10-day rule is applicable unless a longer period is agreed to in writing. Any delay or postponement of payment over 30-days may take place only for good cause and with the agency's prior written approval. Any violation of Section 7108.5 shall subject the violating contractor or subcontractor to the penalties, sanctions, and other remedies of that Section. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies, otherwise available to the contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the contractor, deficient subcontractor performance, and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

- **Prompt Payment of Withheld Funds to Subcontractors**—The MPO, RTPA or local government entity shall include either (1), (2), or (3) of the following provisions in their CPG-assisted contracts to ensure prompt and full payment of retainage (withheld funds) to subcontractors in compliance with 49 CFR 26.29.
 - 1) No retainage will be held by the agency from progress payments due to the prime contractor. Prime contractors and subcontractors are prohibited from holding retainage from subcontractors. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating 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 contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the contractor, deficient subcontractor performance, and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

 - 2) No retainage will be held by the agency from progress payments due the prime contractor. Any retainage kept by the prime contractor or by a subcontractor must be paid in full to the earning subcontractor in 30-days after the subcontractor's work is satisfactorily completed. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating contractor or subcontractor to the penalties, sanctions, and 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 contractor or subcontractor in the event of a dispute involving late payment or nonpayment by the contractor, deficient subcontractor performance, and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

- 3) The agency shall hold retainage from the prime contractor and shall make prompt and regular incremental acceptances of portions, as determined by the agency of the contract work and pay retainage to the prime contractor based on these acceptances. The prime contractor or subcontractor shall return all monies withheld in retention from all subcontractors within 30-days after receiving payment for work satisfactorily completed and accepted including incremental acceptances of portions of the contract work by the agency. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating prime contractor 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 contractor or subcontractor in the event of: a dispute involving late payment or nonpayment by the contractor; deficient subcontractor performance; and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.