

**THIS PRINT COVERS CALENDAR ITEM NO. 10.5**

**SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY  
City and County of San Francisco**

**DIVISION:** Capital Programs and Construction

**BRIEF DESCRIPTION:**

Authorizing the Director of Transportation to execute San Francisco Municipal Transportation Agency Contract No. CS-178, As-Needed Specialized Engineering Services, with HNTB Corporation to provide technical and professional services on an as-needed basis, for a total contract amount not to exceed \$5,000,000 and a term not to exceed five years.

**SUMMARY:**

- On December 16, 2015, the Director of Transportation notified the SFMTA Board of Directors that he had authorized issuance of a Request for Proposals (RFP) for three as-needed engineering contracts, Contract No. CS-178, Contract No. CS-179, and Contract No. CS-180, each for a contract amount not to exceed \$5,000,000 and a term not to exceed five years.
- SFMTA issued an RFP for the three as-needed contracts on December 28, 2015. On February 1, 2016, SFMTA received written proposals from five firms
- A selection committee reviewed the proposals and ranked HNTB Corporation, PGH Wong Engineering, Inc. and Auriga Corporation as the three highest-ranked proposers.
- Companion calendar items addresses the award of Contract No. CS-179 to PGH Wong Engineering, Inc. and Contract No. 180 to Auriga Corporation.

**ENCLOSURES:**

1. SFMTAB Resolution
2. Scope of Services
3. Consultant Team Organization
4. Consultant Agreement

**APPROVALS:**

**DATE**

DIRECTOR

\_\_\_\_\_

7/12/16

SECRETARY

*R. Boomer*  
\_\_\_\_\_

7/12/16

**ASSIGNED SFMTAB CALENDAR DATE:** July 19, 2016

## **PAGE 2.**

### **PURPOSE**

The purpose of this calendar item is to authorize the Director of Transportation to execute Contract No. CS-178, As-Needed Specialized Engineering Services, with HNTB Corporation, to provide technical and professional services on an as-needed basis, for a total contract amount not to exceed \$5,000,000 and for a term of five years.

### **GOAL**

Contract No. CS-178 would assist in the implementation of the following goals and objectives in the SFMTA Strategic Plan:

Strategic Plan Goal 3: Improve the environment and quality of life in San Francisco.

Objective 3.3: Allocate capital resources effectively.

Strategic Plan Goal 4: Create a workplace that delivers outstanding service.

Objective 4.2: Create a collaborative and innovative work environment.

### **DESCRIPTION**

It is the policy of the Capital Programs and Construction Division to be staffed completely and sufficiently to perform the essential work of the Division. In 2012, the SFMTA Board approved a five-year Capital Improvement Program (CIP). Due to the unpredictability and variety of project work within this CIP, the need for professional services and other assistance required to complete projects on time and within budget could at times exceed the availability and capabilities of in-house staff to perform the work. If these professional services cannot be provided when they are needed, project delivery can be adversely impacted, which will in turn have an adverse impact on providing service to the public. This contract will enable staff to obtain technical and professional services and other assistance on short notice to assist and supplement staff on an as-needed basis.

The use of as-needed services is closely monitored. When a project team determines that in-house staff needs assistance to complete the project work on schedule, they request the authorization of the Director of Capital Programs and Construction to utilize as-needed professional services. Upon approval, staff prepares a scope of work for the consultant and requests a cost proposal from the consultant. The project team independently estimates the consultant's cost to perform the proposed work. Once the Director approves the negotiated task order and the Controller certifies that funding is available, staff issues a Notice to Proceed to the Consultant.

#### **Scope of Contract:**

The selected consultant will provide a broad range of specialized services and staff to complete task orders issued by the SFMTA, either by direct assignment of its own

personnel or through sub-consultants, including, but not limited to, initial planning and programming, specialized analytical studies, construction support and management, and start-up and operations planning. The potential scope of work under this contract is described in Enclosure 2.

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### **Selection Process:**

On December 16, 2015, the Director of Transportation notified the SFMTA Board of Directors that he had authorized the issuance of an RFP for Contract No. CS-178, Contract No. CS-179, and Contract No. CS-180, each in an amount not to exceed \$5,000,000 and for a term not to exceed five years, in accordance with Board Resolution No. 09-191, which delegates, among other things, the authority to issue bid calls to the Director of Transportation.

The RFP was advertised on December 28, 2015, and SFMTA received written proposals on February 1, 2016 from the following firms for the three contracts: HNTB Corporation, Kal Krishnan Consulting Services, PGH Wong Engineering, Inc., Auriga Corporation, and Anil Verma Associates, Inc. A Selection Committee, comprised of staff from SFMTA and DPW evaluated the five written proposals and selected HNTB Corporation, PGH Wong Engineering, Inc. and Auriga Corporation as the highest-ranking proposers. SFMTA has successfully negotiated contracts with the three firms. This calendar item is to award Contract No. CS-178 to HNTB Corporation. Companion calendar items are for the award of Contract No. CS-179 to PGH Wong Engineering, Inc. and Contract No. CS-180 to Auriga Corporation.

### **PUBLIC OUTREACH**

The Division will conduct public outreach as appropriate for work performed under each Task Order issued from the three contracts.

### **ALTERNATIVES CONSIDERED**

None. This contract will be used when the task requires specialized expertise not available in-house or when project demand exceeds staff availability.

### **FUNDING IMPACT**

Task orders under this contract will be funded through existing approved budgets for capital projects requiring services.

### **ENVIRONMENTAL REVIEW**

On June 21, 2016, the SFMTA, under authority delegated by the Planning Department, determined that the As-Needed Specialized Engineering Services contract is not defined as a "project" under the California Environmental Quality Act (CEQA) pursuant to Title 14 of the California Code of Regulations Sections 15060(c) and 15378(b).

A copy of the CEQA determination is on file with the Secretary to the SFMTA Board of Directors and is incorporated herein by reference.

### **OTHER APPROVALS RECEIVED OR STILL REQUIRED**

Staff obtained approval for the contract from the Civil Service Commission by PSC No. 4130-12/13, on February 1, 2016.

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The Contract Compliance Office has confirmed the consultant's commitment to meeting the 30% Small Business Enterprise participation goal for this contract.

The City Attorney's Office has reviewed this calendar item.

**RECOMMENDATION**

Staff recommends that the SFMTA Board of Directors authorize the Director of Transportation to execute Contract No. CS-178, As-Needed Specialized Engineering Services, with HNTB Corporation, to provide technical and professional services on an as-needed basis, for a total contract amount not to exceed \$5,000,000 and a term not to exceed five years.

MUNICIPAL TRANSPORTATION AGENCY  
BOARD OF DIRECTORS  
CITY AND COUNTY OF SAN FRANCISCO

RESOLUTION NO. \_\_\_\_\_

WHEREAS, The San Francisco Municipal Transportation Agency (SFMTA) wishes to obtain as-needed specialized engineering consultant services in a broad area of technical disciplines to supplement staff in the implementation of various projects under the direction of Capital Programs and Construction Division; and,

WHEREAS, On December 16, 2015, the Director of Transportation notified the SFMTA Board of Directors that he had authorized the issuance of a Request for Proposals (RFP) for three as-needed specialized engineering contracts, Contract No. CS-178, Contract No. CS-179, and Contract No. CS-180, each in an amount not to exceed \$5,000,000 and for a term not to exceed five years, in accordance with Board Resolution No. 09-191, which delegates, among other things, the authority to issue bid calls to the Director of Transportation; and,

WHEREAS, The SFMTA issued the RFP on December 28, 2015; and,

WHEREAS, On February 1, 2016, the SFMTA received written proposals for the three contracts from five firms: HNTB Corporation, Kal Krishnan Consulting Services, PGH Wong Engineering, Inc., Auriga Corporation, and Anil Verma Associates, Inc.; and,

WHEREAS, A Selection Committee evaluated the five written proposals and selected HNTB Corporation as one of the three highest-ranking proposers; and,

WHEREAS, Federal, state, and local sources will provide funding for the services on an as-needed, project-by-project basis; and,

WHEREAS, The Contract Compliance Office has confirmed the consultant's commitment to meeting the 30% Small Business Enterprise participation goal for this contract; and,

WHEREAS, On June 21, 2016, the SFMTA, under authority delegated by the Planning Department, determined that the As-Needed Specialized Engineering Services contract is not defined as a "project" under the California Environmental Quality Act (CEQA) pursuant to Title 14 of the California Code of Regulations Sections 15060(c) and 15378(b); and,

WHEREAS, A copy of the CEQA determination is on file with the Secretary to the SFMTA Board of Directors and is incorporated herein by reference; now, therefore, be it

RESOLVED, That the SFMTA Board of Directors authorizes the Director of Transportation to execute Contract No. CS-178, As-Needed Specialized Engineering Services, with HNTB Corporation, to provide technical and professional services on an as-needed basis, for an amount not to exceed \$5,000,000 and a term not to exceed five years.

I certify that the foregoing resolution was adopted by the San Francisco Municipal Transportation Agency Board of Directors at its meeting of July 19, 2016.

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Secretary to the Board of Directors  
San Francisco Municipal Transportation Agency

ENCLOSURE 2  
San Francisco Municipal Railway Contract CS-178  
As-Needed Specialized Engineering Services

**Scope of Services**

The services for which staff and services are to be provided by the consultant include, but are not limited to:

1. Provide design, review, and construction management support of trackwork, including special trackwork, overhead contact systems (OCS), civil and electrical projects. The scope of work may also include, but is not limited to, the following:
  - a. Preparing design criteria to include and meet all applicable codes and standards.
  - b. Preparing alternate analyses and developing overall design approaches.
  - c. Preparing construction schedules, construction sequencing plans and cost estimates (including bid items and descriptions).
  - d. Performing site investigations and functional analyses.
  - e. Defining issues and constraints for such construction projects.
  - f. Preparing and reviewing design packages (plans and specifications), including integration of all technical and contractual sections into one set of plans and specifications.
  - g. Providing technical administrative support (e.g., file drawings, meeting minutes, document control).
  - h. Providing construction engineering support (e.g., reviewing and responding to submittals and RFIs, preparing and reviewing cost estimates and change orders, providing technical support).
  - i. Providing design support during construction.
  - j. Incorporating SFMTA's Quality Assurance (QA) program requirements into the design and construction packages.
  - k. Identifying special testing requirements, preparation testing and start-up plans.
2. Assisting in the preparation of procurement contracts for track, mechanical, and electrical components; operating equipment; and long-lead items. The task shall include product research, specifying products, and performing alternative analyses.
3. Performing field surveys for track and roadway design using licensed surveyors.
4. Preparing project management plans in accordance with FTA requirements.
5. Preparing QA oversight, audits, plans, training and assistance in accordance with FTA requirements.
6. Annual ultrasonic rail testing per SFMTA SOP "Track Inspection and Maintenance" to identify internal rail defects.

7. Predicting, analyzing, preventing and mitigating noise and vibration from transit operations, and equipment, and designing and monitoring mitigation measures.
8. Performing special inspections as required by the City, including metallurgical and other inspection and testing requested by SFMTA.
9. Performing cost and price analyses of contracts, change orders, task orders, and contract modifications in accordance with FTA requirements; change order estimating and negotiation; schedule and delay analysis; constructability review; forensic cost and accounting analyses; and dispute analysis and review.
10. Performing preliminary and system hazard analyses, failure modes and effects analyses, single point of failure analysis, hazard level classification, and safety certification of systems.
11. Performing geotechnical investigations and reports, including recommendations on pile design, and design criteria to limit seismic damage to acceptable levels.
12. Systems engineering, including Central Control and communications systems analysis, special engineering of GPS driven systems, strategic analysis of Muni's human and automated systems, systems integration, safety processes, configuration management, and related work.
13. As-needed engineering and support services for the SFMTA Radio Replacement Project, including, but not limited to:
  - a. Reviewing the SFMTA Radio System Contractor's detail design to ensure compliance with requirements of the contract specifications and conformance with applicable standards. At a minimum, the Consultant will perform a detail design review of the contractor's final design documents including all the CDRLs (deliverables and submittals) for compliance with contract specifications. The Consultant may also be responsible for tabulating all review comments in a spreadsheet format and following up all comments with reviewers and tracking inclusion of SFMTA's approved comments into the contractor's design documents.
  - b. Overseeing the contractor's system installation to ensure compliance with applicable specifications, standards, codes, regulations, and documentation requirements.
  - c. Performing field installation/construction inspections and write inspection reports.
  - d. Providing construction-engineering support (e.g., reviewing and responding to submittals and RFIs, preparing and reviewing cost estimates and change orders, and providing technical support).
  - e. Providing construction-management support (e.g., construction contract administration, requirements tracking, specifications compliance enforcement, reviewing and monitoring contractor's project control reports, documentation and records administration, verifying progress payments, contract changes administration, potential claims administration, scheduling, contract negotiation support).

- f. Estimating and negotiating cost and schedule changes with the contractor.
  - g. Preparing cost and price analyses of contract changes in accordance with FTA requirements.
  - h. Assisting in the building/construction approval process.
  - i. Assisting/participating in system safety and security certification activities and preparation of safety and security certification report(s).
  - j. Reviewing and verifying the contractor's system documentation.
  - k. Assisting in the review of as-built documentation and O&M manuals.
  - l. Reviewing interface control documentation and/or working with the contractor to develop the Interface Control Document using a standard template.
  - m. Reviewing the test program, including integration testing. Participating in/overseeing the contractor's testing at installation sites and factories, as well as SFMTA's independent system "beta" testing.
  - n. Participating in major system cutover planning and implementation.
  - o. Reviewing and/or preparing the system cutover plan and procedures.
  - p. Reviewing and/or preparing the training plan and training material.
  - q. Participating in training.
  - r. Providing warranty support (documentation, administration, coordinating with selected vendor).
  - s. Assisting in contract closeout.
  - t. Participating in/overseeing system performance and coverage evaluation and auditing.
  - u. Assisting the SFMTA in technical coordination with other City agencies, agencies of neighboring counties, and other governmental agencies.
  - v. Preparing and assisting the SFMTA to prepare Interlink/interoperability agreements with other agencies.
  - w. Assisting/participating in system configuration management planning and implementation.
  - x. Assisting in preparation of Reliability, Availability, Maintainability (RAM) demonstration plan and participating in RAM demonstration.
14. Start-up and commissioning of systems, including integration and pre-revenue "dry-run" testing, developing test procedures, instrumenting vehicles and equipment, conducting tests, and providing test reports and analyses.
15. As-needed systems engineering and cost engineering support for SFMTA's Capital Program Control System. Tasks may include, but are not limited to:
- a. Development of EcoSys screen layouts, dashboards, charts, reports, and spreadsheets that support of cost management best practices.
  - b. Analysis of system architecture, including recommendations for performance optimization.
  - c. Design, development, and implementation of data integration opportunities that are in support of cost management best practices.
16. Additional staffing in the areas of inspection, construction management, engineering, contract administration and quality assurance.

17. Providing safety certification oversight and required documentation to obtain System Safety and Security Program per CPUC General Order (GO) 164-D. (General Order 164-D requires transit agencies who are building and operating rail fixed guideway systems to establish a System Safety and Security Program.) The scope of work may include, but is not limited to, the following:

- Providing safety standards
- Reviewing the contractor's system safety program
- Reviewing the contractor's hazard analyses
- Developing Safety and Security Certification Plan
- Leading Safety & Security Certification Review Committee SSCRC (ongoing)
- Maintaining the Audit Conformance Checklist (ongoing)
- Reviewing the contractor safety requirements
- Auditing implementation of safety requirements in software
- Auditing resolution of hazards (ongoing)

ENCLOSURE 3  
San Francisco Municipal Transportation Agency Contract CS-178  
As-Needed Specialized Engineering Services  
Consultant Team Organization

Following is a summary of the consulting team members and their roles in this contract:

HNTB Corporation

As the Prime Consultant, HNTB Corporation will be the overall project manager as well as the lead on the track, systems, civil design, structures & urban design, construction management, and contract administration components of the scope of services.

Acumen Building Enterprise, Inc. – SBE

Acumen will provide project controls, scheduling, FTA reporting, and procurement support services.

Anchor Engineering, Inc. - SBE

Anchor will provide system safety/security, construction management/inspection, scheduling, estimating, and construction claims analysis/resolution services.

Anamet Inc.

Anamet will provide as-needed metallurgical inspections and/or testing.

CDM Smith, Inc.

CDM will provide specialized skills in bus rapid transit facilities planning, design and operation.

CHS Consulting Group – SBE

CHS will provide expertise in traffic signal systems design & operation and computer, vehicle detection, and communications technology.

Cornerstone Transportation Consulting, Inc.

Cornerstone will provide construction inspection services.

Engeo, Inc.

Engeo will provide support for geotechnical investigations and reports, including recommendations on pile design, and design criteria to limit seismic damage to acceptable levels.

Estructure, Inc.

Estructure will provide structural engineering services, including seismic evaluation of existing building and seismic protection of nonstructural components.

FMG Architects – SBE

FMG will provide architectural support and urban design services.

kW Engineering – SBE

kW will provide mechanical engineering and LEED commissioning services.

Parsons Brinckerhoff, Inc.

Parsons will provide transportation planning and design, systems engineering, transit planning, design and operations; and environmental analysis.

Robin Chiang & Company – SBE

Robin Chiang & Company will provide architectural and urban design support.

Sperry Rail Services, Inc.

Sperry will provide annual ultrasonic rail testing services.

Structus, Inc. - SBE

Structus will provide structural engineering and special inspection services.

TBD Consultants – SBE

TBD will provide experience in cost planning and estimating, construction management, value engineering, and litigation support.

Telamon Engineering Consultants, Inc. – SBE

Telamon will provide support with land surveys; utility design and coordination; civil design; and agency coordination.

Wilson, Ihrig & Associates, Inc. – SBE

WIA's responsibilities will include predicting, analyzing, preventing and mitigating noise and vibration from transit operations, and equipment, and designing and monitoring mitigation measures.

YEI Engineers, Inc. – SBE

YEI's responsibilities will include mechanical, electrical, plumbing, and technology engineering; transportation facility planning, design, and construction expertise; and expertise in electrical and mechanical distribution systems for transportation.

ENCLOSURE 4  
San Francisco Municipal Transportation Agency Contract CS-178  
As-Needed Specialized Engineering Services  
Consultant Agreement

**Agreement Between**

**The City and County of San Francisco**

**Municipal Transportation Agency**

**And**

**HNTB Corporation**

**For**

**As-Needed Specialized Engineering Services**

**Contract No. CS-178**

**(CCO-16-1382)**

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**City and County of San Francisco  
Municipal Transportation Agency  
One South Van Ness Ave. 7<sup>th</sup> floor  
San Francisco, California 94103**

**Agreement between the City and County of San Francisco and  
HNTB Corporation  
Contract No. CS-178**

This Agreement is made this \_\_\_\_\_ day of July, 2016, in the City and County of San Francisco, State of California, by and between HNTB Corporation, 49 Stevenson Street, Suite 600, San Francisco, CA 94105 (Contractor) and the City and County of San Francisco, acting by and through its Municipal Transportation Agency (SFMTA).

**Recitals**

**A.** The SFMTA wishes the services of a consulting firm to provide as-needed specialized engineering services and technical support for the SFMTA Capital Programs and Construction Division.

**B.** The SFMTA issued a Request for Proposals (RFP) on December 28, 2015, and selected Contractor as the highest-qualified scorer pursuant to the RFP.

**C.** Contractor represents and warrants that it is qualified to perform the Services required by City as set forth under this Agreement.

**D.** Approval for this Agreement was obtained when the Civil Service Commission approved Contract number 4130-12/13 on February 1, 2016.

Now, THEREFORE, the parties agree as follows:

**Article 1 Definitions**

The following definitions apply to this Agreement:

**1.1 Acceptance:** The formal written acceptance by the City and County of San Francisco that all work, or a specific portion thereof, under the contract has been satisfactorily completed.

**1.2 A/E Services:** The professional services of an architectural or engineering nature, as defined by State law, if applicable, that are required to be performed or approved by a person licensed, registered or certified to provide those services.

**1.3 Agreement or Contract:** This Agreement and all referenced Appendices to this Agreement, and all applicable City Ordinances and Mandatory City Requirements that are specifically incorporated into this Agreement by reference.

**1.4 Award:** Authorization by resolution of the SFMTA Board of Directors for the Director of Transportation to execute the Contract with the selected proposer.

**1.5 Certification:** Certification by the Controller that funds necessary to make payments as required under the contract are available in accordance with the City's Charter.

**1.6 City:** The City and County of San Francisco, a municipal corporation, acting by and through the SFMTA.

**1.7 CMD.** The Contract Monitoring Division of the City.

**1.8 Contract Compliance Office (CCO):** The SFMTA office that administers compliance with federal regulations governing the Disadvantaged Business Enterprises/Equal Employment and Non-Discrimination Programs, in addition to the SFMTA Small Business Enterprise Program and the City's Local Business Enterprise/Non-Discrimination Program.

**1.9 Contract Modification or Amendment:** A written order, issued by the City to Contractor, covering changes in the Contract documents within the general scope of the Contract and establishing the basis of payment and time adjustments for the work affected by the changes.

**1.10 Contractor or Consultant:** HNTB Corporation, 49 Stevenson Street, Suite 600, San Francisco, CA 94105

**1.11 Controller: Controller of the City.**

**1.12 Days:** Unless otherwise designated, the word "Days" refers to working days of the City, which are generally Monday through Friday, excluding holidays. The use of the term "days," "working days" or "business days" in this Agreement shall be synonymous.

**1.13 Deliverables:** Contractor's work product resulting from the Services that are provided by Contractor to City during the course of Contractor's performance of the Agreement, including without limitation, the work product described in the "Scope of Services" attached as Appendix A.

**1.14 Director:** The Director of Transportation of the SFMTA or his/her designee.

**1.15 Effective Date:** The date on which the City's Controller certifies the availability of funds for this Agreement as provided in Section 3.1.

**1.16 Engineer:** The SFMTA engineer assigned to the Contract or his/her designated agent.

**1.17 Federal Transit Administration (FTA):** An operating administration of the U.S. Department of Transportation.

**1.18 Final Acceptance:** The formal written acceptance by the Director that all contract deliverables for the Contract have been satisfactorily completed and accepted. This will authorize the Project Manager to release the final payment, including all retention, to the Contractor.

**1.19 Key Personnel:** Those participants on a project who contribute in a substantive, measurable way to the project's development.

**1.20 Mandatory City Requirements:** Those City laws set forth in the San Francisco Municipal Code, including the duly authorized rules, regulations, and guidelines implementing such laws, that impose specific duties and obligations on Contractor.

**1.21 Notice To Proceed (NTP):** A letter from the SFMTA advising the Consultant of the day when work is to commence under the Contract,

**1.22 Party(ies):** The City and Contractor, either collectively or individually.

**1.23 Project Manager:** The designated SFMTA employee who will assume all duties and responsibilities to manage the Contract.

**1.24 Proposal:** The Contractor's written response/submittal to the RFP.

**1.25 Request for Proposals; RFP:** The Request for Proposals for As-Needed Engineering Services issued by the SFMTA on December 28, 2015.

**1.26 San Francisco Municipal Railway (Muni):** The public transit system of San Francisco, under the jurisdiction of the SFMTA.

**1.27 San Francisco Municipal Transportation Agency (the SFMTA or Agency):** The agency of the City that is in charge of the construction, management, supervision, maintenance, extension, operation, use and property of the San Francisco Municipal Railway and the former Department of Parking and Traffic, with exclusive authority over contracting, leasing and purchasing by the Agency.

**1.28 Services:** The work performed by Contractor under this Agreement as specifically described in the "Scope of Services" attached as Appendix A, including all services, labor, supervision, materials, equipment, actions and other requirements to be performed and furnished by Contractor under this Agreement.

**1.29 Small Business Enterprise or SBE:** A for-profit, small business concern with a three-year average gross revenue not exceeding current SBA size standards appropriate for its type of work and is either verified eligible by the SFMTA or certified under any of the following programs: the State of California's Small Business Program, the City and County of San Francisco's LBE Program, or the California Unified Certification Program.

**1.30 Subconsultant or Subcontractor:** Any firm under contract to the Consultant for services under this Agreement.

**1.31 Task Order:** A written directive from the SFMTA to the Consultant to perform specified work.

**1.32 Work Product:** All reports, studies, data, specifications, design criteria, graphs, tape recordings, pictures, memoranda, letters, computer-generated data, calculations, estimates, summaries and such other information and materials as may have been accumulated or generated

by the Consultant or its Subconsultants, in connection with the services performed under this Agreement, whether completed or in process.

## **Article 2 Term of the Agreement**

**2.1** The term of this Agreement shall commence on the latter of: (i) July 1, 2016, or (ii) the Effective Date, and expire five years thereafter, unless earlier terminated as otherwise provided herein.

## **Article 3 Financial Matters**

**3.1 Certification of Funds; Budget and Fiscal Provisions; Termination in the Event of Non-Appropriation.** This Agreement is subject to the budget and fiscal provisions of the City's Charter. Charges will accrue only after prior written authorization certified by the Controller, and the amount of City's obligation hereunder shall not at any time exceed the amount certified for the purpose and period stated in such advance authorization. This Agreement will terminate without penalty, liability or expense of any kind to City at the end of any fiscal year if funds are not appropriated for the next succeeding fiscal year. If funds are appropriated for a portion of the fiscal year, this Agreement will terminate, without penalty, liability or expense of any kind at the end of the term for which funds are appropriated. City has no obligation to make appropriations for this Agreement in lieu of appropriations for new or other agreements. City budget decisions are subject to the discretion of the Mayor and the Board of Supervisors. Contractor's assumption of risk of possible non-appropriation is part of the consideration for this Agreement.

THIS SECTION CONTROLS AGAINST ANY AND ALL OTHER PROVISIONS OF THIS AGREEMENT.

**3.2 Guaranteed Maximum Costs.** The City's payment obligation to Contractor cannot at any time exceed the amount certified by City's Controller for the purpose and period stated in such certification. Absent an authorized Emergency per the City Charter or applicable Code, no City representative is authorized to offer or promise, nor is the City required to honor, any offered or promised payments to Contractor under this Agreement in excess of the certified maximum amount without the Controller having first certified the additional promised amount and the Parties having modified this Agreement as provided in Section 11.5, "Modification of this Agreement."

### **3.3 Compensation.**

**3.3.1 Amount** Compensation under this Agreement shall be based on either a negotiated lump sum price per task or subtask, or actual direct costs plus a negotiated fixed profit per subtask and task. In no event shall the amount of this Agreement exceed Five Million Dollars (\$5,000,000).

#### **3.3.2 Method of Computing Compensation**

(a) **Direct Labor Rates.** The direct labor rates in Appendix C shall be fixed at that level until 12 months after the Effective Date of this Agreement. Direct Salary Rates in Appendix C may be adjusted 12 months after the Effective Date of this Agreement and no more frequently than annually thereafter. Individual salary rates may be increased by no more than three percent annually with prior written approval of the SFMTA. The SFMTA will generally not approve any individual rate increase of over three percent unless presented with compelling evidence of necessity based on specialized expertise, market conditions, or special conditions related to recruitment or retention. Should the Consultant seek a rate increase, the Consultant must present an updated Appendix C for the SFMTA's approval prior to adjustment of rates on its progress payment requests.

(b) **Overhead.** The Consultant's compensation under this Agreement will be based on and shall not exceed the combined overhead and salary burden rates as shown on the Schedule of Overhead Rates attached as Appendix D. The rates in Appendix D may be adjusted annually with prior written approval from the Director of Capital Programs and Construction Division. The Consultant's and Subconsultants' combined overhead and salary burden rates are subject to audit in compliance with Federal requirements.

The overhead rates attached as Appendix D, including any adjustment to such rates as provided for above, are subject to reimbursement as described in this paragraph. Within 180 days of the end of Consultant's fiscal year that immediately follows the expiration or any earlier termination of this Agreement, Consultant shall submit to the Project Manager Consultant's and all Subconsultants' actual rates during the term of this Agreement. For each rate paid to the Consultant that exceeds the Consultant's or any Subconsultant's actual rate, the Consultant shall reimburse to the City the total difference between the rate paid and Consultant's or Subconsultant's actual rate during the term of this Agreement. Consultant shall reimburse City within 30 days of written notice from City seeking reimbursement. For each actual overhead rate of Consultant or Subconsultant that exceeds the rate paid to Consultant, City shall pay to Consultant the difference between the actual rate and the rate paid during the term of the Agreement. City shall reimburse Consultant within 60 days of City's receipt of all of Consultant's actual rates. Nothing in this paragraph shall limit City's right to audit and inspect Consultant's rates as provided above.

(c) **Reimbursable Costs.** The Consultant acknowledges that it is familiar with the provisions set forth in 2 CFR Part 200 (“Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards”). Consultant understands and acknowledges that the City will not pay the Consultant for costs under this Agreement that are not reimbursable to City from its funding agencies in accordance with 2 CFR Part 200, and that all payments under this Agreement are subject to audit and adjustment.

(d) **Out-of-Pocket Expenses.** The SFMTA will reimburse Consultant for the actual cost of approved out-of-pocket expenses for the prime Consultant and subconsultants. Compensation for materials and expenses shall be at direct cost, without any mark-ups. All travel expenses are to be pre-approved by the SFMTA and Consultant must obtain the best air fare available in a timely fashion. All travel receipts must accompany the invoice.

(e) **Non-Reimbursable Expenses.** Notwithstanding any other provision of this Agreement, computer usage, facsimile and telecommunication expenses will not be tracked or reimbursed separately as out-of-pocket costs. Consultant and subconsultant personnel relocation costs and entertainment or personal expenses of any kind will not be reimbursable under this Contract. Office and field supplies/equipment expenses will also not be reimbursable unless these supplies and equipment can be demonstrated to be out of the ordinary and used exclusively for the services of this Agreement. Vehicle expenses calculated on a cost-per-mile basis for travel within a 100-mile radius of the City will not be reimbursable.

(f) **Use of Public Transit.** San Francisco is a transit-first city, and the SFMTA encourages Consultant and Subconsultants to use public transit in performance of its services to the maximum extent possible, including travel to and from airports. The SFMTA will closely review the Consultant's requests for reimbursement of travel expenses. The City reserves the right to refuse to reimburse travel expenses that are not in accord with these policies.

### **3.4 Labor Standards – Prevailing Wages.**

**3.4.1 Prevailing Wages.** If Contractor will use any Subcontractor(s) to provide Services subject to the provisions of Sections 1770, et seq., of the California Labor Code (Labor Code Provisions), Contractor and its Subcontractors must comply with the following:

(a) It is understood and agreed that all applicable Labor Code Provisions are required to be incorporated into every contract for any public work or improvement and are provisions of this Agreement.

(b) It is understood and agreed that all provisions of sections 6.22(e) and 6.22(f) of the San Francisco Administrative Code are incorporated as provisions of the Agreement, including, but not limited to, the following:

(i) Contractor shall pay to all persons performing Services not less than the highest general prevailing rate of wages determined as set forth herein for the respective crafts and employments, including such wages for holiday and overtime work.

(ii) Contractor shall insert in every subcontract or other arrangement, which it may make for the performance of any Services, a provision that said Subcontractor shall pay to all persons performing labor or rendering service under said Subcontract or other arrangement the highest general prevailing rate of wages determined as set forth herein for the respective crafts and employments subject to the Labor Code Provisions, including such wages for holiday and overtime work.

(iii) Contractor shall keep or cause to be kept complete and accurate payroll records for all persons subject to the Labor Code Provisions who are performing Services. Such records shall include the name, address and social security number of each worker who provided Services, including apprentices, his or her classification, a general description of the services each worker performed each day, the rate of pay (including rates of contributions for, or costs assumed to provide fringe benefits), daily and weekly number of hours worked, deductions made and actual wages paid. Every Subcontractor who shall undertake the performance of any part of the Services herein required shall keep a like record of each person engaged in the execution of the Subcontract. All such records shall at all times be available for inspection of and examination by the City and its authorized representatives and the DIR.

(iv) Should Contractor, or any Subcontractor who shall undertake the performance of any part of the Services herein required, fail or neglect to pay to the persons who shall perform labor under this Agreement, Subcontract or other arrangement for the Services, the highest general prevailing rate of wages as herein specified, Contractor shall forfeit, and in the case of any Subcontractor so failing or neglecting to pay said wage, Contractor and the Subcontractor shall jointly and severally forfeit, back wages due plus the penalties set forth in Labor Code Section 1775, but not less than \$50 per worker per day. The City, when certifying any payment that may become due under the terms of the Agreement, shall deduct from the amount that would otherwise be due on such payment the amount of said forfeiture or forfeitures as so certified.

(v) No person performing labor or rendering service in the performance of the Agreement or a Subcontract for the Services shall perform labor for a longer period than five days (Monday-Friday) per calendar week of eight hours each (with two 10-minute breaks per eight-hour day), except in those crafts in which a different work day or week now prevails by agreement in private employment. Any person working hours in addition to the above shall be compensated in accordance with the prevailing overtime standard and rates. Contractor or any Subcontractor who violates this provision shall forfeit back wages due plus the penalties set forth in Labor Code Section 1775, but not less than \$50 per worker per day.

(vi) Copies of the prevailing wage rates are available on the internet at <http://www.dir.ca.gov/DLSR/PWD>.

(vii) Payments to a craft or classification not shown on the prevailing rate determinations shall comply with the rate of the craft or classification most closely related to it. Contact the California Division of Labor Statistics and Research, Prevailing

Wage Unit at (415) 703-4774 for job classifications not listed in the General Prevailing Wage Determinations of the Director of DIR.

(c) All Services performed are subject to compliance monitoring and enforcement of prevailing wage requirements by the DIR and San Francisco Office of Labor Standards Enforcement.

(d) Contractor shall post job site notices prescribed by the DIR at all job sites where Services are to be performed.

### **3.4.2 Registration with DIR; Certified Payrolls**

(a) All Subcontractors who propose or work on a public works project under the Labor Code Provisions must register and pay an annual fee to the DIR. Contractor shall not employ a Subcontractor to perform Services subject to the Labor Code Provisions who does not maintain a current registration with the DIR.

(b) Certification of Payroll Records: Contractor shall comply with the requirements of section 1776 of the California Labor Code, or as amended from time to time, regarding the preparation, keeping, filing and furnishing of certified copies of payroll records of wages paid to its employees and to the employees of its Subcontractors of all tiers.

(c) The payroll records shall be certified under penalty of perjury and shall be submitted electronically to the City and, where required, to DIR. In addition, Contractor shall make the payroll records available for inspection at all reasonable hours at its offices, on the following basis:

(i) A certified copy of an employee's payroll record shall be made available for inspection or furnished to such employee or his or her authorized representative upon request.

(ii) A certified copy of all payroll records shall be made available for inspection or furnished to a representative of the City upon request.

(iii) A certified copy of all payroll records shall be made available upon request to the public for inspection or copies thereof made; provided, however, that a request by the public shall be made through either the City, the Division of Apprenticeship Standards, or the Division of Labor Standards Enforcement. The public shall not be provided access to such records at the job site office of Contractor.

(iv) Contractor shall file a certified copy of the payroll records with the entity that requested such records within 10 calendar days after receipt of a written request.

(d) In providing copies of payroll records to any requestor, the City shall redact or obliterate such information as may be required under California Labor Code section 1776(e), as that section may be amended from time to time.

(e) Contractor shall inform the City of the location of the payroll records, including the street address, city and county, and shall, within five Days, provide a notice of a change of location and address.

(f) In the event that Contractor receives a written notification of noncompliance with section 1776, Contractor shall have 10 calendar days from receipt of such written notice to comply. Should noncompliance still be evident after such 10-day period, Contractor shall forfeit the penalties set forth in Labor Code Section 1776. Upon the request of the Division of Apprenticeship Standards or the Division of Labor Standards Enforcement, such penalties shall be withheld from the Contract Sum.

(g) Contractor is solely responsible for compliance with section 1776. The City shall not be liable for Contractor's failure to make timely or accurate submittals of certified payrolls.

(h) No monthly payments for Services completed will be processed until Contractor has submitted weekly certified payrolls to the City for the applicable time period. Certified payrolls shall be prepared pursuant to the applicable Labor Code Provisions for the period involved.

(i) No monthly payments will be processed until Contractor has also submitted weekly certified payrolls to the DIR (in addition to the City) for the applicable time period, and in the manner required by DIR.

(i) Contractor shall submit certified payrolls to the City electronically via the Project Reporting System (PRS) selected by the City, an internet-based system accessible through a web browser. The Contractor and each Subcontractor will be assigned a log-on identification and password to access the PRS.

(ii) Use of the PRS may require Contractor and Subcontractors to enter additional data relating to weekly payroll information including, but not limited to, employee identification, labor classification, total hours worked and hours worked on the applicable project, and wage and benefit rates paid. Contractor's payroll and accounting software may be capable of generating a "comma delimited file" that will interface with the PRS software.

(iii) The City will provide basic training in the use of the PRS at a scheduled training session. Contractor and all Subcontractors and/or their designated representatives must attend the PRS training session.

(iv) Contractor shall comply with the requirements of subparagraphs i, ii, and iii, above, **Error! Reference source not found.** at no additional cost to the City.

(v) The City will not be liable for interest, charges or costs arising out of or relating to any delay in making progress payments due to Contractor's failure to make a timely and accurate submittal of certified payrolls.

### **3.4.3 Apprentices**

(a) Contractor and its Subcontractors of every tier shall, as a material term of the Agreement, comply with the requirements of the State Apprenticeship Program (as set forth in the California Labor Code, division 3, chapter 4 [commencing at section 3070], and section 1777.5) and San Francisco Administrative Code, section 6.22(n). Contractor shall be solely responsible for securing compliance with Section 1777.5 for all apprenticeable occupations.

(i) Contractor shall comply with all requests by the City to provide proof that Contractor and all of its Subcontractors at every tier are in compliance with the State Apprenticeship Program.

(ii) Contractor shall include in all of its Subcontracts the obligation for Subcontractors to comply with the requirements of the State Apprenticeship Program.

(iii) Section 1777.5 does not apply to contracts of general contractors or to contracts of specialty contractors not bidding for work through a general or prime contractor when the contracts of general contractors or those specialty contractors involve less than \$30,000.

(b) Should Contractor fail to comply with the apprenticeship requirements of section 1777.5, Contractor shall be subject to the penalties prescribed in section 1777.7 of the California Labor Code. The interpretation and enforcement of section 1777.5 shall be in accordance with rules and procedures prescribed by the California Apprenticeship Council.

(c) Contractor, if not signatory to a recognized apprenticeship training program under chapter 4 of the California Labor Code, shall provide to the City with all progress payment requests, starting with the second such request, satisfactory evidence that it has contributed to the appropriate apprenticeship fund(s). Contractor shall require its Subcontractors who are not signatories to provide such evidence to the City as a condition precedent for qualifying for payment from the City. The City reserves the right to demand such evidence upon request.

### **3.4.4 Labor Standards Enforcement**

(a) All Services performed are subject to compliance monitoring and enforcement of prevailing wage requirements by the DIR and the San Francisco Office of Labor Standards Enforcement.

(b) In accordance with Administrative Code section 6.22(e)(7) and section 6.24 and the applicable Labor Code Provisions, Contractor further acknowledges and agrees as follows:

(i) Contractor will cooperate fully with the DIR and the Labor Standards Enforcement Officer and other City employees and agents authorized to assist in the administration and enforcement of the prevailing wage requirements and other labor standards imposed on public works contractors by the San Francisco Charter, Chapter 6 of the San Francisco Administrative Code, and the applicable sections of the California Labor Code.

(ii) Contractor agrees that the DIR and the Labor Standards Enforcement Officer and his or her designees, in the performance of their duties, shall have the right to engage in random inspections of job sites and to have access to the employees of the contractor, employee time sheets, inspection logs, payroll records and employee paychecks.

(iii) Contractor shall maintain a sign-in and sign-out sheet showing which employees are present on the job site.

(iv) Contractor shall post job site notices prescribed by the DIR at all job sites where Work is to be performed.

(v) The DIR and the Labor Standards Enforcement Officer may audit such records of Contractor as is deemed reasonably necessary to determine compliance with the prevailing wage and other labor standards imposed by the San Francisco Charter, Chapter 6 of the San Francisco Administrative Code, and the applicable sections of the California Labor Code.

(c) Under California Public Contract Code Section 6109, Contractor or Subcontractors who are ineligible to bid or work on, or be awarded, a public works project under California Labor Code sections 1777.1 or 1777.7 are prohibited from performing Services under this Agreement.

(i) Any contract to perform any of the Services called for in this Agreement entered into between Contractor and a debarred Subcontractor is void as a matter of law.

(ii) A debarred Subcontractor may not receive any public money for performing work as a Subcontractor on a public works project. Contractor shall return to the City any public money that may have been paid to a debarred Subcontractor by Contractor.

(iii) Contractor shall be responsible for the payment of wages to workers of a debarred Subcontractor that has been allowed to perform Services under this Agreement.

**3.5 Payment.** Contractor shall provide an invoice to the SFMTA on a monthly basis for Services completed in the immediate preceding month. Compensation shall be made for Services identified in the invoice that the SFMTA's designee, in his or her sole discretion, concludes has been satisfactorily performed. The City will make payment within 30 calendar days of receipt of the invoice, unless the City notifies the Contractor that a dispute as to the invoice exists. In no event shall City be liable for interest or late charges for any late payments.

**3.5.1 Payment Limited to Satisfactory Services.** Contractor is not entitled to any payments from City until the SFMTA approves Services, including any furnished Deliverables, as satisfying all of the requirements of this Agreement. Payments to Contractor by City shall not excuse Contractor from its obligation to replace unsatisfactory Deliverables, including equipment, components, materials, or Services even if the unsatisfactory character of such Deliverables, equipment, components, materials, or Services may not have been apparent or detected at the time such payment was made. Deliverables, equipment, components, materials and Services that do not conform to the requirements of this Agreement may be rejected by City and in such case must be replaced by Contractor without delay at no cost to the City.

**3.5.2 Withhold Payments.** If Contractor fails to provide Services in accordance with Contractor's obligations under this Agreement, the City may withhold any and all payments due Contractor until such failure to perform is cured, and Contractor shall not stop work as a result of City's withholding of payments as provided herein.

**3.5.3 Invoice Format.** Invoices furnished by Consultant under this Agreement must be in a form acceptable to the Controller, and must include the Contract Progress Payment Authorization number. The Consultant shall submit invoices for all allowable charges incurred in the performance of the Agreement. No invoice shall be rendered if the total work done under this Agreement since the last invoice amounts to less than \$1,500, except that an invoice may be submitted if three months have elapsed since the last invoice was submitted. No more than one invoice shall be submitted in a month. The Consultant shall submit invoices in quadruplicate with each invoice containing the following information:

- a. Contract Number
- b. Task Order Number
- c. Description of the work performed or services rendered
- d. Name, position, direct hourly rate and hours worked of employee(s) whose labor is invoiced
- e. Overhead costs
- f. Other direct costs
- g. Subconsultant costs supported by invoice itemization in the same format as described here
- h. Fixed Fee for current invoice period and amount of Fixed Fee as of date of invoice. Fixed Fee will be calculated as a prorated portion of the total fixed fee for the task for which Consultant seeks payment.
- i. Total costs.
- j. SBE utilization report (MTA Form 6)
- k. Certified payroll records substantiating all labor charges for Consultant and all subconsultants shown on the invoice

**3.5.4 Progress Payment Form.** The Controller is not authorized to pay invoices submitted by Consultant prior to Consultant's submission of the SFMTA Progress Payment Form. If the Progress Payment Form is not submitted with Consultant's invoice, the Controller will notify the SFMTA and Consultant of the omission. If Consultant's failure to provide the SFMTA Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20 percent of the payment due pursuant to that invoice until the SFMTA Progress Payment Form is provided.

**3.5.5 Getting Paid for Goods and/or Services from the City.**

(a) All City vendors receiving new contracts, contract renewals, or contract extensions must sign up to receive electronic payments through Paymode-X, the City's third party service that provides Automated Clearing House (ACH) payments. Electronic payments are processed every business day and are safe and secure. To sign up for electronic payments, visit [www.sfgov.org/ach](http://www.sfgov.org/ach).

(b) The following information is required to sign up: (i) The enroller must be their company's authorized financial representative, (ii) the company's legal name, main telephone number and all physical and remittance addresses used by the company, (iii) the company's U.S. federal employer identification number (EIN) or Social Security number (if they are a sole proprietor), and (iv) the company's bank account information, including routing and account numbers.

**3.6 Grant-Funded Contracts.**

**3.6.1 Disallowance.** If Contractor requests or receives payment from City for Services, reimbursement for which is later disallowed by the State of California or United States Government, Contractor shall promptly refund the disallowed amount to City upon City's request. At its option, City may offset the amount disallowed from any payment due or to become due to Contractor under this Agreement or any other Agreement between Contractor and City.

**3.6.2 FTA Requirements.** The provisions contained in "FTA Requirements for Personal Services Contracts," attached as Appendix E are incorporated into this Agreement. If there is any conflict between the FTA terms and conditions and any other terms and conditions of this Agreement, the FTA terms and conditions shall take precedence.

**3.7 Audit and Inspection of Records.** Contractor agrees to maintain and make available to the City, during regular business hours, accurate books and accounting records relating to its Services. Contractor will permit City to audit, examine and make excerpts and transcripts from such books and records, and to make audits of all invoices, materials, payrolls, records or personnel and other data related to all other matters covered by this Agreement, whether funded in whole or in part under this Agreement. Contractor shall maintain such data and records in an accessible location and condition for a period of not fewer than five years after final payment under this Agreement or until after final audit has been resolved, whichever is

later. The State of California or any Federal agency having an interest in the subject matter of this Agreement shall have the same rights as conferred upon City by this Section. Contractor shall include the same audit and inspection rights and record retention requirements in all subcontracts.

**3.8 Submitting False Claims.** The full text of San Francisco Administrative Code Chapter 21, Section 21.35, including the enforcement and penalty provisions, is incorporated into this Agreement. Pursuant to San Francisco Administrative Code §21.35, any contractor or subcontractor who submits a false claim shall be liable to the City for the statutory penalties set forth in that section. A contractor or subcontractor will be deemed to have submitted a false claim to the City if the contractor or subcontractor: (a) knowingly presents or causes to be presented to an officer or employee of the City a false claim or request for payment or approval; (b) knowingly makes, uses, or causes to be made or used a false record or statement to get a false claim paid or approved by the City; (c) conspires to defraud the City by getting a false claim allowed or paid by the City; (d) knowingly makes, uses, or causes to be made or used a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the City; or (e) is a beneficiary of an inadvertent submission of a false claim to the City, subsequently discovers the falsity of the claim, and fails to disclose the false claim to the City within a reasonable time after discovery of the false claim.

#### **Article 4 Services and Resources**

**4.1 Services Contractor Agrees to Perform.** Contractor agrees to perform the Services provided for in Appendix A, "Scope of Services." Officers and employees of the City are not authorized to request, and the City is not required to reimburse the Contractor for, Services beyond the Scope of Services listed in Appendix A, unless Appendix A is modified as provided in Section 11.5, "Modification of this Agreement."

**4.2 Priority of Documents.** All requirements of the RFP and the representations made in the Consultant's Proposal that are not in conflict with provisions of this Agreement are incorporated by reference and made an integral part of this Agreement as though fully set forth herein. With respect to any conflict or ambiguity between this Agreement and the RFP or Consultant's Proposal, this Agreement shall control except where the RFP or the Proposal refers to services not otherwise mentioned in this Agreement, in which case and to such extent the RFP or Proposal shall control. Documents listed as Appendixes to this Agreement are incorporated by reference as though fully set forth herein.

**4.3 Information and Data.** The Consultant shall request in writing any information and data it will require to perform Task Orders. The Consultant shall identify the timing and priority for which this information and data will be required. The Consultant and City shall reach agreement as to the availability and delivery time for this data and information during initial task negotiations.

**4.4 Presentations.** In the performance of assigned tasks, the Consultant, if requested by City, shall prepare graphic and written presentations, and participate in presentations of said material to various City departments, commissions, and interested community groups.

**4.5 Task Requirements.** The SFMTA will define Task requirements. The cost and estimated time to perform the task fully will be agreed upon in advance of the start of work on the task in accordance with the terms and conditions of this Agreement, generally following the procedures outlined below.

**4.5.1 Scope of Work.** The SFMTA will prepare the scope of work and expected time of completion, using the Task Order form (Appendix B) and transmit the Task Order form to the Consultant with a request for a proposal for the performance of the task.

**4.5.2 Consultant Proposal.** The Consultant shall prepare and submit a proposal for the task showing:

(a) A work plan that includes a detailed description by subtask of the work to be performed and the means and methods that will be used to perform it;

(b) Milestones for completion for each subtask and deliverables at each milestone;

(c) Personnel and the Subconsultants assigned to each part of the work along with a resume or curriculum vitae that indicates why such personnel are qualified to perform the work; and prior experience in performing work of this nature;

(d) A detailed cost estimate for each task or subtask showing:

(i) Estimated hours and direct salaries by position (hourly rates by position as listed in Appendix C for both Consultant and Subconsultant personnel). Labor hours for preparing monthly invoices or filling out required SBE forms will not be allowed. Consultant will manage Subconsultants so additional Subconsultant program management labor hours will not be allowed. Overtime labor hours will not be allowed without prior written approval. If overtime is approved, it will be billed at the billing rates listed and not at one and one half times the billing rate;

(ii) Overhead, including salary burden costs (% rates as listed in Appendix D) for both Consultant and Subconsultants; to arrive at this cost, the overhead rate is multiplied by the cost in (1) above;

(iii) Estimated reasonable out-of-pocket expenses;

(iv) Proposed profit as follows: Total profit/mark up of each Task Order as fixed fee amount not to exceed seven percent of total amount of the Task Order (excluding Other Direct Costs), regardless whether Task Order is being performed by prime Consultant, Subconsultant(s) or combination thereof.

**4.5.3 Negotiation of Cost and Profit.** The Project Manager will review the proposal and negotiate either a lump sum price or a fixed profit to perform the work of each subtask and task and either a total price or a total cost not to exceed for the task.

**4.5.4 Record of Negotiations.** The Project Manager will document the negotiations and any agreement in a Record of Negotiations.

**4.5.5 Controller Certification.** The Project Manager will request certification from the Controller that adequate funds are available to proceed with the task as agreed.

**4.5.6 Notice to Proceed.** After certification, the Project Manager will send to the Consultant a written NTP and task number. The Consultant shall use the task number when submitting invoices to the Project Manager for payment. The Consultant shall not commence work on any task until it receives a written NTP for the task.

**4.5.7 Changes.** Agreed lump sum prices and fixed profits for subtasks and tasks cannot be modified unless there is a material change in the scope of work of the task. If there is a material change in the scope of work of a task, then a proposal, negotiations, and Record of Negotiations shall be required before changes to agreed lump sum prices and fixed profits can be approved. Certification by the Controller is required for changes that result in an increase to the total cost of a task.

**4.5.8 Failure to Agree on Terms of Task.** In the event that the SFMTA and Consultant cannot reach agreement on the terms of the Task Order, the SFMTA may either cancel the Task Order and have the work accomplished through other available sources, or may direct the Consultant to proceed with the task under such conditions as City may require to assure quality and timeliness of the task performance. Under no circumstances may the Consultant refuse to undertake a City-ordered task.

**4.6 Key Personnel.** Contractor shall utilize only competent personnel under the supervision of, and in the employment of, Contractor (or Consultant's authorized subcontractors) to perform the Services. Consultant shall comply with City's reasonable requests regarding assignment and/or removal of personnel, but all personnel, including those assigned at City's request, must be supervised by Consultant. Contractor shall commit adequate resources to allow timely completion within the project schedule specified in this Agreement. The Consultant agrees that the following key team members shall be committed and assigned to provide services under this Agreement to the level required by SFMTA for the term of the Agreement and shall also be staffed at the local Consultant offices within the San Francisco Bay Area for all such time:

Chuck Morganson, P.E.	Project Manager
Vineet Agrawal, P.E.	Systems Engineering Lead
Mennor Chan, P.E., PLS, LEED AP	Utilities Coordination Lead
Devang Desal, P.E. QSD	Construction Support Lead
Monica Eastwood	Program Management Support Lead

Steve Erikson  
Sam Evison  
Kim Franchi, P.E.

David Norfleet, CCP, CFCC, DRMP  
Cliff Owyong, P.E., SE, SECB  
James Pun, P.E.  
Chi-Hsin Shao, TE, AICP  
Douglas Woodbury, P.E.

Sanja Zlatanic

Trackwork Lead  
Lead Cost Estimator  
Caltrans Permits/FTA Small Starts  
Readiness Lead  
Risk Manager  
Quality Manager  
Civil Engineering Lead  
Lead Traffic Engineer  
Radio Project Engineering/Technology  
Implementation Lead  
Chief Tunneling Engineer

Consultant shall advise SFMTA immediately any time one of the Key Team Members deviates from its committed role or time on the Task Order (e.g., is assigned to another project). SFMTA may in turn require Consultant to provide a remedy and/or corrective actions for such deviations.

**4.7 Current Workload and Available Resources.** The Consultant covenants that its current workload and the workload of its Subconsultants will not affect the commencement and the progress of the work under this Agreement. The Consultant shall have all the necessary professional, technical and support personnel, including those of the Subcontractors, available, ready and mobilized to perform actual work within two weeks of the receipt of NTP on a particular task. In addition, the Consultant shall make good faith efforts to have all contracts signed with Subcontractors within three weeks of NTP. Consultant shall provide copies of said subcontracts to the SFMTA upon request.

**4.8 Information and Data.** The Consultant shall request in writing any information and data it will require from the Agency for its work. The Consultant shall identify the timing and priority for which this information and data will be required in its Task Order proposal. The Consultant and Agency shall reach agreement as to the availability and delivery time for this information and data prior to finalizing the Plan.

**4.9 Transmittal of Work Product.** When requested by Agency's Project Manager, and after completion of each task and subtask, the Consultant shall transmit to Agency all Work Product (duplicates and originals) produced or accumulated in the course of its and its Subconsultants' work on this Agreement. The Consultant's Project Manager and Key Personnel shall have thoroughly reviewed and approved all Work Product and signed off as such prior to transmitting them to Agency.

**4.10 Reproduction of Work Product.** The Consultant shall arrange and provide for all printing (or other required reproduction) of Work Product.

**4.11 Agency's Responsibilities Regarding Submittals.** The Agency will review and comment on Consultant's submittals generally within two calendar weeks of submittal. The Agency and Consultant will establish a timetable of submittals and reviews in the initial coordination meetings and include such a timetable in the approved Task Order. The Agency's

review and comments of Consultant submittals shall in no way relieve the Consultant of its independent responsibility to perform its own quality checks and review, nor shall any comment or review by the Agency relieve the Consultant of its independent responsibility to provide submittals and deliverables in full compliance with local, state and federal codes, regulations and standards.

If Consultant considers certain Agency review comments or directives, either written or oral, to require work efforts not included in the approved Program Management/Implementation Plan, the Consultant shall provide Agency with either a written request for clarification of intended work or a proposal to proceed with additional work within five working days of discovering the perceived extra work, in strict accordance with the procedures specified subsection 4.5.7 above.

**4.12 Subcontracting.** Contractor may subcontract portions of the Services only upon prior written approval of City. Contractor is responsible for its Subcontractors throughout the course of the work required to perform the Services. All Subcontracts must incorporate the terms of Article 10 “Additional Requirements Incorporated by Reference” of this Agreement, unless inapplicable. Neither Party shall, on the basis of this Agreement, contract on behalf of, or in the name of, the other Party. Any agreement made in violation of this provision shall be null and void. City's execution of this Agreement constitutes its approval of the Subcontractors listed in Exhibit G.

**4.13 Independent Contractor; Payment of Employment Taxes and Other Expenses.**

**4.13.1 Independent Contractor.** For the purposes of this Article 4, "Contractor" shall be deemed to include not only Contractor, but also any agent or employee of Contractor. Contractor acknowledges and agrees that at all times, Contractor or any agent or employee of Contractor shall be deemed at all times to be an independent contractor and is wholly responsible for the manner in which it performs the services and work requested by City under this Agreement. Contractor, its agents, and employees will not represent or hold themselves out to be employees of the City at any time. Contractor or any agent or employee of Contractor shall not have employee status with City, nor be entitled to participate in any plans, arrangements, or distributions by City pertaining to or in connection with any retirement, health or other benefits that City may offer its employees. Contractor or any agent or employee of Contractor is liable for the acts and omissions of itself, its employees and its agents. Contractor shall be responsible for all obligations and payments, whether imposed by federal, state or local law, including, but not limited to, FICA, income tax withholdings, unemployment compensation, insurance, and other similar responsibilities related to Contractor's performing services and work, or any agent or employee of Contractor providing same. Nothing in this Agreement shall be construed as creating an employment or agency relationship between City and Contractor or any agent or employee of Contractor. Any terms in this Agreement referring to direction from City shall be construed as providing for direction as to policy and the result of Contractor's work only, and not

as to the means by which such a result is obtained. City does not retain the right to control the means or the method by which Contractor performs work under this Agreement. Contractor agrees to maintain and make available to City, upon request and during regular business hours, accurate books and accounting records demonstrating Contractor's compliance with this section. Should City determine that Contractor, or any agent or employee of Contractor, is not performing in accordance with the requirements of this Agreement, City shall provide Contractor with written notice of such failure. Within five business days of Contractor's receipt of such notice, and in accordance with Contractor policy and procedure, Contractor shall remedy the deficiency. Notwithstanding, if City believes that an action of Contractor, or any agent or employee of Contractor, warrants immediate remedial action by Contractor, City shall contact Contractor and provide Contractor in writing with the reason for requesting such immediate action.

**4.13.2 Payment of Employment Taxes and Other Expenses.** Should City, in its discretion, or a relevant taxing authority such as the Internal Revenue Service or the State Employment Development Division, or both, determine that Contractor is an employee for purposes of collection of any employment taxes, the amounts payable under this Agreement shall be reduced by amounts equal to both the employee and employer portions of the tax due (and offsetting any credits for amounts already paid by Contractor which can be applied against this liability). City shall then forward those amounts to the relevant taxing authority. Should a relevant taxing authority determine a liability for past services performed by Contractor for City, upon notification of such fact by City, Contractor shall promptly remit such amount due or arrange with City to have the amount due withheld from future payments to Contractor under this Agreement (again, offsetting any amounts already paid by Contractor which can be applied as a credit against such liability). A determination of employment status pursuant to the preceding two paragraphs shall be solely for the purposes of the particular tax in question, and for all other purposes of this Agreement, Contractor shall not be considered an employee of City. Notwithstanding the foregoing, Contractor agrees to indemnify and save harmless City and its officers, agents and employees from, and, if requested, shall defend them against any and all claims, losses, costs, damages, and expenses, including attorneys' fees, arising from this section.

**4.14 Assignment.** The services to be performed by Contractor are personal in character, and neither this Agreement nor any duties or obligations hereunder may be assigned or delegated by the Contractor unless first approved by City by written instrument executed and approved as required under City law and under the policy of the SFMTA Board of Directors.

**4.15 Warranty.** Contractor warrants to City that the Services will be performed with the degree of skill and care that is required by current, good and sound professional procedures and practices, and in conformance with generally accepted professional standards prevailing at the time the Services are performed so as to ensure that all Services performed are correct and appropriate for the purposes contemplated in this Agreement.

## **Article 5 Insurance and Indemnity**

### **5.1 Insurance.**

**5.1.1 Required Coverages.** Without in any way limiting Contractor's liability pursuant to the "Indemnification" section of this Agreement, Contractor must maintain in force, during the full term of the Agreement, insurance in the following amounts and coverages:

(a) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident, injury, or illness; and

(b) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence and \$2,000,000 general aggregate for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations; and

(c) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence, "Combined Single Limit" for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable.

(d) Professional liability insurance, applicable to Contractor's profession, with limits not less than \$2,000,000 each claim/annual aggregate with respect to negligent acts, errors or omissions in connection with the Services.

(e) Technology Errors and Omissions Liability coverage, with limits of \$1,000,000 each occurrence and each loss, and \$2,000,000 aggregate. The policy shall at a minimum cover professional misconduct or lack of the requisite skill required for the performance of services defined in the contract and shall also provide coverage for the following risks:

(i) Liability arising from theft, dissemination, and/or use of confidential information, including but not limited to, bank and credit card account information or personal information, such as name, address, social security numbers, protected health information or other personally identifying information, stored or transmitted in electronic form;

(ii) Network security liability arising from the unauthorized access to, use of, or tampering with computers or computer systems, including hacker attacks; and

(iii) Liability arising from the introduction of any form of malicious software including computer viruses into, or otherwise causing damage to the City's or third person's computer, computer system, network, or similar computer related property and the data, software, and programs thereon.

**5.1.2** Commercial General Liability and Commercial Automobile Liability Insurance policies must be endorsed to provide:

(a) Name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.

(b) That such policies are primary insurance to any other insurance available to the Additional Insureds, with respect to any claims arising out of this Agreement, and that insurance applies separately to each insured against whom claim is made or suit is brought.

**5.1.3** All policies shall be endorsed to provide 30 days' advance written notice to the City of cancellation for any reason, intended non-renewal, or reduction in coverages. Notices shall be sent to the City address set forth in Section 11.1, entitled "Notices to the Parties." All notices, certificates and endorsements shall include the SFMTA contract number and title on the cover page.

**5.1.4** Should any of the required insurance be provided under a claims-made form, Contractor shall maintain such coverage continuously throughout the term of this Agreement and, without lapse, for a period of three years beyond the expiration of this Agreement, to the effect that, should occurrences during the contract term give rise to claims made after expiration of the Agreement, such claims shall be covered by such claims-made policies.

**5.1.5** Should any required insurance lapse during the term of this Agreement, requests for payments originating after such lapse shall not be processed until the City receives satisfactory evidence of reinstated coverage as required by this Agreement, effective as of the lapse date. If insurance is not reinstated, the City may, at its sole option, terminate this Agreement effective on the date of such lapse of insurance.

**5.1.6** Before commencing any Services, Contractor shall furnish to City certificates of insurance and additional insured policy endorsements with insurers with ratings comparable to A-, VIII or higher, that are authorized to do business in the State of California, and that are satisfactory to City, in form evidencing all coverages set forth above. Approval of the insurance by City shall not relieve or decrease Contractor's liability hereunder.

**5.1.7** The Workers' Compensation policy(ies) shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the Contractor, its employees, agents and subcontractors.

**5.1.8** If Contractor will use any subcontractor(s) to provide Services, Contractor shall require the subcontractor(s) to provide all necessary insurance and to name the City and County of San Francisco, its officers, agents and employees and the Contractor as additional insureds.

**5.2 Indemnification For Design Professionals.** To the fullest extent permitted by law, Contractor shall assume the defense of (with legal counsel subject to approval of the City), indemnify and save harmless the City, its boards, commissions, officers, and employees

(collectively "Indemnitees"), from and against any and all claims, loss, cost, damage, injury (including, without limitation, injury to or death of an employee of the Contractor or its subconsultants), expense and liability of every kind, nature, and description (including, without limitation, incidental and consequential damages, court costs, attorneys' fees, litigation expenses, fees of expert consultants or witnesses in litigation, and costs of investigation), that arise out of, pertain to, or relate to, directly or indirectly, in whole or in part, the negligence, recklessness, or willful misconduct of the Contractor, any subconsultant, anyone directly or indirectly employed by them, or anyone that they control (collectively, "Liabilities").

**5.2.1 Limitations.** No insurance policy covering the Contractor's performance under this Agreement shall operate to limit the Contractor's Liabilities under this provision. Nor shall the amount of insurance coverage operate to limit the extent of such Liabilities. The Contractor assumes no liability whatsoever for the sole negligence, active negligence, or willful misconduct of any Indemnitee or the contractors of any Indemnitee.

**5.2.2 Copyright Infringement.** Contractor shall also indemnify, defend and hold harmless all Indemnitees from all suits or claims for infringement of the patent rights, copyright, trade secret, trade name, trademark, service mark, or any other proprietary right of any person or persons in consequence of the use by the City, or any of its boards, commissions, officers, or employees of articles, work or deliverables supplied in the performance of Services. Infringement of patent rights, copyrights, or other proprietary rights in the performance of this Agreement, if not the basis for indemnification under the law, shall nevertheless be considered a material breach of contract.

## **Article 6 Liability of the Parties**

**6.1 Liability of City.** CITY'S PAYMENT OBLIGATIONS UNDER THIS AGREEMENT SHALL BE LIMITED TO THE PAYMENT OF THE COMPENSATION PROVIDED FOR IN SECTION 3.3.1, "PAYMENT," OF THIS AGREEMENT. NOTWITHSTANDING ANY OTHER PROVISION OF THIS AGREEMENT, IN NO EVENT SHALL CITY BE LIABLE, REGARDLESS OF WHETHER ANY CLAIM IS BASED ON CONTRACT OR TORT, FOR ANY SPECIAL, CONSEQUENTIAL, INDIRECT OR INCIDENTAL DAMAGES, INCLUDING, BUT NOT LIMITED TO, LOST PROFITS, ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT OR THE SERVICES PERFORMED IN CONNECTION WITH THIS AGREEMENT

**6.2 Liability for Use of Equipment.** City shall not be liable for any damage to persons or property as a result of the use, misuse or failure of any equipment used by Contractor, or any of its Subcontractors, or by any of their employees, even though such equipment is furnished, rented or loaned by City.

**6.3 Liability for Incidental and Consequential Damages.** Contractor shall be responsible for incidental and consequential damages resulting in whole or in part from Contractor's acts or omissions.

## **Article 7 Payment of Taxes**

**7.1** Except for any applicable California sales and use taxes charged by Contractor to City, Contractor shall pay all taxes, including possessory interest taxes levied upon or as a result of this Agreement, or the Services delivered pursuant hereto. Contractor shall remit to the State of California any sales or use taxes paid by City to Contractor under this Agreement. Contractor agrees to promptly provide information requested by the City to verify Contractor's compliance with any State requirements for reporting sales and use tax paid by City under this Agreement.

**7.2** Contractor acknowledges that this Agreement may create a “possessory interest” for property tax purposes. Generally, such a possessory interest is not created unless the Agreement entitles the Contractor to possession, occupancy, or use of City property for private gain. If such a possessory interest is created, then the following shall apply:

**7.2.1** Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that Contractor, and any permitted successors and assigns, may be subject to real property tax assessments on the possessory interest.

**7.2.2** Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that the creation, extension, renewal, or assignment of this Agreement may result in a “change in ownership” for purposes of real property taxes, and therefore may result in a revaluation of any possessory interest created by this Agreement. Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report on behalf of the City to the County Assessor the information required by Revenue and Taxation Code section 480.5, as amended from time to time, and any successor provision.

**7.2.3** Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that other events also may cause a change of ownership of the possessory interest and result in the revaluation of the possessory interest. (see, e.g., Rev. & Tax. Code section 64, as amended from time to time). Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report any change in ownership to the County Assessor, the State Board of Equalization or other public agency as required by law.

**7.2.4** Contractor further agrees to provide such other information as may be requested by the City to enable the City to comply with any reporting requirements for possessory interests that are imposed by applicable law.

## **Article 8 Termination and Default**

### **8.1 Termination for Convenience**

**8.1.1** City shall have the option, in its sole discretion, to terminate this Agreement, at any time during the term hereof, for convenience and without cause. City shall exercise this option by giving Contractor written notice of termination. The notice shall specify the date on which termination shall become effective.

**8.1.2** Upon receipt of the notice of termination, Contractor shall commence and perform, with diligence, all actions necessary on the part of Contractor to effect the termination of this Agreement on the date specified by City and to minimize the liability of Contractor and City to third parties as a result of termination. All such actions shall be subject to the prior approval of City. Such actions shall include, without limitation:

(a) Halting the performance of all Services under this Agreement on the date(s) and in the manner specified by SFMTA.

(b) Terminating all existing orders and subcontracts, and not placing any further orders or subcontracts for materials, Services, equipment or other items.

(c) At SFMTA's direction, assigning to SFMTA any or all of Contractor's right, title, and interest under the orders and subcontracts terminated. Upon such assignment, SFMTA shall have the right, in its sole discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts.

(d) Subject to SFMTA's approval, settling all outstanding liabilities and all claims arising out of the termination of orders and subcontracts.

(e) Completing performance of any Services that SFMTA designates to be completed prior to the date of termination specified by SFMTA.

(f) Taking such action as may be necessary, or as the SFMTA may direct, for the protection and preservation of any property related to this Agreement which is in the possession of Contractor and in which SFMTA has or may acquire an interest.

**8.1.3** Within 30 days after the specified termination date, Contractor shall submit to SFMTA an invoice, which shall set forth each of the following as a separate line item:

(a) The reasonable cost to Contractor, without profit, for all Services prior to the specified termination date, for which Services SFMTA has not already tendered payment. Reasonable costs may include a reasonable allowance for actual overhead, not to exceed a total of 10 percent of Contractor's direct costs for Services. Any overhead allowance shall be separately itemized. Contractor may also recover the reasonable cost of preparing the invoice.

(b) A reasonable allowance for profit on the cost of the Services described in the immediately preceding subsection (a), provided that (i) Contractor can establish, to the satisfaction of SFMTA, that Contractor would have made a profit had all Services under this Agreement been completed, and (ii) that the profit allowed shall in no event exceed five percent of such cost.

(c) The reasonable cost to Contractor of handling material or equipment returned to the vendor, delivered to the SFMTA or otherwise disposed of as directed by the SFMTA.

(d) A deduction for the cost of materials to be retained by Contractor, amounts realized from the sale of materials and not otherwise recovered by or credited to SFMTA, and any other appropriate credits to SFMTA against the cost of the Services or other work.

**8.1.4** In no event shall SFMTA be liable for costs incurred by Contractor or any of its Subcontractors after the termination date specified by SFMTA, except for those costs specifically enumerated and described in Section 8.1.3. Such non-recoverable costs include, but are not limited to, anticipated profits on the Services under this Agreement, post-termination employee salaries, post-termination administrative expenses, post-termination overhead or unabsorbed overhead, attorneys' fees or other costs relating to the prosecution of a claim or lawsuit, prejudgment interest, or any other expense which is not reasonable or authorized under Section 8.1.3.

**8.1.5** In arriving at the amount due to Contractor under this Section, SFMTA may deduct: (i) all payments previously made by SFMTA for Services covered by Contractor's final invoice; (ii) any claim which SFMTA may have against Contractor in connection with this Agreement; (iii) any invoiced costs or expenses excluded pursuant to the immediately preceding subsection 8.1.4; and (iv) in instances in which, in the opinion of the SFMTA, the cost of any Service performed under this Agreement is excessively high due to costs incurred to remedy or replace defective or rejected Services, the difference between the invoiced amount and SFMTA's estimate of the reasonable cost of performing the invoiced Services in compliance with the requirements of this Agreement.

**8.1.6** SFMTA's payment obligation under this Section shall survive termination of this Agreement.

## **8.2 Termination for Default; Remedies.**

**8.2.1** Each of the following shall constitute an immediate event of default ("Event of Default") under this Agreement:

(a) Contractor fails or refuses to perform or observe any term, covenant or condition contained in any of the following Sections of this Agreement:

3.7	Submitting False Claims.	10.4	Nondisclosure of Private, Proprietary or Confidential Information
4.14	Assignment	10.10	Alcohol and Drug-Free Workplace
Article 5	Insurance and Indemnity	11.10	Compliance with Laws
Article 7	Payment of Taxes		

(b) Contractor fails or refuses to perform or observe any other term, covenant or condition contained in this Agreement, including any obligation imposed by ordinance or statute and incorporated by reference herein, and such default continues for a period of ten days after written notice thereof from to Contractor.

(c) Contractor (i) is generally not paying its debts as they become due; (ii) files, or consents by answer or otherwise to the filing against it of a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction; (iii) makes an assignment for the benefit of its creditors; (iv) consents to the appointment of a custodian, receiver, trustee or other officer with similar powers of Contractor or of any substantial part of Contractor's property; or (v) takes action for the purpose of any of the foregoing.

(d) A court or government authority enters an order (i) appointing a custodian, receiver, trustee or other officer with similar powers with respect to Contractor or with respect to any substantial part of Contractor's property, (ii) constituting an order for relief or approving a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction or (iii) ordering the dissolution, winding-up or liquidation of Contractor.

**8.2.2** On and after any Event of Default, City shall have the right to exercise its legal and equitable remedies, including, without limitation, the right to terminate this Agreement or to seek specific performance of all or any part of this Agreement. In addition, where applicable, City shall have the right (but no obligation) to cure (or cause to be cured) on behalf of Contractor any Event of Default; Contractor shall pay to City on demand all costs and expenses incurred by City in effecting such cure, with interest thereon from the date of incurrence at the maximum rate then permitted by law. City shall have the right to offset from any amounts due to Contractor under this Agreement or any other agreement between City and Contractor: (i) all damages, losses, costs or expenses incurred by City as a result of an Event of Default; and (ii) any liquidated damages levied upon Contractor pursuant to the terms of this Agreement; and (iii), any damages imposed by any ordinance or statute that is incorporated into this Agreement by reference, or into any other agreement with the City.

**8.2.3** All remedies provided for in this Agreement may be exercised individually or in combination with any other remedy available hereunder or under applicable laws, rules and regulations. The exercise of any remedy shall not preclude or in any way be deemed to waive any other remedy. Nothing in this Agreement shall constitute a waiver or limitation of any rights that City may have under applicable law.

**8.2.4** Any notice of default must be sent by registered mail to the address set forth in Article 11.

**8.3 Non-Waiver of Rights.** The omission by either party at any time to enforce any default or right reserved to it, or to require performance of any of the terms, covenants, or provisions hereof by the other party at the time designated, shall not be a waiver of any such default or right to which the party is entitled, nor shall it in any way affect the right of the party to enforce such provisions thereafter.

## 8.4 Rights and Duties upon Termination or Expiration.

8.4.1 This Section and the following Sections of this Agreement listed below, shall survive termination or expiration of this Agreement:

3.4.1	Payment Limited to Satisfactory Services	9.1	Ownership of Results
3.5.1	Grant Funded Contracts - Disallowance	9.2	Works for Hire
3.6	Audit and Inspection of Records	10.4	Nondisclosure of Private, Proprietary or Confidential Information
3.7	Submitting False Claims	11.6	Dispute Resolution Procedure
Article 5	Insurance and Indemnity	11.7	Agreement Made in California; Venue
6.1	Liability of City	11.8	Construction
6.3	Liability for Incidental and Consequential Damages	11.9	Entire Agreement
Article 7	Payment of Taxes	11.10	Compliance with Laws
8.1.6	Payment Obligation	11.11	Severability

8.4.2 Subject to the survival of the Sections identified in Section 8.4.1, above, if this Agreement is terminated prior to expiration of the term specified in Article 2, this Agreement shall be of no further force or effect. Contractor shall transfer title to City, and deliver in the manner, at the times, and to the extent, if any, directed by City, any work in progress, completed work, supplies, equipment, and other materials produced as a part of, or acquired in connection with the performance of this Agreement, and any completed or partially completed work which, if this Agreement had been completed, would have been required to be furnished to City.

## Article 9 Rights In Deliverables

9.1 **Ownership of Results.** Any interest of Contractor or its subcontractors, in the Deliverables, including any drawings, plans, specifications, blueprints, studies, reports, memoranda, computation sheets, computer files and media or other documents prepared by Contractor or its subcontractors, shall become the property of and will be transmitted to City. However, unless expressly prohibited elsewhere in this Agreement, Contractor may retain and use copies for reference and as documentation of its experience and capabilities.

9.2 **Works for Hire.** If, in connection with Services, Contractor or its subcontractors creates Deliverables including, without limitation, artwork, copy, posters, billboards, photographs, videotapes, audiotapes, systems designs, software, reports, diagrams, surveys, blueprints, source codes, or any other original works of authorship, whether in digital or any other format, such works of authorship shall be works for hire as defined under Title 17 of the United States Code, and all copyrights in such works shall be the property of the City. If any Deliverables created by Contractor or its subcontractor(s) under this Agreement are ever determined not to be works for hire under U.S. law, Contractor hereby assigns all Contractor's copyrights to such Deliverables to the City, agrees to provide any material and execute any documents necessary to effectuate such assignment, and agrees to include a clause in every

subcontract imposing the same duties upon subcontractor(s). With City's prior written approval, Contractor and its subcontractor(s) may retain and use copies of such works for reference and as documentation of their respective experience and capabilities.

## **Article 10 Additional Requirements Incorporated by Reference**

**10.1 Laws Incorporated by Reference.** The full text of the laws listed in this Article 10, including enforcement and penalty provisions, are incorporated by reference into this Agreement. The full text of the San Francisco Municipal Code provisions incorporated by reference in this Article and elsewhere in the Agreement ("Mandatory City Requirements") are available at [www.sfgov.org](http://www.sfgov.org) under "Government."

**10.2 Conflict of Interest.** By executing this Agreement, Contractor certifies that it does not know of any fact which constitutes a violation of Section 15.103 of the City's Charter; Article III, Chapter 2 of City's Campaign and Governmental Conduct Code; Title 9, Chapter 7 of the California Government Code (Section 87100 *et seq.*), or Title 1, Division 4, Chapter 1, Article 4 of the California Government Code (Section 1090 *et seq.*), and further agrees promptly to notify the City if it becomes aware of any such fact during the term of this Agreement.

**10.3 Prohibition on Use of Public Funds for Political Activity.** In performing the Services, Contractor shall comply with San Francisco Administrative Code Chapter 12G, which prohibits funds appropriated by the City for this Agreement from being expended to participate in, support, or attempt to influence any political campaign for a candidate or for a ballot measure. Contractor is subject to the enforcement and penalty provisions in Chapter 12G.

### **10.4 Nondisclosure of Private, Proprietary or Confidential Information.**

**10.4.1** If this Agreement requires City to disclose "Private Information" to Contractor within the meaning of San Francisco Administrative Code Chapter 12M, Contractor and subcontractor shall use such information only in accordance with the restrictions stated in Chapter 12M and in this Agreement and only as necessary in performing the Services. Contractor is subject to the enforcement and penalty provisions in Chapter 12M.

**10.4.2** In the performance of Services, Contractor may have access to City's proprietary or confidential information, the disclosure of which to third parties may damage City. If City discloses proprietary or confidential information to Contractor, such information must be held by Contractor in confidence and used only in performing the Agreement. Contractor shall exercise the same standard of care to protect such information as a reasonably prudent contractor would use to protect its own proprietary or confidential information.

### **10.5 Nondiscrimination Requirements**

**10.5.1 Non Discrimination in Contracts.** Contractor shall comply with the provisions of Chapters 12B and 12C of the San Francisco Administrative Code. Contractor shall incorporate by reference in all subcontracts the provisions of Sections 12B.2(a), 12B.2(c)-(k),

and 12C.3 of the San Francisco Administrative Code and shall require all Subcontractors to comply with such provisions. Contractor is subject to the enforcement and penalty provisions in Chapters 12B and 12C.

**10.5.2 Nondiscrimination in the Provision of Employee Benefits.** San Francisco Administrative Code 12B.2. Contractor does not as of the date of this Agreement, and will not during the term of this Agreement, in any of its operations in San Francisco, on real property owned by San Francisco, or where work is being performed for the City elsewhere in the United States, discriminate in the provision of employee benefits between employees with domestic partners and employees with spouses and/or between the domestic partners and spouses of such employees, subject to the conditions set forth in San Francisco Administrative Code Section 12B.2.

## **10.6 Small Business Enterprise Program.**

**10.6.1 General.** The SFMTA is committed to a Small Business Enterprise Program (SBE Program) for the participation of SBEs in contracting opportunities. In addition, the Consultant must comply with all applicable federal regulations regarding Disadvantaged Business Enterprise (DBE) participation, as set out in Title 49, Part 26 of the Code of Federal Regulations, with respect to DBEs performing work under this Agreement. More information on federal DBE requirements can be found on the internet at: <http://www.fta.dot.gov/civilrights/12326.html>.

**10.6.2 Compliance with SBE Program.** Consultant shall comply with the SBE provisions contained in Appendix F attached to this Agreement and incorporated by reference as though fully set forth, including, but not limited to, achieving and maintaining the SBE goal set for the total dollar amount awarded for the services to be performed under this Agreement. Failure of Consultant to comply with any of these requirements shall be deemed a material breach of this Agreement.

**10.6.3 Non-Discrimination in Hiring.** Pursuant to City and SFMTA policy, Consultant is encouraged to recruit actively minorities and women for its workforce and take other steps within the law, such as on-the-job training and education, to ensure non-discrimination in Consultant's employment practices.

**10.7 Minimum Compensation Ordinance.** Contractor agrees to pay covered employees no less than the minimum compensation required by San Francisco Administrative Code Chapter 12P. Contractor is subject to the enforcement and penalty provisions in Chapter 12P. By signing and executing this Agreement, Contractor certifies that it is in compliance with Chapter 12P.

**10.8 Health Care Accountability Ordinance.** Contractor voluntarily agrees to comply with San Francisco Administrative Code Chapter 12Q. Contractor shall choose and perform one of the Health Care Accountability options set forth in San Francisco Administrative

Code Chapter 12Q.3. Contractor is subject to the enforcement and penalty provisions in Chapter 12Q.

**10.9 First Source Hiring Program.** Contractor must comply with all of the provisions of the First Source Hiring Program, Chapter 83 of the San Francisco Administrative Code, that apply to this Agreement, and Contractor is subject to the enforcement and penalty provisions in Chapter 83.

**10.10 Alcohol and Drug-Free Workplace.** City reserves the right to deny access to, or require Contractor to remove from, City facilities personnel of any Contractor or subcontractor who City has reasonable grounds to believe has engaged in alcohol abuse or illegal drug activity which in any way impairs City's ability to maintain safe work facilities or to protect the health and well-being of City employees and the general public. City shall have the right of final approval for the entry or re-entry of any such person previously denied access to, or removed from, City facilities. Illegal drug activity means possessing, furnishing, selling, offering, purchasing, using or being under the influence of illegal drugs or other controlled substances for which the individual lacks a valid prescription. Alcohol abuse means possessing, furnishing, selling, offering, or using alcoholic beverages, or being under the influence of alcohol.

Contractor agrees in the performance of this Agreement to maintain a drug-free workplace by notifying employees that unlawful drug use is prohibited and specifying what actions will be taken against employees for violations; establishing an on-going drug-free awareness program that includes employee notification and, as appropriate, rehabilitation. Contractor can comply with this requirement by implementing a drug-free workplace program that complies with the Federal Drug-Free Workplace Act of 1988 (41 U.S.C. § 701).

**10.11 Limitations on Contributions.** By executing this Agreement, Contractor acknowledges that it is familiar with section 1.126 of the City's Campaign and Governmental Conduct Code, which prohibits any person who contracts with the City for the rendition of personal services, for the furnishing of any material, supplies or equipment, for the sale or lease of any land or building, or for a grant, loan or loan guarantee, from making any campaign contribution to (1) an individual holding a City elective office if the contract must be approved by the individual, a board on which that individual serves, or the board of a state agency on which an appointee of that individual serves, (2) a candidate for the office held by such individual, or (3) a committee controlled by such individual, at any time from the commencement of negotiations for the contract until the later of either the termination of negotiations for such contract or six months after the date the contract is approved. The prohibition on contributions applies to each prospective party to the contract; each member of Contractor's board of directors; Contractor's chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 20 percent in Contractor; any subcontractor listed in the bid or contract; and any committee that is sponsored or controlled by Contractor. Contractor must inform each such person of the limitation on contributions imposed by Section 1.126 and provide the names of the persons required to be informed to City.

**10.12 Reserved. (Slavery Era Disclosure)**

**10.13 Reserved. (Working with Minors)**

**10.14 Consideration of Criminal History in Hiring and Employment Decisions**

**10.14.1** Contractor agrees to comply fully with and be bound by all of the provisions of Chapter 12T, “City Contractor/Subcontractor Consideration of Criminal History in Hiring and Employment Decisions,” of the San Francisco Administrative Code (“Chapter 12T”), including the remedies provided, and implementing regulations, as may be amended from time to time. The provisions of Chapter 12T are incorporated by reference and made a part of this Agreement as though fully set forth herein. The text of the Chapter 12T is available on the web at <http://sfgov.org/olse/fco>. A partial listing of some of Contractor’s obligations under Chapter 12T is set forth in this Section. Contractor is required to comply with all of the applicable provisions of 12T, irrespective of the listing of obligations in this Section. Capitalized terms used in this Section and not defined in this Agreement shall have the meanings assigned to such terms in Chapter 12T.

**10.14.2** The requirements of Chapter 12T shall only apply to a Contractor’s or Subcontractor’s operations to the extent those operations are in furtherance of the performance of this Agreement, shall apply only to applicants and employees who would be or are performing work in furtherance of this Agreement, and shall apply when the physical location of the employment or prospective employment of an individual is wholly or substantially within the City of San Francisco. Chapter 12T shall not apply when the application in a particular context would conflict with federal or state law or with a requirement of a government agency implementing federal or state law.

**10.15 Reserved. (Public Access to Nonprofit Records and Meetings)**

**10.16 Food Service Waste Reduction Requirements.** Contractor shall comply with the Food Service Waste Reduction Ordinance, as set forth in San Francisco Environment Code Chapter 16, including but not limited to the remedies for noncompliance provided therein.

**10.17 Reserved. (Sugar-Sweetened Beverage Prohibition)**

**10.18 Tropical Hardwood and Virgin Redwood Ban.** Pursuant to San Francisco Environment Code Section 804(b), the City urges Contractor not to import, purchase, obtain, or use for any purpose, any tropical hardwood, tropical hardwood wood product, virgin redwood or virgin redwood wood product.

**10.19 Reserved. (Preservative Treated Wood Products)**

## **Article 11 General Provisions**

**11.1 Notices to the Parties.** Unless otherwise indicated in this Agreement, all written communications sent by the Parties may be by U.S. mail or e-mail, and shall be addressed as follows:

To City: San Francisco Municipal Transportation Agency  
SFMTA Capital Programs and Construction Division  
One South Van Ness Avenue, 3<sup>rd</sup> Floor  
San Francisco, CA 94103  
Attn: Wahid Amiri, P.E.  
wahid.amiri@sfmta.com

To Contractor: HNTB Corporation  
49 Stevenson Street, Suite 600  
San Francisco, CA 94105  
Attn: Chuck Morganson, P.E.  
CMorganson@hntb.com

Any notice of default must be sent by overnight delivery or courier. Either Party may change the address to which notice is to be sent by giving written notice thereof to the other Party. If email notification is used, the sender must specify a receipt notice.

**11.2 Compliance with Americans with Disabilities Act.** Contractor shall provide the Services in a manner that complies with the Americans with Disabilities Act (ADA), including but not limited to Title II's program access requirements, and all other applicable federal, state and local disability rights legislation.

### **11.3 Reserved. (Payment Card Industry (PCI) Requirements)**

**11.4 Sunshine Ordinance.** Contractor acknowledges that this Agreement and all records related to its formation, Contractor's performance of Services, and City's payment are subject to the California Public Records Act, (California Government Code §6250 et. seq.), and the San Francisco Sunshine Ordinance, (San Francisco Administrative Code Chapter 67). Such records are subject to public inspection and copying unless exempt from disclosure under federal, state or local law.

**11.5 Modification of this Agreement.** This Agreement may not be modified, nor may compliance with any of its terms be waived, except as noted in Section 11.1, "Notices to Parties," regarding change in personnel or place, and except by written instrument executed and approved in the same manner as this Agreement. Contractor shall cooperate with the SFMTA to submit to the CCO any amendment, modification, supplement or change order that would result in a cumulative increase of the original amount of this Agreement by more than 20 percent (CMD Contract Modification Form).

## **11.6 Dispute Resolution Procedure.**

**11.6.1 Notice of Dispute** For any dispute involving a question of fact that does not involve a claim for additional compensation, the aggrieved party shall furnish the other party with a notice of dispute within 15 days of the determination of the dispute. The party receiving a notice of dispute shall submit a written reply with 14 days of delivery of the notice. The notice and response shall contain the following: (i) a statement of the party's position and a summary of the arguments supporting that position, and (ii) any evidence supporting the party's position.

**11.6.2 Resolution of Disputes.** Disputes arising in the performance of this Agreement that are not resolved by negotiation between the SFMTA Project Manager and Consultant's shall be decided in writing by the SFMTA Director of Capital Program and Construction. The decision shall be administratively final and conclusive unless within 10 days from the date of such decision, the Consultant mails or otherwise furnishes a written appeal to the Director of Transportation or his/her designee. In connection with such an appeal, the Consultant shall be afforded an opportunity to be heard and to offer evidence in support of its position. The decision of the Director of Transportation shall be administratively final and conclusive. This section applies to all disputes unless a specific provision of this Agreement provides that the SFMTA Project Manager's decision as to a particular dispute is final.

**11.6.3 No Cessation of Work.** Pending final resolution of a dispute hereunder, the Consultant shall proceed diligently with the performance of its obligations under this Agreement in accordance with the written directions of the SFMTA Project Manager.

**11.6.4 Alternative Dispute Resolution.** If agreed to by both parties, disputes may be resolved by a mutually agreed to alternative dispute resolution process.

**11.6.5 Claims for Additional Compensation.** For disputes involving a claim for additional compensation, parties involved shall attempt to resolve such disputes expediently and in good faith so as not to impact the performance or schedule of the work. Under no circumstances shall the Consultant or its Subconsultants stop work due to an unresolved dispute.

**11.6.6 Disputes among Consultant Partners.** The resolution of any contractual disputes related to Consultant's Joint Venture or Association partners (if any) shall be the sole responsibility of the Consultant. Each party of the Joint Venture or Association shall resolve all such disputes within 30 calendar days of when the dispute first surfaced so as not to impact the performance of the contract with the City. Any such disputes that impact the Project and that are left unresolved for more than one month shall be cause for the City to withhold and/or reduce invoice payments to the Consultant's Joint Venture or Association firms until the dispute is resolved.

**11.6.7 Government Code Claim Requirement.** No suit for money or damages may be brought against the City until a written claim therefor has been presented to and rejected by the City in conformity with the provisions of San Francisco Administrative Code Chapter 10 and California Government Code Section 900, et seq. Nothing set forth in this Agreement shall

operate to toll, waive or excuse Contractor's compliance with the California Government Code Claim requirements set forth in San Francisco Administrative Code Chapter 10 and California Government Code Section 900, et seq.

**11.7 Agreement Made in California; Venue.** The formation, interpretation and performance of this Agreement shall be governed by the laws of the State of California. Venue for all litigation relative to the formation, interpretation and performance of this Agreement shall be in San Francisco.

**11.8 Construction.** All paragraph captions are for reference only and shall not be considered in construing this Agreement.

**11.9 Entire Agreement.** This contract sets forth the entire Agreement between the parties, and supersedes all other oral or written provisions. This Agreement may be modified only as provided in Section 11.5, "Modification of this Agreement."

**11.10 Compliance with Laws.** Contractor shall keep itself fully informed of the City's Charter, codes, ordinances and duly adopted rules and regulations of the City and of all state, and federal laws in any manner affecting the performance of this Agreement, and must at all times comply with such local codes, ordinances, and regulations and all applicable laws as they may be amended from time to time.

**11.11 Severability.** Should the application of any provision of this Agreement to any particular facts or circumstances be found by a court of competent jurisdiction to be invalid or unenforceable, then (a) the validity of other provisions of this Agreement shall not be affected or impaired thereby, and (b) such provision shall be enforced to the maximum extent possible so as to effect the intent of the parties and shall be reformed without further action by the parties to the extent necessary to make such provision valid and enforceable.

**11.12 Cooperative Drafting.** This Agreement has been drafted through a cooperative effort of City and Contractor, and both Parties have had an opportunity to have the Agreement reviewed and revised by legal counsel. No Party shall be considered the drafter of this Agreement, and no presumption or rule that an ambiguity shall be construed against the Party drafting the clause shall apply to the interpretation or enforcement of this Agreement.

**11.13 Order of Precedence.** Contractor agrees to perform the services described below in accordance with the terms and conditions of this Agreement, implementing task orders, the RFP, and Contractor's proposal dated February 1, 2016. The RFP and Contractor's proposal are incorporated by reference as though fully set forth herein. Should there be a conflict of terms or conditions, this Agreement and any implementing task orders shall control over the RFP and the Contractor's proposal.

## **Article 12 MacBride Principles And Signature**

**12.1 MacBride Principles -Northern Ireland.** The provisions of San Francisco Administrative Code §12F are incorporated herein by this reference and made part of this

Agreement. By signing this Agreement, Contractor confirms that Contractor has read and understood that the City urges companies doing business in Northern Ireland to resolve employment inequities and to abide by the MacBride Principles, and urges San Francisco companies to do business with corporations that abide by the MacBride Principles.

### **Article 13 Large Vehicle Driver Safety Training Requirements**

**13.1 Training Requirements.** Contractor agrees that before any of its employees and subcontractors drive large vehicles within the City and County of San Francisco, those employees and subcontractors shall successfully complete either (a) the SFMTA's Large Vehicle Urban Driving Safety training program or (b) a training program that meets the SFMTA's approved standards for large vehicle urban driving safety. The SFMTA's approved standards for large vehicle urban driving safety is available for download at [www.SFMTA.com/largevehicletrainingstandards](http://www.SFMTA.com/largevehicletrainingstandards). This requirement does not apply to drivers providing delivery services who are not employees or subcontractors of the Contractor. For purposes of this section, "large vehicle" means any single vehicle or combination of vehicle and trailer with an unladen weight of 10,000 pounds or more, or a van designed to carry 10 or more people.

**13.2 Liquidated Damages.** By entering into this Agreement, Contractor agrees that in the event the Contractor fails to comply with the Large Vehicle Driver Safety Training Requirements, the City will suffer actual damages that will be impractical or extremely difficult to determine; further, Contractor agrees that the sum of up to One Thousand Dollars (\$1,000) per employee or subcontractor who is permitted to drive a large vehicle in violation of these requirements is not a penalty, but is a reasonable estimate of the loss that City will incur based on the Contractor's failure to comply with this requirement, established in light of the circumstances existing at the time this Contract was awarded. City may deduct a sum representing the liquidated damages from any money due to Contractor. Such deductions shall not be considered a penalty, but rather agreed monetary damages sustained by City because of Contractor's failure to comply.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the day first mentioned above.

<p><b>CITY</b></p> <p><b>San Francisco Municipal Transportation Agency</b></p> <hr/> <p>Edward D. Reiskin Director of Transportation</p> <p>Approved as to Form:</p> <p>Dennis J. Herrera City Attorney</p> <p>By: _____ Robin M. Reitzes Deputy City Attorney</p> <p><b>AUTHORIZED BY:</b></p> <p><b>MUNICIPAL TRANSPORTATION AGENCY BOARD OF DIRECTORS</b></p> <p>Resolution No: _____</p> <p>Adopted: _____</p> <p>Attest: _____ Roberta Boomer, Secretary</p>	<p><b>CONTRACTOR</b></p> <p><b>HNTB Corporation</b></p> <hr/> <p>Darlene K. Gee Principal</p> <p><u>Acknowledgement of Large Vehicle Driver Safety Training Requirements:</u></p> <p>By signing this Agreement, Contractor acknowledges that it has read and understands Article 13: Large Vehicle Driver Safety Training Requirements.</p> <p>City vendor number: 52523</p> <p>Federal Employer ID Number: 43-1623092</p>
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**Appendices**

- A: Scope of Services
- B: Task Order Form
- C: Direct Labor Rates
- D: Overhead Rates
- E: FTA Provisions for Personal Service Contracts
- F: SBE Provisions

## **Appendix A Scope of Services**

### **1. Description of Services**

Consultant agrees to perform the services described below. Services shall be provided in conformance with the Request for Proposals, submitted by the Consultant on February 1, 2016, and as required under this Agreement.

The Consultant shall provide a broad range of specialized services and staff to complete Task Orders issued by SFMTA, either by direct assignment of its own personnel or through Subconsultants. Task Orders may include, but are not limited to:

- a. Provide design, review, and construction management support of trackwork, including special trackwork, and overhead contact system (OCS) for transit projects.
- b. Assist in the preparation of procurement contracts for track mechanical and electrical components; operating equipment; and long-lead items. The task shall include product research, specifying, and performing alternative analyses as needed.
- c. Perform field surveys as required for track and roadway design using licensed surveyors.
- d. Preparation of project management plans and assistance as required by FTA.
- e. Preparation of QA oversight, audits, plans, training and assistance as required by FTA.
- f. Annual ultrasonic rail testing per SFMTA SOP "Track Inspection and Maintenance" to identify internal rail defects. Testing must be performed during non-revenue hours or on an approved schedule agreed upon by SFMTA.
- g. Predicting, analyzing, preventing and mitigating noise and vibration from transit operations, and equipment, and designing and monitoring mitigation measures.
- h. Special inspections required by the San Francisco Building Code or the Department of Building Inspection and metallurgical and other inspection and testing requested by SFMTA.
- i. Cost and price analyses of contracts, change orders, task orders, and contract modifications in accordance with FTA requirements; change order estimating and negotiation; schedule and delay analysis; constructability review; forensic cost and accounting analyses; and dispute analysis and review.
- j. Preliminary and system hazard analyses, failure modes and effects analyses, single point of failure analysis, hazard level classification, and safety certification of systems.
- k. Geotechnical investigations and reports, including recommendations on pile design, and design criteria to limit seismic damage to acceptable levels.

- l. Systems engineering, including systems integration, Central Control and communications systems analysis, special engineering of GPS driven systems, strategic analysis of Muni's human and automated systems, systems integration, safety processes, configuration management, and related work.
- m. As-needed engineering and support services for SFMTA Radio Replacement Project: The Consultant shall provide as-needed engineering and project support services throughout the implementation phase of the radio system replacement project. The Consultant's tasks may include, but are not limited to:
  - i. Review SFMTA Radio System Contractor's detail design to ensure compliance with requirements of the contract specifications and conformance with applicable standards. At a minimum, the Consultant will perform a detail design review of the Contractor's final design documents including all the CDRLs (deliverables and submittals) for compliance with contract specifications. The Consultant shall also be responsible for tabulating all review comments in a spreadsheet format and following up all comments with reviewers. The Consultant shall track inclusion of SFMTA's approved comments into the Contractor's design documents.
  - ii. Oversee the Contractor's system installation to ensure compliance with applicable specifications, standards, codes, regulations, and documentation requirements.
  - iii. Perform field installation/construction inspections and write inspection reports.
  - iv. Provide construction-engineering support (e.g., review and respond to submittals and RFIs, prepare and review cost estimates and change orders, provide technical support to SFMTA's project team).
  - v. Provide construction-management support (e.g., construction contract administration, requirements tracking, specifications compliance enforcement, reviewing and monitoring contractor's project control reports, documentation and records administration, verifying progress payments, contract changes administration, potential claims administration, scheduling, contract negotiation support).
  - vi. Perform estimating and negotiation of cost and schedule changes with the Contractor.
  - vii. Prepare cost and price analysis of contract changes as required by FTA requirements.
  - viii. Assist in the building/construction permits process.
  - ix. Assist/participate in system safety and security certification activities and preparation of safety and security certification report(s).
  - x. Review and verify Contractor's system documentation.
  - xi. Assist in review of as-built documentation and O&M manuals.
  - xii. Review interface control documentation and/or work with the Contractor to develop the Interface Control Document using standard template.
  - xiii. Review test program including integration testing. Participate in testing.
  - xiv. Participate in major system cutover planning and implementation.
  - xv. Review and/or prepare system cutover plan and procedures.
  - xvi. Review and/or prepare training plan and training material.
  - xvii. Participate in training.

- xviii. Provide warranty support (documentation, administration, coordinating with selected vendor).
  - xix. Assist in contract closeout.
  - xx. Participate in/oversee Contractor's testing at installation sites and factories, as well as SFMTA's independent system "beta" testing.
  - xxi. Participate in/oversee system performance and coverage evaluation and auditing.
  - xxii. Assist SFMTA in technical coordination with other City agencies, agencies of neighboring counties, and other governmental agencies.
  - xxiii. Prepare/assist SFMTA to prepare Interlink/interoperability agreements with other agencies.
  - xxiv. Assist/participate in system configuration management planning and implementation.
  - xxv. Assist in preparation of Reliability, Availability, Maintainability (RAM) demonstration plan and participate in RAM demonstration.
- n. Start-up and commissioning of systems, including integration and pre-revenue "dry-run" testing, developing test procedures, instrumenting vehicles and equipment, conducting tests, and providing test reports and analyses.
- o. Additional staffing on an as-needed basis in the areas of inspection, construction management, engineering, contract administration and quality assurance.

All written Deliverables, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

**2. Services Provided by Attorneys.** Any services to be provided by a law firm or attorney must be reviewed and approved in writing in advance by the City Attorney. No invoices for services provided by law firms or attorneys, including, without limitation, as subcontractors of Contractor, will be paid unless the provider received advance written approval from the City Attorney.

**3. Reports.** Contractor shall submit written reports as requested by the SFMTA. Format for the content of such reports shall be determined by the SFMTA. The timely submission of all reports is a necessary and material term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

**4. Department Liaison**

In performing the Services provided for in this Agreement, Contractor's liaison with the SFMTA will be Wahid Amiri, P.E.



**APPROVALS**

**Requested by:** \_\_\_\_\_ **Date** \_\_\_\_\_  
 Provide Name, Project Manager

**Reviewed by:** \_\_\_\_\_ **Date** \_\_\_\_\_  
 Virginia Harmon, Senior Manager, Equal Opportunity Office

**Approved:** \_\_\_\_\_ **Date** \_\_\_\_\_

**Approved:** \_\_\_\_\_ **Date** \_\_\_\_\_

**Proposed Staff and Budget:**

Name	Hours	Loaded Rate	Labor Cost	ODCs	Totals
Prime					
Subconsultant					

**GRAND TOTAL THIS TASK: \$XXXX.XX**

**Notes:**

**Approved:**

**Signature:**

**Date:**

## EXHIBIT C

### Direct Salary Rates by Position or Class for Consultant and all Subconsultants

Company	Employee Name	Position Title / Class Description	Direct Salary (Hourly)
HNTB Corporation	Chuck Morganson	Sr. Project Manager	\$108.16
HNTB Corporation	Darlene Gee	Principal In Charge	\$142.52
HNTB Corporation	Cliff Owyong	Quality Assurance Manager	\$104.08
HNTB Corporation	Susan Mai	Contract Administration	\$50.16
HNTB Corporation	Steve Ereksen	Trackwork Lead	\$93.36
HNTB Corporation	Nikki Jeffery	Special Trackwork Design	\$55.44
HNTB Corporation	Myat Ohn	Track Engineer	\$57.20
HNTB Corporation	Sanja Zlatanic	Chief Tunneling Engineer	\$158.16
HNTB Corporation	Nasri Munfah	Tunnel Engineer	\$178.64
HNTB Corporation	Jimmy Thompson	Tunnel Engineer	\$93.84
HNTB Corporation	John Kovac	Tunnel Engineer	\$92.00
HNTB Corporation	Ruben Manuelyan	Tunnel Engineer	\$94.32
HNTB Corporation	James Pun	Lead Engineer	\$101.36
HNTB Corporation	Marcus Ng	Civil Engineer	\$86.96
HNTB Corporation	Denise McDonald	Civil Engineer	\$89.84
HNTB Corporation	Flora Jew	Utilities Engineer	\$57.52
HNTB Corporation	Peter Anastos	Utilities Engineer	\$86.32
HNTB Corporation	Vineet Agrawal	Systems Lead Engineer	\$115.28
HNTB Corporation	Doug Woodbury	Systems Management Support	\$132.24
HNTB Corporation	Ken Seraji	Technical Support	\$87.04
HNTB Corporation	James Cox	Communications Engineering	\$67.04
HNTB Corporation	Greg Wong	Communications Engineering	\$41.84
HNTB Corporation	Patrick Malley	Communications Engineering	\$67.68
HNTB Corporation	Paul White	Overhead Contact Systems	\$80.88
HNTB Corporation	Piotr Pawlus	Overhead Contact Systems	\$89.36
HNTB Corporation	Pegah Yavari	Overhead Contact Systems	\$50.48
HNTB Corporation	Sandro Pani	Overhead Contact Systems	\$41.44
HNTB Corporation	Charles Ng	Train Control & Signals	\$91.28

Company	Employee Name	Position Title / Class Description	Direct Salary (Hourly)
HNTB Corporation	Abel Manguane	Train Control & Signals	\$52.80
HNTB Corporation	James Stewart	Train Control & Signals	\$76.72
HNTB Corporation	Kim Franchi	Project Management Planning & Rep	\$107.12
HNTB Corporation	Amy Cook	Radio Contract Technical Writer	\$35.20
HNTB Corporation	Jason Bleyl	CMGC Contract Delivery	\$65.28
HNTB Corporation	Shannon Gaffney	Financial Strategy/Grant Application	\$92.88
HNTB Corporation	John Anderson	Geotechnical	\$113.92
HNTB Corporation	Dominic Spaethling	Program Management	\$112.32
HNTB Corporation	Monica Eastwood	Project Control and Schedule	\$58.56
HNTB Corporation	David Norfleet	Risk Management	\$86.40
HNTB Corporation	Devang Desai	Construction Management	\$91.36
HNTB Corporation	Tim Bessette	Lead Construction Inspector	\$67.92
HNTB Corporation	Richard Marks	Track Inspector	\$65.04
HNTB Corporation	Mark Ramsey	Constructability Reviews	\$117.20
HNTB Corporation	Rosanna McGuire	Environmental Planner	\$38.32
HNTB Corporation	Peter Lloyd	Traction Power	\$90.24
HNTB Corporation	Robert DiSilvestro	Safety & Security	\$82.24
HNTB Corporation	Rod De Leon	CAD Specialist	\$55.84
HNTB Corporation	Sean Cassady	Emergency Ventilation	\$88.56
HNTB Corporation	Kristen Johnson	GIS Mapping	\$35.84
HNTB Corporation	Steven Schantzen	Cost Estimators	\$67.76
HNTB Corporation	Erik Okada	Structural Engineer	\$99.60
HNTB Corporation	John Mountain	Water Quality Certif.	\$90.00
HNTB Corporation <sup>1</sup>	<i>See footnote 1</i>	Officer/Principal	\$95.48-\$143.22
HNTB Corporation	<i>See footnote 1</i>	Sr. Project Manager	\$74.26-\$116.70
HNTB Corporation	<i>See footnote 1</i>	Project Manager II	\$61.53-\$92.30
HNTB Corporation	<i>See footnote 1</i>	Project Manager I	\$51.98-\$78.51
HNTB Corporation	<i>See footnote 1</i>	Sr. Technical Advisor	\$62.59-\$94.42
HNTB Corporation	<i>See footnote 1</i>	Project Engineer/Squad Leader	\$45.62-\$67.90

<sup>1</sup> For positions/classifications that do not have a named individual assigned, the SFMTA will require verification of the hourly rate when a named individual is identified for task orders.

Company	Employee Name	Position Title / Class Description	Direct Salary (Hourly)
HNTB Corporation	<i>See footnote 1</i>	Engineer III	\$37.13-\$47.74
HNTB Corporation	<i>See footnote 1</i>	Engineer II	\$31.82-\$42.43
HNTB Corporation	<i>See footnote 1</i>	Engineer I	\$29.70-\$40.31
HNTB Corporation	<i>See footnote 1</i>	Sr. CAD Technician	\$41.37-\$61.53
HNTB Corporation	<i>See footnote 1</i>	CAD Manager	\$42.43-\$47.74
HNTB Corporation	<i>See footnote 1</i>	CAD Drafter III	\$38.19-\$42.43
HNTB Corporation	<i>See footnote 1</i>	Office Surveyor	\$26.52-\$31.82
HNTB Corporation	<i>See footnote 1</i>	Project Control/Finance	\$31.82-\$63.65
HNTB Corporation	<i>See footnote 1</i>	Accounting/Admin	\$31.82-\$63.65
HNTB Corporation	<i>See footnote 1</i>	Clerical	\$21.21-\$31.82
ACUMEN Building Enterprises	Te-Chuan Chang	Sr. Scheduler	\$81.64
ACUMEN Building Enterprises	David Folkman-Moore	Scheduler	\$41.21
ACUMEN Building Enterprises	Gary McIntyre	Sr. Construction Manager	\$60.00
Anchor Eng.	Denise East	Building Inspector/Deputy CBO	\$75.00
Anchor Eng.	Dan Scholz	Scheduler/Estimator	\$72.00
CDM Smith	William Hurrell	Project Director	\$108.91
CDM Smith	Claudia Lea	Principal Planner	\$54.92
CDM Smith	Terri O'Connor	Principal Planner	\$66.60
CDM Smith	Camille Tsao	Project Manager	\$89.94
CDM Smith	Thaddeus Wozniak	Sr. Engineer	\$54.02
CHS Consulting Group	Chi-Hsin Shao	Principal Transportation Engineer	\$103.84
CHS Consulting Group	Frank Penry	Sr. Transportation Engineer	\$66.20
CHS Consulting Group	Soroush Khadem	Sr. Transportation Engineer	\$53.94
Cornerstone Transportation Consulting	Gary Carpenter	Civil/Geotechnical Inspector	\$64.50
Cornerstone Transportation Consulting	George Jirjis	Construction Inspector	\$53.00
Cornerstone Transportation Consulting	Feda Mohammad	Construction Inspector	\$40.20
Cornerstone Transportation	Gregory Smith	Construction Inspector	\$58.00

Company	Employee Name	Position Title / Class Description	Direct Salary (Hourly)
Consulting			
Cornerstone Transportation Consulting	Bridget Supple	Civil/Utility Inspector	\$50.96
Cornerstone Transportation Consulting	David Wan	Construction Inspector	\$39.63
ENGEO	Janet Kan, GE, CEG, LEED AP	Associate	\$52.88
Estructure	<i>See footnote 1</i>	Principal	\$275.00
Estructure	<i>See footnote 1</i>	Associate	\$220.00
Estructure	<i>See footnote 1</i>	Project Engineer	\$175.00
Estructure	<i>See footnote 1</i>	Design Engineer	\$140.00
Estructure	<i>See footnote 1</i>	CAD Operator	\$100.00
FMG Architects	Lyndon Manuel	Architecture/Urban Design	\$34.88
FMG Architects	<i>See footnote 1</i>	Sr. Principal/Partner	\$70.00-\$80.00
FMG Architects	<i>See footnote 1</i>	Mid-Level Principal/Partner	\$65.00-69.00
FMG Architects	<i>See footnote 1</i>	Jr. Principal/Partner	\$54.00-\$64.00
FMG Architects	<i>See footnote 1</i>	Sr. Manager	\$50.00-\$64.00
FMG Architects	<i>See footnote 1</i>	Director of Design	\$54.00-\$64.00
FMG Architects	<i>See footnote 1</i>	Sr. Project Designer	\$43.00-\$53.00
FMG Architects	<i>See footnote 1</i>	Project Designer	\$32.00-\$42.00
FMG Architects	<i>See footnote 1</i>	Project Manager	\$40.00-\$49.00
FMG Architects	<i>See footnote 1</i>	Architect III	\$37.00-\$39.00
FMG Architects	<i>See footnote 1</i>	Architect II	\$33.00-\$36.00
FMG Architects	<i>See footnote 1</i>	Architect I	\$30.00-\$32.00
FMG Architects	<i>See footnote 1</i>	Designer III	\$35.00-\$37.00
FMG Architects	<i>See footnote 1</i>	Designer II	\$32.00-\$34.00
FMG Architects	<i>See footnote 1</i>	Designer I	\$29.00-\$31.00
FMG Architects	<i>See footnote 1</i>	Intern III	\$26.00-\$28.00
FMG Architects	<i>See footnote 1</i>	Intern II	\$23.00-\$25.00
FMG Architects	<i>See footnote 1</i>	Intern I	\$20.00-\$22.00
FMG Architects	<i>See footnote 1</i>	Staff III	\$23.00-\$29.00
FMG Architects	<i>See footnote 1</i>	Staff II	\$20.00-\$22.00
FMG Architects	<i>See footnote 1</i>	Staff I	\$17.00-\$19.00
Parsons Brinckerhoff, Inc.	Mark Probst	Facilities Planning & Design	\$100.20

Company	Employee Name	Position Title / Class Description	Direct Salary (Hourly)
Parsons Brinckerhoff, Inc.	Lauren Isaac	Facilities Planning & Design	\$79.26
Parsons Brinckerhoff, Inc.	Tony Murphy	Traction Power	\$87.74
Parsons Brinckerhoff, Inc.	Pat McNamee	Cost Estimating	\$87.68
Robin Chang & Co	Robin Chiang	Principal Architect	\$87.54
Robin Chang & Co	David Fung	Project Architect	\$68.33
STRUCTUS	Moe Vale	Sr. Project Inspector	\$65.00
STRUCTUS	Heath Vestor	Special Inspector	\$65.00
STRUCTUS	Henry Chang	Sr. Principal	\$95.48
TBD Consultants, Inc	Sam Evison	Cost Estimation	\$83.50
TBD Consultants, Inc	Gordon Beveridge	Cost Estimation	\$78.29
Telamon Engineering Consultants, Inc.	Mennor Chan	Principal/Project Manager	\$83.65
Telamon Engineering Consultants, Inc.	Earl Woods	Survey Manager	\$60.00
Wilson Ihrig, Inc	James Nelson	Sr. Principal	\$85.72
YEI Engineers	Douglas Yung	Principal	\$81.85
YEI Engineers	George Cheung	Lead Electrical	\$74.42
YEI Engineers	Patrick Mallillin	Lead Mechanical	\$75.21
Anamet, Inc	Kenneth Pythewski	Senior Materials Engineers	\$275.00
Anamet, Inc	Sam McFadden	Senior Materials Engineers	\$275.00
Anamet, Inc	Audrey Fasching	Senior Materials Engineers	\$275.00
Anamet, Inc	Norman Yeun	Materials Engineers	\$165.00
Anamet, Inc	Edward Foreman	Senior Technical Specialists	\$150.00
Anamet, Inc	Harold Harlam	Chemist	\$225.00
Anamet, Inc	<i>See footnote 1</i>	Sr. Technical Specialists	\$150.00
Anamet, Inc	<i>See footnote 1</i>	Sr. Technical Specialists	\$150.00
Anamet, Inc	<i>See footnote 1</i>	Research Assistant/Admin	\$55.00
Anamet, Inc	<i>See footnote 1</i>	Technical Specialist	\$105.00
Estructure	Maryann Phipps	Principal, S.E.	\$275.00
kW Engineering	Lyn Gomes	Commissioning Authority	\$146.97
kW Engineering	Cindy Wu	Sr. Engineer	\$125.01
kW Engineering	Jon Schoenfield	Principal	\$176.37
kW Engineering	Alison Farmer	Sr. Engineer II/Consultant II	\$145.01

Company	Employee Name	Position Title / Class Description	Direct Salary (Hourly)
kW Engineering	Walker Johnson	Sr. Engineer/Consultant	\$104.52
kW Engineering	Eric Uribe	Project Engineer	\$117.49
Sperry Rail Services <sup>2</sup>	<i>See footnote 2</i>	Rail Testing	\$2,800.00/Day
Sperry Rail Services	<i>See footnote 2</i>	Mobilization	\$3,500.00/Day

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<sup>2</sup> Sperry Rail Services, Inc. does not provide labor cost breakdowns. Sperry provides ultrasonic rail inspection testing, which is typically performed on a cost-per-crew day or cost-per-inspection task. Sperry will provide pricing proposals in response to Task Order requests.

## EXHIBIT D

### Schedule of Overhead Rates for Consultant and all Subconsultants

Consultant/Subconsultant	Overhead Rate
HNTB Corporation	147.34%
ACUMEN Building Enterprises	131.27%
Anchor Eng.	140.80%
Anamet, Inc	N/A (1)
CDM Smith	172.29%
CHS Consulting Group	170.80%
Cornerstone Transportation Consulting LLC	159.75%
ENGEO Incorporated	267.53%
Estructure	N/A (1)
FMG Architects	238.71%
kW Engineering	N/A (1)
Parsons Brinckerhoff, Inc.	154.21%
Robin Chiang & Company	171.70%
Sperry Rail Services, Inc	N/A (1)
STRUCTUS, Inc	177.00%
TBD Consultants	122.62%
Telamon Engineering Consultants, Inc	173.63%
Wilson Ihrig & Associates, Inc.	183.32%
YEI Engineers, Inc	163.29%

(1) Billing rates provided in lieu of FAR Overhead Rate

## EXHIBIT E

### FTA REQUIREMENTS FOR PERSONAL SERVICES CONTRACTS

#### I. DEFINITIONS

- A. **Approved Project Budget** means the most recent statement, approved by the FTA, of the costs of the Project, the maximum amount of Federal assistance for which the City is currently eligible, the specific tasks (including specified contingencies) covered, and the estimated cost of each task.
- B. **Contractor** means the individual or entity awarded a third party contract financed in whole or in part with Federal assistance originally derived from FTA.
- C. **Cooperative Agreement** means the instrument by which FTA awards Federal assistance to a specific Recipient to support a particular Project or Program, and in which FTA takes an active role or retains substantial control.
- D. **Federal Transit Administration (FTA)** is an operating administration of the U.S. DOT.
- E. **FTA Directive** includes any FTA circular, notice, order or guidance providing information about FTA's programs, application processing procedures, and Project management guidelines. In addition to FTA directives, certain U.S. DOT directives also apply to the Project.
- F. **Grant Agreement** means the instrument by which FTA awards Federal assistance to a specific Recipient to support a particular Project, and in which FTA does not take an active role or retain substantial control, in accordance with 31 U.S.C. § 6304.
- G. **Government** means the United States of America and any executive department or agency thereof.
- H. **Project** means the task or set of tasks listed in the Approved Project Budget, and any modifications stated in the Conditions to the Grant Agreement or Cooperative Agreement applicable to the Project. In the case of the formula assistance program for urbanized areas, for elderly and persons with disabilities, and non-urbanized areas, 49 U.S.C. §§ 5307, 5310, and 5311, respectively, the term "Project" encompasses both "Program" and "each Project within the Program," as the context may require, to effectuate the requirements of the Grant Agreement or Cooperative Agreement.
- I. **Recipient** means any entity that receives Federal assistance directly from FTA to accomplish the Project. The term "Recipient" includes each FTA "Grantee" as well as each FTA Recipient of a Cooperative Agreement. For the purpose of this Agreement, Recipient is the City.
- J. **Secretary** means the U.S. DOT Secretary, including his or her duly authorized designee.
- K. **Third Party Contract** means a contract or purchase order awarded by the Recipient to a vendor or contractor, financed in whole or in part with Federal assistance awarded by FTA.
- L. **Third Party Subcontract** means a subcontract at any tier entered into by Contractor or third party subcontractor, financed in whole or in part with Federal assistance originally derived from FTA.
- M. **U.S. DOT** is the acronym for the U.S. Department of Transportation, including its operating administrations.

## **II. FEDERAL CHANGES**

Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between the City and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.

## **III. ACCESS TO RECORDS**

- A. The Contractor agrees to provide the City and County of San Francisco, the FTA Administrator, the Comptroller General of the United States or any of their authorized representatives access to any books, documents, papers and records of the Contractor which are directly pertinent to this Agreement for the purposes of making audits, examinations, excerpts and transcriptions.
- B. The Contractor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.
- C. The Contractor agrees to maintain all books, records, accounts and reports required under this Agreement for a period of not less than three years after the date of termination or expiration of this Agreement, except in the event of litigation or settlement of claims arising from the performance of this Agreement, in which case Contractor agrees to maintain same until the City, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto. 49 CFR 18.36(i)(11).

## **IV. DEBARMENT AND SUSPENSION**

See Certification Regarding Debarment, Suspension, and Other Responsibility Matters.

## **V. NO FEDERAL GOVERNMENT OBLIGATIONS TO CONTRACTOR**

- A. The City and Contractor 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 the City, Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying contract.
- B. The Contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

## **VI. CIVIL RIGHTS**

- A. **Nondiscrimination** - In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 41 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

- B. Equal Employment Opportunity** - The following equal employment opportunity requirements apply to the underlying contract:
1. **Race, Color, Creed, National Origin, Sex** - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOT) regulations, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor,” 41 CFR Parts 60 et seq., (which implement Executive Order No. 11246, “Equal Employment Opportunity,” as amended by Executive Order No. 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
  2. **Age** - In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § 623 and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
  3. **Disabilities** - In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, “Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act,” 29 CFR Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
- C. The Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

## **VII. DBE/SBE ASSURANCES**

Pursuant to 49 C.F.R. Section 26.13, the Contractor is required to make the following assurance in its agreement with SFMTA and to include this assurance in any agreements it makes with subcontractors in the performance of this 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 C.F.R. Part 26 in the award and administration of DOT-assisted contracts. Failure by the Contractor or Subcontractor 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 SFMTA deems appropriate.

## **VIII. PATENT RIGHTS** (*applicable to contracts for experimental, research, or development projects financed by FTA*)

- A. **General.** If any invention, improvement, or discovery is conceived or first actually reduced to practice in the course of or under this Agreement, and that invention, improvement, or discovery is patentable under the laws of the United States of America or any foreign country, the City and Contractor agree to take actions necessary to provide immediate notice and a detailed report to the FTA.
- B. Unless the Federal Government later makes a contrary determination in writing, irrespective of the Contractor's status (large business, small business, state government or instrumentality, local government, nonprofit organization, institution of higher education, individual), the City and Contractor agree to take the necessary actions to provide, through FTA, those rights in that invention due the Federal Government described in U.S. Department of Commerce regulations, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," 37 CFR Part 401.
- C. The Contractor also agrees to include the requirements of this clause in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.

**IX. RIGHTS IN DATA AND COPYRIGHTS** (*Applicable to contracts for planning, research, or development financed by FTA*)

- A. **Definition.** The term "subject data" used in this section means recorded information, whether or not copyrighted, that is delivered or specified to be delivered under this Agreement. The term includes graphic or pictorial delineation in media such as drawings or photographs; text in specifications or related performance or design-type documents; machine forms such as punched cards, magnetic tape, or computer memory printouts; and information retained in computer memory. Examples include, but are not limited to, computer software, engineering drawings and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog item identifications, and related information. The term "subject data" does not include financial reports, cost analyses, and similar information incidental to contract administration.
- B. **Federal Restrictions.** The following restrictions apply to all subject data first produced in the performance of this Agreement.
  - 1. **Publication of Data.** Except for its own internal use in conjunction with the Agreement, Contractor may not publish or reproduce subject data in whole or in part, or in any manner or form, nor may Contractor authorize others to do so, without the written consent of the Federal Government, until such time as the Federal Government may have either released or approved the release of such data to the public; this restriction on publication, however, does not apply to any contract with an academic institution.
  - 2. **Federal License.** In accordance with 49 CFR §§ 18.34 and 19.36, the Federal Government reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, "for Federal Government purposes," any subject data or copyright described below. As used in the previous sentence, "for Federal Government purposes" means use only for the direct purposes of the Federal Government. Without the copyright owner's consent, the Federal Government may not extend its Federal license to any other party:
    - a. Any subject data developed under this Agreement, whether or not a copyright has been obtained; and

- b. Any rights of copyright purchased by City or Contractor using Federal assistance in whole or in part provided by FTA.
3. **FTA Intention.** When FTA awards Federal assistance for a experimental, research or developmental work, it is FTA's general intention to increase transportation knowledge available to the public, rather than to restrict the benefits resulting from the work to participants in the work. Therefore, unless FTA determines otherwise, the Contractor performing experimental, research, or developmental work required by the underlying Agreement agrees to permit FTA to make available to the public, either FTA's license in the copyright to any subject data developed in the course of the Agreement, or a copy of the subject data first produced under the Agreement for which a copyright has not been obtained. If the experimental, research, or developmental work which is the subject of this Agreement is not completed for any reason whatsoever, all data developed under this Agreement shall become subject data as defined in Subsection a. above and shall be delivered as the Federal Government may direct. This subsection does not apply to adaptations of automatic data processing equipment or programs for the City's use the costs of which are financed with Federal transportation funds for capital projects.
4. **Hold Harmless.** Unless prohibited by state law, upon request by the Federal Government, the Contractor agrees to indemnify, save, and hold harmless the Federal Government, its officers, agents, and employees acting within the scope of their official duties, against any liability, including costs and expenses, resulting from any willful or intentional violation by the Contractor of proprietary rights, copyrights, or right of privacy, arising out of the publication, translation, reproduction, delivery, use, or disposition of any data furnished under this Agreement. The Contractor shall not be required to indemnify the Federal Government for any such liability arising out of the wrongful acts of employees or agents of the Federal Government.
5. **Restrictions on Access to Patent Rights.** Nothing contained in this section on rights in data shall imply a license to the Federal Government under any patent or be construed as affecting the scope of any license or other right otherwise granted to the Federal Government under any patent.
6. **Application to Data Incorporated into Work.** The requirements of Subsections (2), (3) and (4) of this Section do not apply to data developed by the City or Contractor and incorporated into the work carried out under this Agreement, provided that the City or Contractor identifies the data in writing at the time of delivery of the work.
7. **Application to Subcontractors.** Unless FTA determines otherwise, the Contractor agrees to include these requirements in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.
- C. **Flow Down.** The Contractor also agrees to include these requirements in each subcontract for experimental, developmental, or research work financed in whole or in part with Federal assistance provided by FTA.
- D. **Provision of Rights to Government.** Unless the Federal Government later makes a contrary determination in writing, irrespective of the Contractor's status (large business, small business, state government or instrumentality, local government, nonprofit organization, institution of higher education, individual, etc.), the City and Contractor agree to take the necessary actions to provide, through FTA, those rights in that invention due the Federal Government described in U.S. Department of

Commerce regulations, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," 37 CFR Part 401.

**X. CONTRACT WORK HOURS AND SAFETY STANDARDS** (*applicable to nonconstruction contracts in excess of \$100,000 that employ laborers or mechanics on a public work*)

- A. **Overtime requirements** - No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
- B. **Violation; liability for unpaid wages; liquidated damages** - In the event of any violation of the clause set forth in paragraph A of this section the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph A of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph A of this section.
- C. **Withholding for unpaid wages and liquidated damages** - The City and County of San Francisco shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2) of this section.
- D. **Subcontracts** - The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs A through D of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs A through D of this section.

**XI. ENERGY CONSERVATION REQUIREMENTS**

The Contractor agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act.

**XII. CLEAN WATER REQUIREMENTS** (*applicable to all contracts in excess of \$100,000*)

- A. The Contractor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. §§ 1251 et seq. Contractor agrees to report each violation of these requirements to the

City and understands and agrees that the City will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA regional office.

- B. The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

**XIII. CLEAN AIR** (*applicable to all contracts and subcontracts in excess of \$100,000, including indefinite quantities where the amount is expected to exceed \$100,000 in any yea.*)

- A. Contractor agrees to comply with applicable standards, orders, or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 et seq. The Contractor agrees to report each violation to the City and understands and agrees that the City will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.
- B. The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.

**XIV. PRIVACY**

If Contractor or its employees administer any system of records on behalf of the Federal Government, Contractor and its employees agree to comply with the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. § 552a (the Privacy Act). Specifically, Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Government. Contractor acknowledges that the requirements of the Privacy Act, including the civil and criminal penalties for violations of the Privacy Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of this Agreement. The Contractor also agrees to include these requirements in each subcontract to administer any system of records on behalf of the Federal Government financed in whole or in part with Federal assistance provided by FTA.

**XV. DRUG AND ALCOHOL TESTING**

To the extent Contractor, its subcontractors or their employees perform a safety-sensitive function under the Agreement, Contractor agrees to comply with, and assure compliance of its subcontractors, and their employees, with 49 U.S.C. § 5331, and FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations," 49 CFR Part 655.

**XVI. TERMINATION FOR CONVENIENCE OF CITY** (*required for all contracts in excess of \$10,000*)

See Agreement Terms and Conditions.

**XVII. TERMINATION FOR DEFAULT** (*required for all contracts in excess of \$10,000*)

See Agreement Terms and Conditions.

**XVIII. FALSE OR FRAUDULENT STATEMENTS AND CLAIMS**

- A. The Contractor 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 CFR Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying Agreement, the Contractor 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 Contractor 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 Contractor to the extent the Federal Government deems appropriate.

- B. The Contractor 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 Contractor, to the extent the Federal Government deems appropriate.
- C. The Contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

#### **XIX. FLY AMERICA**

The Contractor agrees to comply with 49 U.S.C. 40118 (the “Fly America” Act) in accordance with the General Services Administration’s regulations at 41 CFR Part 301-10, which provide that recipients and subrecipients of Federal funds and their contractors are required to use U.S. Flag air carriers for U.S Government-financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by the Fly America Act. The Contractor shall submit, if a foreign air carrier was used, an appropriate certification or memorandum adequately explaining why service by a U.S. flag air carrier was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a certificate of compliance with the Fly America requirements. The Contractor agrees to include the requirements of this section in all subcontracts that may involve international air transportation.

#### **XX. INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS**

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 4220.1F, 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 Contractor shall not perform any act, fail to perform any act, or refuse to comply with any (name of grantee) requests which would cause (name of grantee) to be in violation of the FTA terms and conditions.

#### **XXI. TRANSIT EMPLOYEE PROTECTIVE AGREEMENTS** *(applicable to each contract for transit operations performed by employees of a Contractor recognized by FTA to be a transit operator)*

- A. The Contractor agrees to the comply with applicable transit employee protective requirements as follows:
  - 1. General Transit Employee Protective Requirements - To the extent that FTA determines that transit operations are involved, the Contractor agrees to carry out the transit operations work on the underlying contract in compliance with

terms and conditions determined by the U.S. Secretary of Labor to be fair and equitable to protect the interests of employees employed under this contract and to meet the employee protective requirements of 49 U.S.C. A 5333(b), and U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the letter of certification from the U.S. DOL to FTA applicable to the FTA Recipient's project from which Federal assistance is provided to support work on the underlying contract. The Contractor agrees to carry out that work in compliance with the conditions stated in that U.S. DOL letter. The requirements of this subsection A, however, do not apply to any contract financed with Federal assistance provided by FTA either for projects for elderly individuals and individuals with disabilities authorized by 49 U.S.C. § 5310(a)(2), or for projects for nonurbanized areas authorized by 49 U.S.C. § 5311. Alternate provisions for those projects are set forth in subsections (2) and (3) of this clause.

2. Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5310(a)(2) for Elderly Individuals and Individuals with Disabilities - If the contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5310(a)(2), and if the U.S. Secretary of Transportation has determined or determines in the future that the employee protective requirements of 49 U.S.C. § 5333(b) are necessary or appropriate for the state and the public body subrecipient for which work is performed on the underlying contract, the Contractor agrees to carry out the Project in compliance with the terms and conditions determined by the U.S. Secretary of Labor to meet the requirements of 49 U.S.C. § 5333(b), U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the U.S. DOL's letter of certification to FTA, the date of which is set forth Grant Agreement or Cooperative Agreement with the state. The Contractor agrees to perform transit operations in connection with the underlying contract in compliance with the conditions stated in that U.S. DOL letter.
3. Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5311 in Nonurbanized Areas - If the contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5311, the Contractor agrees to comply with the terms and conditions of the Special Warranty for the Nonurbanized Area Program agreed to by the U.S. Secretaries of Transportation and Labor, dated May 31, 1979, and the procedures implemented by U.S. DOL or any revision thereto.

- B. The Contractor also agrees to include the any applicable requirements in each subcontract involving transit operations financed in whole or in part with Federal assistance provided by FTA.

**XXII. NATIONAL ITS ARCHITECTURE POLICY** (*Applicable to contracts for ITS projects*)

If providing Intelligent Transportation Systems (ITS) property or services, Contactor shall comply with the National ITS Architecture and standards to the extent required by 23 U.S.C. § 512, FTA Notice, "FTA National ITS Architecture Policy on Transit Projects," 66 FR 1455, et seq., January 8, 2001, and later published policies or implementing directives FTA may issue.

**XXIII. TEXTING WHILE DRIVING; DISTRACTED DRIVING**

Consistent with Executive Order 13513 "Federal Leadership on Reducing Text Messaging While Driving", Oct. 1, 2009 (available at <http://edocket.access.gpo.gov/2009/E9->

[24203.htm](#) ) and DOT Order 3902.10 “Text Messaging While Driving”, Dec. 30, 2009, SFMTA encourages Contractor to promote policies and initiatives for employees and other personnel that adopt and promote safety policies to decrease crashes by distracted drivers, including policies to ban text messaging while driving, and to include this provision in each third party subcontract involving the project.

#### **XXIV. SEAT BELT USE**

In compliance with Executive Order 13043 “Increasing Seat Belt Use in the United States”, April 16, 1997 23 U.S.C. Section 402 note, the SFMTA encourages Contractor to adopt and promote on-the-job seat belt use policies and programs for its employees and other personnel that operate company owned, rented, or personally operated vehicles, and to include this provision in each third party subcontract involving the project.

## EXHIBIT F

### SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY

#### SBE REQUIREMENTS

##### **Architects, Engineers, Planners, and Environmental Scientists and Other Professional Services**

### **I. POLICY**

The San Francisco Municipal Transportation Agency (SFMTA), recipient of federal financial assistance from the Federal Transit Administration (FTA), is committed to and has adopted, a Small Business Enterprise (SBE) Program to implement the Disadvantaged Business Enterprise regulations in 49 C.F.R. Part 26 (the "Regulations"), issued by the Department of Transportation (DOT).

It is the policy of the SFMTA to ensure nondiscrimination in the award and administration of DOT-assisted contracts and to create a level playing field on which SBEs can compete fairly for contracts and subcontracts relating to SFMTA's construction, procurement and professional services activities. To this end, SFMTA has developed procedures to remove barriers to SBE participation in the bidding and award process and to assist SBEs to develop and compete successfully outside of the SBE program. In connection with the performance of this contract, the Contractor will cooperate with SFMTA in meeting these commitments and objectives.

Pursuant to 49 C.F.R. Section 26.13, the Contractor is required to make the following assurance in its agreement with SFMTA and to include this assurance in any agreements it makes with subcontractors in the performance of this 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 C.F.R. Part 26 in the award and administration of DOT-assisted contracts. Failure by the Contractor or Subcontractor 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 SFMTA deems appropriate.

#### **A. Applicability**

Pursuant to 49 C.F.R. Sections 26.3 and 26.21, the SFMTA, a recipient of federal financial assistance from the FTA, is required to implement an SBE Program in accordance with the Regulations. The Regulations are incorporated into this Program as though fully set forth herein. This Program applies to all SFMTA contracts that are funded, in whole or in part, by DOT federal financial assistance.

#### **B. Objectives**

The objectives of this program are to:

1. Remove barriers to SBE participation in the bidding, award and administration of SFMTA contracts;

2. Assist SBEs to develop and compete successfully outside of the Program;
3. Ensure that the Program is narrowly tailored in accordance with 49 C.F.R. Part 26;
4. Ensure that only SBEs meeting the eligibility requirements are allowed to participate as SBEs;
5. Identify business enterprises that are qualified as SBEs and are qualified to provide SFMTA with required materials, equipment, supplies and services; and to develop a good rapport with the owners, managers and sales representatives of those enterprises;
6. Develop communications programs and procedures which will acquaint prospective SBEs with SFMTA's contract procedures, activities and requirements and allow SBEs to provide SFMTA with feedback on existing barriers to participation and effective procedures to eliminate those barriers; and
7. Administer the Program in close coordination with the various divisions within SFMTA so as to facilitate the successful implementation of this Program.

#### **C. Administration of Program**

The Director of Transportation is responsible for adherence to this policy. The DBE Liaison Officer (DBELO) shall be responsible for the development, implementation and monitoring of this program. It is the expectation of the Municipal Transportation Board of Directors and the Director of Transportation that all SFMTA personnel shall adhere to the provisions and the spirit of this program.

#### **D. Prohibited Discrimination**

SFMTA shall not exclude persons from participation in, deny benefits to, or otherwise discriminate against any persons in connection with the award and performance of any contract governed by the Regulations on the basis of race, color, sex or national origin. The City and County of San Francisco also prohibits discrimination on the basis of (the fact or perception of a person's) race, color, creed, religion, national origin, ancestry, age, sex, sexual orientation, gender identity, domestic partner status, marital status, disability or Acquired Immune Deficiency Syndrome or HIV status (AIDS/HIV status).

**E.** SFMTA shall not directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of this program with respect to individuals in the groups or categories or having the characteristics listed above.

**F.** SFMTA has signed the federal assurances regarding non-discrimination required under 49 C.F.R. Section 26.13. See III.D (Contract Assurances) for requirements of Contractor and Subconsultants.

## **II. DEFINITIONS**

Any terms used in SFMTA's SBE Program that are defined in 49 C.F.R. Section 26.5 or elsewhere in the Regulations shall have the meaning set forth in the Regulations. An SBE is defined as follows:

**Small Business Enterprise (SBE):** An SBE is a for-profit, small business concern with a three-year average gross revenue not exceeding current SBA size standards appropriate for its type of work and is either verified eligible by the SFMTA or the State of California's Small Business Program with the Department of General Services, the California Unified Certification Program with a U.S. Department of Transportation recipient, or the City and County of San Francisco's LBE program with the Human Rights Commission.

## **III. SBE PARTICIPATION AND SUBCONTRACTING REQUIREMENTS**

### **A. SBE Participation Goal**

A goal of 30 percent SBE participation has been established for this contract. This SBE goal will apply to the following types of contracts or scope of work in the contract: Construction – Building, Heavy; Construction-Dredging and Surface Cleanup; Construction (specialty trades); General Freight Trucking; Hazardous Waste Collection, Trucking; Remediation; Testing Labs; Computer Programming and Design; Architecture & Engineering services (to include professional and technical services); Surveying and Mapping; Drafting (Design Services); Landscape Architecture; Building Inspection; Machinery and Equipment Rental (Construction); Merchant Wholesalers, Durable Goods; Public Relations; and Telecommunications.

### **B. Determining the Amount of SBE Participation**

The SFMTA strongly encourages the prime contractor to make every good faith effort to include SBEs to perform meaningful work in all aspects of the projects. To accomplish this goal, the following guidance is provided:

#### **1. SBE Participation**

SBE participation includes contracts (other than employee contracts) with SBEs for any goods or services specifically required for the completion of the work under the Agreement. An SBE may participate as a prime contractor/consultant, subcontractor/consultant, joint venture partner with a prime or consultant, vendor of material or supplies incorporated or expended in the work, or a supplier of other services such as shipping, transportation, testing, equipment rental, insurance services and other support services necessary to fulfill the requirements of the Agreement.

#### **2. Function**

An SBE must perform a commercially useful function, i.e., must be responsible for the execution of a distinct element of work and must carry out its responsibility by actually performing, managing and supervising the work. However, an SBE may contract out a portion of the work if it is considered to be a normal industry practice. If an SBE contractor subcontracts a significantly greater portion of the work of the contract than would be expected on the basis of normal industry practices, the SBE shall be presumed not to be performing a commercially useful function.

#### **3. Determining the amount of SBE Participation**

SBE participation includes that portion of the contract work actually performed by a certified SBE with its own forces. An SBE may participate as a prime contractor, subcontractor, joint venture partner, or vendor or supplier of materials or services required by the contract.

An SBE's participation can only be counted if it is performing a commercially useful function.. An SBE is performing a commercially useful function when it actually performs, manages and supervises a portion of the work involved. There is a rebuttable presumption that if the SBE is not responsible for at least 30 percent of the work with its own forces, or subcontracts a greater portion of the work than the normal industry standard, it is not performing a commercially useful function.

The Contractor shall determine the amount of SBE participation for each SBE performing work on the contract in terms of both the total value of the work in dollars and the percentage of the total contract bid price. The Contractor shall also determine the total amount of SBE participation for the entire contract. The Contractor shall count SBE participation according to the following guidelines:

**a. SBE Prime Contractor**

Count the entire dollar amount of the work performed or services provided by the SBE's own forces, including the cost of materials and supplies obtained for the work and the reasonable fees and commissions charged for the services. Do not count any work subcontracted to another firm as SBE participation by the SBE Prime Contractor.

**b. SBE Subcontractor**

Count the entire amount of the work performed or services provided by the SBE's own forces, including the cost of materials and supplies obtained for the work (except for materials and supplies purchased or leased from the Prime Contractor) and reasonable fees and commissions charged for the services. Do not count any work subcontracted by an SBE subcontractor to another firm as SBE participation by said SBE subcontractor. If the work has been subcontracted to another SBE, it will be counted as SBE participation by that other SBE.

**c. SBE Joint Venture Partner**

Count the portion of the work that is performed solely by the SBE's forces or if the work is not clearly delineated between the SBE and the joint venture partner, count the portion of the work equal to the SBE's percentage of ownership interest in the joint venture.

**d. SBE Regular Dealer**

Count 60 percent of the costs of materials and supplies obtained from an SBE regular dealer that owns, operates or maintains a store or warehouse in which the materials and supplies are regularly bought, kept in stock and sold or leased to the public in the usual course of business (except regular dealers of bulk items such as petroleum, cement and gravel who own and operate distribution equipment in

lieu of maintaining a place of business). This applies whether an SBE is a prime contractor or subcontractor.

**e. Other SBEs**

Count the entire amount of fees or commissions charged for assistance in procuring or delivering materials and supplies when purchased from an SBE that is not a manufacturer or regular dealer. Do not count the cost of the materials and supplies.

**C. Submission of Certification for SBEs**

All firms wishing to receive credit for participation under the SFMTA's SBE Program must be certified as bona fide SBEs with the SFMTA. This requires either submission of: (1) the completed certification applications for either SBEs, DBEs, or LBEs, or (2) submission of the SFMTA's small business verification application. For information regarding where to obtain applications for these certifications, please contact the SFMTA Contract Compliance Office at:

San Francisco Municipal Transportation Agency  
Contract Compliance Office  
One South Van Ness Avenue, 6th floor  
San Francisco, California 94103  
(415) 701-4362  
Attn: Sheila Evans-Peguese

**D. Contract Assurances**

The Contractor and its subcontractors shall not discriminate on the basis of race, color, national origin, or sex in the performance of the contract. The Contractor and its subcontractors shall carry out applicable requirements of 49 C.F.R. Part 26 in the award and administration of DOT-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 the recipient deems appropriate, which may include, but is not limited to: (1) withholding monthly progress payments; (2) assessing sanctions; (3) liquidated damages; and/or (4) disqualifying the contractor from future bidding as non-responsible.

**E. Use of SBE Firms**

The Consultant shall use the specific SBEs listed to perform the work and supply the materials for which each is listed unless the Consultant obtains CCO's prior written consent. Unless prior written consent by CCO is provided, the Consultant shall not be entitled to any payment for work or material unless it is performed or supplied by the listed SBE.

**F. Substitution of Subconsultants and Suppliers**

The Consultant shall not terminate an SBE subconsultant or supplier for convenience and then perform the work with its own forces. Before requesting the termination and/or substitution of an SBE subconsultant, the Consultant must give notice in writing to the SBE subconsultant, with a copy to CCO, of its intent to request to terminate and/or substitute, and the reason for the request. The Consultant must give the SBE five days to respond to the notice and advise CCO and the Consultant of the reasons, if any, why it objects to the proposed termination of its subcontract and

why the Consultant's request should not be approved. CCO must approve the request in writing in order for the substitution to be valid. The substitution may also have to be approved by the SFMTA Board of Directors.

When an SBE subconsultant is terminated as provided in this section, or fails to complete its work on the contract for any reason, the Consultant shall make good faith efforts to find another SBE subconsultant to substitute for the original SBE. These good faith efforts shall be directed at finding another SBE to perform at least the same amount of work under the contract as the SBE that was terminated, to the extent needed to meet the established SBE contract goal.

#### **G. Addition of Subconsultants and Suppliers**

The Consultant shall notify CCO prior to any addition of an SBE or non-SBE subconsultant or supplier to the project. Submit SBE SFMTA Form No. 4 for each new SBE subconsultant or supplier. Any new SBE subconsultant or supplier approved by CCO also must submit SFMTA SBE Form No. 5.

#### **H. Prompt Payment to Subcontractors**

In accordance with SFMTA's SBE Program, no later than three days from the date of Contractor's receipt of progress payments by SFMTA, the Contractor shall pay any subcontractors for work that has been satisfactorily performed by said subconsultants. Unless the prime consultant notifies the CCO Director in writing within 10 working days prior to receiving payment from the City that there is a bona fide dispute between the prime consultant and the subconsultant. Within five working days of such payment, Consultant shall provide City with a declaration under penalty of perjury that it has promptly paid such subconsultants for the work they have performed. Failure to provide such evidence shall be cause for City to suspend future progress payments to Consultants.

Consultant may withhold retention from subconsultants if City withholds retention from Consultant. Should retention be withheld from Consultant, within 30 days of City's payment of retention to Consultant for satisfactory completion of all work required of a subconsultant, Contractor shall release any retention withheld to the subconsultant. Satisfactory completion shall mean when all the tasks called for in the subcontract with subconsultant have been accomplished and documented as required by City.

If the Consultant does not pay its subconsultant as required under the above paragraph, it shall pay interest to the subconsultant at the legal rate set forth in subdivision (a) of Section 685.010 of the California Code of Civil Procedure.

### **IV. MONITORING AND COMPLIANCE**

#### **A. SBE Records; Reporting Requirements**

The Contractor shall maintain records of all SBE participation in the performance of the contract including subcontracts entered into with certified SBEs and all materials purchased from certified SBEs.

The Contractor shall submit SBE participation reports to SFMTA on a monthly basis, or as otherwise directed by the CCO. The reports shall identify the name and address of each SBE performing work on the project, and show the total dollar amount requested for payment and the total dollar amount actually paid to each SBE. Within thirty (30) days of completion of the contract, or as otherwise directed by the CCO, the Contractor shall submit a final summary SBE report to the CCO.

**B. Noncompliance; Administrative Remedies**

SFMTA will implement appropriate mechanisms to ensure that its prime contractors and subcontractors comply with SBE Program regulatory requirements. SFMTA will apply legal and contractual remedies available under federal, state and local law.

SFMTA will also include a monitoring and enforcement mechanism to verify that the work committed to SBEs at contract award is actually performed by the SBEs. This mechanism will provide for a running tally of actual SBE attainments and include a provision ensuring that SBE participation is credited toward overall or contract goals only when payments are actually made to SBE firms.

**EXHIBIT G****Directory of Subconsultants**

<b>Firm</b>	<b>Contact</b>	<b>Address</b>	<b>Phone/Email</b>	<b>SBE</b>
Acumen Building Enterprise	Walter Allen, President	7770 Pardee Lane, Suite 200, Oakland, CA 94621-1490	P: (510) 530-3029 E: walter.allen@acumentransit.com	<b>X</b>
Anchor Engineering	Chris Coles, President	3685 Mt. Diablo Blvd., #345 Lafayette, CA 94549	P: (925) 385-0950 E: ccoles@anchorm.com	
Anamet, Inc.	Sam McFadden	26102 Eden Landing Road, Suite 3, Hayward, CA 94545	P: (800) 377-7768 E: sam@anametinc.com	
CDM Smith	Bill Hurrell, P.E., Vice President	220 Montgomery St., Ste. 1418 San Francisco, CA 94105	P: (415) 495-6201 E: HurrellWE@CDMSmith.com	
CHS Consulting Group	Chi-Hsin Shao, President	220 Montgomery St., Ste. 346 San Francisco, CA 94104	P: (415) 392-9688 E: chshao@chsconsulting.net	<b>X</b>
Cornerstone Transportation Consulting	Wayne H. Perry, President	44 Montgomery St., Ste. 3360 San Francisco, CA 94104	P: (415) 705-7800 E: wperry@cornestoneconcilium.com	<b>X</b>
ENGEO	Catherine Lewis	101 California St., Ste. 875 San Francisco, CA 94111	(925) 395-2529 clewis@engeo.com	
Estructure	Maryann Phipps, Principal	1144 65 <sup>th</sup> St., Ste. A Oakland, CA 94608	P: (510)235-3116 E: mphipps@estruc.com	
FMG Architects	Claudia Guadagne, Principal	235 Montgomery St., Ste. 410 San Francisco, CA 94104	P: (415) 956-5211 E: cguadagne@fmgarchitects.com	<b>X</b>
kW Engineering	Arik Cohen, Principal	287 17 <sup>th</sup> St., Ste. 300 Oakland, CA 94612	P: (510) 229-5639 E: cohen@kw-engineering.com	<b>X</b>
Parsons Brinckerhoff, Inc.	John Fisher, Principal	425 Market St. #1700 San Francisco, CA 94105	P: (415)243-4755 E: fisherjo@pbworld.com	
Robin Chiang & Company	Robin Chiang	381 Tehama St. San Francisco, CA 94103	P:(415) 995-9870 E: rchiang@designbythebay.com	<b>X</b>
Sperry Rail Services, Inc	Mark Alves	46 Shelter Rock Rd. Danbury, CT 06810	P: (800) 525-8913 E: malves@sperryrail.com	

<b>Firm</b>	<b>Contact</b>	<b>Address</b>	<b>Phone/Email</b>	<b>SBE</b>
STRUCTUS, Inc.	Peter Yu, President	160 Pine St., Ste. 300 San Francisco, CA 94111	P: (415) 399-1710 E: peter@structusinc.com	<b>X</b>
TBD Consultants	Gordon Beveridge, Principal	111 Pine St., Suite 1315, San Francisco, CA 94111	P: (415) 981-9430 E: gbeveridge@tbdconsultants.com	<b>X</b>
Telamon Engineering Consultants, Inc.	Mennor Chan, Principal	855 Folsom St., Ste. 142 San Francisco, CA 94107	P: (415) 837-1336 E: mennor.c@telamoninc.com cc: trisha.m@telamoninc.com	<b>X</b>
Wilson, Ihrig & Associates	Derek Watry, Principal/CEO	6001 Shellmound St., Ste. 400 Emeryville, CA 94608	P: (510) 658-6719 Ext. 117 E: rcarman@wiai.com cc: kgill@wiai.com	<b>X</b>
YEI Engineers, Inc.	Douglas Yung, Principal	7700 Edgewater Dr., Ste. 128 Oakland, CA 94621	P: (510) 957-1607 E: dyung@yeiengineers.com	<b>X</b>