Instructions for Exhibit 10-C A&E Consultant Contract Database

Introductory

The Exhibit 10-C process has been simplified and streamlined, and is now web-based.
The 2020 Local Assistance Procedures Manual (LAPM) *Chapter 10 Consultant Selection* requires the local agencies to complete the Exhibit 10-C database at dla.dot.ca.gov/fmi/webd/Exhibit%2010-C.
The new on-line process replaces the traditional way of filling out the form manually.

The Exhibit 10-C database is required to be completed for each new or amended Architectural and Engineering (A&E) consultant contract. The Exhibit 10-C database does not apply to non-A&E consultant contracts. The web browser Chrome or Firefox is required. Other web browsers such as Microsoft Edge or Internet Explorer are not compatible and will not function properly.

Local Agency must submit the Exhibit 10-C prior to the contract award, or after contract award but no later than the first invoice. The new Exhibit 10-C process does not change existing submittal requirements and deadlines required by others. Such submittals include the acceptance of the indirect cost rates, approval of a consultant in a management support role, and Disadvantaged Business Enterprise goals.

Additional procurement guidance is available at https://dot.ca.gov/-/media/dot-media/programs/local-assistance/documents/ae/files/procurement-checklist.docx

Sign up and Activate Account

Email aeoversight@dot.ca.gov and request to activate your local agency's account. Each local agency is assigned one account.

In your email, include the following:

- Name
- Title
- Contact number(s)
- Agency
- Local Agency Code (Locode)

After receipt of your email, Caltrans Division of Local Assistance (DLA) will activate your account and send an email confirmation with the temporary password. At first login, it will prompt you to change your password.

Have a question on the Exhibit 10-C database? You can contact your DLA's A&E Oversight Engineers. Click here for contact information.

Use the following instructions to complete the Exhibit 10-C database.
The instructions included here are designed for the Local Agency to meet the applicable federal regulations(23 Code of Federal Regulations (CFR) part (§) 172 and 2 CFR §200), state laws (CA Government Code 4525-4529.5), and the LAPM *Chapter 10 Consultant Selection* for A&E consultant procurement contract requirements.

The Exhibit 10-C database is separated into two parts: (1) *Project Information* and (2) *Procurement*. The field under *Project Information* are required fields. The *Procurement* part is divided into 4 main categories with *Contract Modifications* as an add-on category. The 5 categories are:

- Procurement Planning
- Full & Open Competition
- Qualifications-Based Selection
- Cost is Fair and Reasonable
- Contract Modifications

When completing the Exhibit 10-C database for a new A&E consultant contract, input all the required fields under *Project Information,* and then select the applicable *Procurement* items that have been satisfied.

For a contract amendment, select the amendment field and complete the *Project Information* fields and then select the applicable procurement items under the *Contract Modifications* section only.

Click on the submit icon to submit the Exhibit 10-C.
For additional guidance to completing the Exhibit 10-C, refer to Appendix A *User Quick Start Guide* and Appendix B *Database User Guide*.

PROJECT INFORMATION
*The following *Project Information* fields must be filled out completely in order to submit the checklist.*

Amendment – Mark this selection when amending an existing A&E consultant contract.

Agency Locode – Input the unique numeric 4-digit identifier for your local agency.

Contract Administrator – List the name, phone number and email contact information of the contract administrator responsible for the procurement.

Funding Source – Select from the drop-down list the funding source of the contract.

Federal/State Project Number – Provide the assigned federal project number (FPN) or state project number (state-only funded) for a specific project or projects. If known, provide the FPN for the on-call contract. Otherwise, input to be determined (TBD).

Contract/Solicitation Number – Provide the contract number and/or solicitation number.

Original Contract Amount – Provide the contract amount listed in the original contract documents.

Contract Type – Select from the drop-down list the type of contract, including project-specific, multiphase or on-call contract.
An on-call contract is a contract for the performance of services for a number of projects, under task or work orders issued on an as-needed or on-call basis, for an established contract period.

- A federally funded on-call contract has a 5-year maximum period limit and maximum contract dollar amount.
- For a federally funded on-call contract, the solicitation and contract provisions must meet the requirements in 23 CFR §172.9(a)(3).

Contract Start Date & End Date – Provide either the actual or estimated start and end date of the contract.

Consultant Name – Provide the name of the consulting firm that is a party to the contract.

Type of A&E services procured – Types of A&E services, in general, are the following:

- Program Management
- Construction Management
- Feasibility Studies
- Preliminary Engineering
- Design Engineering
- Land Surveying
- Mapping
- Architectural
- Landscape Architectural
- Environmental

A&E services are services that require or may logically or justifiably be performed or approved by a person licensed, registered, or certified as an engineer or architect. Includes professional services that require licensed or certified environmental scientists/professionals, licensed surveyors, and licensed landscape architects.

PROCUREMENT

Procurement Planning

Policies & Procedures

- Local Agency shall adopt policies and procedures prescribed by Caltrans Local Assistance Procedures Manual (LAPM) Chapter 10 *Consultant Selection*. *Required only for a federally funded contract.*
- An example resolution is provided at DLA's A&E website.
  Note: The *Master Agreement* has not been determined to meet this federal requirement.

Conflicts of Interest (COI) Policy

- Local Agency must develop and maintain a written code of conduct governing the performance of its employees engaged in the award and administration of A&E contracts, including the prevention of conflicts of interest.
- Also, the Local Agency's contract administrator must ensure that all committee members involved in the procurement process meet the conflict of interest policy. Each member must complete and sign a conflict of interest statement prior to the selection process initiation.
- A conflict of interest sample form is provided in Exhibit 10-T *Conflict of Interest & Confidentiality Statement*.
- For federally funded contracts, the Local Agency's conflict of interest policy must meet the federal regulations governing conflict of interest in accordance with 23 CFR §172.7(b)(4).

Retain Records and Supporting Documentations

- Document contract monitoring activities and maintain supporting contract records as specified in 2 CFR §200.333.
- Local Agency and the selected consultant and sub-consultant firms must maintain and make available for review and audit of all books, documents, papers, accounting records, and other evidence pertaining to the performance of the contract.

Consultant in a Management Support Role (CMSR)

- Examples of Consultant in a Management Support Role (CMSR) are provided in LAPM Chapter 10.1.9 *Miscellaneous Considerations*. Federal-aid Highway Program (FAHP) funds shall not participate in the costs of a CMSR where the consultant was not procured in accordance with Federal and State requirements as specified in 23 CFR §1.9(a). A CMSR, whether procured with State or Local funds, who oversees or manages a federal aid project, must be procured following the CMSR process.
- Before utilizing a CMSR, the Local Agency must receive approval from the Federal Highway Administration (FHWA). FHWA's approval is a three step process that allows the Local Agency to maintain its federal-aid eligibility for reimbursement.
  - *Step 1 – Prior to Solicitation*
    The Local Agency submits the Scope of Work (SOW) and the Local Agency's conflict of interest (COI) policy to the general A&E Oversight inbox aeoversight@dot.ca.gov
  - *Step 2 – FHWA's Review and Approval*
    Upon FHWA's initial approval, the Local Agency can then proceed with the solicitation for the services of a CMSR.

- *Step 3 – After Solicitation*
  After selecting the consultant, the Local Agency and the consultant must complete Exhibit 10-U *Consultant in Management Support Role Conflict of Interest and Confidentiality Statement.* Submit the Exhibit 10-U to aeoversight@dot.ca.gov for FHWA's final review and approval prior to contract execution. Upon receipt of CMSR request, DLA will assign a unique identifier to your Exhibit 10-U.
- Input the assigned unique identifier from your Exhibit 10-U. Refer to approval process above.

Full and Open Competition

Procurement Method

- Procurement method is conducted by competitive negotiation or non-competitive negotiation.
- Competitive negotiation is a qualifications-based selection procurement procedure. A federally funded procurement contract must comply with 40 U.S.C. 1101-1104, commonly referred to as the Brooks Act. The policy of the Federal Government is to publicly announce all requirements for A&E services and to negotiate contracts for A&E services by demonstrated competence and qualification for the type of professional services required at a fair and reasonable cost.
- For a state-only funded contract, the California Government Code 4525-4529.5 applies. The requirements are very similar to the Brooks Act.
- A non-competitive procurement must meet one of the following 3 circumstances and have a District Local Assistance Engineer (DLAE) signed Exhibit 12-F *Cost Effectiveness/Public Interest Finding (required only for a federally funded contract)*:
  - Only one consulting firm is qualified to do the work. Local agency verified that no other firms were able to provide the unique service.
  - An emergency exists of such magnitude that cannot permit delay; or
  - Competition is determined to be inadequate after solicitation of a number of sources. This circumstance is not an option when the local agency has not advertised.

Solicitation Details

- Local Agency's solicitation shall be by public announcement, public advertisement, or any other public forum or method that assures qualified in-State and out-of-State consultants are given a fair opportunity to be considered for award of the contract. The solicitation period shall not be less than 14 days from the date of issuance of the solicitation document.
- Local Agency evaluates a minimum of 3 qualified firms or in instances where less than 3, provides acceptable justification and documentation.
- In instances where only 2 qualified firms respond to the solicitation, the Local Agency may check the box and proceed with the evaluation and selection process if Local Agency can determine that the solicitation did not contain conditions or requirements that arbitrarily limited competition. Local Agency must record the justification and retain as supporting documentation.
- In the case where only 1 firm responded after advertisement, an *Exhibit 12-F Cost Effectiveness/Public Interest Finding* for non-competitive procurement approval applies for a federally funded contract. Local Agency must submit the 12-F to the DLAE for approval prior to negotiation. Provide acceptable justification and documentation when the contract is state-only funded.
- Local Agency must announce all requirements in the solicitation. The requirements include the scope of work, services to be provided, procurement schedule, proposal requirements,

deliverables, project description and schedule, contract provisions, LAPM Chapter 10 Exhibits, Disadvantaged Business Enterprises (DBE) goal, and proposal evaluation process.

Qualifications-Based Selection and Evaluation Criteria

- Evaluate consultant proposals based on the criteria established & published within the solicitation. Criteria used for evaluation, ranking, and selection of consultants to perform engineering and design-related services must assess the demonstrated competence and qualifications for the type of professional services solicited. These qualifications-based factors may include, but are not limited to,
  - Technical approach (e.g., project understanding, innovative concepts)
  - Work experience
  - Specialized expertise
  - Professional Licensure
  - Staff capabilities
  - Workload capacity
  - Past performance evaluations
- The basis of price or cost cannot be used for evaluation. A&E procurement method does not consider low bid or best value.

Cost is Fair and Reasonable (Financial Items)

Independent Cost Estimate (ICE)

- Local Agency must prepare an Independent Cost Estimate (ICE). The ICE is completed prior to negotiations. The ICE shall serve as the basis for negotiation and as support to justify the cost of the service. The dollar amount programmed or authorized does not meet the requirement of an ICE.
- The ICE consists of the following established elements of the contract cost
  - The type or classification of labor required to complete the task.
  - Direct salary or wage rates – Estimate should have a breakdown of the work or labor hours.
  - Work or Labor hours to complete the task.
  - Consultant's fixed fee – The fee should not exceed the total direct labor and indirect costs of the contract. The fixed fee should take into consideration the scope, complexity, contract duration, degree of risk borne by the consultant, amount of subcontracting, and professional nature of the services as well as the size and type of contract.
  - Other direct costs – A contracting agency shall use the Federal cost principles in determining the reasonableness, allowability, and allocability of other direct contract costs.
  - Indirect Cost Rate (ICR) - Once the firm is selected include the firm's proposed ICR before entering negotiations.
- The cost estimating bottom-up method meets the requirements of an ICE. Examples provided at DLA's A&E website.

Method of Payment

- The method of payment shall be specified in the solicitation and contract provisions. The method of payment shall be cost-plus-fixed fee, lump sum, specific rates of compensation, or cost per unit of work. The method of payment specified should benefit the public's interests.

Cost Analysis

- Local Agency shall ensure consultant costs are allowable in accordance with the Federal cost principles. Perform a cost analysis in accordance with 23 CFR §172.7(a)(1)(v)(E) and 48 CFR §31.105.
- A sample cost analysis is provided at DLA's A&E website.

Indirect Cost Rate (ICR) Acceptance

- All consultants, including prime and sub-consultants, on a proposed A&E contract with a dollar value of $150,000 or greater are subject to an ICR financial review by the Independent Office of Audits & Investigations (IOAI).
- For contracts that are less than $150,000, the financial review by IOAI does not apply. Local agency is responsible to verify the ICR is in accordance with the Federal cost principles.
- Local Agency must receive an acceptance letter from IOAI before executing their contract. The financial documents required are detailed in Exhibit 10-A *A&E Consultant Financial Document Review Request*.
- Refer to LAPM Chapter 10.1.3 *A&E Consultant Audit and Review Process* for further clarification and minimum submittal requirements. Such submittal requirements can include the Exhibit 10-H *Cost Proposal* and Exhibit 10-K *Consultant Annual Certification of Indirect Costs and Financial Management System*.
- After receiving acceptance, provide the prime consultant's Acceptance ID#. Do not provide the indirect cost rate as that specific information is confidential.

Negotiations on Cost & Fee

- Local Agency shall ensure consultant services contracts are obtained at a fair & reasonable cost to the Local Agency. Local Agency must prepare an independent cost estimate for use in negotiation with the selected consultant and perform a cost analysis.
- Include documentation of negotiation activities in the contract file. Emails documenting negotiations are acceptable as supporting documentation.

Contract Provisions

- All federally funded contracts and subcontracts shall include the provisions found in Exhibit 10-R *A&E Boilerplate Agreement Language*. This exhibit contains fiscal requirements from 2 CFR §200 and may be used for state-only funded contracts as well.

Disadvantaged Business Enterprise (DBE)

- Local Agency must take the necessary steps to ensure that DBE firms have the opportunity to participate in the federally funded contract. Exhibit 9-D *DBE Contract Goal Methodology* must be completed for all federally funded contracts.
- Refer to LAPM Chapter 9 *Civil Rights & Disadvantaged Business Enterprise* for further clarification, submittal requirements and approval.

Contract Modifications (Required for Amendments only)

Added Work

- Added work must be within the original solicitation. If the added work is outside of the original solicitation, a new solicitation is warranted for a separate contract.

Performance Period

- A contract's performance period can be extended before the expiration date. A federally funded on-call contract has a 5-year maximum limit.

Contract Amount for Amendment Only

- Specify the added contract dollar amount. This amount pertains to the current amendment portion amount only (does not include original or total contract amount). A federally funded on-call contract must have a maximum contract dollar amount. The contract amount for an on-call contract cannot be amended.

New Total Contract Amount

- Specify the revised total contract amount including the original amount and all amendments.

Cost Analysis

- Local Agency shall ensure consultant costs are allowable in accordance with the Federal cost principles. Perform a cost analysis in accordance with 23 CFR §172.7(a)(1)(v)(E) and 48 CFR §31.105 when the contract cost is amended. Cost analysis considers the following such as direct costs, indirect costs, profit/fees, escalation, other direct and total contract amount.

Negotiations on Cost & Fee

- Local Agency shall ensure consultant services contracts are obtained at a fair & reasonable cost to the Local Agency. The local agency must prepare an independent cost estimate for use in negotiation with the selected consultant and perform a cost analysis.
- Overruns in the costs of the work shall not automatically warrant an increase in the fixed fee portion of a cost-plus-fixed fee reimbursed contract. Permitted changes to the scope of work or duration may warrant consideration for adjustment of the fixed fee portion of cost plus fixed fee or lump sum reimbursed contracts.

Indirect Cost Rate (ICR) Acceptance

- When the consultant's ICR is changed, an acceptance is required by IOAI. Local Agency must receive an acceptance letter IOAI before executing the contract amendment.
- Refer to LAPM Chapter 10.1.3 *A&E Consultant Audit and Review Process* for further clarification and minimum submittal requirements.
- A new sub-consultants must submit their ICR for acceptance by IOAI.
- After receiving acceptance, provide the consultant's Acceptance ID#. Do not provide the indirect cost rate as that specific information is confidential.

Appendix A

Exhibit 10-C User Quick Start Guide

Quick Start Guide

Exhibit 10-C has changed to an online submission platform. This quick start guide is meant to provide a quick visual guide to the User Guide.

HOME SCREEN

Exhibit 10-C

Click to complete the Exhibit 10-C

Contacts

A&E Oversight Engineer
Assignment Link

Summary List

List of all submitted Exhibit 10-Cs

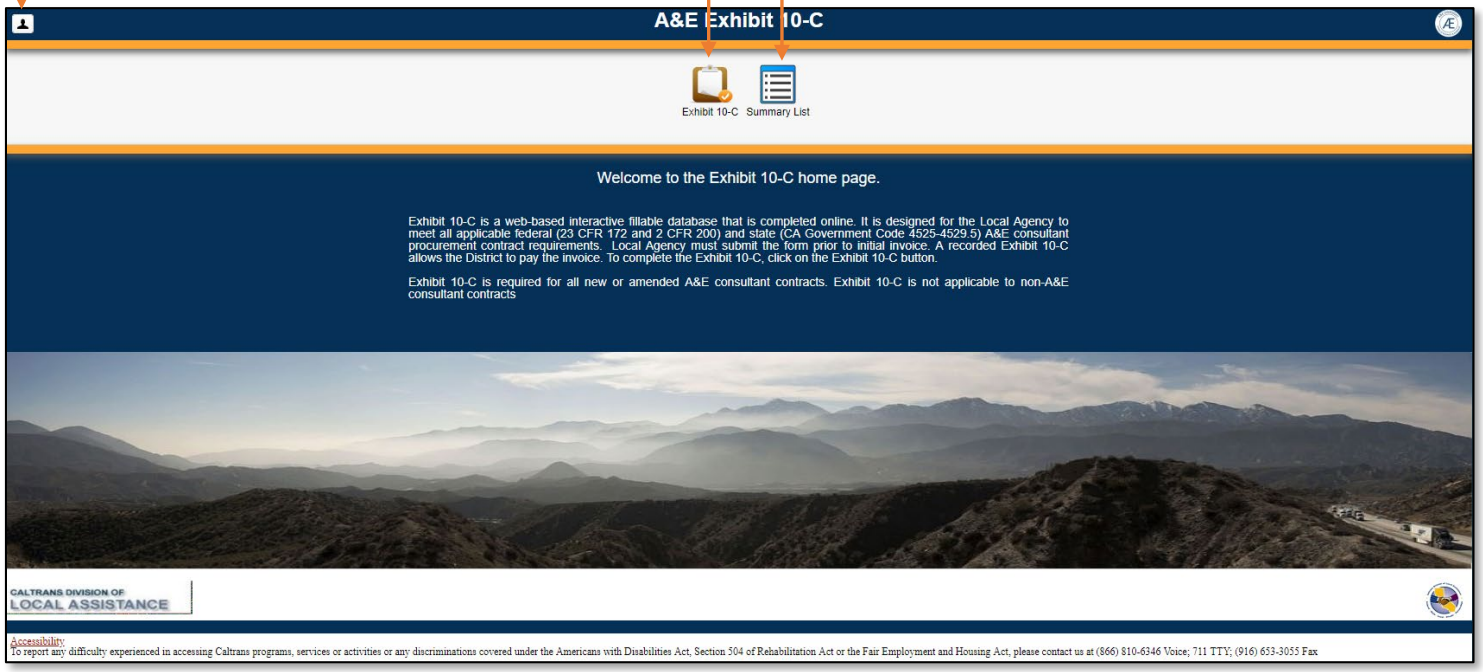


EXHIBIT 10-C OVERVIEW

Local Assistance Procedures Manual

Exhibit 10-C
A&E Consultant Contract Checklist

Home button

Submit button

Exhibit 10-C A&E Consultant Contract Checklist

Project Information

PROJECT INFORMATION

Amendment

Agency Locode

Contract Administrator — Name — Phone — ext.

Email

Funding Source — Federal/State Project No. — Format: XXXX(YYY)

Contract/Solicitation No. — Original Contract Amount

Contract Type

Contract Start Date — End Date

Consultant Name

Type of A&E service(s) procured

Procurement

PROCUREMENT

Procurement Planning

- **Policies & Procedures**
  Local Agency has adopted the written policies and procedures prescribed by Caltrans for the procurement, management, and administration of A&E consultant services.
- **Conflict of Interest**
  Local Agency maintains a written code of conduct governing the performance of its employees engaged in the award and administration of A&E contracts, including the prevention of conflicts of interest.
- **Retain Records and Supporting Documentation**
  Document and retain supporting documentation of the solicitation, proposal, evaluation, and selection of the consultant. Agency to retain negotiation activities used in the analysis of cost.
- **Consultant in a Management Support Role (CMSR)**
  The consultant contract's scope of work includes a CMSR

Procurement Planning

Full and Open Competition

Procurement Method (Select One Method)

- Competitive Negotiation
- Non-Competitive Negotiation (Requires Exhibit 12-F PIF for a federally funded contract)

Solicitation Details

- Public Announcement/Public Advertisement/Public Forum
- Evaluated a minimum of 3 qualified firms or provide justification and documentation
- Criteria for evaluation established and published

Full and Open Competition

Qualifications Based Selection and Evaluation Criteria

- Evaluated consultant proposals based on the same criteria established & published within the solicitation
- Cost was not used as a basis for evaluation

QBS and Evaluation Criteria

Cost is Fair and Reasonable (Financial Items)

- An Independent Cost Estimate (ICE) was prepared prior to negotiations

Method of payment specified in the contract (Select One Method)

- Cost Plus Fixed Fee
- Specific Rates of Compensation
- Lump Sum
- Cost per Unit of Work

- Cost Analysis. Local Agency ensures consultant costs are allowable in accordance with the Federal cost principles
- Consultant's & subconsultant's indirect cost rates (ICR) accepted by Independent Office of Audits & Investigations (IOAI) for contract amount $150,000 or greater *

  * Provide Prime Consultant Firm's Acceptance ID
- Negotiations on Cost & Fee. Cost is fair & reasonable to the Local Agency
- Contract Provisions include Fiscal and applicable State and Federal Provisions.
- Disadvantage Business Enterprise (DBE) only for federally funded contracts

Cost is Fair and Reasonable

EXHIBIT 10-C PROJECT INFORMATION SECTION

Four digit agency identifier

Local Assistance Procedures Manual

Exhibit 10-C
A&E Consultant Contract Checklist

Exhibit 10-C A&E Consultant Contract Checklist

PROJECT INFORMATION

Amendment

Agency Locode

Contract Administrator | Name | Phone | ext.

Email

Funding Source | Federal/State Project No. | Format: XXXX(YYY)

Contract/Solicitation No. | Original Contract Amount

Contract Type

Contract Start Date | End Date

Consultant Name

Type of A&E service(s) procured

All Required Fields

Exhibit 10-C will not process without the required fields

EXHIBIT 10C PROCUREMENT SECTION

Required

PROCUREMENT

Procurement Planning

- ☐ **Policies & Procedures**
  Local Agency has adopted the written policies and procedures prescribed by Caltrans for the procurement, management, and administration of A&E consultant services.
- ☐ **Conflict of Interest**
  Local Agency maintains a written code of conduct governing the performance of its employees engaged in the award and administration of A&E contracts, including the prevention of conflicts of interest.
- ☐ **Retain Records and Supporting Documentation**
  Document and retain supporting documentation of the solicitation, proposal, evaluation, and selection of the consultant. Agency to retain negotiation activities used in the analysis of cost.
- ☐ **Consultant in a Management Support Role (CMSR)**
  The consultant contract's scope of work includes a CMSR

Procurement Planning

Full and Open Competition

Procurement Method (Select One Method)

○ Competitive Negotiation ○ Non-Competitive Negotiation (Requires Exhibit 12-F PIF for a fe

Solicitation Details

- ☐ Public Announcement/Public Advertisement/Public Forum
- ☐ Evaluated a minimum of 3 qualified firms or provide justification and documentation
- ☐ Criteria for evaluation established and published

Full and Open Competition

Qualifications Based Selection and Evaluation Criteria

- ☐ Evaluated consultant proposals based on the same criteria established & published within the solicitation
- ☐ Cost was not used as a basis for evaluation

QBS and Evaluation Criteria

Cost is Fair and Reasonable (Financial Items)

- ☐ An Independent Cost Estimate (ICE) was prepared prior to negotiations

Method of payment specified in the contract (Select One Method)

○ Cost-Plus-Fixed Fee ○ Lump Sum ○ Specific Rates of Compensation ○ Cos

- ☐ Cost Analysis. Local Agency ensures consultant costs are allowable in accordance with the Federal cost principles
- ☐ Consultant's & subconsultant's indirect cost rates (ICR) accepted by Independent Office of Audits & Investigations (IOAI) for contract amount $150,000 or greater *

  * Provide Prime Consultant Firm's Acceptance ID
- ☐ Negotiations on Cost & Fee. Cost is fair & reasonable to the Local Agency
- ☐ Contract Provisions include Fiscal and applicable State and Federal Provisions.
- ☐ Disadvantage Business Enterprise (DBE) only for federally funded contracts

Cost is Fair and Reasonable

All fields are required; however, Exhibit 10-C will process without all fields checked.
Go to each individual Procurement subsection following for more guides.

EXHIBIT 10-C PROCUREMENT SECTION

Procurement Planning

- [ ] **Policies & Procedures**

  Local Agency has adopted the written policies and procedures prescribed by Caltrans for the procurement, management, and administration of A&E consultant services.

- [ ] **Conflict of Interest**

  Local Agency maintains a written code of conduct governing the performance of its employees engaged in the award and administration of A&E contracts, including the prevention of conflicts of interest.

- [ ] **Retain Records and Supporting Documentation**

  Document and retain supporting documentation of the solicitation, proposal, evaluation, and selection of the consultant. Agency to retain negotiation activities used in the analysis of cost.

- [ ] **Consultant in a Management Support Role (CMSR)**

  The consultant contract's scope of work includes a CMSR

If checked, FHWA approval prior to advertising

Full and Open Competition

Procurement Method (Select One Method)

- ( ) Competitive Negotiation
- ( ) Non-Competitive Negotiation (Requires Exhibit 12-F PIF for a federally funded contract)

Solicitation Details

- [ ] Public Announcement/Public Advertisement/Public Forum
- [ ] Evaluated a minimum of 3 qualified firms or provide justification and documentation
- [ ] Criteria for evaluation established and published

If checked, DLAE approval prior to award

If two evaluated, file justification. If one, leave blank and check non-competitive above

EXHIBIT 10-C PROCUREMENT SECTION

Qualifications Based Selection and Evaluation Criteria

- [ ] Evaluated consultant proposals based on the same criteria established & published within the solicitation
- [ ] Cost was not used as a basis for evaluation

Cost is Fair and Reasonable (Financial Items)

- [ ] An Independent Cost Estimate (ICE) was prepared prior to negotiations

Method of payment specified in the contract (Select One Method)

- ( ) Cost-Plus-Fixed Fee
- ( ) Specific Rates of Compensation
- ( ) Lump Sum
- ( ) Cost per Unit of Work

- [ ] Cost Analysis. Local Agency ensures consultant costs are allowable in accordance with the Federal cost principles
- [ ] Consultant's & subconsultant's indirect cost rates (ICR) accepted by Independent Office of Audits & Investigations (IOAI) for contract amount $150,000 or greater *

  * Provide Prime Consultant Firm's Acceptance ID

- [ ] Negotiations on Cost & Fee. Cost is fair & reasonable to the Local Agency
- [ ] Contract Provisions include Fiscal and applicable State and Federal Provisions.
- [ ] Disadvantage Business Enterprise (DBE) only for federally funded contracts

Submit Exhibit 10-A to IOAI prior to award

DBE goal must be set prior to advertising

EXHIBIT 10-C
AMENDMENT – PROJECT INFORMATION SECTION

Local Assistance Procedures Manual

Exhibit 10-C
A&E Consultant Contract Checklist

Home

Submit

Exhibit 10-C A&E Consultant Contract Checklist

PROJECT INFORMATION

Amendment ☑ Amendment No.

Agency Locode

Contract Administrator Name Phone ext.

Email

Funding Source Federal/State Project No. Format XXXX(YYY)

Contract/Solicitation No. Original Contract Amount

Contract Type

Contract Start Date End Date

Consultant Name

Type of A&E service(s) procured

Four digit agency identifier

All Required Fields

Exhibit 10-C database will not process without the required fields.

EXHIBIT 10-C
AMENDMENT – CONTRACT MODIFICATION SECTION

Amount added to contract only

CONTRACT MODIFICATION

Contract Modifications (Required for Amendments only)

Added work:

○ Is within the original soliciation ○ Is not within the original solicitation ○ N/A

☐ Performance period changed to

Contract Amount for Amendment Only

New total contract amount

☐ Cost Analysis. Local Agency ensures amended consultant costs are allowable in accordance with the Federal cost principles.

☐ Negotiations on Cost & Fee. Cost is fair & reasonable to the Local Agency

☐ Consultant's or subconsultant's ICR has changed *

* Provide Firm's Acceptance ID

☐ Consultant's or subconsultant's ICR has not changed

If applicable

EXHIBIT 10-C SUMMARY LIST

Exhibit 10-C number is assigned once successfully submitted.
Format: Locode-Date-Time

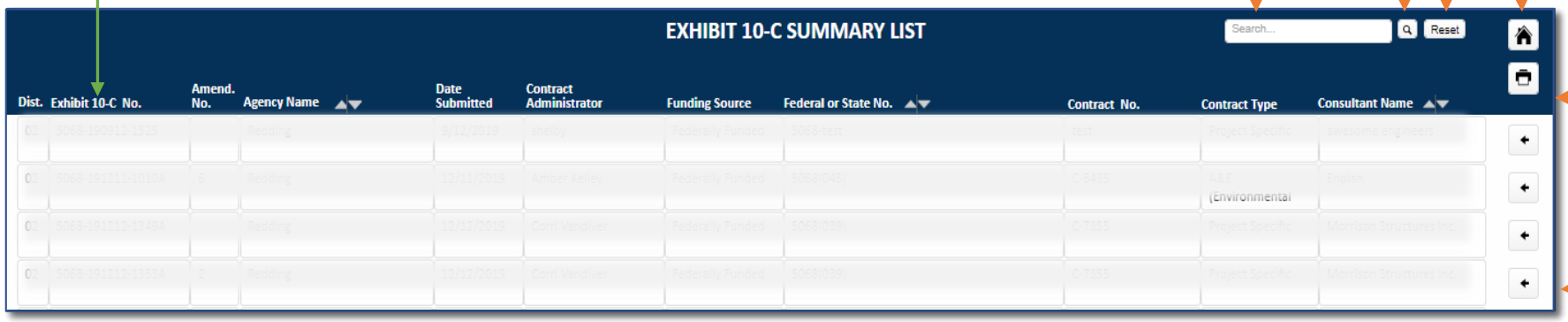
Search bar

Search

Reset

Home

Print



Completed Exhibit 10-C

- Search bar – Type key words in Search bar then click Search button.
- Reset button – Click Reset button to clear search and/or to show all submitted Exhibit 10-C.
- Home (Main Screen) – Click on Home button to submit a new Exhibit 10-C.

Appendix B

Exhibit 10-C Database User Guide

Exhibit 10-C Database User Guide

This User Guide is a step-by-step guidance to completing and submitting the Exhibit 10-C to the Division of Local Assistance. For requirements on each field or checkbox, refer to **Instructions for Exhibit 10-C A&E Consultant Contract Database**.

Logging in to the Exhibit 10-C database

- Open Google Chrome or Firefox web browser and type in dla.dot.ca.gov/fmi/webd/Exhibit%2010-C
- Log in to the database. See **Figure 1: Log In Window**:
  Account Name: your locode
  Password: your password
  NOTE: It may prompt you to change your password. If so, follow the instructions on the screen.

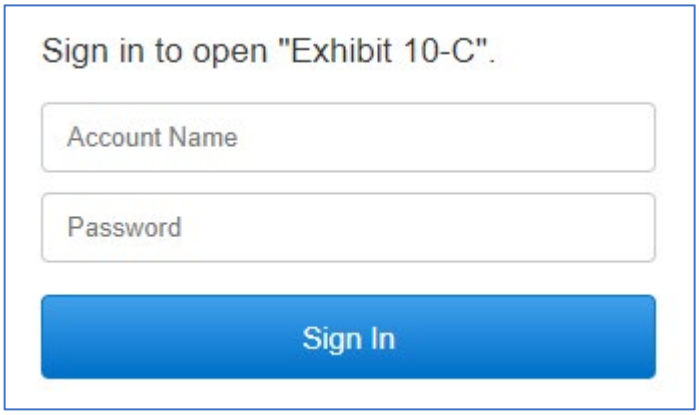
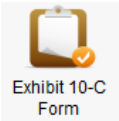


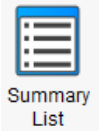
Figure 1: Log In Window

Once logged in, there are 2 icons on the main page. See **Figure 2: Exhibit 10-C Home Page**.

- Exhibit 10-C icon – To submit Exhibit 10-C



- Summary List icon – List of all submitted Exhibit 10-C



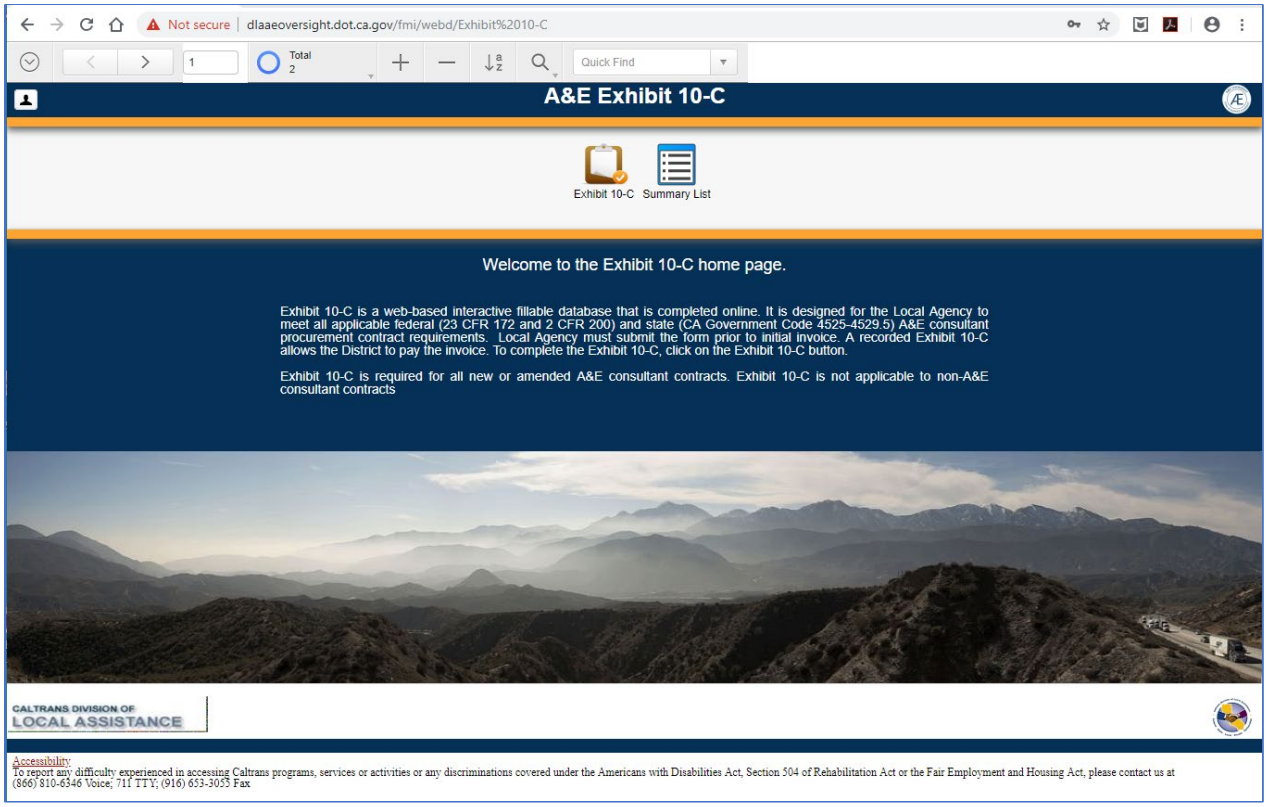


Figure 2: Exhibit 10-C Home Page

How to complete Exhibit 10-C

- Click the Exhibit 10-C icon on the Exhibit 10-C Home page
- There are two buttons on the right
  - Home button – Navigate to the Exhibit 10-C Home page

  - Submit button – Submit Exhibit 10-C

Project Information section

- Fill in each Project Information field. See **Figure 3: Project Information Section**
  NOTE: All Project Information fields are required. If any Project Information field is left blank after clicking the submit button, a window will appear, and the required fields are highlighted in red, see **Figure 6: Project Information Submittal Error**. **YOU WILL NOT BE ABLE TO SUBMIT UNLESS ALL PROJECT INFORMATION FIELDS ARE FILLED.**

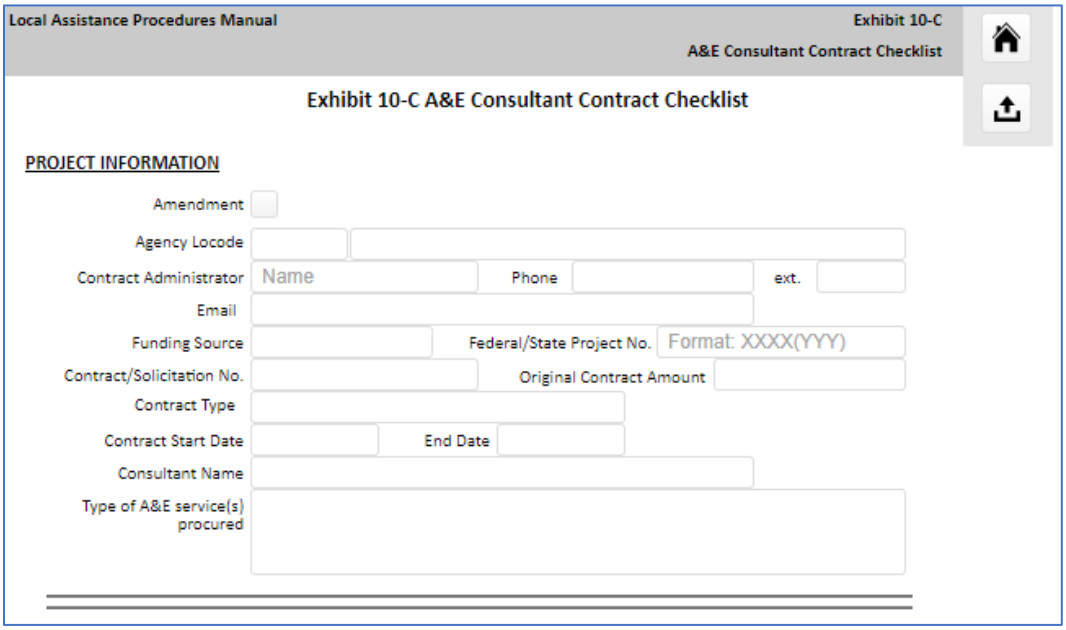


Figure 3: Project Information Section

- Hover cursor over each Project Information field for additional information. See **Figure 4: Field Tooltip**. Refer to **Instructions for Exhibit 10-C A&E Consultant Contract Database** for requirements on each field.
  Note: Not all fields have additional information.

Figure 4: Field Tooltip

Procurement section

- Checkmark each Procurement field by clicking the box or radio button. See **Figure 5: Procurement Section**.
  NOTE: All Procurement fields are required per the Federal and/or State Regulations. If any Procurement field is left blank after clicking the submit button, a window will appear, and the required fields are highlighted in red, see **Figure 7: Procurement Submittal Error**. You may proceed by clicking the "Confirm" button if the procurement process is already completed.

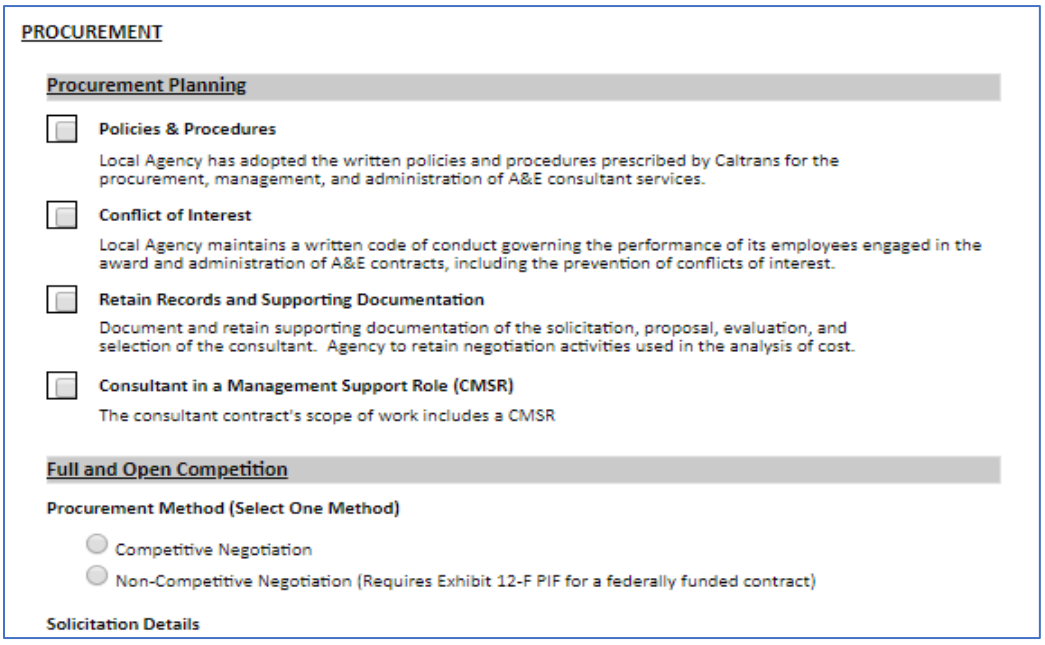


Figure 5: Procurement Section

WARNING: If you exit out without completing the entire submittal process, the data will be lost and will be considered as an unsuccessful submittal.

How to submit Exhibit 10-C

Once all required/applicable fields are completed

- Click the Submit button

- If "Required Items" window pops up, click the "OK" button.
  NOTE: The "Required Items" window will only pop up when any Project Information field is left blank. All Project Information fields are required. If any Project Information field is left blank after clicking the Submit button, a window will appear, and the required fields are highlighted in red, see **Figure 6: Project Information Submittal Error**. **YOU WILL NOT BE ABLE TO SUBMIT UNLESS ALL PROJECT INFORMATION FIELDS ARE FILLED.**

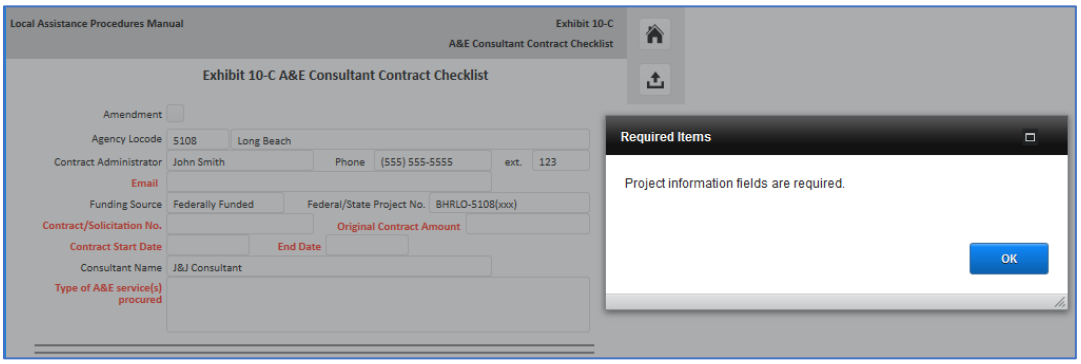


Figure 6: Project Information Submittal error

- A "Submit" window will pop-up, click "Cancel" button to make changes to the Exhibit 10-C or click "Confirm" button to submit the Exhibit 10-C.
  NOTE: All Procurement fields are required per the Federal and/or State Regulations. If any Procurement field is left blank after clicking the submit button, a window will appear, and the required fields are highlighted in red, see **Figure 7: Procurement Submittal Error**. You may proceed by clicking the "Confirm" button if that particular procurement process was already completed. Refer to **Instructions for Exhibit 10-C A&E Consultant Contract Database** for requirements on each field.

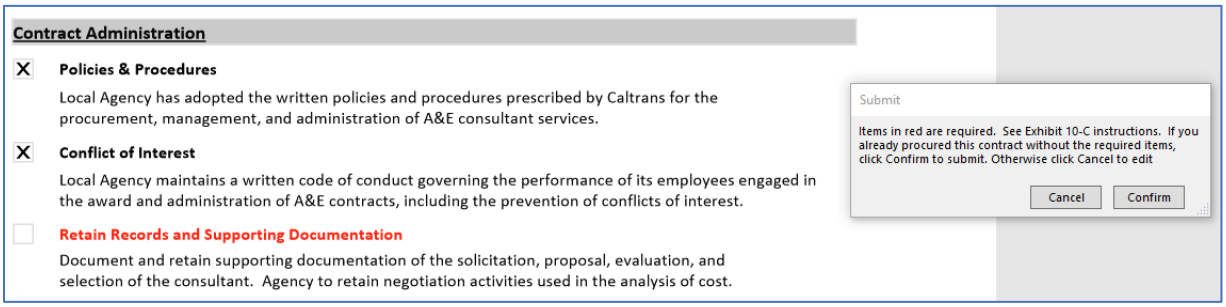


Figure 7: Procurement Submittal Error

Once submittal is successful, a window will pop-up. See **Figure 8: Successful Submittal**

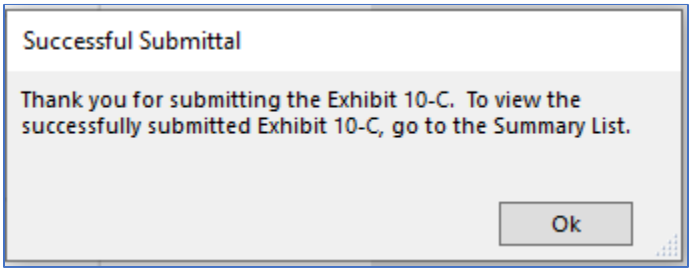


Figure 8: Successful Submittal

- Click "OK" button to complete the submittal process.
  NOTE: A unique ID number will be assigned to the submitted Exhibit 10-C. This number can be viewed in the Summary List page. The unique ID number may be referred to when communicating with Caltrans District Local Assistance Engineer (DLAE) or HQ A&E Oversight Engineer.

  WARNING: If you exit out without completing the entire submittal process, the data will be lost and will be considered as an unsuccessful submittal.

- Click the Home button to go back to the Exhibit 10-C Home page.

How to Complete Exhibit 10-C Amendments

- Click the Exhibit 10-C icon on the Exhibit 10-C Home page. See **Figure 2: Exhibit 10-C Home Page**
- Click the Amendment box in the Project Information section. See **Figure 3: Project Information Section.**
- There are two buttons on the right
  - Home button – Navigate to the Exhibit 10-C Home page

  - Submit button – Submit Exhibit 10-C

Project Information section

- Fill in each Project Information field. See **Figure 9: Modification Section**.
  NOTE: All Project Information fields are required. If any Project Information field is left blank after clicking the Submit button, a window will appear, and the required fields are highlighted in red, see **Figure 6: Project Information Submittal Error**. **YOU WILL NOT BE ABLE TO SUBMIT UNLESS ALL PROJECT INFORMATION FIELDS ARE FILLED.**
- Hover cursor over each Project Information field for additional information. See **Figure 4: Field Tooltip**. Refer to **Instructions for Exhibit 10-C A&E Consultant Contract Database** for requirements on each field.
  Note: Not all fields have additional information.

Contract Modification section

- Checkmark each applicable field in the Contract Modification section by clicking the box or radio button. See **Figure 9: Modification Section.**
  NOTE: Refer to **Instructions for Exhibit 10-C A&E Consultant Contract Database** for requirements on each field.

WARNING: If you exit out without completing the entire submittal process, the data will be lost and will be considered as an unsuccessful submittal.

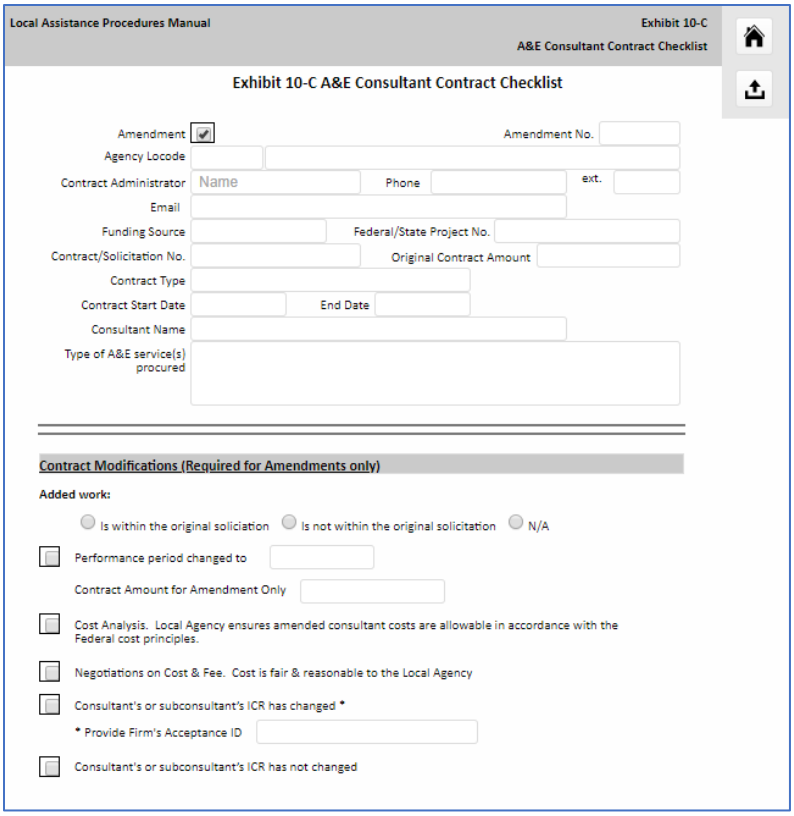


Figure 9: Modification Section

How to submit Exhibit 10-C Amendment

- Click the Submit button

- If "Required Items" window pops up, click the "OK" button. **Figure 6: Project Information Submittal error**
  NOTE: The "Required Items" window will only pop-up when any Project Information field is left blank. All Project Information fields are required. After clicking the Submit button, a window will appear and the required fields are highlighted in red. **YOU WILL NOT BE ABLE TO SUBMIT UNLESS ALL PROJECT INFORMATION FIELDS ARE FILLED**
- Click the Submit button again after all Project Information fields are completed.

Once submittal is successful, a window will pop-up. See **Figure 8: Successful Submittal**

- Click "OK" button to complete the submittal process
  NOTE: A unique ID number will be assigned to the submitted Exhibit 10-C. This number can be viewed in the Summary List page. The unique ID number may be referred to when communicating with Caltrans District Local Assistance Engineer (DLAE) or HQ A&E Oversight Engineer.
- Click the Home button to go back to the Exhibit 10-C Home page

How to view your submitted Exhibit 10-C

- Click the Summary List icon on the Exhibit 10-C Home page, see **Figure 2: Exhibit 10-C Home Page.**
  NOTE: All successfully submitted Exhibit 10-Cs are listed here in column "Exhibit 10-C No." in submitted order. See **Figure 10: Exhibit 10-C Summary List Layout**. The Exhibit 10-C number is a unique identification number assigned to the successfully submitted Exhibit 10-C. This unique ID number may be referred to when communicating with DLAE or HQ A&E Oversight Engineer.

Figure 10: Exhibit 10-C Summary List Layout

How to print and save Exhibit 10-C Summary List

- Click the Print button . A new window will appear. See **Figure 11: Print Window**.

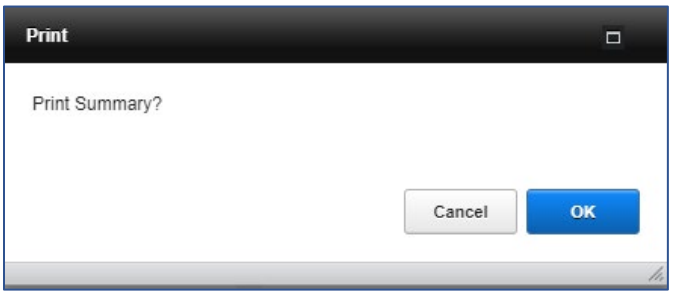


Figure 11: Print Window

- Click Ok button to proceed. Cancel to cancel print. If OK, new window will appear. See **Figure 12: View as PDF Window**.

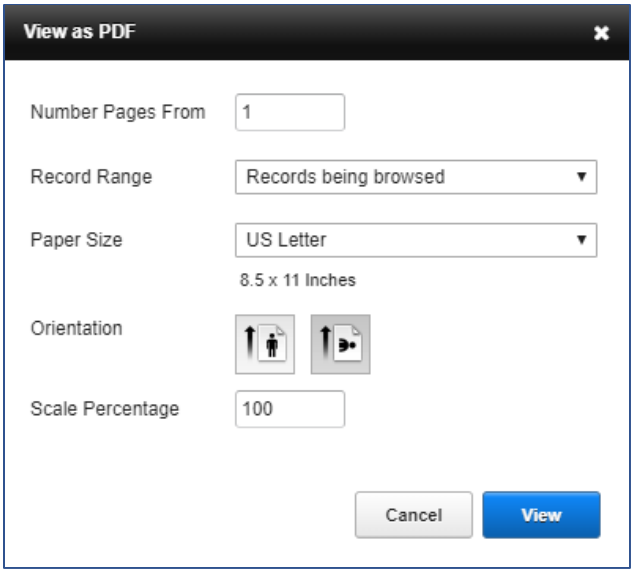


Figure 12: View as PDF Window

NOTE: Do not change the Record Range. Leave as "Records being browsed"

- Click View button to view in pdf. New pdf window tab will appear.
  NOTE: Print is defaulted to pdf for viewing and saving.
- Point cursor near top of window to access save and print button.
- Select save or print.
- Close pdf window tab

How to print submitted Exhibit 10-C

- Click the arrow from the Exhibit 10-C Summary List to go to that specific completed Exhibit 10-C. See **Figure 13: Arrow to Completed Exhibit 10-C**

Figure 13: Arrow to Completed Exhibit 10-C

- Click the Print button. See **Figure 14: Completed Exhibit 10-C**.
- Follow print and save Exhibit 10-C Summary List instructions.

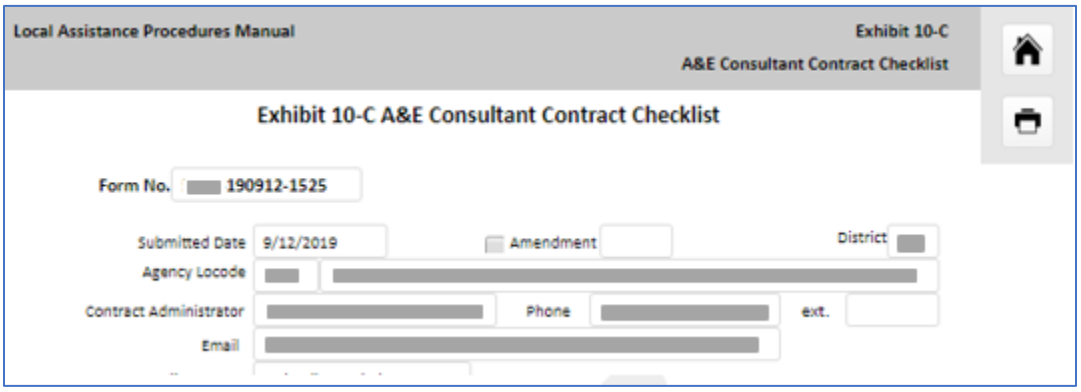


Figure 14: Completed Exhibit 10-C