

Cultural Resource A&E Contract Outreach District 5

April 19, 2022

1:30 PM – 3:30 PM

District 6 – Manchester Office

2015 E. Shields Ave, Suite 100

Fresno, CA 93726

Title VI

Caltrans ensures that no person in the state of California is excluded from participation in, denied the benefits of, or otherwise subjected to discrimination in Caltrans programs, policies, procedures, activities, and services on the grounds of race, color, national origin, sex, age, or disability.

For more information on the Title VI of the Civil Rights Act of 1964 at Caltrans, please visit:

<http://dot.ca.gov/programs/civil-rights/title-vi>

Disclaimers

The information provided in this event does not constitute a solicitation or offer of any contract with Caltrans.

For this outreach, the scope of work, duties, contract, amount, schedule, and all aspects of the contract are not final.

Information provided is preliminary and subject to change.

Agenda

1:30 PM – Welcome & Purpose of the Outreach

1:35 PM – Roundtable Introductions

1:45 PM – Office of Civil Rights & Small Business Liaison

2:00 PM – Calmentor

2:10 PM – Contract Overview and DPAC Updates

2:35 PM – Networking & Partnering Opportunity

2:45 PM – Questions and Answer Session

*Official responses to be posted on the DPAC Website

3:30 PM – Adjourn

Purpose of Outreach

Networking and Partnering Opportunities

Information Sharing

Question and Answer Session

Consultant Roundtable Introduction

Consultants:

- Participant Name (Plan to be a Prime or Sub)
- Firm/Affiliations/Certifications
- Goal for Attending this Event (for Non-Caltrans Participants)

Caltrans Staff:

- Name and Title

Small Business Program

Amanda Himes, Small Business Manager, District 5

- DBE Participation Goal for each contract
- Cultural Contract Goal 10% - 15%
- DBE Certification:

<https://Caltrans.dbesystem.com/>

DBE Program Overview

DBE Eligibility:

- The business must be at least 51% owned by a socially and economically disadvantaged individual(s): Asian-Pacific, Black, Hispanic, Native America, Subcontinent Asian, Women
- The business's last 3-year average gross receipts cannot exceed \$23.98 million (varies by industry)
- Personal net worth of the disadvantaged owner(s) cannot exceed \$1.32 million
- Owner's duties must include managerial and operational control of the business
- Must be independently owned and operated

DBE Certification process:

- DBE paper application and the personal net worth statement
- OCR website for instructions and mailing address – <https://dot.ca.gov/programs/civil-rights/dbe-certification-information>
- For DBE certification questions, call: (916)-324-1700 – ask to speak to the Analyst of the day, or email them at: DBE.Certification@dot.ca.gov

DBE Program Overview, Certification and Contracting Video

Program Overview, Certification and Contracting Video: <https://www.youtube.com/user/CaltransD5>

Calmentor Program Overview

- Caltrans Regional/District Consultant Services Unit (CSU) has implemented an Architectural & Engineering (A&E) mentor-protégé, also known as “Calmentor”
- Partnering with the American Council of Engineering Companies (ACEC), the Calmentor Program promotes partnerships with the private consulting industry.
- The Calmentor Program is consistent with the Governor’s Executive Order No. S-11-06 to encourage new business, grow existing businesses, and promote small and emerging business contracting with the State of California.
- Calmentor Supports the participation of certified Small Business Enterprise (SBE), Disadvantaged Business Enterprise (DBE), and Disabled Veterans Business Enterprise (DVBE) firms in the Central Region.
- Voluntary participation in the program is through acceptance and screening of completed applications from mentors and proteges.

Calmentor Program

Mission and Goals

Mission Statement

- The mission of the Calmentor Program is to increase the pool of small firms participating in transportation projects by providing them opportunities to network and partner with larger, established firms.

Goals and Objectives

- Establish a mentoring Program that pairs small firms with larger, established firms in the same field of expertise
- Enhance the growth potential of small firms
- Ensure that both small and large firms have equal opportunities to participate in transportation projects
- Ensure a clear, accessible entry point for small firms that want to do business with Caltrans or other public agencies
- Develop business relationships that foster new opportunities for both large and small firms
- Encourage small firms to obtain certification from appropriate agencies
- Increase the pool of small businesses

Calmentor Program

Participants

Participants of the Program are Mentors, Proteges, Sponsors, and/or Steering Committee members.

- Mentors are large, established firms who are typically prime consultants willing to commit time to help small firms achieve their growth potential.
- Proteges are small firms who are seeking A&E contracts with Caltrans or other public agencies.

Caltrans Region District CSU is the program's primary sponsor whose aim is to facilitate the growth of small firms.

- Any public or local organization may join to co-sponsor the Program.

Calmentor Program

Contact Information for Central Region

Public Sector Members

- Camillo Prandini – Caltrans Central Region – Camillo.Prandini@dot.ca.gov
- Jin Thao – Central Region Services, Consultant Services Unit – Jin.Thao@dot.ca.gov

Private Sector Members

- Lori Goodwin – Chairperson – Lori.Goodwin@nv5.com
- Julianita Jauregui, Co-Chairperson – Julianita.Juaregui@stantec.com

Central Region Calmentor Program Website

<https://dot.ca.gov/Caltrans-near-me/district-6/district-6-programs/d6-calmentor>

General Information Cultural

- Location: Cultural Resources in District 5
- Scope: The Consultant shall perform consultation, research, professional and technical services required for Cultural Resource Services
- Cost: Contract estimated value is \$6.5 million
- Duration: Contract term is 5 years; 3 years to write Task Orders and 2 years to finish work
- Existing Contract 06A2495
- Consultant is Far Western Anthropological Research Group, Inc.
- Work Performed: (Examples) Phase I, II and III Studies, Native American Monitoring and Geo Arch Studies and Construction monitoring

Contract Services: Introduction

Krista Kiaha, Senior Environmental Planner – Caltrans District 5

- Caltrans staff Archaeologists and Architectural Historians do the day-to-day Section 106 and CEQA historical resource compliance for Caltrans undertakings/projects.
- This includes doing records searches, pedestrian surveys, completing of 523 forms, developing historic and prehistoric contexts, and preparing documents for consulting party review on a regular basis.
- For more complicated and specialized tasks and projects, requiring extended fieldwork, archaeometric analyses of ecofacts and artifacts, archaeogeology, specialized equipment, laboratory space, etc., Caltrans must rely on our consultants.

Scope of Services

Types of Task Orders include but are not limited to

Phase 1:

- Cultural resource identification (historic and prehistoric)
- Cultural resource recordation

Phase 2:

- Cultural resource identification (historic and prehistoric)
- Cultural resource recordation
- Cultural resource evaluation
- History and Ethnography of Native Californians and other Ethnic groups
- Eco-factual and artifactual analysis
- Report writing and production

Phase 3:

- Mitigation of adverse effects and substantial adverse changes
- Traffic control-prevailing wage will apply

Standard Environmental Reference

- What's New
- SER Posting History
- Purpose of the SER
- Contact SER Staff

Sign up for the Standard Environmental Reference (SER) Subscription List to receive an automatic notice when updates have been made to the SER.

What is the SER? The Standard Environmental Reference (SER) is an on-line resource to help state and local agency staff plan, prepare, submit, and evaluate environmental documents for transportation projects. The SER contains information appropriate to all transportation projects developed under the auspices of Caltrans, and to all local agency highway or local streets and roads projects with funding or approvals by the Federal Highway Administration (FHWA).

Standard Environmental Reference Continued

The Standard Environmental Reference (SER) includes:

- Vol 1: Guidance for Compliance – NEPA and CEQA documentation; a general technical resource for planners; and a compendium of applicable federal and state laws and regulations
- Vol 2: Cultural Resources – For archaeologists, historians, and other cultural resources specialists
- Vol3: Biological Resources – For biologists and other natural resources specialists
- Vol 4: Community Impacts Assessment – Environmental Justice and other community issues
- Vol 5: Coastal Requirements – Details the coastal permitting processes
- Policy Memos that relate to the environmental process.
- Other Guidance which includes guidance on cumulative impact analysis, growth-related impact analysis, alternatives analysis, visual impact analysis, and a variety of guidance documents relating to biological and cultural resources.
- MOUs, MOAs, and Agreements
- Forms and Templates used during the environmental process.
- Emergency Projects: Environmental Process and Requirements

Environmental Handbook Vol. 2

Volume 2: Cultural Resources

- Contact

- This section of the SER is designed for cultural resource specialists. It contains more detailed information than Chapter 28 of Volume 1.
- NOTICE: In October 2013, the Federal Highway Administration (FHWA) assigned to the California Department of Transportation (Caltrans) all its responsibilities for compliance under the National Environmental Policy Act (NEPA) for Caltrans' participation in the Surface Transportation Project Delivery Program, pursuant to, 23 USC 327, as amended by Moving Ahead for Progress in the 21st Century Act (MAP-21). This includes FHWA's Section 106 responsibilities. Under NEPA assignment, the Caltrans Division of Environmental Reference Volume 2 – Cultural Resources (SER Vol. 2). It refers to DEA-CSO. Using the process outlined in Volume 2, the appropriate Caltrans district environmental staff will continue to process Section 106 compliance documentation for Caltrans projects and for FHWA-funded local agency projects. Consultants will continue to submit their Section 106 documents to the appropriate district Heritage Resources Coordinator for processing.
- For more information on NEPA delegation, please refer to Chapter 38 of the SER. Questions regarding DEA-CSO's FHWA Section 106 responsibilities, should be directed to the appropriate District Heritage Resources Coordinator.

- Overview

- The consideration of cultural resources is a critical part of all phases of project development, construction, permitting, right of way, and maintenance activities. Caltrans must comply with federal and state environmental laws and regulations designed to protect cultural resources significant in American archaeology, architecture, history, culture, and engineering.

Documents: Exhibits with Content and Format Guides

Exhibits

Description	Download Exhibits	Version Date
Exhibit 1.1 – Section 106 Programmatic Agreement	Exhibit 1.1 (PDF)	January 1, 2014
Exhibit 1.2 – PRC 5024 MOU with 2019 Addendum	Exhibit 1.2 (PDF)	January 1, 2020
Exhibit 1.3 – Definitions of Terms	Exhibit 1.3 (PDF)	September 17, 2019
Exhibit 1.4 – Abbreviations	Exhibit 1.4 (PDF)	December 19, 2019
Exhibit 1.5 – Section 4(f) and Cultural Resources	Exhibit 1.5 (PDF)	June 23, 2020
Exhibit 1.6 – Required Expertise for Cultural Resources Actions	Exhibit 1.6 (PDF)	April 29, 2020
Exhibit 1.7 – Guidance for Professionally Qualified Staff (PQS) Applications	Exhibit 1.7 (PDF)	December 10, 2021
Exhibit 2.1 – Section 106 Programmatic Agreement Flowchart	Exhibit 2.1 (PDF)	December 31, 2019

Example

EXHIBIT 5.1: ARCHAEOLOGICAL SURVEY REPORT FORMAT AND CONTENT GUIDE

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ASR Guide Sample

Summary of Findings

- Provide an abstract of the intent, methods, scope, and results of the survey. Describe briefly:
 - Proposed undertaking
 - Purpose and scope of the survey
 - Any constraints to the survey effort
 - Number and types of identified archaeological resources and their relation to the proposed project's limits (i.e., within or adjacent)

Native American Monitoring

- MLDs are not paid for being MLD's.
- Usually anytime there is a ground disturbance on a Native American site, a monitor present.
- Monitors are also sometimes needed to monitor during construction.
- In most cases, the consultant will be responsible for compensating Native American monitors.

Caltrans Cultural Resources Database



Caltrans Cultural Resources Database

Welcome, you are logged in as s118592.

Projects

Projects **0**

Search

Add New

Resources

Resources

Search

Add New

Documents

Documents

Search

Add New

Collections

Collections

Search

Access to Archaeometry Services

- Radiocarbon Dating
- Macrobotanical Identification
- Palynology
- Starch Grain Analysis
- Phytolith Analysis
- Residue Analysis
- Fish Remains Identification
- Lead, Strontium, Oxygen Isotope Analysis
- Rock Sourcing (XRF, NAA, etc.)
- Obsidian Hydration
- Aerial Lidar
- Mollusk Identification
- Specialized Historic Artifact Expertise
- Geoarchaeology/Geomorphology
- Human Osteology

Cultural Personnel Requirements

There are eight PQS designations with three cultural specialist orientations under the 1-6 PA/5024 MOU. Caltrans staff may be certified under more than one specialist orientation, if qualified

- Archaeological Crew Member
- Lead Archaeological Surveyor
- Co-Principle Investigator – Prehistoric Archaeology
- Co-Principle Investigator – Historical Archaeology
- Principle Investigator – Prehistoric Archaeology
- Principle Investigator – Historical Archaeology
- Architectural Historian
- Principal Architectural Historian

The categories of PQS within each specialist orientation have specific requirements and are tiered to capture increasing levels of professional experience and education. These tiers reflect the level of responsibility necessary when documenting cultural resources at Caltrans. See Exhibit 1.6 – Required Expertise for Cultural Resources Actions – for the levels of professional experience required to conduct tasks and roles within a discipline under the 106 PA/5024 MOU.

Anup Singh DPAC Coordinator

Discussing:

DPAC Updates

Tentative Schedule – D5 Cultural

- Advertisement – Week of 07/04/2022
- SOQ Due – Week of 08/08/2022
- Interview – Week of 08/29/2022
- Cost Negotiation – Week of 10/24/2022
- Award & Execution – Week of 10/31/2022

Division of Procurement and Contracts

(DPAC)

Your Procurement Partner

Caltrans Website ADA Compliance

- With Section 508 of the Federal Rehabilitation Act for persons with disabilities

Safe Harbor Rate Program

- Field Rate = 90%, Home Rate = 120%, approved by FHWA

Personnel Additions

- Additions will not be allowed within 6 months of Request for Qualifications (RFQ) start date, regardless of execution date.

Advertisement Period

- All advertisements will be for 30 calendar days

Main Contact for Documents and Questions

- AECustomer.Service@dot.ca.gov

DPAC New Process

Contract Planning – District or Program = 60 Days

- Contract Need Identified
- Develop Scope of Work
- Look Ahead Report
- Contract Request Submitted

A&E Streamline Contract Procurement – Division of Procurement and Contracts = 75 Business Days

- Advertisement – 25 Business Days
- Evaluate SOQs – 5 Business Days
- Negotiate and Execute – 40 Business Days

DPAC A&E Streamline Negotiation Phase Only (Stage A)

Ready to do Business

- Consultant provides Readily Available Documents (RADs)
- Are RADs complete? Indirect Cost Rate, Payroll, Other Direct Cost Sheet, Company Policies
 - If Yes → Proceed to Phase B
 - If No → Terminate Negotiations
- 8 Days

A&E Streamline Negotiation Phase Only (Stage B)

Remaining Financial Documents

- Consultant submits Remaining Financial Documents (RFDs)
- Is Financial Package Complete?
 - If Yes → Proceed to Phase C
 - If NO → Terminate Negotiations
- 6 Days

A&E Streamline Negotiation Phase Only (Stage C)

Audits and Investigations' Review

- A&I reviews Complete Financial Package
- Consultant responds to A&I findings
- Has Consultant responded to ALL findings?
 - If Yes → Proceed to Phase D
 - If No → Terminate Negotiations
- 15 days

A&E Streamline Negotiation Phase Only

(Stage D and Debriefing)

Comment Resolution and Execution

- Comment Resolution Meeting with Consultant, if necessary
- Consultant submits Final Cost Proposal and Supporting documentation
- Does Cost Proposal address all issues?
 - If Yes → Contract execution
 - If No → Terminate Negotiations
- 11 days

Debrief after Contract Execution

- Caltrans debriefs Consultant

Financial & Cost Accounting Requirements (DPAC Updates)

Readily Available Documents (RADs) – required by Day 5.

1. Indirect Cost Rate – ICR
2. Contractor Cost Certification – CCC
3. Internal Control Questionnaire (AASHTO Appendix B) – ICQ
4. Payroll
5. Other Direct Costs, with Unit Rate justification(s) – ODC
6. Company Policies – Policies
7. Safe Harbor Rate documents – SHR

Financial & Cost Accounting Requirements

(DPAC Updates continued)

Readily Available Documents (RADs) – required by Day 5.

1. Complete Cost Proposal – CCP
2. Executive Compensation Analysis – ECA
3. Labor Summary Report – LSR
4. Post-Closing Trial Balance – PC-TB
5. Income Statement – IS
6. Chart of Accounts – CoA
7. Other Reviews/Audits (if applicable) - Other

DPAC

(Updates)

New A&E Streamline Procurement Process

Major Changes

- Returning to Business Days
- Statement of Qualification (SOQ) Instructions Update
- New Negotiation Phase Process
- Caltrans Financial Requirements and Instructions document
- Financial Document Structure (FDS)
- New Cost Proposal (See DPAC website for upcoming Prevailing Wage Guidance)

SOQ Submittal Instructions

(Update 1)

New Definition: Key Personnel

- Key Personnel are individuals who are essential to the work being performed under this contract.
- Key Personnel shall be representative of required and advertised classifications.
- Together, key and non-key personnel shall compose a complete team of various classifications, to perform required work for substantial period.

SOQ Submittal Instructions

(New Clarification)

- All proposed personnel (Key and Non-Key) to be utilized on the contract must be listed in the Organizational Chart.
- The consultant is required to identify the Key Personnel in the Organizational Chart with a symbol (examples such as a star or a picture of a key).
- Resumes for all proposed personnel (key and non-key) listed on the Organizational Chart shall be included in the SOQ.

SOQ Submittal Instructions

(New Requirements)

(Section E of SOQ)

- Resumes must be grouped by firm.
- Resumes must be arranged by classification and numbered for each individual firm.
- Each consultant shall represent and warrant that proposed personnel, meet the requirements specified in the RFQ for their corresponding classification, including but no limited to; education, licensing, certifications and experience.

Cost Proposal

Goals

- Streamline A&E contract procurements
- Reduce contract execution timelines
- Develop a simpler cost proposal for all stakeholders
- Utilize a consistent method of reimbursement of costs to all firms

Websites

- Caltrans Website:
<https://dot.ca.gov/>
- Caltrans, Division of Procurement and Contract (DPAC A&E Website)
<https://dot.ca.gov/programs/procurement-and-contracts>
- Look Ahead Report:
<https://dot.ca.gov/programs/procurement-and-contracts/ae-contract-information>

Networking and Partnering Opportunity

- A list of all today's attendees will be posted on the DPAC Website with Prime-Consultants and Sub-Consultants for your reference.
- Utilize the list to form your potential team partners.
- Are you planning to be a:
 - Prime or sub-consultant and
 - Primes to possibly host teaming Webex? (Advertise in OCR Events calendar)

Question and Answer Session

Outreach information including questions and answers will be posted on the DPAC A&E website:

<https://dot.ca.gov/hq/dpac/aeinfo.htm>