

**EXHIBIT "A"**

TO

MASTER AGREEMENT FOR ON-CALL CONSTRUCTION MANAGEMENT SERVICES  
FOR REPLACEMENT OR REHABILITATION OF VARIOUS HBP-FUNDED BRIDGES  
IN LAKE COUNTY, CALIFORNIA

June 22, 2020

Lake County Department of Public Works  
255 N. Forbes Street, Rm 309  
Lakeport, CA 95453  
Attn: Mr. Steven Phillips, Construction Project Manager

Subject: Master Agreement for On-Call Construction Management (CM) Services for HBP-Funded Bridge Projects, Lake County, CA

Dear Mr. Phillips:

MGE Engineering, Inc. (MGE) appreciates the opportunity to provide services as one of the County's selected qualified firms to provide construction management services based upon the Statement of Qualifications (SOQ) that was submitted July 10, 2019. MGE is pleased to submit the attached team rates per Caltrans Local Assistance Procedures Manual (LAPM) Chapter 10 for services requested under the subject Master Agreement (contract). It is understood that the contract is anticipated to be valid for a period of three (3) years, with the option to extend up to two (2) additional one-year periods, for a total term not to exceed five (5) years from the date of execution. MGE understands that the specific rates of compensation are provided for the duration of the agreement and that subsequent task orders will be negotiated based on Actual Cost plus Fixed Fee derived from the agreed-upon specific rates of compensation.

MGE has attached the Scope of Work submitted with the SOQ to be included as an Exhibit to the Master Agreement between MGE and the County of Lake. The scope of work, in general, includes professional services associated with administration and construction management services for the County's bridge projects in conformance with FHWA, Caltrans, and County requirements. We are committed to performing these services for the County on upcoming projects during the On-Call contract duration.

Please do not hesitate to call Joe Siemers, MGE's Project Manager, should you have any questions regarding the information included herein. He can be reached at (916) 421-1000 or via cell (530) 446-4536. MGE has enjoyed working with you and the Lake County Department of Public Works, and appreciates this opportunity.

Sincerely,

MGE Engineering



H. Fred Huang, PE  
President

Attachments:

Scope of Services  
LAPM Chapter 10 documentation

## EXHIBIT - GENERAL SCOPE OF SERVICES

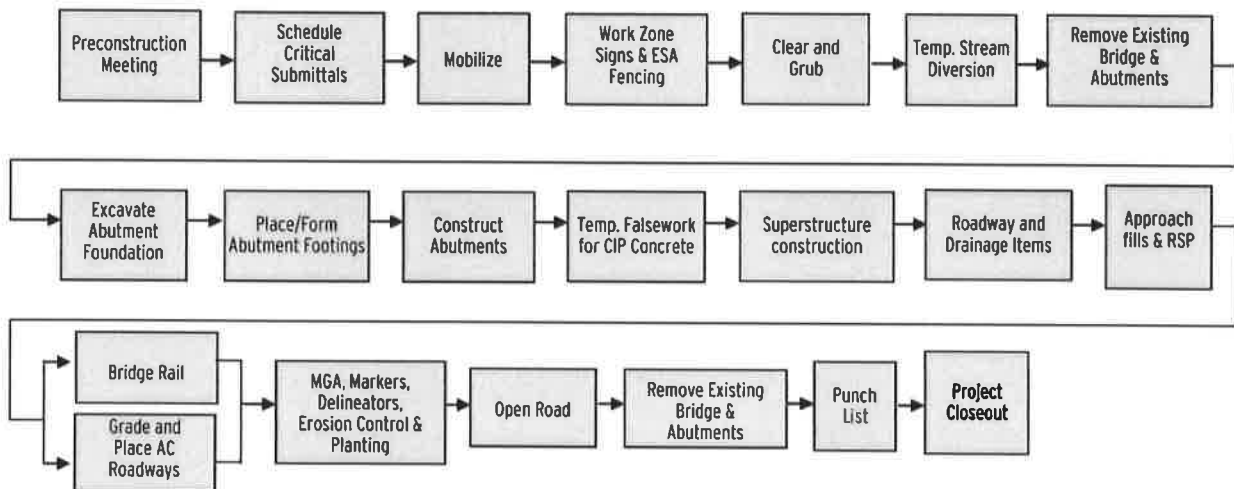
Master Agreement for On-Call Construction Management (CM) Services for HBP-Funded Bridge Projects, Lake County, CA

### Methodology (Detailed Work Scope)

The flow chart below depicts the process that is generally followed for the construction duration of a bridge replacement project and represents MGE's understanding of the process followed by a contractor. A County-approved Project Work Plan would establish the progress milestones and frequency of needed inspections and materials sampling/testing. The timing would be dependent on the construction contractor's progress on the project.

The County-approved Project Work Plan would establish the progress milestones and frequency of needed inspections and materials sampling/testing. The timing would be dependent on the construction contractor's progress on the project.

MGE's objective is to complete the project within the working days defined in the project schedule. It is always our goal to complete a project within or below the allotted budget, with few or no change orders, and no claims. The intended result will be a project that is built by a team of intermingled professionals; transforming the deficient deteriorated bridge into a structurally sound viable crossing that will allow safe passage for travelers.



Expected project tasks with corresponding Work Breakdown Structure (WBS) codes are included below. Please note, WBS codes are based on *Workplan Standards Guide for the Delivery of Capital Projects*, (Release 11.1, October 2015). Any task not included in the tasks below, but deemed necessary by MGE and the County shall be included as "contingent task" and authorized at the discretion of the County by "Notice to Proceed" specific to the task.

#### Task 1 General Services (WBS 270, 275, 280, 285, 290, and 295)

##### Management and Quality Control

MGE will provide the County PM with construction project management and coordination services including:

- Acting as the point of contact between the County Department of Public Works Director or County designated Project Manager (County PM), the Contractor, and MGE.
- Communication with the County PM on a daily basis or as otherwise agreed and with MGE Staff.
- Development, maintenance and implementation of a detailed work plan that includes goals & objectives, roles & responsibilities, communication plan, project controls, schedule & budget, QC Plan, & on-site Illness and Injury Prevention Plan.
- Development of monthly invoices to be submitted to the County. Invoices will provide a summary of MGE's work activities and copies of MGE subconsultant invoices. The County project number and applicable consultant agreement numbers will be included on invoices. MGE staff and subconsultants' schedule and budget status will be provided with invoices.

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- Tracking of work performed and recorded in accordance with defined tasks.

MGE staff will attend the kick-off meeting with the County PM to discuss design features, to meet key staff and review related contract administration procedures. (WBS Code 270.22)

MGE construction management and inspection staff will review pre-construction conditions to ensure the site is ready for the work to begin. Labeled pre-construction photos of areas on and adjacent to the site will be included on file. An MGE staff member, qualified as a QSD/P will monitor the Contractor's operations to assure conformance with the County's signed SWPPP. (WBS Code 280.50)

On-site contract administration and record keeping system in conformance with Caltrans Construction Manual with applicable County preferences will be prepared by MGE staff. (WBS Code 270.22)

Periodic meetings will be scheduled and controlled by the Resident Engineer. Agendas and exhibits will be provided by MGE as necessary. MGE will prepare minutes of the meetings and distribute them to all attendees within two working days from the date of each meeting. The County will be provided with copies of all meeting minutes and MGE will retain file copies. Weekly meetings shall be held at the site. The pre-construction and construction close-out meetings shall be held at the County offices in Lakeport, CA. Bi-weekly tailgate safety meetings will be held for MGE staff and documented in the project records to satisfy Cal-OSHA requirements.

### Resources

MGE will supply its staff with all of the resources necessary to provide the construction engineering services for the project, including office space, supplies, and tools to facilitate a successful project.

### Schedule

MGE will schedule work to meet the CPM schedule and monthly updates submitted by the contractor.

### Task 2 Resident Engineer/Structure Representative (RE/SR)

Mahmoud Mahmoudzadeh will serve as both Resident Engineer and Structure Representative during project construction and will be the County's representative on the construction site. Mr. Mahmoudzadeh meets the qualification criteria expected by the County. Mr. Mahmoudzadeh will be the County's representative on the construction site.

### Ensuring Contractor's Employment Compliance with Contract (WBS 270.56)

DCM will ensure that the construction contractor complies with the construction contract, including the County Construction Services Agreement, Special Provisions, Project Plans, Amendments to the Standard Specifications, Standard Specifications, Revised Standard Plans, Standard Plans, supplemental project information, and applicable laws and regulations, and will conduct required labor compliance interviews in the field.

The RE/SR will ensure that the construction contractor complies with the construction contract through review of contractor submittals, supervision of inspector's work, issuance of directives, coordination of sampling and testing of materials on the job site, and rejection of substandard work

### Assisting with Environmental Compliance (WBS 280.50)

As RE/SR, Mr. Mahmoudzadeh will assist the County by ensuring that mitigation measures and permit conditions outlined in the environmental mitigation and monitoring program (MMP) are followed. MGE will report any non-compliance to the County.

Biological resources are expected to be mitigated and handled per the environmental document and any regulatory permits for this project. The RE/SR will monitor the Contractor and their biologist for conformance to the contract, and take corrective actions as necessary.

### Hazardous Materials

Hazardous materials will be handled based on contract documents, and potential cautions stated in the Foundation Report.

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### Progress Payments to the Contractor (WBS 295.05)

The Resident Engineer will assist the County in making timely and accurate payments to the Contractor by preparing monthly pay estimates detailing the Contractor's progress on work items and applying construction contract specifications to determine payment.

### Construction Change Orders (CCO) (WBS Code 285.05)

MGE's Resident Engineer will authorize Construction Change Orders after approval from the County Public Works Department. MGE will prepare CCO's related to construction issues based on contract drawings, specifications, and other design information received from the Project Designer. A draft with justification memorandum will be prepared preceding authorization to allow 30 days for County approval.

Independent Daily Reports specifically tracking labor hours, equipment hours and material quantities worked/used on site will be provided by MGE for comparison with any Extra Work Reports developed by the Contractor.

### Communication

The Resident Engineer will contact County-designated personnel for the following:

- Providing regular updates
- Planning meetings
- Discussing actions recommended by the Resident Engineer, such as suspension of work
- Reporting any non-compliance of the contractor or a subcontractor
- Reporting any non-compliance of an archaeological monitor
- Reporting any concerns, comments, or complaints received from members of the public, contractor, contractor's or subcontractor's employees, or outside agencies
- Reporting that the contractor has expressed intent to file a potential claim

### Documentation and Record-Keeping (WBS 270.22 and 275.10)

Construction Administration will be performed in accordance with the Caltrans Construction Manual and including use of Caltrans Construction Forms, or equivalent. Services include the following:

1. The Resident Engineer will maintain a hard copy of the contract documents in a field office.
2. MGE will also set up a Cloud database for storage of electronic copies of the records. County personnel will be provided access.
3. Resident Engineer's Binders will use the 63 category filing system developed by Caltrans, with applicable County preferences to the categories.
4. The Resident Engineer will print and file a copy of each electronic correspondence pertaining to the Project.
5. The Resident Engineer will photograph the work and Project site as needed to document conformance or non-conformance with the construction contract, and provide a photographic record of the project.

### Submittals (WBS Code 270.22)

MGE Staff will receive, stamp, log, and distribute submittals as appropriate and in a timely manner. The following submittals from the Contractor are anticipated (but not limited to):

Construction Schedule  
Cal/OSHA Safety Plan  
Signs

Certified Payrolls  
Hot Mix Asphalt Concrete Mix Designs  
Aggregate Base Gradations  
Concrete Mix Designs  
QSP Records

TTC Plan per MUTCD  
Bridge Removal Work Plan  
Traffic Control Plan & Contingency Plan  
Materials to be Used  
Striping and Lane Markers  
Certificates of Compliance  
Baseline & Update Schedules  
SWPPP

Mitigation Monitoring & Reporting Program  
Welding Quality Control Plan  
Lead Compliance & Work Plan  
Asbestos Removal Plan  
Pile Installation Plan  
Pile Installation Plan  
Pre-Stress Shop Plan

### Requests for Information (RFI) (WBS Codes 270.22)

RFI's received by MGE will immediately be reviewed and responded to proactively. Solution oriented recommendations will be provided. MGE will maintain and log progress of RFI's received.

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### Resolve Contract Claims (WBS Code 290)

MGE is responsible for initiating, producing and distributing contract change orders to the Contractor. There is typically a potential for one or more claims to be initiated by the Contractor. MGE will also coordinate activities related to potential and actual claims with intent to expedite resolution of issues that emerge.

MGE Staff will review and analyze notices of potential claims (NOPC) and perform claims administration including coordinating and monitoring claims response preparation, logging claims, tracking claims status, analyzing additional compensation claims and making recommendations to the County PM. (WBS Code 290.05)

MGE will track, on separate Daily Reports, construction operations associated with NOPC's submitted by the Contractor with respect to time, equipment, material and labor costs. (WBS Code 290.10)

### As-Built Plans (Red-line Mark-ups) (WBS 295.15)

The Resident Engineer shall prepare weekly red-line mark-ups for generation of as-built drawings by the consultant providing construction support for the County.

### Project Close-Out (WBS Codes 270 and 295)

The RE/SR will assist the County in closing out the Project by developing a "punch list" near Project end. MGE will perform an initial and a final walk-through inspection to be accompanied by the County PM, other appropriate County staff and the Contractor, for preparation of a punch list of incomplete or unsatisfactory items to be submitted to the Contractor. The County PM will be advised of satisfactory completion of the construction work, allowing the County PM to officially provide the Contractor with Relief of Maintenance. (WBS Code 270.33)

MGE Staff will develop and provide the County PM and the Contractor with a Final Report of Expenditures. The Contractor is to agree with the quantities or provide alternative amounts and documentation to confirm differences. (WBS Codes 295.05, 295.10, 295.25, 295.30)

The following project closeout items will be submitted to the County:

1. All records, maps and plans, approved shop drawings, submittals and manufacturers literature maintained by MGE Staff during construction. (WBS Code 295.20)
2. A CD containing electronic files of project progress photographs taken before and during construction. (WBS Code 295.20)
3. The original set of all inspection reports, summaries, testing document(s), meeting minutes, clarifications, schedules, correspondence and other documents related to the construction work as it was being performed. (WBS Code 295.20)

### Task 3 Structure Representative (WBS Codes 275.10, 275.20, 275.30, 275.40)

MGE will combine duties of the Structure Representative and Resident Engineer as shown above in Task 2. MGE's proposed resident engineer (Mahmoud Mahmoudzadeh) is licensed in the State of California and has more than 35 years' experience in construction of CIP reinforced concrete slab, as well as other types of bridges.

In the role of Structure Representative, Mr. Mahmoudzadeh will inspect, document, and field test or interpret field tests for all structures work on the project. Mr. Mahmoudzadeh has extensive experience in using the Caltrans *Bridge Construction Records and Procedures* manual, and other literature referenced in the Caltrans *Construction Manual* or *Bridge Construction Records and Procedures* manual.

### Task 4 Assistant Resident Engineer/Construction Inspector (WBS Codes 270.33, 275.40, 280.50, 295.15)

MGE's assigned Assistant RE/Inspector will perform the following duties:

- a. MGE's construction inspector will perform on-the-job inspection of road, structure, and traffic barrier work to ensure compliance with the contract plans, contract specifications and other requirements specified by the permitting agencies (including those related to environmental permits). MGE's Project Manager/Resident Engineer will periodically visit the site as to assure conformance with project intents. (WBS Code 270.33)
- b. MGE's construction inspector will prepare clear Daily Reports (similar to State Assistant RE form CEM4601). The reports will define individual labor hours, equipment arrival, departure, hours of use and idle as well as quantity of materials received/applied for each contract activity. The report will also include description of



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conversations with the Contractor's on-site representative to keep MGE's Project Manager/Resident Engineer in touch with those events. (WBS Code 270.33)

- c. MGE Staff will become familiar with Contractor's Safety Plan prior to monitoring on site the Contractor's operations for personal safety and to assure the Contractor's operations are being conducted in a safe manner in accordance with CAL/OSHA requirements, and the contract documents. The Contractor is responsible for implementing and maintaining its own safety program. (WBS Code 270.33, 275.40)
- d. The Contractor's implementation of the SWPPP will be documents by the construction inspector. MGE staff member that is certified as a QSD/QSP will assure that the Contractor's performance and implementation is in conformance with specified SWPPP. (WBS Code 280.50)
- e. Coordinate sampling and testing and special inspections of materials and workmanship
- f. Provide the RE/SR with daily updates regarding progress and issues
- g. Notify the Contractor and RE/SR of any non-compliant work
- h. MGE's construction inspector will independently mark up and maintain a field set of drawings for County records. (WBS Code 295.15)
- i. MGE staff and the County PM will conduct final inspection and preparation of punch lists. (WBS Code 270.33)

### Task 5 Quality Assurance Program (WBS Code 270.44)

#### Quality Assurance Sampling and Testing

SHN will perform all quality assurance sampling and testing in accordance with the Caltrans and County-adopted Project Quality Assurance Programs. SHN's California-registered professional engineer managing the testing laboratory will certify the results of all tests performed by laboratory personnel under his/her supervision. SHN will prepare Quality Assurance Reports itemizing the test results.

#### Resources

SHN will provide all the resources necessary to facilitate material sampling and testing in accordance with the Project Quality Assurance Program.

### Services To Be Provided By The County

MGE assumes that the County will:

- Provide copies of construction contract documents and survey controls;
- Review Construction Change Orders prior to authorization;
- Review notifications or letters prepared by the Resident Engineer prior to transmittal;
- Process authorized Construction Change Orders, if estimated contract cost increase, for approval by the Board of Supervisors;
- Make payments to the contractor based on the pay estimates prepared by the Resident Engineer;
- Discuss with the Resident Engineer, recommendations made by the Resident Engineer;
- Forward RFIs to the design engineer, and coordinate subsequent discussions amongst the project team, if necessary;
- Communicate with State and Federal agencies; and
- Communicate with and provide information to the public.

### How the Scope will be Managed

The matrix below provides a listing of roles and responsibilities regarding the provision of the Services necessary for the successful, timely construction of a project.

Role	Responsibilities
MGE Project Manager	• Facilitate communications with Project Team Members, Design Consultant, County, and other affected stakeholders
Office Engineer	• Ensure compliance with engineering standards, codes, specifications, and design • Trouble-shoot engineering related installation problems

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Role	Responsibilities
RE/Structure Representative	<ul style="list-style-type: none"> <li>• Maintain Construction record file system</li> <li>• Conduct regular coordination and safety meetings,</li> <li>• Verifying quantities/payroll/personnel/construction records</li> <li>• Coordination with the County's materials lab to schedule required materials testing</li> <li>• Calculate pay quantities,</li> <li>• Prepare source documents</li> <li>• Document as-built information on Project plans and SWPPP</li> <li>• Prepare final required documents for Project closeout with FHWA and Caltrans</li> <li>• Issue weekly work schedules</li> <li>• Prepare weekly field reports and weekly statement of working days</li> <li>• Ensure regulatory compliance</li> <li>• Review submittals, respond to RFI's resolve construction issues, coordinate utility issues</li> <li>• Post Construction Meeting</li> </ul>
Inspector	<ul style="list-style-type: none"> <li>• Oversee daily construction activity</li> <li>• Prepare daily construction inspection reports to document progress</li> <li>• Monitor implementation of affirmative action programs</li> <li>• Verify field quantities</li> <li>• Prepare pay quantities</li> <li>• Inspect Bridge Painting Operations if required (special inspector)</li> </ul>
Labor Compliance Specialist	<ul style="list-style-type: none"> <li>• Review contracts, general conditions, and bid advertisement language for compliance with prevailing wage requirements.</li> <li>• Conduct prevailing wage training at pre-construction meetings in person, or via webinar.</li> <li>• Oversight of prevailing wage, certified payroll, apprenticeship and compliance matters.</li> <li>• Verify contractor's license and worker's compensation coverage.</li> <li>• Monthly audits of certified payroll.</li> <li>• Reviews of daily job site reports.</li> <li>• Audits of job sites, including random interviews of workers.</li> <li>• Monthly reporting to necessary public entities, contractors, and applicable subcontractors</li> <li>• Evaluation of potential violations and consultation on recommended actions.</li> <li>• Verify restitution is paid and amended certified payrolls submitted.</li> <li>• Summary reports at the conclusion of each project.</li> </ul>
Surveyor	<ul style="list-style-type: none"> <li>• Provide survey verification services of County-provided survey controls (Contractor will be responsible for construction staking)</li> </ul>
Materials Tester	<ul style="list-style-type: none"> <li>• Provide sampling and materials testing services in accordance with contract documents and the County Quality Assurance Program</li> </ul>



**EXHIBIT 10-A**  
**A&E CONSULTANT FINANCIAL DOCUMENT REVIEW REQUEST**

**Caltrans Division of Local Assistance**

**(Completed by Local Agencies, One per Contract)**

**(For New Proposed A&E Consultant Local Agency Contracts of \$150,000 or Greater)**

**(For Amendments, use only when there are additional subconsultants or changes in ICR)**

**EMAIL TO:**

California State Department of Transportation  
Independent Office of Audits and Investigations  
[conformance.review@dot.ca.gov](mailto:conformance.review@dot.ca.gov)

Date: 6-15-2020

Federal/State Project No.: VARIOUS

Attention: Audit Manager, External Contracts-Local Agencies

Please check one: ☒ New Contract ☐ Amendment ☐ Other \_\_\_\_\_

A&E Contract No.: \_\_\_\_\_

Total Contract or Amended amount of \$ 2,500,000.00

Prime Consultant Full Legal Name: MGE Engineering, Inc.

The Project Description is: On-Call Construction Management Services for HBP-Funded Bridge Projects  
Lake County, CA

Complete below for Prime and all Sub-consultants on this contract.

Consultant's Name	Participation Amount	Category 1, 2, 3, 4, 5	Caltrans ICR Acceptance ID # (if available)
MGE Engineering, Inc.		2	D2019-0486
SHN Consulting Engineers & Geologists		2	D2019-0444
DCM Group		2	L2020-1030

Note: Add pages if necessary.

**I verify we received financial documents from the prime and sub-consultants based on the requirements specified in the Exhibit 10-A Checklist.**

Name Steve Phillips

Signature



Title Construction Project Manager

Name of Local Agency and Department: LAKE County Department of Public Works

Address: 255 N. Forbes STREET, LAKEPORT, CA 95453

Phone No.: (707) 263-2341

**CALTRANS A&I FINANCIAL DOCUMENT REVIEW REQUIREMENTS  
FOR ARCHITECTURAL AND ENGINEERING (A&E) CONSULTANTS  
ON LOCAL GOVERNMENT AGENCY CONTRACTS**

Requirements for total contract amount equal to or greater than \$150,000.

Local Government Agency must provide the following:

- 1) A&E Consultant Financial Document Review Request Letter (Exhibit 10-A) (a)
- 2) Local Agency and Prime Consultant's Points of Contact

Prime and all sub-consultants must provide the following documents based on their applicable category.

**APPLICABLE ONLY IF NOT  
CATEGORY 1, 2, or 3**

Type of Financial Documents and Information for ICR FYE proposed *	CATEGORY 1:	CATEGORY 2:	CATEGORY 3:	CATEGORY 4:	CATEGORY 5:
	Firms with Cognizant Approval Letter for ICR FYE Proposed	Firms with Caltrans Acceptance ID Number for ICR FYE Proposed **	Firms Requesting Safe Harbor Rate (SHR)	Consultant Participation Amount Less than \$150K	Consultant Participation Amount Equal to or Greater than \$150K
Cost Proposals (Examples at Exhibit 10-H1 through 10-H4)	✓	✓	✓	✓	✓
Consultant Annual Certification of Indirect Costs and Financial Management System (Exhibit 10-K)	✓			✓	✓
Indirect Cost Rate (ICR) Schedule with FAR References for Disallowed Costs (h) <b>Note: Prime Consultant must have a CPA Audited ICR Schedule for contracts equal to or greater than \$1M.</b>	✓			✓	✓
Cognizant Approval Letter for the ICR FYE proposed	✓				
Caltrans' ICR Acceptance ID #s for ICR FYE proposed **		✓			
AASHTO Internal Control Questionnaire (ICQ) Appendix B (c)					✓
Post Closing Trial Balance (d)					✓
Prevailing Wage (PW) Policy for PW work (e)	✓	✓	✓ ***	✓	✓
<b>Safe Harbor Rate Documents:</b>					
Consultant Certification of Eligibility of Contract Costs and Financial Management System (Attachment 1R)			✓		
<b>When applicable, additional documents may be requested:</b>					
Prior Year ICR Schedule					
Supplemental Reconciliation Schedule (to tie the proposed ICR Schedule to the Trial Balance) (d)					
Chart of Accounts					
Income Statement (d)					
Uncompensated Overtime Adjustments (f)					
Vacation/Sick Policy					
Bonus Policy					
Executive Compensation Analysis (ECA) (d)					
Related Party Rent Analysis (d)					
Vehicle, Equipment, and Other Direct Costs Schedules (d)					

\* *ICR FYE = Indirect Cost Rate Fiscal Year End. Items on this checklist may not be all inclusive. A&I reserves the right to request additional documents as deemed necessary.*

\*\* *Caltrans ICR Acceptance ID # is an identification number issued by Caltrans upon review and acceptance of consultant's indirect cost rate(s) schedule for a specific fiscal year. This ID # can be referenced for use on future contracts using the same FYE ICR.*

\*\*\* *Firms using SHR can be reimbursed for the prevailing wage deltas either as an Other Direct Cost or as an Overhead/Indirect Cost - refer to A&I's PW Interpretive Guidance on <http://ig.dot.ca.gov/resources/gentrainmod.html>*

(a) *Local Agencies are required to complete Exhibit 10-A and include all applicable required documents upon submission.*

(b) *See Table 8-1 of the AASHTO Audit Guide for a listing of common unallowable costs.*

*For financial document packages received between January 1, 2019 to June 30, 2019, the 2017 FYE ICR could be submitted if the FYE 2018 ICR is not available. For financial document packages received between July 1, 2019 to December 31, 2019, the 2018 ICR must be submitted.*

(c) *Go to AASHTO website @ [audit.transportation.org](http://audit.transportation.org), for Appendix B-Internal Control Questionnaire*

(d) *Accounts and balances must match costs proposed on the ICR schedule.*

(e) *Consultants performing Prevailing Wage (PW) work are required to provide written PW Policy. The policy must specify their accounting method for treatment of delta base and delta fringe. Refer to A&I's PW Interpretive Guidance on <http://ig.dot.ca.gov/resources/gentrainmod.html>*