



# Request for Qualifications

## for On-Call Project Management Oversight and General Engineering Consultant Services

Date Issued	Statement of Qualifications Due	Expected Duration	Budget	Contact
November 1, 2016	November 30, 2016 at 2 p.m.	Three years with two one-year options	\$8,000,000	Steve Stamos Clerk of the Authority 415.522.4817 <a href="mailto:steve.stamos@sfcta.org">steve.stamos@sfcta.org</a>

### SECTION I – NOTICE

Notice is hereby given that the San Francisco County Transportation Authority (Transportation Authority) is requesting Statements of Qualifications (SOQs) from qualified respondents to provide on-call project management oversight and general engineering consultant services.

**Pre-Proposal Conference.** Although attendance at the pre-proposal conference is not mandatory, the Transportation Authority strongly urges prospective respondents and sub-consultants to attend this conference. The pre-proposal conference will be held at the Transportation Authority's offices, 1455 Market Street, 22nd Floor, Hearing Room. See the schedule in Section II for the conference date and time. In order to aid the lobby check-in process, attendees are encouraged to confirm attendance by completing the online registration form at [goo.gl/forms/UVhR4yPtAA](http://goo.gl/forms/UVhR4yPtAA) by 5:00 p.m. the day before the conference.

**Questions.** Questions may be submitted in writing on or before deadline, by e-mail ([info@sfcta.org](mailto:info@sfcta.org)), fax (415.522.4829), or mail to the Transportation Authority; please include "RFQ 16/17-03" in the subject line. The Transportation Authority's responses will be posted to [www.sfcta.org/contracting](http://www.sfcta.org/contracting) by the date indicated in the schedule, and any addenda to the RFQ will also be made available on that webpage prior to the SOQ due date. Please see Section II for all important dates and deadlines.

### SECTION II – SELECTION PROCESS SCHEDULE

Date	Phase/Item Due
November 1, 2016	Release of RFQ
November 8, 2016 5:00 p.m.	Pre-proposal conference attendees requested to submit registration: <a href="http://goo.gl/forms/UVhR4yPtAA">goo.gl/forms/UVhR4yPtAA</a>
November 9, 2016 10:00 a.m.	Pre-proposal conference held at the Transportation Authority's offices
November 10, 2016 5:00 p.m.	Respondents to submit written questions to Transportation Authority

November 15, 2016*	Transportation Authority issues written responses to questions
<b>November 30, 2016 2:00 p.m.</b>	Responses to RFQ and sealed cost proposals due. Late submissions will not be accepted and will be returned unopened.
December 9, 2016*	Invitation(s) to interview issued to short list of respondents* (if necessary)
December 14-16, 2016*	Interviews* (scheduled if necessary)
January 10, 2017*	Recommendation to Finance Committee for award
January 24, 2017*	Transportation Authority Board awards contracts

*\*Subject to change*

### SECTION III - BACKGROUND

The Transportation Authority was created in 1989 by the voters of the City and County of San Francisco (City) to impose a voter-approved transaction and use tax (i.e., sales tax) of one-half of one percent to fund essential traffic and transportation projects as set forth in the San Francisco County Transportation Expenditure Plan (Prop B Expenditure Plan) for a period not to exceed twenty years. Beginning in April of 1990, the State of California Board of Equalization started collecting the sales tax revenues for the Transportation Authority. In November 2003, San Francisco voters approved a new 30-year Expenditure Plan (Prop K Expenditure Plan) that superseded Prop B, and continued the one-half of one percent sales tax.

The Transportation Authority Board consists of the eleven members of the Board of Supervisors (BOS) of the City, who act as Transportation Authority Commissioners; nonetheless, pursuant to California Public Utilities Code Section 131000 et seq., the Transportation Authority operates as a special purpose governmental entity, independent of the City.

The Transportation Authority is designated under State law as the Congestion Management Agency (CMA) for San Francisco County. In this capacity, the Transportation Authority has a wide range of responsibilities which includes preparing the long-range Countywide Transportation Plan (also known as the San Francisco Transportation Plan, or SFTP), prioritizing state and federal transportation funds designated for San Francisco, developing and operating a computerized travel demand forecasting model, and implementing the state-mandated Congestion Management Program (CMP). The Transportation Authority is also the designated San Francisco Program Manager for the Transportation Fund for Clean Air Program, a state-mandated program that collects an annual vehicle registration surcharge and allocates the funds to transportation projects that improve air quality.

On November 2, 2010, San Francisco voters approved Proposition AA, establishing a \$10 vehicle registration fee on motor vehicles registered in the City and designated the Transportation Authority as administrator of the fee. Revenues are used for local road repairs, pedestrian safety improvements, and transit reliability improvements throughout the City in accordance with the voter-approved Expenditure Plan.

On April 1, 2014, the BOS adopted a resolution designating the Transportation Authority as the Treasure Island Mobility Management Agency (TIMMA) to implement elements of the Treasure Island Transportation Implementation Plan (TITIP) in support of the Treasure Island/Yerba Buena Island Development Project. The TITIP calls for, and TIMMA will be responsible for implementing, the Treasure Island Mobility Management Program: a comprehensive and integrated program to manage travel demand on Treasure Island

as the development project occurs, including an integrated congestion pricing program with vehicle tolling, parking pricing, ferry and transit pass components. Assembly Bill 141 (Ammiano), signed in 2014, established TIMMA as a separate entity, providing a firewall between TIMMA and the Transportation Authority's other functions.

### **On-Call Project Management Oversight and General Engineering Background and Purpose**

In all five of its core roles—sales tax administrator, CMA, Program Manager for TFCA, Prop AA administrator, and TIMMA—the Transportation Authority has responsibility for project delivery support and oversight of a wide range of projects covering all modes of surface transportation, such as the Transbay Transit Center and downtown rail extension projects, Caltrain Modernization projects, and many transit, bike, pedestrian and streetscape projects led by the San Francisco Municipal Transportation Agency (SFMTA) and others. In addition, the Transportation Authority has implementation responsibilities for several major capital projects, such as design and construction of the Yerba Buena Island Interchange Improvement project, I-280/Interchange Modifications at Balboa Park, Vision Zero Ramp Intersections, and planning and project development of freeway corridor management studies.

On-call project management oversight services are intended to augment and complement the Transportation Authority's internal resources by providing specialized expertise, serving as an on-call supplement to staff particularly for oversight and delivery support for major capital projects, handling tasks during peak workloads, and taking on tasks requiring quicker response times than existing staff resources alone would permit.

The Transportation Authority is the lead agency for the following major capital projects and project phases, and therefore acts in a project management capacity for these projects and project phases:

*I-80/Yerba Buena Island Interchange Improvement Projects* – In its role as CMA, the Transportation Authority works with the Treasure Island Development Authority (TIDA) and Caltrans on the development and implementation of the I-80/Yerba Buena Island Interchange Improvement Projects. The construction phase of the East-Side Ramps project will be completed in late 2016, and the Transportation Authority expects to move forward with detailed design and construction of the West Side Bridges Retrofit project in early 2017.

*I-280/Interchange Modifications at Balboa Park* – Following on the recommendations of the 2014 Balboa Park Circulation Study, the Transportation Authority is pursuing Caltrans project approval and environmental clearance to realign the southbound I-280/Ocean Avenue off-ramp to improve multimodal safety. The effort also includes further planning of other elements from the 2014 Study, including potential closure of a redundant northbound on-ramp and reuse of the space. The Transportation Authority will likely lead design and construction of these projects.

*Freeway Corridor Management Study and Project Development* – In its role as CMA, and with close coordination with Caltrans, neighboring counties, and regional bodies like the Bay Area Infrastructure Financing Authority, the Transportation Authority is evaluating strategies including freeway lane management, operations technologies, and transportation demand measures to improve performance and manage growth of freeway traffic on I-280 and US-101. The effort will make recommendations for implementation in the next five to ten years, which may be led by the Transportation Authority, including obtaining Caltrans cooperation and approvals.

*TIMMA Infrastructure Projects* – In its role as TIMMA, the Transportation Authority has been preparing policy and governance recommendations for comprehensive mobility management, including congestion pricing, water transportation, and transit improvements. The Transportation Authority will have primary responsibility for building and operating congestion pricing infrastructure and procuring

ferry service operators, as well as cooperating responsibility with associated transit, street, bicycle, and walking improvement projects.

*Vision Zero Ramps Study and Project Development* – The Transportation Authority, in partnership with the SFMTA, is developing recommendations to improve safety at fifteen locations where highway ramps intersect city streets within the South of Market neighborhood. Recommendations will propose short-term improvements to signal timing, striping, and signage, and identify larger projects for further development.

As a major funding partner (including sales tax and other Transportation Authority-programmed funds), the Transportation Authority provides project delivery support and oversight for the projects below, all of which are major capital projects in the Prop K Expenditure Plan, with the exception of the California High-Speed Rail Project, which we track and support given strong interrelationships with projects such as the Transbay Transit Center and Caltrain Electrification projects:

*Central Subway* – The Transportation Authority is a funding partner and has oversight responsibility for SFMTA’s \$1.6 billion Central Subway project, the second phase of the Third Street Light Rail line, which opened in 2007. The Central Subway will extend this line northward from its current terminus along 4<sup>th</sup> Street to a surface station, a subway portal under US 101, and north to stations at Moscone Center, Union Square, and Chinatown.

*Caltrain Electrification and Modernization* – The Transportation Authority is a funding partner and has oversight responsibility for Caltrain’s \$2 billion Modernization Program, which includes electrification of its existing corridor, installation of a modern positive train control system, and replacement of diesel trains with electric multiple unit vehicles. Through oversight of this and associated Transbay Transit Center and High Speed Rail programs, the Transportation Authority provides additional coordination of these related efforts.

*SFMTA modernization projects* – The Transportation Authority is a funding partner and has oversight responsibility for numerous SFMTA projects, including light rail vehicle and bus replacement programs; new and upgraded storage and maintenance facilities like Phase 2 of the Islais Creek bus facility, Phase 2 of the multi-modal Muni Metro East maintenance facility, and the Burke Avenue central warehouse and overhead contact system maintenance of way facilities; and control and communications upgrades like the Radio System Replacement project and new Central Control and Communications Center commissioning.

*Transbay Transit Center and Caltrain Downtown Extension* – The Transportation Authority is a funding partner and has oversight responsibility for constructing the new Transbay Transit Center (TTC), and the 1.3-mile downtown extension of Caltrain (DTX) from its current terminus into the new TTC; all in support of creating a new transit-friendly neighborhood with 3,000 new homes and mixed commercial development. As the TTC nears completion and the DTX project begins to ramp up, the Transportation Authority will continue to provide project delivery and project finance support to the lead implementing agency, the Transbay Joint Powers Authority. Through oversight of this and associated Caltrain Modernization and High Speed Rail programs, the Transportation Authority provides additional coordination of these related efforts.

*California High Speed Rail* – The Transportation Authority supports this important project by coordinating with city agencies and monitoring the California High-Speed Rail Authority planning and project development for issues of concern to San Francisco. Through oversight of associated Transbay Transit Center and Caltrain Modernization programs, the Transportation Authority provides additional coordination of these related efforts with High Speed Rail.

*Geary Corridor Bus Rapid Transit* – The Transportation Authority, in cooperation with SFMTA and other agencies, will complete the environmental clearance phase of this \$300 million project in 2016. The Transportation Authority will remain a primary funding partner with oversight and environmental compliance responsibilities as the multi-phase implementation is led by SFMTA.

*Van Ness Avenue Bus Rapid Transit* – The Transportation Authority is a funding partner and has oversight responsibility for the \$190 million, 2-mile Van Ness Bus Rapid Transit Project, which is now bundled with separate utility and state-of-good-repair work into a broader Van Ness Improvement Project under SFMTA. The Transportation Authority led project development and environmental clearance through 2013, and continues to support implementation through coordination with Caltrans, other funding partners, and environmental compliance monitoring.

In addition to its involvement with the major capital projects described above, the Transportation Authority oversees all of the other projects and programs in the Prop K and Prop AA Expenditure Plans; provides oversight and support for the TFCA projects programmed by the Transportation Authority; and in its capacity as CMA, assists project sponsors in meeting timely use of funds deadlines and delivering projects funded with federal, state or regional funds.

Consultants shall provide the Transportation Authority with services on an on-call, task order basis to complement and augment the Transportation Authority's project delivery support and oversight capabilities. Consultants shall be able to demonstrate an understanding of the multiple roles that the Transportation Authority plays, recognize the complexity of the inter-agency relationships and political sensitivity of many of our projects, and develop reports and provide technical advice accordingly.

Consultants shall be prepared to address many aspects of project development, engineering, and delivery covering a broad and diverse range of multimodal projects including, but not limited to tunnels, rail lines and transit stations; bus rapid transit; transit fleet rehabilitation and maintenance projects; transit facilities rehabilitation; roadways, structures and bridges; bicycle and pedestrian improvements; traffic calming; traffic signals and intelligent transportation systems; and various planning studies.

#### **SECTION IV – SCOPE OF SERVICES**

The Transportation Authority seeks consultant services to support various projects described above, and others that may arise. Anticipated tasks and desired areas of expertise are listed below. It is the intent of the Transportation Authority to pre-qualify multiple consultant firms and/or teams of firms (hereafter "Respondents") in the major tasks described below that will collectively provide the best overall service packages to the Transportation Authority, inclusive of fee considerations, on an as-needed basis for transportation projects through the issuance of task orders.

Following Board authorization to award a contract(s), the Transportation Authority will contract with the selected Respondents for a term of up to three years, with an option to extend, which may be exercised at the discretion of the Transportation Authority, for two additional one-year periods (up to a total of five years). The Transportation Authority has budgeted \$8,000,000 for these contracts for the first three-year term, with the value of subsequent one-year extensions to be determined by future Transportation Authority budgets. Please note this is a ceiling and not a target.

The Transportation Authority seeks consultant services with expertise in the areas below. Respondents must declare which capabilities they are qualified to support. Respondents may submit evidence of qualifications for some or all of the areas of expertise, and state those areas for which pre-qualification is sought using Exhibit D – Matrix of Areas of Expertise. Specialty consultants may respond to this request individually, and/or as part of one or more teams of firms.

## TASK 1 – Project Management Oversight and Support Services

The project management oversight (PMO) and project management support services required will include:

- Hold or attend project progress meetings, weekly or as deemed necessary, between sub-consultants, the Transportation Authority, Caltrans oversight, SFMTA, other City agencies such as San Francisco Public Works (SFPW) and the Planning Department, and other interested parties. Prepare and distribute minutes of all meetings.
- Participate in monthly and / or quarterly project status updates, roadmap calls, or relevant public hearings or meetings and prepare meeting minutes, and recommend resolution of outstanding concerns.
- Arrange for, coordinate and participate in pre-bid conferences, including preparation of meeting minutes, including a comprehensive list of Action Items, when requested.
- Prepare monthly progress reports documenting the progress of each project describing key project delivery issues as they relate to meeting the project objectives and more significantly for quality, cost and schedule status.
- Establish and process project control documents including:
  - Progress reports and minutes of project team meetings
  - Review and analysis of monthly invoices
  - Review and analysis of project submittals
  - Review and analysis of contract modifications and negotiations
  - Review of certified payrolls
- Perform review of contract documents (construction plans, special provisions, bid proposal and relevant information) for various projects and submit a report on discrepancies, inconsistencies, omissions, ambiguities, proposed changes and recommendations.
- Evaluate, negotiate, recommend, and prepare changes to the grant agreements. Perform quantity and cost analysis as required for negotiation of scope and budget changes to project grant agreements.
- Evaluate, negotiate and make recommendations related to funding and financing strategies and plans developed by project sponsors or implementing agencies.
- Perform constructability review of the construction contract documents (construction plans, special provisions, bid proposal and relevant information) for various projects and submit a constructability report on discrepancies, inconsistencies, omissions, ambiguities, proposed changes and recommendations.
- Monitor project budget, purchases and payments.
- Monitor design consultant and stakeholder review activities.
- Review Master Project (baseline) and monthly Project Construction schedules and associated updates, and evaluate actual progress, weather delays and change order impacts. Compare work progress with planned schedule and notify the Transportation Authority and Project Sponsors of project slippage. Review contractor's plan to mitigate schedule delays.
- Development and review of cooperative agreements with various agencies
- Development and review of memorandums of understanding and coordination agreements

Desired areas of expertise include:

- 1.1 Project Management Oversight
- 1.2 Project Management Support Services
- 1.3 Interagency Processes & Coordination
  - 1.3.1 Caltrans
  - 1.3.2 Federal Highway Administration (FHWA)
  - 1.3.3 Federal Transit Administration (FTA)
  - 1.3.4 Federal Railroad Administration
  - 1.3.5 City and County of San Francisco
  - 1.3.6 Other (please specify)

## **TASK 2 – Project Delivery and Project Controls Support Service**

Project Delivery and Project Controls support services required will include:

- Monitor project budget, purchases and payments; and report expenditures against project funding and percent completion.
- Prepare and maintain a detailed Critical Path Method (CPM) schedule including pre-construction, construction, and project start-up activities into revenue operation.
- Complete review, comment and approval of the project's baseline schedule of work and propose how the project may be implemented more effectively.
- Maintain project documentation per Federal and State requirements. Enforce Labor Compliance requirements when required.
- Prepare, recommend and negotiate project funding and financing strategies and plans.
- Establish and process project control documents including:
  - Progress reports and minutes of project team meetings
  - Monthly invoice reviews
  - Certifications
  - Project Submittals
  - Contract modifications and negotiations
  - Review of certified payrolls
- Review of design documents for feasibility, constructability, and construction sequencing
- Review of design documents for value engineering
- Preparation of project funding and finance strategies and plans
- Identification of opportunities for innovative project delivery methods
- Establish and implement a QA/QC procedure for the engineering efforts undertaken for specific projects by in-house staff and by sub-consultants. The QA/QC procedure set forth for the projects shall be consistent with the project funding partner's requirements as well as the Transportation Authority's requirements. QA/QC procedures are to be consistent with governing federal, state or local agency guidance as applicable including guidance promulgated by Caltrans, FHWA or FTA.

Desired areas of expertise include:

- 2.1 Project Delivery Methods
  - 2.1.1 Design-Bid-Build
  - 2.1.2 Design-Build
  - 2.1.3 Construction Manager-General Contractor or Construction Manager at Risk
  - 2.1.4 Design-Build-Finance-Operate-Maintain
- 2.2 Public Private Partnership Evaluation (e.g. Value for Money analysis)
- 2.3 Funding and Financing Strategy Development
- 2.4 Feasibility, Constructability, and Construction Sequencing
- 2.5 Risk Analysis and Management
- 2.6 Value Engineering
- 2.7 Cost Estimating
- 2.8 Cost and Schedule Controls
- 2.9 Procedures, Quality Assurance, and Project Management Plans

### **TASK 3 – General Engineering Services**

The general engineering (GE) consulting services required will include, but not limited to:

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- Prepare preliminary engineering documents for local roadway, highway and transit projects
- Review and comment on preliminary engineering documents for local roadway, highway and transit projects

Desired areas of expertise include:

- 3.1 Traffic Engineering
- 3.2 Transit Operations, Systems, and Vehicles
- 3.3 Geotechnical analysis and evaluations
- 3.4 Disciplines applied to Transportation Facilities & Infrastructure
  - 3.4.1 Civil Engineering
  - 3.4.2 Structural Engineering
  - 3.4.3 Geotechnical Engineering
  - 3.4.4 Tunnel and Underground Engineering
  - 3.4.5 Hydrology and Drainage Engineering
  - 3.4.6 Utility Engineering and Agreements
  - 3.4.7 Mechanical Engineering
  - 3.4.8 Electrical Engineering
  - 3.4.9 Materials Engineering
  - 3.4.10 Architecture
  - 3.4.11 Landscape Architecture
- 3.5 Surveying and mapping
- 3.6 Environmental Permitting, Impact Evaluation, Clearance, and Compliance
- 3.7 Real Estate and Right of Way Acquisition Services
- 3.8 Intelligent Transportation Systems and Technologies
- 3.9 Tolling Systems Integration and Commissioning
- 3.10 Ferry Service planning, engineering, operations

## General Administration

The Consultant will also perform the following general project administrative duties:

- a) Prepare a monthly summary of total consultant service charges made to each task. This summary shall present the contract budget for each task, any re-allocated budget amounts, the prior billing amount, the current billing, total billed to date, and a total percent billed to date. Also for each task, prepare an estimate of budget needed to complete the task and compare this amount to the original and modified budget, funding and percent of scope completed to track project effectiveness. Narratives will contain a brief analysis of budget-to-actual expenditure variances, highlighting any items of potential concern for Transportation Authority consideration before an item becomes a funding issue.
- b) Provide a summary table in the format determined by the Transportation Authority indicating the amount of Disadvantaged Business Enterprise (DBE), Small Business Enterprise (SBE), and Local Business Enterprise (LBE) firm participation each month based upon current billing and total billed to date. Include the actual invoiced to-date and paid to-date figures and compare them to the original budget in the contract to track performance against DBE/SBE/LBE goals.
- c) Provide a monthly invoice in the standard format determined by the Transportation Authority that will present charges by task, by staff members at agreed-upon hourly rates, with summary expense charges and sub-consultant charges. Detailed support documentation for all consultant direct expenses and sub-consultant charges will be attached.

The selected Consultant firms/teams shall demonstrate the availability of qualified personnel to perform general engineering and contract administration. All reports, calculations, measurements, test data and other documentation shall be prepared on forms specified and/or consistent with either Caltrans or FTA standards.

## Licensing Requirements

All persons in responsible charge of engineering and oversight of projects for which the California Professional Engineers Act (Building and Professions Code §§ 6700-6799) requires licensing as professional engineers in the State of California shall be so licensed. Each person in responsible charge of engineering is to be licensed in the discipline appropriate for that person's scope of responsibility and anticipated tasks. Persons in responsible charge of non-engineering disciplines that require licensing in the State of California are to be licensed appropriately.

## SECTION V – RFQ RESPONSE REQUIREMENTS: CONTENT AND FORMAT

Interested parties responding to this RFQ are expected to submit a SOQ that responds to the specific activities described in this section. The process, terms and conditions will be in strict accordance with the requirements and guidance contained herein.

All SOQs should be clear, concise, and provide sufficient information to minimize questions and assumptions. SOQs should be limited to 20 pages (no smaller than 12-point font shall be used and all page sizes greater than the letter size of 8.5" x 11" will be counted as two pages), excluding cover letter, table of contents, the cost proposal, and the following items, which should be included as attachments: résumés, DBE, SBE and/or LBE certifications, and required exhibits. The Transportation Authority accepts no financial responsibility for any costs incurred in the preparation of SOQs. Upon receipt at the Transportation Authority's offices, all accepted SOQs submitted in response to this RFQ will become the property of the Transportation Authority.

**Time and Place for Submission of SOQs.** By the SOQ submission deadline, the following must be delivered:

- **Statement of Qualifications** (written statement, without cost proposal): one (1) unbound original, four (4) hard copies, and an electronic copy (PDF) including all information herein requested. Please clearly specify on the sealed envelope: “Response to RFQ 16/17-03 for On-Call PMO and GE Consultant Services”.
- **Cost proposal** (sealed separately from written SOQ): one (1) unbound original, and an electronic copy (XLS/XLSX) including all information herein requested. Please clearly specify on this separately sealed envelope: “Cost Proposal for RFQ 16/17-03 for On-Call PMO and GE Consultant Services”, include the name of the respondent and submit along with the SOQ.

The proposals must be delivered to the Transportation Authority’s offices at the following address:

San Francisco County Transportation Authority  
Attention: Steve Stamos, Clerk of the Authority  
1455 Market Street, 22nd Floor  
San Francisco, California 94103

All responses must be in writing, sealed and identified as to content and be received by the due date. SOQs received later than the above date and time will be rejected and returned to the respondents unopened.

**Cover Letter.** Respondents must submit a letter of introduction for the SOQ. The letter must be signed by a person authorized by your firm to obligate your firm to perform the commitments described in the SOQ. Submission of the letter will constitute a representation by your firm that your firm is willing and able to perform the commitments described in the SOQ. The cover letter must also include the following content in the format as shown:

<p><b>1. Project Manager</b> (The individual in charge of the scope of services, and who will be the Transportation Authority’s contact throughout the contract duration)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>
<p><b>2. Selection Process Lead</b> (The individual to whom correspondence and other contacts should be directed during the consultant selection process)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>

<p><b>3. Negotiating Officer</b> (The individual who will negotiate with the Transportation Authority and who can contractually bind the respondent's firm)</p> <p>Name:</p> <p>Title:</p> <p>Address:</p> <p>City, State, ZIP:</p> <p>Phone Number:</p> <p>Email:</p>
<p><b>4. List proposed co-venture arrangements or sub-consultants, if any:</b></p> <p>1. Company:</p> <p>DBE, SBE and or LBE status:</p> <p>Percentage of involvement:</p> <p>Name:</p> <p>Title:</p> <p>Address:</p> <p>City, State, ZIP:</p> <p>Phone Number:</p> <p>Email:</p> <p>2. ...</p>
<p><b>5. <input checked="" type="checkbox"/> This letter is signed by an officer that is authorized to bind the respondent contractually.</b></p>
<p><b>6. <input checked="" type="checkbox"/> This SOQ is firm for a one-year period from the SOQ submission deadline.</b></p>

**Content.** SOQs must contain the following five sections:

- 1. Respondent Information and Understanding of Project Objectives.** In this section, the respondent must provide a discussion demonstrating an understanding of the services to be provided, the challenges for each task, and their significance to the Transportation Authority.
- 2. Technical and Management Approach.** In this section, the respondent must describe its approach to the delivery of the services included in Section IV. This section must (1) reflect the respondent's knowledge of, and ability to demonstrate, a sound approach to each area of expertise for which the respondent wishes to be prequalified, (2) demonstrate the respondent's knowledge of similar projects and their potential relevance to the delivery of the services of this RFQ.

Respondent must provide the names and positions of all staff for the proposed team. An organization chart should be included that clearly establishes principal team member firms and sub-consultants, if any. Also identify any specialty sub-consultants that would not necessarily be part of the core team, but would be available on an as-needed basis for specialty support. The SOQ should also designate the Project Manager in charge of the scope of services and the Transportation Authority's contact throughout the contract duration.

SOQs must discuss workload for all key team members, indicating their expected availability, the percentage of their time that could be devoted to the Transportation Authority's contract and any other assurances as to their ability to provide the requested services in a responsive and timely manner. The description of the management approach should address proposed response time standard and how the management and team structure will help to meet those standards.

**3. Capabilities and Experience.** Respondents must state the qualifications and experience of the proposed team, emphasizing the specific qualifications and experience acquired while providing services similar to those being sought by the Transportation Authority, particularly for the Project Manager and other key project staff members assigned to the Project. Except under certain circumstances beyond the respondent's control, the Transportation Authority will not accept substitutions of key members of the team put forth as part of the winning SOQ.

This section must include the following information:

- Names of Project Manager and team members;
- Resumes of all technical personnel to be assigned to work within the scope of services as outlined in Section IV (provide as attachments; resumes are limited to two (2) pages per individual and do not count toward the page limit);
- Statement of respondent's background and experience related to activities and services being sought through this RFQ;
- Brief description of similar projects for which the respondent has provided services during the past five (5) years, including the following information:
  - Client, including reference contact information
  - Project description and location
  - Description of services
  - Total value of services provided
  - Actual budget performance vs. projected
  - Actual schedule performance vs. projected
  - Key personnel involved
  - Sub-consultants employed

**4. Approach to Team Organization and DBE, SBE and LBE Inclusion.** In this section, the SOQ should briefly address how the efforts of each of the team members will be coordinated to respond to requests for proposal. Describe the process to prepare proposals, confirm availabilities, and confirm ability to meet commitments. In particular, describe the efforts the lead firm will take to meet task order-specific goals for inclusion of DBEs, SBEs and/or LBEs. Describe the lead firm's approach to developing and maintaining relationships with DBE, SBE and/or LBE sub-consultant firms. See Section VII, below, for further details on DBE, SBE and LBE requirements.

**5. Assurances and Miscellaneous Items.** In this section, SOQs must provide the following information:

- a. Respondents must complete and include the exhibits listed below within the submittal; exhibits required by sub-consultants are marked by an asterisk (\*). These exhibits do not count toward the page limit; please provide as attachments to SOQ. Exhibit samples are attached to this RFQ.
  - i. Exhibit A – Debarment and Suspension Certification\*
  - ii. Exhibit B – Terminated Contracts\*
  - iii. Exhibit C – Workforce Data Spreadsheets\*

- iv. Exhibit D – Matrix of Areas of Expertise – Fill out column headings with the names of each firm in the responding team, and confirm which areas of expertise for which each member of the team desires prequalification.
  - v. Exhibit 10-H – Sample Cost Proposal\*
  - vi. Exhibit 10-K – Consultant Certification of Contract Costs and Financial Management System \* - Respondents and sub-consultants must certify that all costs included in the cost proposal are allowable in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of Title 48, Code of Federal Regulations (CFR), Part 31 and that the cost proposal does not include any costs which are expressly unallowable under the cost principles of the FAR of 48 CFR, Part 31.
  - vii. Exhibit 10-O1 – Local Agency Consultant Proposal DBE Commitment
  - viii. Exhibit 10-Q – Disclosure of Lobbying Activities\*
- b. Respondents must provide the names, telephone numbers, and e-mail addresses of at least three references, excluding the Transportation Authority. The references should cover work performed by the Project Manager and other key project staff members, should be for work recently performed and similar in nature to the services sought in this RFQ. The references must include a brief description of the projects involved, and the roles of the respective team members in successfully completing the project.
  - c. Respondents must specify any potential or perceived conflicts of interest which would disqualify its firm from doing business with the Transportation Authority. If respondents are unaware of existing or foreseeable conflicts of interest, a simple statement will suffice. However, respondents should provide a brief description of each apparent, existing or foreseeable conflict of interest, if any. In addition, list all relevant assignments completed for the City and County of San Francisco within the last five (5) years, and any involvement with Transportation Authority-funded projects, to enable the Transportation Authority to identify any possible conflicts of interest.
  - d. Respondents must list any political contributions of money, in-kind services, or loans made to any current member of the Transportation Authority Board of Commissioners within the last three (3) years by management positions of the proposed consultant or sub-consultant. If respondents are unaware of any political contributions, a simple statement will suffice. However, if respondents are aware of any political contribution, SOQs should include details, such as to whom, what type of contribution, the date and the amount.
  - e. Respondents shall acknowledge receipt and understanding of the following Transportation Authority contracting requirements and state its ability and willingness to comply with each of them in its SOQ. The Transportation Authority does not intend to deviate from its standard contract language. For contracts with small businesses, the Transportation Authority may consider waiving or accepting lower insurance coverage, based on the scope of services required, as appropriate.

i. **Insurance**

Prior to commencement of work, the Transportation Authority will require the successful respondent to provide evidence of appropriate insurance coverage. The Transportation Authority's standard contract requires firms to maintain, during the full term of the contract term, insurance in the following amounts and coverages:

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

- (b) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations;
- (c) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable; and
- (d) Professional Liability Insurance with limits not less than \$2,000,000 per claim. Sub-consultants providing professional services under this Agreement shall be added to Contractor's policy as additional insured, or shall provide evidence of their own professional liability insurance which is acceptable to the Transportation Authority's Executive Director.

Such coverage must be provided by an insurance company authorized to do business in the State of California. Commercial General Liability and Business Automobile Liability insurance policies must name the San Francisco County Transportation Authority as an Additional Insured and that the policies will not be cancelled or materially changed without thirty (30) days prior notice in writing to the Transportation Authority. Describe if your firm's insurance coverage and amounts meet the above-stated contract limitations.

ii. **Indemnification**

- (a) **Generally.** To the fullest extent permitted by law, Contractor shall assume the defense of (with legal counsel subject to approval of the Transportation Authority), indemnify and save harmless the Transportation Authority, its boards, commissions, officers, and employees (collectively "Indemnitees"), from and against any and all claims, loss, cost, damage, injury (including, without limitation, injury to or death of an employee of the Contractor or its sub-consultants), expense and liability of every kind, nature, and description (including, without limitation, incidental and consequential damages, court costs, attorneys' fees, litigation expenses, fees of expert consultants or witnesses in litigation, and costs of investigation), that arise out of, pertain to, or relate to, directly or indirectly, in whole or in part, the negligence, recklessness, or willful misconduct of the Contractor, any sub-consultant, anyone directly or indirectly employed by them, or anyone that they control (collectively, "Liabilities").
- (b) **Limitations.** No insurance policy covering the Contractor's performance under this Agreement shall operate to limit the Contractor's Liabilities under this provision. Nor shall the amount of insurance coverage operate to limit the extent of such Liabilities.

The Contractor assumes no liability whatsoever for the sole negligence, active negligence, or willful misconduct of any Indemnitee or the contractors of any Indemnitee.

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

iii. **Incidental and Consequential Damages**

Contractor shall be responsible for incidental and consequential damages resulting in whole or in part from Contractor's acts or omissions. Nothing in this Agreement shall constitute a waiver or limitation of any rights that Transportation Authority may have under applicable law.

**6. Cost.** The cost proposal will not count toward the page limit, and must be submitted separately in a sealed envelope. Task Orders under this contract will be on a cost-reimbursement basis, which provides for payment of the successful respondent's allowable incurred costs, to the extent prescribed in the contract, plus a fixed fee. The cost proposal must be presented in the applicable format for the method of payment (see Exhibit 10-H) for the prime and all sub-consultants and must contain a breakdown of all cost components to include: unloaded labor base rate, other direct costs, indirect cost rate, escalation (not to exceed 3% annually) and net fee. Sub-consultant costs, travel and all other direct costs will be reimbursed at cost with no markup allowed. The fee (profit) for prime consultant and sub-consultants shall be negotiated and in any event shall not exceed 10% of respective labor costs comprised of the total of wages, overhead, general and administrative expenses within the cost proposal.

**SECTION VI - EVALUATION CRITERIA AND METHOD OF AWARD**

The SOQs will be evaluated by a selection committee appointed by the Executive Director and scored (maximum of 100 points) using the following criteria:

**1. Respondent Information and Understanding of Project Objectives. (20 points)**

- a. Responsiveness to all items requested in the RFQ, such as completeness of submission, adherence to required page limits, overall organization and clarity of SOQ; and
- b. Understanding of the services to be provided, particularly in relation to the Transportation Authority, and challenges for each task.

**2. Technical and Management Approach. (20 points)**

- a. Technical experience in meeting the scope of services; insight and understanding of special issues, problems and constraints, approach towards mitigating and resolving them;
- b. Effectiveness of expertise in improving project design and method of execution on similar projects;
- c. Effectiveness of the team's organizational structure in executing and managing tasks;
- d. Management approach in providing technically sound and cost-effective services; and
- e. Ability to provide timely, qualified and adequate staffing and services to support project demands.

**3. Capabilities and Experience. (50 points)**

- a. Capability of project team, specific relevant experience, qualifications and expertise of each firm and sub-consultant firm, especially the proposed key personnel, applicable to the areas of expertise for which firms are seeking pre-qualification; and
- b. Client references as to past project performance.

**4. Approach to Team Organization and DBE, SBE and LBE Inclusion. (10 points)**

- a. Reasonability of process to prepare proposals and confirm ability to meet commitments to clients; and
- b. Strength of effort to develop and maintain relationships with DBE, SBE and/or LBE sub-consultant firms.

**Evaluation Process.** The selection committee retains the right to independently verify and evaluate relevant experience and client references, including any sources not mentioned in the SOQ.

Submittals receiving an initial score of less than 70 points will not be considered further in the selection process. Respondents that have received a score of 70 points or higher may, at the Transportation Authority's sole discretion, be invited to an interview with the selection committee. The Transportation Authority reserves the right to not conduct oral interviews and determine qualified respondents based solely on the written SOQ. If oral interviews are held, individuals who are identified as key personnel in the SOQ are required to be in attendance at the interview. Based on the results of the interview, the selection committee may adjust initial scores on the evaluation criteria identified above to arrive at the final evaluation score. Respondents who do not arrive for a scheduled interview, if one is held, will no longer be considered further in the selection process.

The Transportation Authority reserves the right to modify and/or suspend any and all aspects of this procurement, to obtain further information from any firm or person responding to this procurement, to waive any informality or irregularity as to form or content of this procurement or any response thereto, to be the sole judge of the merits of the SOQs and Task Order proposals received, and to reject any or all SOQs and Task Order proposals.

**Contract and Task Order Assignment.** Once qualified Respondents have been identified and cost and pricing data has been reviewed, Respondents will remain eligible for consideration for contract and task order award on an as-needed basis for an initial three-year period, or until a superseding RFQ is issued. While the Transportation Authority intends to engage pre-qualified Respondents based on capabilities, experience and availability, no pre-qualified team or individual firm is guaranteed a contract or task order. This RFQ does not in any way limit the Transportation Authority's right to solicit contracts for similar or identical services if, in the Transportation Authority's sole and absolute discretion, it determines the on-call teams are inadequate to satisfy its needs.

The Transportation Authority, at its sole and absolute discretion, will provide standard contracts to qualified Respondents and will start contract negotiations with that respondent. The goal of such negotiations will be to agree on an executable contract that delivers the services and work described in this RFQ at a fair and reasonable cost to the Transportation Authority. The award, if any, will be made to the responsive Respondent whose submittal is deemed most advantageous to the Transportation Authority. Such a contract may be executed concurrently with first award of a task order, or earlier at the Transportation Authority's discretion.

Pre-qualified Respondents who possess similar areas of expertise identified in the attached Exhibit D may be invited to submit proposals and/or participate in oral interviews as part of the task order negotiation process. Interviews may consist of standard questions asked of each of the respondents, and specific questions regarding individual responses. The Transportation Authority may consider factors including but not limited to availability in the timeframe needed, known performance, DBE/SBE/LBE certification status, conflict of interest and cost in the task order selection process. The Transportation Authority reserves the right to interview any, all, or none of the prequalified respondents to negotiate task orders. The Transportation Authority, in its sole discretion, has the right to approve or disapprove any staff person assigned to a task order before and throughout the contract term.

The Transportation Authority, at its sole and absolute discretion, will contact Respondent lead firms to negotiate task orders for specific projects. When task order proposals are requested, lead firms shall confirm team availability and organization for the commitments of the individual task order. In order to meet the DBE, SBE and/or LBE goals and requirements identified in the task order request, lead firms may propose to include new sub-consultants to the team, or new team members, at the time of task order proposals, subject to the Transportation Authority's review and acceptance of qualifications.

The Transportation Authority may have office space available as part of certain task orders through a separate sublease agreement between the Transportation Authority and the qualified Respondents. However, with the exception of progress and coordination meetings, most work shall take place at the consultant offices. Respondents should be prepared to mobilize within 48 hours following task order negotiations and task order award by the Transportation Authority.

## **SECTION VII – DBE, SBE AND LBE REQUIREMENTS**

It is the policy of the Transportation Authority to make good faith efforts to solicit and obtain quotes, bids or proposals from DBEs, SBEs, and LBEs, and to provide the maximum feasible opportunity to participate in the performance of contracts funded in whole or in part with Transportation Authority resources. The Transportation Authority strongly encourages joint ventures among professional firms as a way to meet participation goals. Assistance in the formation of such joint ventures and/or associations may be obtained through the Human Rights Commission.

The Transportation Authority has not established a DBE, SBE or LBE goal for this RFQ and master contract. The Transportation Authority will establish DBE, SBE and/or LBE goals and requirements for each subsequent task order request, based on the project's funding sources and specific scope of work. However, consultants who obtain DBE participation for this contract are requested to report it using Exhibit 10-O1, *Consultant Proposal DBE Commitment*.

The Transportation Authority accepts DBE certifications from the California Unified Certification Program and the Transportation Authority, SBE certifications from the California Department of General Services and LBE certifications from the City and the Transportation Authority. Certification requirements applications are available on the Transportation Authority's website at [www.sfcta.org/dbe](http://www.sfcta.org/dbe).

## **SECTION VIII – PROCUREMENT PROTEST AND APPEAL POLICIES AND PROCEDURES**

The Transportation Authority has established protest procedures, which apply to all procurements of supplies, equipment, and services. Respondents must file protests with the Transportation Authority no later than five (5) business days after notice, actual or constructive, by the Transportation Authority's Executive Director or his/her designee, that either their bid (or SOQ) is not being considered further, or a recommendation has been made to the Board to award to another bidder. Copies of these policies and procedures are kept at the Transportation Authority's offices and are available upon written request.

## **SECTION IX – NOTE REGARDING PUBLIC DISCLOSURE OF RESPONSES AND OTHER MATERIALS**

Under the California Public Records Act (PRA; Government Code sections 6250 *et seq.*), records, information and materials submitted to the Transportation Authority, not otherwise exempt, are subject to public disclosure. Immediately after the contract has been awarded, the materials submitted by all respondents will be open to inspection. Each party submitting a response to the RFQ should clearly designate financial submittals or other materials, if any, which it in good faith believes to be corporate proprietary information, including trade secrets, protected from disclosure; if no materials are designated, the submitted SOQ in its entirety may be subject to the PRA. To the extent permitted by law, the Transportation Authority will attempt to maintain the confidentiality of such information by providing the respondent with notice that it has received a request. If the respondent desires that such materials not be disclosed, it may, at its own expense, take appropriate legal action to prevent such disclosure. However, such confidentiality cannot be assured, and the Transportation Authority will not be liable for the public disclosure of any material submitted to it.

## SECTION X – APPENDICES AND EXHIBITS

The following documents are attached:

- Exhibit A – Debarment and Suspension Certification
- Exhibit B – Terminated Contracts
- Exhibit C – Workforce Data Spreadsheets
- Exhibit D – Matrix of Areas of Expertise
- Exhibit 10-H – Sample Cost Proposal
- Exhibit 10-I – Notice to Respondents DBE Information
- Exhibit 10-K – Consultant Certification of Contract Costs and Financial Management System
- Exhibit 10-O1 – Consultant Proposal DBE Commitment
- Exhibit 10-Q – Disclosure of Lobbying Activities

**Exhibit A**

**Debarment and Suspension Certification**

Title 2, CODE OF FEDERAL REGULATIONS, PART 180

The Respondent’s signature affixed herein, shall constitute a certification under penalty of perjury under the laws of the State of California, that the Respondent has complied with Title 2 CFR, Part 180, “OMB Guidelines to Agencies on Government wide Debarment and Suspension (nonprocurement)”, which certifies that he/she or any other person associated therewith in the capacity of owner, partner, director, officer or manager:

- Is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency,
- Has not been suspended, debarred, voluntarily excluded or determined ineligible by any federal agency within the past three (3) years,
- Does not have a proposed debarment pending; and
- Has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years.

Any exceptions to this certification must be disclosed to the Transportation Authority in the following space:

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Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining Respondent responsibility. For any exception noted above, indicate below to whom it applies, initiating agency, and dates of action.

Exceptions to the Federal Government Excluded Parties List System maintained by the General Services Administration are to be determined by the Federal Highway Administration.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Respondent are true and correct.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Firm Name

## Exhibit B – Terminated Contracts

Respondents must provide a list of contracts terminated (partially or completely) by clients for convenience or default within the past three (3) years. For each contract, the list must include the following information:

- Contract number;
- Contract value;
- Description of work;
- Sponsoring organization name; and
- Sponsoring organization key contact information, including name, title and current telephone number.

Respondent does not have any terminated contracts by clients for convenience or default within the past three (3) years.

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Firm Name

**Exhibit C – Workforce Data Spreadsheet #1  
Breakdown of existing employees**

Name of firm: \_\_\_\_\_

Address: \_\_\_\_\_

EMPLOYEE * CATEGORIES	TOTAL EMPLOYEE		AFRICAN AMERICAN		HISPANIC		ASIAN/ PAC. ISL.		AMER. IND./ ALAK. NTV.		TOTAL MINORITY		PERCENTAGE WHITE		PERCENTAGE MINORITY	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Officials																
Managers																
Professionals																
Technicians																
Admin. Support																
Trainees																
Others																
Full-time																
Part-time																
<b>TOTAL</b>																

COMPLETED BY Name: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

\* If the list of occupations on the left side of the workforce data form does not match your occupation titles, please modify the data form to indicate occupations particular to your organization.

**Exhibit C – Workforce Data Spreadsheet #2  
Breakdown of employees hired in last 12 months**

Name of firm: \_\_\_\_\_

Address: \_\_\_\_\_

EMPLOYEE CATEGORIES	TOTAL EMPLOYEE		AFRICAN AMERICAN		HISPANIC		ASIAN/ PAC. ISL.		AMER. IND./ ALAK. NTV.		TOTAL MINORITY		PERCENTAGE WHITE		PERCENTAGE MINORITY	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Officials																
Managers																
Professionals																
Technicians																
Admin. Support																
Trainees																
Others																
Full-time																
Part-time																
<b>TOTAL</b>																

COMPLETED BY Name: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

\* If the list of occupations on the left side of the workforce data form does not match your occupation titles, please modify the data form to indicate occupations particular to your organization.

## Exhibit D - Matrix of Areas of Expertise

No.	Area of Expertise	Lead Firm	Core Team Firm	Specialty Subconsultant #1	Specialty Subconsultant #2	Add columns as needed
<b>1</b>	<b>Project Management</b>					
1.1	Project Management Oversight					
1.2	Project Management Support Services					
1.3	Interagency Processes & Coordination					
<b>2</b>	<b>Project Delivery &amp; Controls</b>					
2.1	Project Delivery Methods					
2.2	Public Private Partnership Evaluation (e.g. Value for Money analysis)					
2.3	Funding and Financing Strategy Development					
2.4	Feasibility, Constructability, and Construction Sequencing					
2.5	Risk Analysis and Management					
2.6	Value Engineering					
2.7	Cost Estimating					
2.8	Cost and Schedule Controls					
2.9	Procedures, Quality Assurance, and Project Management Plans					
<b>3</b>	<b>General Engineering</b>					
3.1	Traffic Engineering					
3.2	Transit Operations, Systems, and Vehicles					
3.3	Geotechnical Analysis and Evaluations					
3.4	Disciplines applied to Transportation Facilities & Infrastructure					
3.5	Surveying and Mapping					
3.6	Environmental Permitting, Impact Evaluation, Clearance, and Compliance					
3.7	Real Estate and Right-of-Way Acquisition Services					
3.8	Intelligent Transportation Systems and Technologies					
3.9	Tolling Systems Integration and Commissioning					
3.10	Ferry Service Planning, Engineering, and Operations					

Exhibit 10-H Sample Cost Proposal Page 1 of 2

Specific Rate of Compensation (use for on-call or as-needed contracts)  
(Construction Engineering and Inspection Contracts)

Note: Mark-ups are Not Allowed

Consultant or Subconsultant \_\_\_\_\_ Contract No. \_\_\_\_\_ Date \_\_\_\_\_

Fringe Benefit % + Overhead % + General Administration % = Combined Indirect Cost Rate (ICR) %  
(= 0% if Included in OH) (= 0% if Included in OH)

FEE % = \_\_\_\_\_

BILLING INFORMATION

CALCULATION INFORMATION

Name/Job Title/Classification <sup>1</sup>	Hourly Billing Rates <sup>2</sup>			Effective date of hourly rate		Actual or Avg. hourly rate <sup>3</sup>	% or \$ increase	Hourly range - for classifications only
	Straight	OT(1.5x)	OT(2x)	From	To			
John Doe – Project Manager Civil Engineer II	\$0.00	\$0.00	\$0.00	01/01/2000	12/31/2000	\$0.00		Not Applicable
	\$0.00	\$0.00	\$0.00	01/01/2001	12/31/2001	\$0.00	0.0%	
	\$0.00	\$0.00	\$0.00	01/01/2002	12/31/2002	\$0.00	0.0%	
Sue Jones – Construction Engineer/Inspector Engineer I	\$0.00	\$0.00	\$0.00	01/01/2000	12/31/2000	\$0.00		Not Applicable
	\$0.00	\$0.00	\$0.00	01/01/2001	12/31/2001	\$0.00	0.0%	
	\$0.00	\$0.00	\$0.00	01/01/2002	12/31/2002	\$0.00	0.0%	
Buddy Black – Claims Engineer Engineer III	\$0.00	\$0.00	\$0.00	01/01/2000	12/31/2000	\$0.00		Not Applicable
	\$0.00	\$0.00	\$0.00	01/01/2001	12/31/2001	\$0.00	0.0%	
	\$0.00	\$0.00	\$0.00	01/01/2002	12/31/2002	\$0.00	0.0%	
Land Surveyor *	\$0.00	\$0.00	\$0.00	01/01/2000	12/31/2000	\$0.00		\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2001	12/31/2001	\$0.00	0.0%	\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2002	12/31/2002	\$0.00	0.0%	\$00 - \$00
Technician	\$0.00	\$0.00	\$0.00	01/01/2000	12/31/2000	\$0.00		\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2001	12/31/2001	\$0.00	0.0%	\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2002	12/31/2002	\$0.00	0.0%	\$00 - \$00

- Names and classifications of consultant (key staff) team members must be listed. Provide separate sheets for prime and all subconsultant firms.
- Billing rate = actual hourly rate \* (1 + ICR) \* (1 + Fee). Agreed upon billing rates are not adjustable for the term of contract.
- For named employees enter the actual hourly rate. For classifications only, enter the Average Hourly Rate for that classification.

NOTES:

- Denote all employees subject to prevailing wage with an asterisks (\*)
- For "Other Direct Cost" listing, see page 2 of this Exhibit

Exhibit 10-H Sample Cost Proposal Page 2 of 2

Specific Rate of Compensation (use for on-call or as-needed contracts)  
(Construction Engineering and Inspection Contracts)

Consultant or Subconsultant \_\_\_\_\_ Contract No. \_\_\_\_\_ Date \_\_\_\_\_

SCHEDULE OF OTHER DIRECT COST ITEMS											
PRIME CONSULTANT				SUBCONSULTANT #1				SUBCONSULTANT #2			
DESCRIPTION OF ITEMS	UNIT	UNIT COST	TOTAL	DESCRIPTION OF ITEMS	UNIT	UNIT COST	TOTAL	DESCRIPTION OF ITEMS	UNIT	UNIT COST	TOTAL
Special Tooling				Special Tooling				Special Tooling			
A.				A.				A.			
B.				B.				B.			
C.				C.				C.			
Travel				Travel				Travel			
A.				A.				A.			
B.				B.				B.			
C.				C.				C.			
PRIME TOTAL ODCs =				SUBCONSULTANT #1 ODCs =				SUBCONSULTANT #2 ODCs =			

IMPORTANT NOTES:

- List direct cost items with estimated costs. These costs should be competitive in their respective industries and supported with appropriate documentations.
- Proposed items should be consistently billed directly to all clients (Commercial entities, Federal Govt., State Govt., and Local Govt. Agency), and not just when the client will pay for them as a direct cost.
- Items when incurred for the same purpose, in like circumstance, should not be included in any indirect cost pool or in the overhead rate.
- Items such as special tooling, will be reimbursed at actual cost with supporting documentation (invoice).
- Items listed above that would be considered "tools of the trade" are not reimbursable as other direct cost.
- Travel related costs should be pre-approved by the contracting agency.
- If mileage is claimed, the rate should be properly supported by the consultant's calculation of their actual costs for company vehicles. In addition, the miles claimed should be supported by mileage logs.
- If a consultant proposes rental costs for a vehicle, the company must demonstrate that this is their standard procedure for all of their contracts and that they do not own any vehicles that could be used for the same purpose.

**EXHIBIT 10-I NOTICE TO Respondents DBE INFORMATION**

The Agency has established a DBE goal for this Contract of   0   %

OR

The Agency has not established a goal for this Contract. However, respondents are encouraged to obtain DBE participation for this contract.

**1. TERMS AS USED IN THIS DOCUMENT**

- The term “Disadvantaged Business Enterprise” or “DBE” means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Code of Federal Regulations (CFR), Part 26.5.
- The term “Agreement” also means “Contract.”
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term “Small Business” or “SB” is as defined in 49 CFR 26.65.

**2. AUTHORITY AND RESPONSIBILITY**

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Contracts financed in whole or in part with federal funds (See 49 CFR 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”). The Consultant must ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The respondent must not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Respondents are encouraged to use services offered by financial institutions owned and controlled by DBEs.

**3. SUBMISSION OF DBE INFORMATION**

If there is a DBE goal on the contract, Exhibit 10-O1 *Consultant Proposal DBE Commitment* must be included in the Request for Qualifications. In order for a respondent to be considered responsible and responsive, the respondent must make good faith efforts to meet the goal established for the contract. If the goal is not met, the respondent must document adequate good faith efforts. All DBE participation will be counted towards the contract goal; therefore, all DBE participation shall be collected and reported.

**4. DBE PARTICIPATION GENERAL INFORMATION**

It is the respondent’s responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department’s DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.

- C. A DBE respondent not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
  - 1. The respondent is a DBE and will meet the goal by performing work with its own forces.
  - 2. The respondent will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
  - 3. The respondent, prior to proposing, made adequate good faith efforts to meet the goal.
- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The respondent shall list only one subconsultant for each portion of work as defined in their SOQ and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

## 5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Business and Economic Opportunity Web site at: <http://www.dot.ca.gov/hq/bep/>.
  - 1. Click on the link in the left menu titled *Disadvantaged Business Enterprise*;
  - 2. Click on Search for a DBE Firm link;
  - 3. Click on *Access to the DBE Query Form* located on the first line in the center of the page.

Searches can be performed by one or more criteria. Follow instructions on the screen.

## 6. MATERIALS OR SUPPLIES PURCHASED FROM DBES COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS:

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk

items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.

- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

**EXHIBIT 10-K CONSULTANT CERTIFICATION OF CONTRACT COSTS  
AND FINANCIAL MANAGEMENT SYSTEM**

*(Note: If requesting to utilize the Safe Harbor Indirect Cost Rate submit Attachment 1 of  
DLA-OB 13-07 - Safe Harbor Indirect Cost Rate for Consultant Contracts found at  
[http://www.dot.ca.gov/hq/LocalPrograms/DLA\\_OB/DLA\\_OB.htm](http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/DLA_OB.htm) in lieu of this form.)*

**Certification of Final Indirect Costs:**

Consultant Firm Name: \_\_\_\_\_

Indirect Cost Rate: \_\_\_\_\_ \* for fiscal period \_\_\_\_\_ (mm/dd/yyyy to mm/dd/yyyy)

\*Fiscal period covered for Indirect Cost Rate developed (not the contract period).

Local Government: \_\_\_\_\_

Contract Number: \_\_\_\_\_ Project Number: \_\_\_\_\_

I, the undersigned, certify that I have reviewed the proposal to establish final indirect cost rates for the fiscal period as specified above and to the best of my knowledge and belief:

1. All costs included in this proposal to establish final Indirect Cost Rates are allowable in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of Title 48, Code of Federal Regulations (CFR), Part 31.
2. This proposal does not include any costs which are expressly unallowable under the cost principles of the FAR of 48 CFR, Part 31.

All known material transactions or events that have occurred affecting the firm's ownership, organization, and Indirect Cost Rates have been disclosed as of the date of proposal preparation noted above.

**Certification of Financial Management System:**

I, the undersigned, certify to the best of my knowledge and belief that our Financial Management System meets the standards for financial reporting, accounting records, internal and budget control as set forth in the FAR of Title 49, CFR, Part 18.20 to the extent applicable to Consultant.

**Certification of Dollar Amount for all A&E Contracts:**

I, the undersigned, certify that the approximate dollar amount of all A&E contracts awarded by Caltrans or a California local agency to this firm within the last three (3) calendar years for all State DOT and Local Agencies is \$ \_\_\_\_\_ and the number of states in which the firm does business is \_\_\_\_\_.

**Certification of Direct Costs:**

I, the undersigned, certify to the best of my knowledge and belief that all direct costs identified on the cost proposal(s) in this contract are reasonable, allowable and allocable to the contract in accordance with the cost principles of the FAR of Title 48, CFR, Part 31. Allowable direct costs to a Government contract shall be:

Consultant Certification of Contract Costs and Financial Management System

1. Compliant with Generally Accepted Accounting Principles (GAAP) and standards promulgated by the Cost Accounting Standards Board (when applicable).
2. Compliant with the terms of the contract and is incurred specifically for the contract.
3. Not prohibited by 23 CFR, Chapter 1, Part 172 – Administration of Engineering and Design Related Service Contracts to the extent requirements are applicable to Consultant.

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files.

**Subconsultants (if applicable)**

Proposed Contract Amount (or amount not to exceed if on-call contract): \$ \_\_\_\_\_

**Prime Consultants (if applicable)**

Proposed **Total** Contract Amount (or amount not to exceed if on-call contract): \$ \_\_\_\_\_

Prime, list all subconsultants and proposed subcontract dollar amounts (attach additional page if necessary):

_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____

Consultant Certifying (Print Name and Title):

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Consultant Certification Signature \*\*: \_\_\_\_\_

Date of Certification (mm/dd/yyyy): \_\_\_\_\_

Consultant Contact Information:

Email: \_\_\_\_\_

Phone number: \_\_\_\_\_

**\*\*An individual executive or financial officer of the consultant’s organization at a level no lower than a Vice President or Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the Indirect Cost Rate proposal submitted in conjunction with the contract.**

Note: *Per 23 U.S.C. 112(b)(2)(B), Subconsultants must comply with the FAR Cost Principles contained in 48 CFR, Part 31. 23 CFR Part 172.3 Definitions state: Consultant means the individual or firm providing engineering and design related services as a party to the contract. Therefore, subconsultants as parties of a contract must complete a certification and send originals to A&I and keep copies in Local Agency Project Files.*

**Distribution:** 1) Original to Caltrans Audits and Investigations  
2) Retained in Local Agency Project Files

**EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT**

1. Local Agency: \_\_\_\_\_ 2. Contract DBE Goal: \_\_\_\_\_  
 3. Project Description: \_\_\_\_\_  
 4. Project Location: \_\_\_\_\_  
 5. Consultant's Name: \_\_\_\_\_ 6. Prime Certified DBE:

7. Description of Work, Service, or Materials Supplied	8. DBE Certification Number	9. DBE Contact Information	10. DBE %
<b>Local Agency to Complete this Section</b>		<b>11. TOTAL CLAIMED DBE PARTICIPATION</b>	%
17. Local Agency Contract Number: _____ 18. Federal-Aid Project Number: _____ 19. Proposed Contract Execution Date: _____	IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.		
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.			
_____ 20. Local Agency Representative's Signature      21. Date		_____ 12. Preparer's Signature      13. Date	
_____ 22. Local Agency Representative's Name      23. Phone		_____ 14. Preparer's Name      15. Phone	
_____ 24. Local Agency Representative's Title	_____ 16. Preparer's Title		

DISTRIBUTION: Original – Included with consultant's SOQ to local agency.

**ADA Notice:** For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

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**INSTRUCTIONS – CONSULTANT PROPOSAL DBE COMMITMENT**

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**CONSULTANT SECTION**

- 1. Local Agency** - Enter the name of the local or regional agency that is funding the contract.
- 2. Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
- 3. Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc.).
- 4. Project Location** - Enter the project location as it appears on the project advertisement.
- 5. Consultant's Name** - Enter the consultant's firm name.
- 6. Prime Certified DBE** - Check box if prime contractor is a certified DBE.
- 7. Description of Work, Services, or Materials Supplied** - Enter description of work, services, or materials to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
- 8. DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
- 9. DBE Contact Information** - Enter the name, address, and phone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and phone number, if the prime is a DBE.
- 10. DBE %** - Percent participation of work to be performed or service provided by a DBE. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
- 11. Total Claimed DBE Participation %** - Enter the total DBE participation claimed. If the total % claimed is less than item "Contract DBE Goal," an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H DBE Information - Good Faith Efforts of the LAPM).
- 12. Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
- 13. Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
- 14. Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
- 15. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 16. Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

**LOCAL AGENCY SECTION**

- 17. Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
- 18. Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
- 19. Proposed Contract Execution Date** - Enter the proposed contract execution date.
- 20. Local Agency Representative's Signature** - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
- 21. Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
- 22. Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
- 23. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 24. Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

**EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES**

COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352

<p><b>1. Type of Federal Action:</b></p> <p><input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>	<p><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p><b>3. Report Type:</b></p> <p><input type="checkbox"/> a. initial  <input type="checkbox"/> b. material change</p> <p><b>For Material Change Only:</b>                  year _____ quarter _____                  date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity</b></p> <p><input type="checkbox"/> Prime                      <input type="checkbox"/> Subawardee                  Tier _____, if known</p> <p>Congressional District, if known _____</p>	<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p>Congressional District, if known _____</p>	
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable _____</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p>	
<p><b>10. Name and Address of Lobby Entity</b>                  (If individual, last name, first name, MI)</p> <p style="text-align: center;">(attach Continuation Sheet(s) if necessary)</p>	<p><b>11. Individuals Performing Services</b> (including address if different from No. 10a)                  (last name, first name, MI)</p> <p style="text-align: center;">(attach Continuation Sheet(s) if necessary)</p>	
<p><b>12. Amount of Payment (check all that apply)</b></p> <p>\$ _____ <input type="checkbox"/> actual      <input type="checkbox"/> planned</p>	<p><b>14. Type of Payment (check all that apply)</b></p> <p><input type="checkbox"/> a. retainer  <input type="checkbox"/> b. one-time fee  <input type="checkbox"/> c. commission  <input type="checkbox"/> d. contingent fee  <input type="checkbox"/> e. deferred  <input type="checkbox"/> f. other, specify _____</p>	
<p><b>13. Form of Payment (check all that apply):</b></p> <p><input type="checkbox"/> a. cash  <input type="checkbox"/> b. in-kind; specify: nature _____                  Value _____</p>		
<p><b>15. Brief Description of Services Performed or to be performed and Date(s) of Service, including officer(s), employee(s), or member(s) contacted, for Payment Indicated in Item 11:</b></p> <p style="text-align: center;">(attach Continuation Sheet(s) if necessary)</p>		
<p><b>16. Continuation Sheet(s) attached:</b>      Yes <input type="checkbox"/>      No <input type="checkbox"/></p>		
<p><b>17. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying reliance was placed by the tier above when his transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b></p>		
		<p>Signature: _____                  Print Name: _____                  Title: _____                  Telephone No.: _____ Date: _____</p>
		<p>Authorized for Local Reproduction                  Standard Form - LLL</p>
<p><b>Federal Use Only:</b></p>		

Standard Form LLL Rev. 04-28-06

This form is not applicable to the prospective bidder/sub-consultant. Please sign and complete signature block above.

Distribution: Orig- Local Agency Project Files

**INSTRUCTIONS FOR COMPLETING EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient at the initiation or receipt of covered federal action or a material change to previous filing pursuant to title 31 U.S.C. Section 1352. The filing of a form is required for such payment or agreement to make payment to lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress an officer or employee of Congress or an employee of a Member of Congress in connection with a covered federal action. Attach a continuation sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered federal action for which lobbying activity is or has been secured to influence, the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last, previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District if known. Check the appropriate classification of the reporting entity that designates if it is or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the first tier. Subawards include but are not limited to: subcontracts, subgrants, and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee" then enter the full name, address, city, state, and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organization level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identification in item 1 (e.g., Request for Qualifications (RFQ) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant or loan award number, the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFQ-DE-90-001."
9. For a covered federal action where there has been an award or loan commitment by the Federal agency, enter the federal amount of the award/loan commitments for the prime entity identified in item 4 or 5.
10. Enter the full name, address, city, state, and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered federal action.
11. Enter the full names of the individual(s) performing services and include full address if different from 10 (a). Enter Last Name, First Name and Middle Initial (MI).
12. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
13. Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
14. Check all boxes that apply. If other, specify nature.
15. Provide a specific and detailed description of the services that the lobbyist has performed or will be expected to perform and the date(s) of any services rendered. Include all preparatory and related activity not just time spent in actual contact with federal officials. Identify the federal officer(s) or employee(s) contacted or the officer(s) employee(s) or Member(s) of Congress that were contacted.
16. Check whether or not a continuation sheet(s) is attached.
17. The certifying official shall sign and date the form, and print his/her name title and telephone number.

Public reporting burden for this collection of information is estimated to average 30-minutes per response, including time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503. SF-LLL-Instructions Rev. 06-04

**If this form is not applicable, please indicate "Not Applicable" on the bottom of the form, then sign and complete signature block.**