



Request for Qualifications for On-Call Transportation Planning Services

Date Issued	Statements of Qualifications Due	Expected Duration	Budget	DBE Goal	Contact
November 10, 2021	December 15, 2021 at 2:00 p.m. (electronically)	Three years plus two one-year options	Up to \$5,000,000	12%	Ron Leong Management Analyst Ronald.leong@sfcta.org

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 (respondents) to provide on-call transportation planning services on a task order basis. The Transportation Authority anticipates awarding about 10-12 contracts for this solicitation.

Pre-Submittal Conference. Respondents and sub-consultants are encouraged to attend a pre-submittal conference, to be held via video conferencing. See the schedule in Section II for the conference date and time. Attendees are requested to confirm attendance by completing the online registration form at [Pre-Submittal Conference Registration](#) by 5:00 p.m. the day before the conference.

Questions. Questions may be submitted in writing on or before deadline, by e-mail to info@sfcta.org; please include "RFQ 21/22-03 On-Call Planning" in the subject line. The Transportation Authority responses will be posted to 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 10, 2021	Release of RFQ
November 17 5:00 p.m.	Registration deadline for the pre-submittal conference. Register at Pre-Submittal Conference Registration .
November 18 1:00 p.m.	Pre-submittal conference held via Zoom



November 29 5:00 p.m.	Respondents to submit written questions to Transportation Authority
December 6*	Transportation Authority issue written responses to questions
December 15, 2:00 p.m.	Responses to RFQ and separate cost proposals due electronically. Late submissions will not be accepted.
January 3, 2022*	Invitation(s) to interview issued to short list of respondents* (if necessary)
Week of January 10*	Interviews* (scheduled if necessary)
January 2022*	The selection committee's recommendation to Community Advisory Committee for award
February 2022*	Recommendation to Transportation Authority Board for award
February 2022*	Transportation Authority Board awards contract

* *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. 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 include preparing the long-range County-wide Transportation Plan, 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. 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, 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 November 5, 2019, San Francisco voters approved Proposition D - Traffic Congestion Mitigation Tax, establishing a surcharge on commercial ride-hailing trips within the City. Shared rides or rides taken in a zero-emission vehicle are charged 1.50%, and rides with a single occupant are charged 3.25%. After a 2% set aside for administration by the City and County of San Francisco, 50% of revenues are directed to the San Francisco Municipal Transportation Agency (SFMTA) for transit operations and improvements, and 50% transferred to the Transportation Authority for bicycle and pedestrian safety improvements, traffic calming, traffic signals, and maintenance. The tax is in effect until November 2045.

Project Background and Purpose

The Transportation Authority conducts long-range countywide, neighborhood-scale, and project-level planning and policy advising that stems from its multiple roles, as described above.

As the CMA, the Transportation Authority conducts local and regional planning studies addressing congestion management, transportation system development, and emerging policy issues to advance key Transportation Authority Board or Expenditure Plan priorities, particularly where multi-jurisdictional conditions exist.

These and other planning activities led by the Transportation Authority require varying types and levels of project management and project development support in the following areas:

1. **San Francisco Transportation Plan (SFTP)/Countywide Planning:** The Transportation Authority regularly updates the long-range countywide transportation plan that serves as the city's blueprint for transportation system development and investment over 30 years. The SFTP identifies key transportation needs, through an analysis of future trends, and aligns these needs with projected available funding. The SFTP includes background papers and studies and strategic policy initiatives to support the investments in the transportation system.



2. **Congestion Management Program (CMP):** The Transportation Authority prepares biennial updates to the CMP and multimodal Level of Service (LOS) monitoring on the CMP network. This LOS Monitoring work is supported by a separate CMP Monitoring contract.
3. **Neighborhood Transportation Plan (NTP) Planning Studies:** The Transportation Authority routinely conducts neighborhood planning efforts under the Prop K NTP program. These efforts are prioritized by the District Supervisor to address activities that improve pedestrian and/or bicycle safety, encourage walking and/or biking, improve transit accessibility, and/or improve mobility for Equity Priority Communities (formerly known as Communities of Concern) or other underserved neighborhoods and vulnerable populations (e.g., seniors, children, and/or people with disabilities).
4. **Policy Studies:** Policy studies address a range of current transportation policy topics including parking, technology-enabled transportation, transportation demand management, and others. Each study is intended to provide recommendations to the Board on a specific issue of interest or concern and typically involves research, data collection, analysis and report writing.
5. **Corridor and Area Planning Studies:** The Transportation Authority prepares and reviews transportation planning studies. These may include planning for transit (including ferries), managed lanes, and street design to address Vision Zero goals. One or two new studies are typically undertaken each year. The Transportation Authority also leads deliverables, reviews, and provides input to other local, regional, and statewide transportation plans, such as the Transit Core Capacity Study (led by the Metropolitan Transportation Commission, or MTC) and Link 21 (led by the San Francisco Bay Area Rapid Transit District).

SECTION IV – SCOPE OF SERVICES

The Transportation Authority seeks transportation planning consultant services to support the various projects described above, and others that may arise. Anticipated tasks and desired areas of expertise are listed below. Respondents must declare which area(s) they are qualified to support. Respondents should submit evidence of qualifications for one or multiple areas of expertise 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. It is the intent of the Transportation Authority to pre-qualify multiple consultant firms and/or teams of firms (hereafter "Shortlisted Firms") 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 Shortlisted Firms 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 \$3,000,000 for these contracts for the first three-year term, and \$1,000,000 for each of the two one-year extensions, for a maximum dollar amount of \$5,000,000. Please note this is a ceiling and not a target.



A list of six general areas of expertise sought in prospective teams is provided below, lettered A through F. In addition to these areas of expertise, all teams must demonstrate skills and experience in project management (scope, schedule, and budget management) and supporting technical skills that may be used across multiple areas.

- A. Transportation Planning** - Including countywide or neighborhood planning focused on development and evaluation of transportation networks. Specific examples include:
- a. Citywide planning. Support development of future updates to the SFTP, including identifying long range needs, analyze tradeoffs across transportation projects and programs, coordinating with partner agencies, and other related tasks.
 - b. Modal Network planning. Conduct planning and design for modal networks, including pedestrian and bicycle network planning, transit network and service planning, street network planning, and similar modal studies
 - c. Travel Market Analysis. Conduct analysis of specialized travel markets to address trips in San Francisco occur outside of the standard morning and evening peak periods or for non-commute purposes. The Transportation Authority may seek consultant assistance in developing specialized policies or service solutions to address the needs of travelers and trips, including those related to paratransit, school, trips occurring in the late night and early morning, trips by visitors and tourists, and goods/freight movement, among others.
- B. Corridor and area planning studies** - Develop studies of specific multimodal transportation investments, including potentially:
- a. Development of transportation options in a corridor
 - b. Concept design and evaluation
 - c. Preparation of Strategic, Preliminary, and Final Business Case analyses of proposed investments and supporting technical analysis and documentation
 - d. Major investment studies, alternatives analysis, project planning, and project development for major transit projects
 - e. Bus and rail operational planning, system planning, and network design
 - f. Transit facility / site planning
 - g. Transit station area planning at select locations, including demand analysis, station area planning, and similar activities
 - h. Transit and multimodal corridor planning including design options and operations
 - i. California Environmental Quality Act/National Environmental Policy Act



C. Travel Demand Management (TDM) - TDM policy analysis, stakeholder facilitation, program design, implementation support, and/or project evaluation services. The below is a list of potential areas of support:

- a. Development of TDM strategy at city, neighborhood, or development scale
- b. Development conditions/approval policy
- c. Strategies for managing existing development, including pricing and incentives
- d. Information/marketing/education
- e. Parking management program design
- f. Incentives - the planning, design, and/or deployment of software in support of programs such as travel incentives and rebates, travel behavior monitoring, and user information.
- g. Payment Technology
- h. Coordination with local, state, and federal agencies (e.g., the MTC, the California Department of Transportation, Federal Transit Administration, or Federal Highways Administration)
- i. Monitoring and evaluation

D. Neighborhood/Community Based Planning - Support Transportation Authority led community, neighborhood, and small area planning, in support of NTP and Community-based Transportation Plan development. Tasks may include:

- a. Neighborhood-scale modal planning to identify and evaluate strategies to advance the city's transit first/mode choice, safety, and equity goals
- b. Small area studies that examine travel patterns and potential transportation improvements

E. Policy Analysis and Research - Develop and evaluate transportation policies in key areas such as:

- a. Toll and pricing policy development and evaluation
- b. Identify and research innovative technologies and concepts
- c. Support scoping, planning, and project development related to connected vehicles and/or automated vehicle technology
- d. Market analysis and/or transportation business plan development



- e. Develop governance models and assumptions
- f. Economic impact analysis
- g. Fiscal and financial analysis
- h. Equity analysis
- i. Funding strategy development for major transit projects

F. Outreach & Communications – Support outreach and communications for Transportation Authority planning projects. This may include support as part of a planning project in another category or communications-specific support where other project elements are not requested. Task support in this area may include:

- a. Strategic communication
 - i. Messaging development
 - ii. Communications development
- b. Outreach
 - i. Strategy development
 - ii. Community involvement
 - iii. Facilitation
 - iv. Organize stakeholder groups
 - v. Develop and lead co-creation events
 - vi. Multi-media (electronic and non-electronic) outreach methods
- c. Translation, interpretation
- d. Visualization

While we are seeking support for several specific topical areas, we will require a broad set of skills that would be used in any task order. Respondents should identify how they, or their team, will be able to support the following specific work efforts that are likely to be part of most task orders released under this on-call. Specifically:

- **Project Management** - Ability to manage project and/or program scopes, schedules, and budgets.



- **Modeling/Data Analysis** - Most planning studies will involve some level of data collection and analysis and may require modeling. Respondents should identify experience and staff from their firm or partners who can support:
 - a. Data Collection
 - b. Data analysis (e.g., of model output, or of third-party cellular or GPS data)
 - c. Multimodal micro-simulation
 - d. Mapping
- **Design and Cost Estimation** - Many planning studies, modal and corridor studies in particular, will require some level of concept design and cost estimation. Respondents should identify experience and staff from their firm or partners who can support:
 - a. Conceptual design through 30% design engineering
 - b. Conceptual street/streetscape design
 - c. Planning level cost estimation

SECTION V – RFQ RESPONSE REQUIREMENTS: CONTENT AND FORMAT

Interested parties responding to this RFQ are expected to submit one 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 10 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, Disadvantaged Business Enterprise (DBE) certifications, and required exhibits. The Transportation Authority accept no financial responsibility for any costs incurred in the preparation of SOQs. Upon receipt by the Transportation Authority, 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:

- **SOQ** (written SOQ, without cost proposal): one (1) electronic copy (PDF) including all information herein requested. Please clearly specify in the subject line of the e-mail transmittal: "Response to RFQ 21/22-03 for On-Call Planning".



- **Cost proposal** (in a separate electronic file): one electronic copy (XLS/XLSX format) including all information herein requested. Please name the file: "Cost Proposal for RFQ 21/22-03", and submit along with the SOQ.

The SOQs must be transmitted electronically to the Transportation Authority at the following address: info@sfcta.org.

All responses must be in writing and identified as to content and be received by the Transportation Authority by the due date. SOQs received later than the above date and time will be rejected.

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 contained 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 contained in the SOQ. The cover letter must also include the following content in the format as shown:

<p>1. Project Manager (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>2. Selection Process Lead (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>3. Negotiating Officer (The individual who will negotiate with the Transportation Authority and who can contractually bind the respondent's firm)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>



<p>4. Company Headquarter Office</p> <p>Address: City, State, ZIP: Phone Number:</p>
<p>5. List proposed co-venture arrangements or sub-consultants, if any:</p> <p>1. Company: DBE, SBE and/or LBE status: Percentage of involvement: Name: Title: Address: City, State, ZIP: Phone Number: Email:</p> <p>2. ...</p>
<p>6. <input checked="" type="checkbox"/> This letter is signed by an officer that is authorized to bind the respondent contractually.</p>
<p>7. <input checked="" type="checkbox"/> This SOQ is firm for a 180-day period from the SOQ submission deadline.</p>

Content. SOQ 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, and (2) describe the respondent’s approach to contract and task management.

Respondents must provide the names and positions of key staff for the proposed team. An organization chart should be included that clearly establish principal team member firm(s) 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. In addition, the SOQ should briefly address how the efforts of each of the team members will be coordinated. Do not include budget or rate information in the written SOQ; this information



should be included in the cost proposal. If the work is to be shared among firms and offices at different locations, indicate where each office is located and what work is to be performed in each office.

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.

SOQs must discuss workload for all key team members, indicating their expected availability, the percentage of their time that will 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 for the area or areas of expertise indicated in Exhibit D, 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;
- Résumés of key technical personnel to be assigned to work within the scope of services as outlined in Section IV (provide as attachments; résumés are limited to two (2) pages per individual and will 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
 - Key personnel involved
 - Sub-consultants employed

4. **Approach to Team Organization and DBE, SBE, and/or 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 Disadvantaged Business Enterprises (DBE), Small Business Enterprises (SBE) and/or Local Business Enterprises (LBE). 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/or 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. These exhibits do not count toward the page limit; please provide as attachments to SOQ. Exhibit samples are attached to this RFQ.

Exhibit	Prime Consultant	Subconsultant(s)
Exhibit A - Debarment and Suspension Certification	X	X
Exhibit B - Terminated Contracts	X	X
Exhibit C - Workforce Data Spreadsheets	X	X
Exhibit E - Matrix of Areas of Expertise	X	X
Exhibit 10-H - Sample Cost Proposal	X	X
Exhibit 10-O1 - Local Agency Consultant Proposal DBE Commitment	X	
Exhibit 10-Q - Disclosure of Lobbying Activities	X	X
Exhibit 15-H - DBE Information - Good Faith Efforts	X	

- b. Respondents must provide the names, telephone numbers, and e-mail addresses of at least three references, in addition to staff of the Transportation Authority, if any. 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's 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, submittals should include details, such as to whom, what type of contribution, the date, and the amount.
- e. Respondents must clearly designate financial submittals or other materials in its submittal, if any, which it in good faith believes to be a trade secret or confidential proprietary information protected from disclosure. See Section IX below, for further details on public disclosure of responses and other materials.
- f. Respondents shall acknowledge receipt and understanding of the following Transportation Authority's 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 as a separate electronic file. 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 submittals 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. (30 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 the 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. (35 points)**
 - a. Insight and understanding of special issues, problems and constraints in carryout the Scope of Services, and approaches towards mitigating and resolving them;
 - b. Effectiveness of the proposed work plan, program and method of execution;
 - c. Technical solutions to meet the scope of services; insight and understanding of special issues, problems and constraints, approach towards mitigating and resolving them;
 - d. Effectiveness of the team's organizational structure in executing and managing the tasks;
 - e. Management approach in providing technically sound and cost-effective services; and
 - f. Ability to provide timely, qualified and adequate staffing and services to support project demands.



3. Capabilities and Experience. (35 points)

- a. Capability of project team, specific relevant experience, qualifications, and expertise of each firm and subconsultant firm, especially the proposed key personnel; and
- b. Client references as to past project performance.

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 the winning respondent 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. The respondent(s) with the highest final evaluation score(s) shall be determined as the top respondent(s). 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 reserve 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 received, and to reject any or all responses.

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 firms based on capabilities, experience and availability, no pre-qualified team or individual firm is guaranteed a 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. Depending on size of task orders, 30-35 tasks orders may be issued from this contract. In addition, transportation planning services tasks valued above \$450,000 may be bid under a separate procurement process.

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 pre-qualified 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 add 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 does not have office space available for this contract and, with the exception of progress and coordination meetings, all work shall take place at the consultant offices. Respondents should be prepared to mobilize within 48 hours following contract negotiations and contract award by the Transportation Authority Board.

SECTION VII – DBE FOR U.S. DEPARTMENT OF TRANSPORTATION ASSISTED CONTRACTS

DBE Objective/Policy Statement. As the Transportation Authority may receive federal financial assistance to fund a portion of this procurement from the United States Department of Transportation through the California Department of Transportation (Caltrans) acting on behalf of the Federal Highway Administration (FHWA), the Metropolitan Transportation Commission (MTC), or the Federal Transit Administration, this procurement is subject to Caltrans regulations in accordance with Code of Federal Regulations Title 49 Section 26 (49 CFR 26).

DBEs and other small businesses are strongly encouraged to participate in the performance of contracts financed in whole or in part with federal funds. The consultant should 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 proposer shall not discriminate on the basis of race, color, creed, religion, national origin, ancestry, age, height, weight, sex, sexual orientation, gender identity, domestic partner



status, marital status, or disability or AIDS/HIV status in the award and performance of subcontracts. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

Nondiscrimination. The Transportation Authority will never exclude any person from participation in, deny any person the benefit of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR 26 on the basis of race, color, sex, or national origin. The Transportation Authority will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing the accomplishment of the objectives of the Caltrans DBE Program Plan with respect to individuals of a particular race, color, sex, or national origin.

Contract Goal. For this contract, the Transportation Authority has established a DBE goal of **12%**. Firms are requested to provide all applicable certificates or proof of certification along with their submission, which will not count against the page limit. Proposers must document adequate good faith efforts to involve DBEs by completing and submitting the attached Exhibit 10-O1, *Consultant Proposal DBE Commitment*. Proposers must submit Exhibit 15-H, *DBE Information - Good Faith Efforts*, if the DBE goal is not achieved. It is recommended that proposers prepare Exhibit 15-H irrespective of meeting the DBE goal.

DBE Regulations. Bidders shall be fully informed with respect to the requirements of the DBE regulations. The DBE regulations in their entirety are incorporated herein by reference. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program by the proposal due date. A certified DBE may participate as a prime consultant, sub-consultant, joint venture partner with a prime or sub-consultant, vendor of materials or supplies, or as a trucking company. For more information, please refer to Exhibit 10-I, Notice to Proposers DBE Information, and Exhibit D, Guidance for Bidders Completing the Good Faith Effort Submittal.

DBE/LBE/SBE Policy for Non-Federally Funded Projects. It is the policy of the Transportation Authority to make good faith efforts to solicit and obtain quotes, bids or proposals from DBEs, LBEs and SBEs, and to give small businesses 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 the Transportation Authority's DBE/LBE/SBE participation goals. Assistance in the formation of such joint ventures and/or associations may be obtained through the Human Rights Commission.

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.

Certifications. For non-federally funded projects, the Transportation Authority will accept certifications issued by the Transportation Authority, the City, the California Unified Certification



Program, the California Department of General Services and the California Public Utilities Commission Supplier Clearinghouse. Applications for the Transportation Authority's DBE Program are available on the Transportation Authority's website (www.sfcta.org/dbe).

Transportation Authority DBE Certification. Under Transportation Authority policy, a business qualifies for DBE certification if its annual gross receipts do not exceed \$2.5 million, when calculated as the average of the three (3) years immediately preceding the certification request. In order to obtain DBE certification, a business must submit a request to the Transportation Authority, including evidence of income for the past three years. Acceptable evidence of business income include: copies of tax returns, independently audited financial statements and, in the case of sole proprietorships, personal income tax returns. The Transportation Authority and its employees will not discriminate on the basis of race, color, creed, religion, national origin, ancestry, age, height, weight, sex, sexual orientation, gender identity, domestic partner status, marital status, or disability or AIDS/HIV status in the award and performance of Transportation Authority contracts. Applications for Transportation Authority certification may take up to 14 days to be processed.

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 respondents 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 – EXHIBITS

The following documents are attached:

- Exhibit A - Debarment and Suspension Certification
- Exhibit B - Terminated Contracts
- Exhibit C - Workforce Data Spreadsheets
- Exhibit D - Guidance for Bidders Completing the Good Faith Effort Submittal
- Exhibit E - Matrix of Areas of Expertise
- Exhibit 10-H - Sample Cost Proposal
- Exhibit 10-I - Notice to Proposers DBE Information
- Exhibit 10-O1 - Consultant Proposal DBE Commitment
- Exhibit 10-Q - Disclosure of Lobbying Activities
- Exhibit 15-H - DBE Information - Good Faith Efforts

Exhibit A

Debarment and Suspension Certification

Title 2, CODE OF FEDERAL REGULATIONS, PART 180

The Proposer's signature affixed herein, shall constitute a certification under penalty of perjury under the laws of the State of California, that the Proposer 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:

Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining Proposer 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 Proposer are true and correct.

Authorized Signature

Date Signed

Printed Name

Title

Firm Name

Exhibit B – Terminated Contracts

Proposers 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.

Proposer 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																
TOTAL																

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																
TOTAL																

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

GUIDANCE FOR BIDDERS COMPLETING THE GOOD FAITH EFFORT SUBMITTAL

The specifications in Section 2 of the project Special provisions for each federally-funded project state the following about documentation of adequate good faith efforts:

“The information necessary to establish the bidder’s adequate good faith efforts to meet the contract goal should include:

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder.
- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested.
- C. The items of work which the bidder made available to DBE firms, including, where appropriate, any breaking down of the contract work items (including those items normally performed by the bidder with its own forces) into economically feasible units to facilitate DBE participation. It is the bidder’s responsibility to demonstrate that sufficient work to meet the DBE goal was made available to DBE firms.
- D. The names, address and phone numbers of rejected DBE firms, the firms selected for that work, and the reasons for the bidder’s choice.
- E. Efforts made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any work which was provided to the DBEs.
- F. Efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate.
- G. The names of agencies contacted to provide assistance in contracting, recruiting and using DBE firms.
- H. Any additional data to support a demonstration of good faith efforts.”

It is recommended that bidders consider the following in making efforts to obtain participation of DBEs, and when preparing the documentation to be submitted, demonstrating their good faith efforts:

- Advertising for DBE participation may be placed in newspapers, trade papers, minority focus papers and on the Internet.
- The more advertising the better. The wider the audience—especially in trade and focus publications—the better a prime contractor can “get the word out” they plan to bid a project, the better potential for DBEs to know about the project and to whom they should bid.



- Solicitations and follow-up telephone contacts should occur within reasonable time before the opening bid date to allow the subcontractor time to prepare a quote to submit to the bidder. Telephone or e-mail logs, and fax receipts may be used to corroborate follow-up contacts.
- Advertisements and solicitations should state which items or portions of work are being made available. The bidder should consider making as many items of work available as possible to meet the goal, including those items normally performed by the bidder with its own forces.
- Bidders are encouraged to assist DBE subcontractors in the areas of bonding (if required), lines of credit, and obtaining necessary equipment, supplies and materials, and inform DBEs of this assistance in their solicitations.
- The documentation to be submitted to the local agency should clearly demonstrate all efforts made by the bidder to meet the DBE goal. To assist in providing clear documentation, bidders should consider the following:
 - Be careful when referring to “See Attachments” without providing explicit information where to find the material. Clearly identifying these items as Attachment A, Attachment B, etc. is suggested.
 - Attachments may include copies of advertisements, solicitations and logs of telephone follow-ups, e-mail or fax receipts.
 - In documenting the work made available to DBEs, list the bid item number, description of the work and what portion of the item was offered, if applicable.
 - Include quotes from rejected DBEs and the quotes from the firms selected. If the bidder is doing the work at less cost, include the items to be performed and the costs.
 - Identify any contacts with agencies, organizations or groups used or contacted to provide assistance in contacting, recruiting and using DBE firms, and any responses or assistance received from them.
 - Describe any additional information which would demonstrate that adequate good faith efforts were made to meet the goal.

Exhibit E - Matrix of Areas of Expertise

Areas of Expertise	Description	Mark areas of expertise
A. Transportation Planning	Categories	
	a. Citywide planning	
	b. Model Network planning	
	c. Travel Market Analysis	
B. Corridor Studies		
	a. Development of transportation options in corridor	
	b. Concept design and evaluation	
	c. Transit station area planning	
	d. Transit and multimodal corridor planning design/operations	
	e. CEQA / NEPA	
C. Travel Demand Management		
	a. Development of TDM strategy	
	b. Development conditions/approval policy	
	c. Strategies for managing existing development	
	d. Information/marketing/education	
	e. Parking management program design	
	f. Incentive planning and design	
	g. Payment technology	
	h. Coordination with local, state and federal agencies	
	i. Monitoring and evaluation	
D. Neighborhood / Community-Based Planning		
	a. Neighborhood-scale model planning	
	b. Small-area studies (travel patterns and improvements)	
E. Policy Analysis and Research		
	a. Toll and pricing policy development	
	b. Research innovative technologies and concepts	
	c. Planning and development in automated-vehicle technology	
	d. Market analysis/transportation business plan development	
	e. Develop governance models	
	f. Economic-impact analysis	
	g. Fiscal and financial analysis	
	h. Equity analysis	
F. Outreach & Communications		
	a. Strategic communication	
	b. Outreach	
	c. Translation, interpretation	
	d. Visualization	

EXHIBIT 10-H2 COST PROPOSAL Page 1 of 3

SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)
(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Note: Mark-ups are Not Allowed

Consultant _____ Prime Consultant Subconsultant 2nd Tier Subconsultant

Project No. _____ Contract No. _____ Participation Amount \$ _____ Date _____

For Combined Rate	Fringe Benefit % + General & Administrative %	=	Combined ICR%
	OR		
For Home Office Rate	Fringe Benefit % + General & Administrative %	=	Home Office ICR%
For Field Office Rate	Fringe Benefit % + General & Administrative %	=	Field Office ICR%
	Fee	=	%

BILLING INFORMATION

CALCULATION INFORMATION

Name/Job Title/Classification ¹	Hourly Billing Rates ²			Effective Date of Hourly Rate		Actual or Avg. Hourly Rate ⁴	% or \$ Increase	Hourly Range - for Classifications Only
	Straight ³	OT(1.5x)	OT(2x)	From	To			
John Doe – Project Manager * Civil Engineer II	\$0.00	\$0.00	\$0.00	01/01/2016	12/31/2016	\$0.00		Not Applicable
	\$0.00	\$0.00	\$0.00	01/01/2017	12/31/2017	\$0.00	0.0%	
	\$0.00	\$0.00	\$0.00	01/01/2018	12/31/2018	\$0.00	0.0%	
Sue Jones – Construction Engineer/Inspector Engineer I	\$0.00	\$0.00	\$0.00	01/01/2016	12/31/2016	\$0.00		Not Applicable
	\$0.00	\$0.00	\$0.00	01/01/2017	12/31/2017	\$0.00	0.0%	
	\$0.00	\$0.00	\$0.00	01/01/2018	12/31/2018	\$0.00	0.0%	
Buddy Black – Claims Engineer Engineer III	\$0.00	\$0.00	\$0.00	01/01/2016	12/31/2016	\$0.00		Not Applicable
	\$0.00	\$0.00	\$0.00	01/01/2017	12/31/2017	\$0.00	0.0%	
	\$0.00	\$0.00	\$0.00	01/01/2018	12/31/2018	\$0.00	0.0%	
Land Surveyor **	\$0.00	\$0.00	\$0.00	01/01/2016	12/31/2016	\$0.00		\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2017	12/31/2017	\$0.00	0.0%	\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2018	12/31/2018	\$0.00	0.0%	\$00 - \$00
Technician	\$0.00	\$0.00	\$0.00	01/01/2016	12/31/2016	\$0.00		\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2017	12/31/2017	\$0.00	0.0%	\$00 - \$00
	\$0.00	\$0.00	\$0.00	01/01/2018	12/31/2018	\$0.00	0.0%	\$00 - \$00

(Add pages as necessary)

NOTES:

1. Key personnel must be marked with an asterisk (*) and employees that are subject to prevailing wage requirements must be marked with two asterisks (**). All costs must comply with the Federal cost principles. Subconsultants will provide their own cost proposals.
2. The cost proposal format shall not be amended.
3. Billing rate = actual hourly rate * (1+ ICR) * (1+ Fee). Indirect cost rates shall be updated on an annual basis in accordance with the consultant's annual accounting period and established by a cognizant agency or accepted by Caltrans. All costs must comply with the Federal cost principles for reimbursement.
4. For named employees and key personnel enter the actual hourly rate. For classifications only, enter the Average Hourly Rate for that classification.

EXHIBIT 10-H2 COST PROPOSAL Page 2 of 3

SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)
(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Consultant _____ Prime Consultant Subconsultant

Project No. _____ Contract No. _____ Date _____

SCHEDULE OF OTHER DIRECT COST ITEMS (Add additional pages as necessary)				
Description of Item	Quantity	Unit	Unit Cost	Total
Subconsultant 1:				
Subconsultant 2:				
Subconsultant 3:				
Subconsultant 4:				
Subconsultant 5:				

Note: Add additional pages if necessary.

NOTES:

1. List other direct cost items with estimated costs. These costs should be competitive in their respective industries and supported with appropriate documentation.
2. Proposed ODC items should be consistently billed regardless of client and contract type.
3. Items when incurred for the same purpose, in like circumstance, should not be included in any indirect cost pool or in the overhead rate.
4. Items such as special tooling, will be reimbursed at actual cost with supporting documentation (invoice).
5. Items listed above that would be considered "tools of the trade" are not reimbursable as other direct cost.
6. Travel related costs should be pre-approved by the contracting agency and shall not exceed current State Department of Personnel Administration rules.

7. 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.
8. If a consultant proposes rental costs for a vehicle, the company must demonstrate that this is its standard procedure for all of their contracts and that they do not own any vehicles that could be used for the same purpose.
9. The cost proposal format shall not be amended. All costs must comply with the Federal cost principles.
10. Add additional pages if necessary.
11. Subconsultants must provide their own cost proposals.

EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION

(Federally funded projects only)

The Agency has established a DBE goal for this Contract of _____

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 proposer must not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Proposers 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 Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards [meeting](#) the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-O2 *Consultant Contract DBE Information* must be included in [best qualified consultant’s executed consultant contract](#). Even if no DBE participation will be reported, the successful proposer must execute and return the form.

4. DBE PARTICIPATION GENERAL INFORMATION

It is the proposer’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 proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
 - 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
 - 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
 - 3. The proposer, 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 proposer shall list only one subconsultant for each portion of work as defined in their proposal 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 Civil Rights [website](#)
 - 1. Click on the link 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 10-01 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 %
Local Agency to Complete this Section		11. TOTAL CLAIMED DBE PARTICIPATION	%
17. Local Agency Contract Number: _____ 18. Federal-Aid Project Number: _____ 19. Proposed Contract Execution Date: _____ 20. Consultant's Ranking after Evaluation: _____	IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required. _____ 12. Preparer's Signature 13. Date _____ 14. Preparer's Name 15. Phone _____ 16. Preparer's Title		
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate. _____ _____ _____			

DISTRIBUTION: Original – Included with consultant's proposal 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.

INSTRUCTIONS – CONSULTANT PROPOSAL DBE COMMITMENTCONSULTANT 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 Location** - Enter the project location as it appears on the project advertisement.
- 4. Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc.).
- 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. Consultant's Ranking after Evaluation** - Enter consultant's ranking after all submittals/consultants are evaluated. Use this as a quick comparison for evaluating most qualified consultant.
- 21. 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.
- 22. Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
- 23. Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
- 24. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 25. 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>1. Type of Federal Action:</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>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial <input type="checkbox"/> b. material change</p> <p>For Material Change Only: year ____ quarter ____ date of last report _____</p>
<p>4. Name and Address of Reporting Entity</p> <p><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known</p> <p>Congressional District, if known _____</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known _____</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p>	
<p>10. Name and Address of Lobby Entity (If individual, last name, first name, MI)</p> <p style="text-align: center;">(attach Continuation Sheet(s) if necessary)</p>	<p>11. Individuals Performing Services (including address if different from No. 10) (last name, first name, MI)</p>	
<p>12. Amount of Payment (check all that apply)</p> <p>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>	<p>14. Type of Payment (check all that apply)</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>13. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ Value _____</p>		
<p>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 12:</p> <p style="text-align: center;">(attach Continuation Sheet(s) if necessary)</p>		
<p>16. Continuation Sheet(s) attached: Yes <input type="checkbox"/> No <input type="checkbox"/></p>		
<p>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.</p>		
		<p>Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____</p>
<p>Authorized for Local Reproduction Standard Form - LLL</p>		
<p>Federal Use Only:</p>		

Standard Form LLL Rev. 04-28-06

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 Proposal (RFP) 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., "RFP-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

EXHIBIT 15-H: PROPOSER/CONTRACTOR GOOD FAITH EFFORTS

Cost Proposal Due Date _____ PE/CE

Federal-aid Project No(s). _____ Bid Opening Date _____ CON

The _____ established a Disadvantaged Business Enterprise (DBE) goal of _____ for this contract. The information provided herein shows the required good faith efforts to meet or exceed the DBE contract goal.

Proposers or bidders submit the following information to document their good faith efforts within five (5) calendar days from cost proposal due date or bid opening. Proposers and bidders are recommended to submit the following information even if the Exhibit 10-O1: Consultant Proposal DBE Commitments or Exhibit 15-G: Construction Contract DBE Commitment indicate that the proposer or bidder has met the DBE goal. This form protects the proposer’s or bidder’s eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

The following items are listed in the Section entitled “Submission of DBE Commitment” of the Special Provisions, **please attach additional sheets as needed:**

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

Publications	Dates of Advertisement

- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

Names of DBEs Solicited	Date of Initial Solicitation	Follow Up Methods and Dates

- C. The items of work made available to DBE firms including those unbundled contract work items into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation in order to meet or exceed the DBE contract goal.

Items of Work	Proposer or Bidder Normally Performs Item (Y/N)	Breakdown of Items	Amount (\$)	Percentage Of Contract

- D. The names, addresses and phone numbers of rejected DBE firms, the reasons for the bidder's rejection of the DBEs, the firms selected for that work (please attach copies of quotes from the firms involved), and the price difference for each DBE if the selected firm is not a DBE:

Names, addresses and phone numbers of rejected DBEs and the reasons for the bidder's rejection of the DBEs:

Names, addresses and phone numbers of firms selected for the work above:

- E. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining information related to the plans, specifications and requirements for the work which was provided to DBEs:

F. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining bonding, lines of credit or insurance, necessary equipment, supplies, materials, or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate:

G. The names of agencies, organizations or groups contacted to provide assistance in contacting, recruiting and using DBE firms (please attach copies of requests to agencies and any responses received, i.e., lists, Internet page download, etc.):

Name of Agency/Organization	Method/Date of Contact	Results

H. Any additional data to support a demonstration of good faith efforts: