



# Request for Qualifications

## for On-Call Project Management and Engineering Services

Date Issued	Statements of Qualifications Due	Expected Duration	Budget	DBE Goal	Contact
February 17, 2022	March 21, 2022 at 2:00 p.m. (electronically)	Three years plus two one-year options	Up to \$13,400,000	12%	Ron Leong Management Analyst <a href="mailto:Ronald.leong@sfcta.org">Ronald.leong@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 (respondents) to provide on-call project management and general engineering services on a task order basis. The Transportation Authority anticipates awarding about 10-15 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](mailto:info@sfcta.org); please include "RFQ 21/22-11 On-Call PM&E" in the subject line. The Transportation Authority 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
February 17, 2022	Release of RFQ
February 23 5:00 p.m.	Registration deadline for the pre-submittal conference. Register at <a href="#">Pre-Submittal Conference Registration</a> .



February 24 10:00 a.m.	Pre-submittal conference held via Zoom
February 25 5:00 p.m.	Respondents to submit written questions to Transportation Authority
March 3*	Transportation Authority issue written responses to questions
<b>March 21, 2:00 p.m.</b>	Responses to RFQ and separate cost proposals due electronically. Late submissions will not be accepted.
March 29*	Invitation(s) to interview issued to short list of respondents* (if necessary)
April 4 - 15*	Interviews* (scheduled if necessary)
April 27*	The selection committee's recommendation to Community Advisory Committee for award
May 10*	Recommendation to Transportation Authority Board for award
May 24*	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 (TFCA), 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**

In all six of its core roles – sales tax administrator, CMA, Program Manager for TFCA, Prop AA administrator, TIMMA, and Traffic Congestion Mitigation Tax administrator – 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 Downtown Rail Extension (DTX), Caltrain Modernization (CalMod), and many transit, bike, pedestrian and streetscape projects led by the SFMTA and other agencies. In addition, the Transportation Authority has project development and 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, and planning and project development of freeway corridor management studies.

On-call project management and engineering 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 (YBI) 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 West Side Bridges Seismic Retrofit project will begin in 2022, and the Transportation Authority expects to move forward with detailed design of the Hillcrest Road Widening project in early 2022.

**YBI Multi-Use Pathway** - The Transportation Authority completed a Yerba Buena Island/Treasure Island Multi-Use Pathway Feasibility Study in 2020 and is working to environmentally clear the project by 2023. The extended path will connect the existing Bay Bridge East Span YBI bike path landing to Treasure Island via Hillcrest and Treasure Island Roads. The limits for the project will extend from the existing San Francisco Oakland Bay Bridge (SFOBB) East Span Bike Landing/Vista Point, on south eastside of YBI, to the intersection of Macalla Road and Treasure Island Road on the northwest side of the island. The project will improve the current roadways on YBI which do not meet modern standards by building separate and protected pathways for pedestrians and bicyclists. The project is coordinating with the Bay Area Toll Authority's Bay Bridge West Span Skyway project and will provide a YBI connection to the Skyway project.

**I-280/Interchange Modifications at Balboa Park** - Following environmental clearance of the southbound I-280 off-ramp at Ocean Avenue, the Transportation Authority is beginning the design phase to improve multimodal safety. The project will realign the existing off-ramp from a free flow right turn to a signalized T-intersection. The project will also widen the off-ramp to two lanes and construct a retaining wall. The effort also includes further planning of other elements from the Transportation Authority's Balboa Park Station Area Circulation Study (2014), including potential modifications of the northbound I-280 off-ramp at Geneva Avenue to improve traffic circulation and reduce queuing on the off-ramp.

**Managed Lanes on US 101 and I-280** - 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 include environmental clearance and design phase documents led by the Transportation Authority over the next five years.

**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.

**Bi-County Projects** - The Transportation Authority, in partnership with the SFMTA and regional partners, is developing recommendations for improved transit and active mobility connections between the southern neighborhoods. Recommendations will propose short-term improvements to transit access, striping, and signage, and identify larger projects for further development.

As a major funding partner (including sales tax and other Transportation Authority-programmed funds) and sub-regional planning authority, the Transportation Authority provides project development/delivery support and oversight for the following projects:

**CalMod:** The CalMod program is currently under construction and consists of electrification and other projects that will upgrade the performance, efficiency, capacity, safety, and reliability of Caltrain's service. The Transportation Authority is a funding partner and has oversight responsibility focused on three CalMod projects totaling more than \$2 billion including electrification of the existing corridor, installation of a modern positive train control system, and replacement of diesel trains with electric multiple-unit vehicles. Through integrated oversight of the CalMod Program and the Downtown Rail Extension Project (DTX), as well as support for the California High-Speed Rail (CAHSR) program, the Transportation Authority provides coordination of these related efforts for San Francisco.

**DTX Project:** The Transportation Authority is one of six agencies currently working together to plan, design, and develop the DTX to ready-for-procurement status, under the terms of a Memorandum of Understanding (MOU) executed in 2020. The Transportation Authority is also a funding partner for the DTX. The project will extend heavy rail from the current terminus to the recently completed Salesforce Transit Center, to serve Caltrain and future CHSR. Design development efforts are being led by the Transbay Joint Powers Authority (TJPA) with active support by the MOU partners. The Transportation Authority has lead or co-lead responsibilities for multiple tasks identified in the MOU, including the Funding Plan, Delivery Strategy, Demand Forecasts, and Governance Review.

**Pennsylvania Avenue Extension (PAX):** The City has identified Pennsylvania Avenue as the preferred alignment for a future tunneled replacement segment of the Caltrain Corridor, south of the 4th and King/Townsend area. The Transportation Authority is currently leading pre-environmental phase planning and design for the PAX project, in coordination with local and regional partner agencies.

**4th and King Railyards:** The Transportation Authority is one of several public and private parties working together to develop integrated plans for the development and operation of the current northern terminus of Caltrain, at the 4th and King Station and adjacent railyards. The site is home to significant passenger, operational, and maintenance functions. Plans for the site have an important relationship to development of the Caltrain system, the DTX project, and the introduction of CAHSR service along the peninsula.



**CAHSR:** The Transportation Authority supports this important project by coordinating with City agencies and monitoring the California High-Speed Rail Authority's planning and project development for issues of concern to San Francisco. Through involvement in the associated DTX and CalMod programs, the Transportation Authority provides additional coordination of these related efforts with CAHSR.

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 and the Traffic Congestion Mitigation Tax Program Guidelines; 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.

Selected 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.

Selected 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 and project development 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, and approximate \$2,700,000 for each of the two one-year extensions, for a maximum dollar amount of \$13,400,000. Please note this is a ceiling and not a target.



The Transportation Authority seeks consultant services with expertise in the four tasks described 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 and Project Controls**

The purpose of Task 1 is to provide consultant services to manage capital projects and project studies led by the Transportation Authority. Task 1 encompasses direct project management support services and comprehensive project controls services. Task 1 is intended to support projects at all stages of planning, development, and delivery.

Project Management support services through Task 1 will augment and enhance the project management capacity of Transportation Authority staff. The specific requested Project Management services are anticipated to include:

- Serve as consultant project manager or deputy project manager for projects and project studies led by the Transportation Authority.
- Prepare for and/or lead project progress meetings between consultants, the Transportation Authority, and other involved agencies; prepare and distribute minutes; execute and monitor action items.
- Develop and manage project scopes of work and workplans; monitor and report on progress; adjust project workplans as required/directed.
- Develop and manage project budgets; monitor expenditures and report against project funding and percent completion.
- Develop and manage project schedules; review baseline schedules and make proposals for revision; advise on activity dependencies.
- Monitor and manage projects issues and risks; develop and implement risk mitigations and issue resolutions.
- Review technical deliverables and coordinate/manage multi-party review processes.
- Provide full-service Construction Management services, including but not limited to field management, contract management, schedule management, quality management, reporting, review of construction management plans, review and reporting of project progress, issue and risk management, and all other required construction management activities.
- Provide input into cooperative agreements, memoranda of understanding, and coordination agreements.
- Support inter-agency processes for project development, including with Caltrans, Federal Transit Administration (FTA), Federal Railroad Administration, Federal Highway Administration (FHWA), and the City.
- Support other project management activities as directed.



Project Controls services provided through Task 1 will provide a flexible level of support to the Transportation Authority, depending on the needs and stage of specific projects. The specific requested Project Controls services are anticipated to include:

- Provide integrated project reporting on a monthly or quarterly basis to satisfy funding requirements, support internal and partner review, and monitor project progress; develop and manage reporting templates; provide all necessary coordination to prepare, review, and submit reports.
- Provide comprehensive control of project budgets and expenditures, including work breakdown structure, cost controls, expenditure tracking, and forecasting; integrate with related controls activities (e.g., schedule management).
- Provide comprehensive schedule management and control; prepare and maintain detailed Critical Path Method (CPM) schedules, including all project activities and phases; prepare and maintain graphic/Gantt Chart presentations of summary schedules; coordinate regular updates to schedules, including inputs from multiple parties.
- Develop and implement records management procedures, including document control, templates, archiving, and project communications.
- Lead and provide Quality Assurance/Quality Control (QA/QC) activities/services, including development and execution of quality management plans, development and execution of QA/QC procedures, and QA/QC coordination; quality management procedures will be consistent with project requirements, including those of funding agencies (e.g., Caltrans, FHWA, FTA, etc.).
- Provide necessary and appropriate controls services for construction phase projects, including review and analysis of invoices, review and analysis of project submittals, review and analysis of contract modifications, earned value analysis, advice for contract negotiations, and other services as needed.
- Prepare and maintain management and controls plans (e.g., project management, quality management, controls, risk management, configuration management, etc.).
- Establish and process project controls documents and transmittals.
- Support other project controls activities as directed.

Desired areas of expertise include:

- 1.1 Project Management Support Services
- 1.2 Construction Management
- 1.3 Inter-agency Processes
- 1.4 Project Controls
- 1.5 Schedule Development
- 1.6 Quality Assurance and Project Management Plans

## **TASK 2 - Project Oversight and Monitoring**

The purpose of Task 2 is to provide consultant services for the Transportation Authority's oversight and monitoring of projects led by other agencies, including projects in development and in delivery. The Transportation Authority provides routine monitoring and oversight of small and





medium-scale projects, as well as enhanced oversight of major projects, particularly those with a significant investment of funds allocated and/or programmed by the Transportation Authority.

Project Oversight and Monitoring through Task 2 will augment and enhance the capacity of Transportation Authority staff. The specific requested services are anticipated to include:

- Work with Transportation Authority and partner agency staff to develop oversight protocols and procedures.
- Advise on oversight requirements for specific projects, and prepare oversight management plans for major projects, subject to an enhanced level of oversight.
- Conduct oversight of design development, including preliminary design, final design, and constructability; incorporate technical support/advice from appropriate engineering disciplines and other areas of technical expertise.
- Conduct oversight of other project development disciplines, including environmental, financial/funding, and construction preparation.
- Conduct oversight of procurement documentation and plans, including specifications, requirements, procurement management plans, procurement processes, etc.
- Conduct oversight of construction-phase work, including budget management, construction activity, risk and contingency management, decision-making, and project schedule/delivery progress.
- Conduct independent reviews of technical work products, such as review of contract documents, constructability reviews of design and/or construction plans; prepare technical memoranda to document independent findings; participate in review sessions with project sponsors and their advisors.
- Develop and maintain relationships, as directed, with partner agency project staff and consultants, as necessary to fulfill oversight functions.
- Develop standard and project-specific reporting templates for projects overseen by the Transportation Authority.
- Prepare monthly and/or quarterly reports for applicable projects, to record project activities, status, risks, issues, budget/funding status, schedule progress, and other information.
- Support other project monitoring and oversight activities as directed.

Desired areas of expertise include:

- 2.1 Project Development and Design Phase Oversight
- 2.2 Environmental Oversight and Monitoring
- 2.3 Project Procurement Oversight
- 2.4 Construction Phase Oversight

### **TASK 3 - Project Development and Delivery Support Services**

The purpose of Task 3 is to provide strategic advisory and technical services to support the Transportation Authority and its partner agencies in developing projects for delivery readiness, as well as supporting key functional activities during delivery.



Project Development and Delivery Support Services through Task 3 will augment and enhance the capacity of Transportation Authority staff. The specific requested Development and Delivery Support services are anticipated to include:

- Develop and maintain project funding plans; advise on funding sources, funding strategy, and financial arrangements; review funding plans prepared by other agencies.
- Conduct major project financial analyses; build and maintain project financial models; develop financial plans; conduct value for money analysis; review financial plans, models, and analyses prepared by other agencies.
- Review planning and design documents for feasibility, constructability, and construction sequencing; facilitate and/or participate in constructability workshops.
- Advise on project delivery, procurement, and contracting methods, including traditional, integrated, collaborative, and alternatively-financed approaches; identify opportunities for innovative project delivery methods; develop comparative options analyses and recommend delivery approaches; prepare integrated delivery strategies incorporating design/requirements, risks, market context, funding/financing, governance, procurement, and operations.
- Advise on project governance requirements and project delivery organizational design; prepare integrated plans for project oversight, decision-making, and change management.
- Lead and coordinate risk management planning and implementation; prepare and manage risk registers and issues logs; prepare for and facilitate comprehensive risk reviews and workshops.
- Review of design documents for value engineering; advise on value engineering strategies; facilitate and/or participate in value engineering workshops.
- Capital cost estimation, including Independent Cost Estimate services.
- Operating cost estimation, for fixed facilities and transit operations.
- Provide real estate and right-of-way (ROW) advisory and management services; prepare Real Estate Acquisition Management Plans and/or review such plans prepared by others; review and advise on specific ROW issues and strategies.

Desired areas of expertise include:

- 3.1 Funding Strategy and Funding Plan Development
- 3.2 Project Financial Analysis and Modeling
- 3.3 Feasibility, Constructability, and Construction Sequencing
- 3.4 Project Delivery Methods and Evaluation
- 3.5 Risk Analysis and Risk Management
- 3.6 Cost Estimation
- 3.7 Value Engineering
- 3.8 Real Estate and Right of Way Management Services

## **TASK 4 - Engineering and Technical Services**

The purpose of Task 4 is to provide a range of engineering and technical services required by the Transportation Authority. Services in the involved disciplines will include direct



support/deliverables for Transportation Authority-led projects as well as review of work prepared by other agencies.

The specific requested Engineering and Technical Services are anticipated to include:

- Traffic and transit operations analysis including systems and network modeling
- Environmental studies and environmental review preparation
- Other environmental activities, including evaluation reports and permitting documents
- Preliminary engineering and design documents for local roadway, state highway, and transit projects
- Geometric designs for transit and roadway infrastructure
- Intelligent Transportation Systems and tolling strategies
- Ferry planning, operations, and engineering
- Rail planning, development, and delivery, including:
  - Rail project planning, including for new and infill stations, station upgrades, extensions, grade separations, and new fixed alignments at/above- and below-grade
  - Rail project design for light rail, conventional gauge, and wide-gauge systems, including track geometric design, subway tunnel design, and at/above- and below-grade stations
  - Rail facilities planning and design, including maintenance and storage facilities
  - Rail systems planning and design, including core systems, supporting systems, and systems integration
  - Rail system operations planning and analysis, including sketch-level and simulation-level modeling
  - Rail system renewal planning and design, including legacy asset/systems assessment, state-of-good-repair program development, and asset management
- Building design and engineering for transportation facilities and related infrastructure improvements
- Geotechnical evaluation, ground exploration, and testing for tunneling and subsurface structures
- Existing site conditions documentation including surveying and utility mapping

Desired areas of expertise include:

- 4.1 Civil Engineering
- 4.2 Structural Engineering
- 4.3 Traffic Engineering
- 4.4 Utility Engineering and Agreements
- 4.5 Geotechnical Engineering
  - 4.5.1 Tunnel and Underground Engineering
  - 4.5.2 Geotechnical Analysis and Evaluations
- 4.6 Rail Operations Analysis and Planning
- 4.7 Rail Systems Engineering
- 4.8 Rail State of Good Repair Program Development
- 4.9 Intelligent Transportation Systems and Technologies
- 4.10 Tolling Systems Integration and Commissioning
- 4.11 Ferry Service Planning, Engineering, Operations
- 4.12 Environmental Review Development, Permitting, Impact Evaluation, Clearance, and Compliance



4.13 Architecture and Landscape Architecture

4.14 Surveying and mapping

## **General Administration**

The selected consultants 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 task order 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 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 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, 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 21/22-11 for On-Call PM&E".
- **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 21/22-11", and submit along with the SOQ.

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



**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)

Name:

Title:

Address:

City, State, ZIP:

Phone Number:

Email:

**2. Selection Process Lead** (The individual to whom correspondence and other contacts should be directed during the consultant selection process)

Name:

Title:

Address:

City, State, ZIP:

Phone Number:

Email:

**3. Negotiating Officer** (The individual who will negotiate with the Transportation Authority and who can contractually bind the respondent's firm)

Name:

Title:

Address:

City, State, ZIP:

Phone Number:

Email:

**4. Company Headquarter Office**

Address:

City, State, ZIP:

Phone Number:



<p><b>5. List proposed co-venture arrangements or sub-consultants, if any:</b></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><b>6. <input checked="" type="checkbox"/> This letter is signed by an officer that is authorized to bind the respondent contractually.</b></p>
<p><b>7. <input checked="" type="checkbox"/> This SOQ is firm for a 180-day period from the SOQ submission deadline.</b></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 DBE, SBE and/or 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 D - 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.

With respect to any work performed by a design professional as defined in Civil Code section 2782.8, such indemnities shall apply only to the extent permitted by said section 2782.8.

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. (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 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. (30 points)**

- a. Insight and understanding of special issues, problems and constraints in carry out 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. (50 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 dollar value of task orders, approximately 60 tasks orders will be issued from this contract. In addition, transportation project management and general engineering services tasks valued above \$1,200,000, or equivalent to 15% of total contract value, may be bid under a separate procurement process at the Transportation Authority's sole discretion.

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](http://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 – PROHIBITING CONTRACTING IN STATES THAT ALLOW DISCRIMINATION AGAINST LGBT INDIVIDUALS AND IN STATES WITH RESTRICTIVE ABORTION LAWS**

On September 22, 2020, through Resolution No. 21-13, the Transportation Authority Board approved revisions to the Procurement Policy, which place a ban on Transportation Authority contracts involving states with anti-LGBT laws and/or restrictive abortion laws. Subject to the exceptions listed in the Procurement Policy, Proposers are hereby advised that this IRFP is subject to the requirements of the Procurement Policy ban, which prohibits the Transportation Authority from entering into a contract with a contractor that has its headquarters in a state that has enacted a law or laws that perpetuate discrimination against LGBT people and/or has enacted a law that prohibits abortion prior to the viability of the fetus, or a contractor that will perform any or all of the work on the contract in such a state.

A list of banned states is known as the Covered State List and is maintained by the City Administrator of the City and County of San Francisco. The Covered State List is posted on the website of the Office of the City Administrator at <https://sfgsa.org/chapter-12x-state-ban-list>. This list is reviewed on at least a semiannual basis. The procurement ban only applies to contracts that were first advertised, solicited, or initiated on or after September 22, 2020. Work performed by a subcontractor or subconsultant are excluded from a procurement ban.

## **SECTION XI – 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 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:

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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																
<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

Areas of Expertise	Description	Mark areas of expertise
<b>1. Project Management and Project Controls</b>		
	1.1 Project Management Support Services	
	1.2 Construction Management	
	1.3 Inter-agency Processes	
	1.4 Project Controls	
	1.5 Schedule Development	
	1.6 Quality Assurance and Project Management Plans	
<b>2. Project Oversight and Monitoring</b>		
	2.1 Project Development and Design Phase Oversight	
	2.2 Environmental Oversight and Monitoring	
	2.3 Project Procurement Oversight	
	2.4 Construction Phase Oversight	
<b>3. Project Development and Delivery Support Services</b>		
	3.1 Funding Strategy and Funding Plan Development	
	3.2 Project Financial Analysis and Modeling	
	3.3 Feasibility, Constructibility, and Construction Sequencing	
	3.4 Project Delivery Methods and Evaluation	
	3.5 Risk Analysis and Risk Management	
	3.6 Cost Estimation	
	3.7 Value Engineering	
	3.8 Real Estate and Right of Way Management Services	
<b>4. Engineering and Technical Services</b>		
	4.1 Civil Engineering	
	4.2 Structural Engineering	
	4.3 Traffic Engineering	
	4.4 Utility Engineering and Agreements	
	4.5 Geotechnical Engineering	
	4.5.1 Tunnel and Underground Engineering	
	4.5.2 Geotechnical Analysis and Evaluations	
	4.6 Rail Operations Analysis and Planning	
	4.7 Rail Systems Engineering	
	4.8 Rail State of Good Repair Program Development	
	4.9 Intelligent Transportation Systems and Technologies	
	4.10 Tolling Systems Integration and Commissioning	
	4.11 Ferry Service Planning, Engineering, Operations	
	4.12 Environmental Review Development, Permitting, Impact Evaluation, Clearance, and Compliance	
	4.13 Architecture and Landscape Architecture	
	4.14 Surveying and Mapping	

**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  2<sup>nd</sup> 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 <sup>1</sup>	Hourly Billing Rates <sup>2</sup>			Effective Date of Hourly Rate		Actual or Avg. Hourly Rate <sup>4</sup>	% or \$ Increase	Hourly Range - for Classifications Only
	Straight <sup>3</sup>	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)





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 12 %

**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 Business and Economic Opportunity Web site at: <https://dot.ca.gov/programs/business-and-economic-opportunity/dbe-search>.
  - 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 %
<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: _____ 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 COMMITMENT**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 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><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. 10)  (last name, first name, MI)</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 12:</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

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: