



Request for Proposals

for Performance Monitoring and Analysis Services

Date Issued	Proposals Due	Expected Duration	Budget	DBE Goal	Contact
November 2, 2018	December 3, 2018 at 2:00 p.m. (electronically)	Two years plus two two-year options	\$100,000	16%	Steve Stamos Management Analyst 415.522.4817 steve.stamos@sfcta.org

SECTION I – NOTICE

Notice is hereby given that the San Francisco County Transportation Authority (Transportation Authority) is requesting proposals from qualified respondents (proposers) to provide performance monitoring and analysis services.

Pre-Proposal Conference. Although attendance at the pre-proposal conference is not mandatory, proposers and sub-consultants are encouraged to attend a pre-proposal conference to be held at the Transportation Authority's offices, 1455 Market Street, 22nd Floor, Hearing Room. See the schedule in Section II for the conference date and time. Attendees are requested to confirm attendance by completing the online registration form at www.sfcta.org/contracting by 5:00 p.m. the day before the conference.

Questions. Questions may be submitted in writing by the stated deadline in Section II by e-mail to info@sfcta.org; please include "RFP 18/19-06 – Performance Monitoring & Analysis" in the subject line. The Transportation Authority's responses will be posted to www.sfcta.org/contracting by the date indicated in the schedule, and any addenda to the RFP will also be made available on that webpage prior to the proposal due date. Please see Section II for all important dates and deadlines.

SECTION II – SELECTION PROCESS SCHEDULE

Date	Phase/Item Due
November 2, 2018	Release of RFP
November 12 5:00 p.m.	Pre-proposal conference attendees requested to submit registration: www.sfcta.org/contracting
November 13 2:00 p.m.	Pre-proposal conference held at the Transportation Authority's offices
November 14 5:00 p.m.	Proposers to submit written questions to Transportation Authority
November 19*	Transportation Authority issues written responses to questions

December 3 2:00 p.m.	Responses to RFP and separate cost proposals due electronically. Late submissions will not be accepted.
December 7*	Invitation(s) to interview issued to short list of proposers* (if necessary)
December 12-14*	Interviews* (scheduled if necessary)
January 8*	Recommendation to Transportation Authority Board for award
January 22*	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. Beginning in April of 1990, the State of California Board of Equalization started collecting the sales tax revenues for the Transportation Authority. In November 2003, San Francisco voters approved a new 30-year Expenditure Plan (Prop K Expenditure Plan) that superseded Prop B, and continued the one-half of one percent sales tax.

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

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

On November 2, 2010, San Francisco voters approved Proposition AA, establishing a new \$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.

Project Background and Purpose

The Transportation Authority, as the CMA for San Francisco and in accordance with the state Congestion Management Program (CMP) legislation, monitors the CMP roadway network for level of service (LOS) on a biennial basis. Appendix 2 of the 2017 CMP (link provided below) describes the legislative requirements for LOS monitoring. Although not specifically required by the CMP legislation, the Transportation Authority also monitors transit speeds and transit reliability and collects data related to pedestrians and bicycles as a measure of multi-modal system performance.

In 1991, the Bay Area CMAs designated CMP networks in coordination with the Metropolitan Transportation Commission's (MTC's) development of the Metropolitan Transportation System designation. Since the original designation, periodic minor changes have been made to the San Francisco CMP network, in accordance with state legislation and MTC guidance. Under state law, no facility may be removed from the CMP network so long as the facility remains in operation.

The 2019 monitoring effort is required to collect data for the official CMP network in the AM and PM peak periods. Table 1 below summarizes the directional mileage of segments in the official CMP network.

Table 1. Study Miles Summary

	Roadway Type	Directional Mileage
CMP Network	Arterial	202.1
	Freeway	34.9
	Total	237.0

No major segmentation changes are anticipated for the 2019 CMP versus the 2017 CMP. Details about the 2017 monitoring methodology are available on the Transportation Authority's website here: https://www.sfcta.org/sites/default/files/content/Planning/CongestionManagementPlan/2017/CMP_2017_appendices_12.05.17.pdf

The Transportation Authority's practice has been to create segment definitions that begin or end due to land use change, speed limit change, major cross street, significant change in observed traffic volumes, or the presence of a freeway ramp. One block segments are inappropriate for CMP purposes, as they tend to merely capture the effect of signal delay rather than overall network congestion conditions. As such, LOS for CMP purposes will continue to be calculated based on the Transportation Authority's established CMP segmentation.

SECTION IV - SCOPE OF SERVICES

This RFP describes the 2019 CMP monitoring effort, which will collect traffic speed and transit speeds and report corresponding performance measures, including segment vehicle LOS, for the designated CMP roadway network, as well as assemble and collect multimodal counts at designated locations. Traffic speed is primarily derived from INRIX data made available to the Transportation Authority at no cost by MTC, complemented by floating car runs where necessary. The Transportation Authority has budgeted \$100,000 for this contract. Please note this is a ceiling and not a target. It is anticipated that a contract will be

awarded for a two-year term, with options to renew for two additional two-year terms, which may be exercised at the discretion of the Transportation Authority.

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. Proposers should be prepared to mobilize within 48 hours following contract negotiations and contract award by the Transportation Authority Board.

Specific tasks include: 1) work program and project management, 2) LOS monitoring and data analysis, 3) traffic counts, 4) transit speed monitoring, 5) transit volume monitoring, 6) transit coverage, 7) preparation of the draft speed and LOS monitoring report and 8) preparation of the final report. The tasks are detailed below:

TASK 1 – Work Program and Project Management

The selected consultant will work with Transportation Authority staff to prepare a Work Program for the scope of services described herein. The Work Program will be a detailed plan of the study procedures and process. The selected consultant will clearly describe the firm’s approach and schedule for completing the Work Program, which will build on the Transportation Authority’s experience from previous LOS monitoring cycles. The Transportation Authority and the selected consultant will mutually agree upon the Work Program.

The 2019 project schedule is shown in Table 2 below.

Table 2. Schedule

Kick-off meeting	January 2019
2019 Monitoring and Data Analysis	April-May 2019
2019 Draft Report	October 2019
2019 Final Report	November 2019

Deliverables:

1. *Work Program*
2. *Detailed Schedule*

TASK 2 – LOS Monitoring & Data Analysis

The selected consultant will assemble private commercial traffic speed data (INRIX) for spring 2019 to generate speed, LOS, and travel time data at the CMP segment level. For purposes of this data assembly effort, the AM peak period is from 7:00 a.m. to 9:00 a.m. and the PM peak period is from 4:30 p.m. to 6:30 p.m. Data shall be screened to avoid Mondays and Fridays, holidays, school district breaks, inclement weather, major events such as sporting events or festivals, and any other special incidents. The selected consultant will also ensure the results for each segment are based on a sufficient sample size as necessary for accuracy.

The selected consultant will conduct floating car runs to collect data for LOS monitoring during the weekday AM and PM peak periods where INRIX data is not provided or is deemed unreliable by both the selected consultant and the Transportation Authority for the arterial and freeway segments listed in Appendix 5 of the 2017 CMP (link provided in Section III). The selected consultant will identify segments requiring data collection through floating car runs through a review of INRIX data and provide a complete list to the Transportation Authority before conducting data collection runs. For purposes of this data collection effort, the AM peak period is from 7:00 a.m. to 9:00 a.m. and the PM peak period is from

4:30 p.m. to 6:30 p.m. The Transportation Authority reserves the right to substitute any of the proposed segments with other roadway segments. Data collection shall avoid Mondays and Fridays, holidays, school district breaks, inclement weather, major events such as sporting events or festivals, and any other special incidents. The selected consultant will submit progress reports to the Transportation Authority that will include a list of the data collected, the data yet to be collected, data processing steps completed and remaining, data that had to be discarded, any monitoring problems/issues, and an updated schedule.

The selected consultant shall clean and process the private commercial traffic speed data (INRIX) and the floating car run data for the same timeframe (spring 2019) to generate speed, LOS, and travel time data at the CMP segment level. Again, data shall be screened to avoid Mondays and Fridays, holidays, school district breaks, inclement weather, major events such as sporting events or festivals, and any other special incidents. The selected consultant will also ensure the results for each segment are based on a sufficient sample size as necessary for accuracy. The selected consultant will calculate LOS based on both the Highway Capacity Manual (HCM)-1985 (all CMP segments) and HCM-2000 (interrupted flow urban street segments only) methodologies for the existing network segmentation. This information, as well as the raw data, will be submitted to the Transportation Authority in a spreadsheet compatible with the Transportation Authority's transportation analysis database. The selected consultant will report speed, LOS, and travel time data at the CMP segment level.

The selected consultant will submit progress reports to the Transportation Authority that will include a list of the data collected, the data yet to be collected, data processing steps completed and remaining, data that had to be discarded, any monitoring problems/issues, and an updated schedule. A geo-database (compatible with ArcGIS Desktop 10.0) will be submitted to the Transportation Authority (in addition to the spreadsheets) and will include applicable attributes. The selected consultant will provide Python scripts used for processing the INRIX data to produce the final cleaned data set.

Deliverables:

1. *LOS data collection progress reports*
2. *Speed and LOS spreadsheets*
3. *Geo-database of speed and LOS data*
4. *Python scripts for processing INRIX data*

TASK 3 – Traffic Counts

The selected consultant will collect traffic volume and/or turning movement data on segments or at intersections to be specified by the Transportation Authority. The selected consultant shall clean and process the data to generate the required outputs. The selected consultant will also assemble counts from the Caltrans Performance Measurement System (PeMS) and Caltrans Count Census for key locations, and will clean and process the data to generate the required outputs.

For count locations specified by the Transportation Authority as 48 half-hour machine count locations, counter placement shall be positioned within the boundaries specified by the Transportation Authority unless otherwise approved by the Transportation Authority's project manager. Digital photographs shall be taken at each count location clearly showing the number of lanes, median type, and hose location. The location and orientation of each photo shall be noted within the filename of each photo. The count locations shall be accurately recorded in latitude and longitude decimal degrees to at least five decimal places. Such locations shall be established using Global Positioning System (GPS) technology. Latitude and longitude coordinates shall be based on the Universal Transverse Mercator (UTM) coordinate system. All machine counts will provided in a spreadsheet format compatible with the Transportation Authority's "Count Dracula" count database.

For count locations specified by the Transportation Authority as 48 half-hour turning movement counts, digital photographs shall be taken at each count intersection. The location and orientation of each photo shall be noted within the filename of each photo. At each intersection approach, the number of lanes and usage of each (left, right or thru) at the stop line shall be recorded. If a manual count is used, a camcorder shall be set on a tripod beside the technician to record the same traffic for the entire counting duration. The selected consultant is not required to conduct video review except in instances where a quality review suggests the reported data to be incomplete or incorrect in some way; however video files will serve as a ground truth for future data analysis or in the case that data must be verified. Bicycles, counted in the same manner as other roadway vehicles but reported separately, and the number of pedestrian crossings at each approach of intersection shall be a part of the intersection Turning Movement Count data collection. All turning movement counts will be provided in a spreadsheet format compatible with the Transportation Authority's "Count Dracula" count database.

The selected consultant will review the traffic count data provided by any subcontractors to ensure its reasonableness. If issues are encountered, these will be raised with the Transportation Authority for direction on how to proceed. Traffic count data will be provided in a format agreed upon by the selected consultant and the Transportation Authority, and will include traffic volumes, turning movements (where specified as a turning movement count), digital photographs and count location description information.

For count locations specified by the Transportation Authority from PeMS and the Caltrans Count Census, the selected consultant will develop scripts to collect and summarize average counts for typical weekdays, Saturdays and Sundays at a half-hour resolution. The selected consultant will also investigate PeMS backend database to identify the integration of Caltrans Count Census data into PeMS, if any, based on the available census stations in the City and County of San Francisco. The selected consultant will identify and use the most appropriate channel to access and analyze the Caltrans Count Census data (i.e., via PeMS backend/PeMS clearing house/Caltrans Traffic Census Program webpage). For count locations specified by the Transportation Authority from PeMS and the Caltrans Count Census, the selected consultant will develop scripts to collect and summarize average counts for typical weekdays, Saturdays and Sundays at a half-hour or other user-defined data resolution.

The selected consultant will submit progress reports to the Transportation Authority that will include a list of the data collected, the data yet to be collected, data processing steps completed and remaining, data that had to be discarded, any monitoring problems/issues, and an updated schedule.

Deliverables:

- 1. Traffic count data collection progress reports*
- 2. Spreadsheets with machine counts at half-hour resolution*
- 3. Spreadsheets with turning movement counts at half-hour resolution*
- 4. Spreadsheets with PeMS/Caltrans Count Census counts at half-hour resolution*
- 5. Technical memorandum outlining the methodology for PeMS/Caltrans Count Census Data Processing*
- 6. Python scripts to collect and process PeMS and Caltrans Count Census data*

TASK 4 – Transit Speed Monitoring

The Transportation Authority will provide the selected consultant with a set of raw transit (Automatic Vehicle Location (AVL)/Automatic Passenger Count (APC)) data for the same AM and PM peak periods as the LOS monitoring performed in a prior contract in order to provide for direct transit-to-auto comparisons. The Transportation Authority will provide the data in a single submittal. The selected consultant will utilize Geographic Information System (GIS) and database processing tools developed in the prior contract to clean the data and summarize transit performance. The selected consultant will

provide transit speeds, segment travel time and travel time variability, and transit-to-auto speed ratios by CMP network segment for all segments on which surface transit is operated.

Deliverables:

1. *Spreadsheets and geo-database with transit speeds, transit-to-auto speed ratios, and reliability (variability)*
2. *Technical memorandum outlining methodologies and assumptions used to create transit database processing tool and outputs*
3. *Python scripts to process AVL and APC for generating transit speeds, segment travel time and travel time variability, and transit-to-auto speed ratios by CMP network segment for all segments on which surface transit is operated*

TASK 5 – Transit Volume Monitoring

The Transportation Authority will provide the selected consultant with a set of raw APC data and station flow data for all 24-hours for all major transit operators serving San Francisco, which the selected consultant will analyze in order to calculate transit boardings, alightings and loads by time-of-day. The Transportation Authority will provide the data in a single submittal. The selected consultant will provide average boardings, alightings, loads at key cordons at a 30-minute resolution for typical weekdays, Saturday and Sunday. Note that balancing or adjusting the alightings and boardings are not a part of this task. If the selected consultant identifies this to be a major issue, it will be brought to the Transportation Authority's attention, with recommendations on plausible methods to reconcile the observed discrepancies.

Deliverables:

1. *Spreadsheets with average boardings, alightings, loads at key cordons at a 30-minute resolution for typical weekdays, Saturday and Sunday*
2. *Technical memorandum outlining methodologies and assumptions used to create transit database processing tool and outputs*

TASK 6 – Transit Coverage

The selected consultant will research transit coverage performance measures and recommend a preferred measure or small set of performance measures that can be tracked over time using existing data sources, such as stop density, geographic coverage by population, employment density, etc. The selected consultant will document the inputs and processing steps required to compute the recommended performance measure after confirming the measure with Transportation Authority staff.

Deliverables:

1. *Spreadsheets and transit coverage performance measures*
2. *Technical memorandum outlining transit coverage performance measure methodology and assumptions*
3. *Python script(s) for producing transit coverage metric(s)*

TASK 7 – Draft 2019 Speed, Volume, and LOS Monitoring Report

The selected consultant will produce a draft report that includes:

- Information on construction or other temporary conditions that appear to impact any of the monitored segments;
- Tabulations comparing LOS measurements (using both HCM-1985 and HCM-2000 criteria to facilitate comparisons), transit speeds, and transit-to-auto speed ratios for each segment to those obtained in previous years;

- Tabulations showing traffic volume data collected in 2019, compared to previous counts at similar locations, if available (to be provided by the Transportation Authority);
- GIS maps illustrating the monitored network and observed LOS conditions (using both HCM-1985 and HCM-2000 criteria to facilitate comparisons), traffic volumes, and transit speeds;
- Identification of segments with LOS F and whether they a) may need follow-up monitoring or deficiency planning, or b) are exempt from deficiency planning requirements. The Transportation Authority may be required to conduct deficiency planning if a non-exempt segment is found to be at LOS F for the past two monitoring cycles. Monitored segments with LOS F that are not exempt may require additional data collection equivalent to two floating car runs to verify the LOS F finding.
- A general summary/analysis of citywide speed, volume, and LOS, with trends for the same, including the percentages of the network where speeds have increased, decreased, or remained the same and an identification of segments that are contributing significantly to overall trends; and
- A set of citywide metrics such as an average citywide freeway speed, an average citywide arterial speed, and an average transit speed based on the CMP segments monitored in this cycle.

Deliverable:

1. *Spring 2019 Speed and LOS Monitoring Draft Report (digital format)*

TASK 8 – 2019 Final Report

Following one round of review of the draft report and consultation with the Transportation Authority, the selected consultant will provide a final report containing revisions and clarifications as necessary. The final report will also include a digital copy of all tabulations, spreadsheets, databases, and GIS files.

Deliverables:

1. *Final Report (five hard copies and one digital copy)*
2. *Final Monitoring Results Spreadsheets/Database/GIS (digital format)*

SECTION V – RFP RESPONSE REQUIREMENTS: CONTENT AND FORMAT

All proposals should be clear, concise, and provide sufficient information to minimize questions and assumptions. Proposals should be limited to 12 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 accepts no financial responsibility for any costs incurred in the preparation of proposals. Upon receipt by the Transportation Authority, all accepted proposals submitted in response to this RFP will become the property of the Transportation Authority.

Time and Place for Submission of Proposals. By the proposal submission deadline, the following must be transmitted:

- **Proposal** (written proposal, 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 RFP 18/19-06 for Performance Monitoring & Analysis”.
- **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 RFP 18/19-06” and submit along with the proposal.

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

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

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

<p>1. Project Manager (The individual in charge of the scope of services, and who will be the Transportation Authority's contact throughout the contract duration)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>
<p>2. Selection Process Lead (The individual to whom correspondence and other contacts should be directed during the consultant selection process)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>
<p>3. Negotiating Officer (The individual who will negotiate with the Transportation Authority and who can contractually bind the proposer's firm)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>

<p>4. List proposed co-venture arrangements or sub-consultants, if any:</p> <p>1. Company: DBE status: Percentage of involvement: Name: Title: Address: City, State, ZIP: Phone Number: Email:</p> <p>2. ...</p>
<p>5. <input checked="" type="checkbox"/> This letter is signed by an officer that is authorized to bind the proposer contractually.</p>
<p>6. <input checked="" type="checkbox"/> This proposal is firm for a 120-day period from the proposal submission deadline.</p>

Content. Proposals must contain the following five sections:

1. Proposer Information and Understanding of Project Objectives. In this section, the proposer 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 proposer must describe its approach to the delivery of the services included in Section IV. This section must (1) reflect the proposer's knowledge of, and ability to demonstrate, a sound approach to the requested services, (2) include a discussion on potential impacts to cost, scope, and schedule based on lessons learned, including any recommendations the consultant proposes to lower and/or control costs given the proposed scope of the project and (3) demonstrate the proposer's knowledge of adjacent projects and their potential impacts to the delivery of the services of this RFP.

Proposer must provide the names and positions of all staff for the proposed team. An organization chart should be included that clearly establishes principal team member firms and sub-consultants, if any. Proposer must 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 proposal 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 proposal should briefly address how the efforts of each of the team members will be coordinated. Proposers should provide a staffing plan with level of effort (e.g., person hours per staff) by task. Do not include budget or rate information in the written proposal; 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.

Proposals 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. Proposers must state the qualifications and experience of the proposed team, emphasizing the specific qualifications and experience acquired while providing services similar to those being sought by the Transportation Authority, particularly for the Project Manager and

other key project staff members assigned to the Project. Except under certain circumstances beyond the proposer’s control, the Transportation Authority will not accept substitutions of key members of the team put forth as part of the winning proposal.

This section must include the following information:

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

4. Assurances and Miscellaneous Items. In this section, proposals must provide the following information:

- a. Proposers 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 proposal. Exhibit samples are attached to this RFP.

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 – Guidance for Bidders Completing the Good Faith Effort Submittal		
Exhibit 10-I – Notice to Proposers DBE Information		
Exhibit 10-O1 – Local Agency Consultant Proposal DBE Commitment	X	
Exhibit 10-O2 – Local Agency Consultant Contract DBE Information	X	

Exhibit 10-Q – Disclosure of Lobbying Activities	X	X
Exhibit 15-H – DBE Information – Good Faith Efforts	X	

- b. Proposers 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 RFP. 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. Proposers must specify any potential or perceived conflicts of interest which would disqualify its firm from doing business with the Transportation Authority. If proposers are unaware of existing or foreseeable conflicts of interest, a simple statement will suffice. However, proposers 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. Proposers must list any political contributions of money, in-kind services, or loans made to any current member of the Transportation Authority Board of Commissioners within the last three (3) years by management positions of the proposed consultant or sub-consultant. If proposers are unaware of any political contributions, a simple statement will suffice. However, if proposers are aware of any political contribution, proposals should include details, such as to whom, what type of contribution, the date and the amount.
- e. Proposers 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. Proposers shall acknowledge receipt and understanding of the following Transportation Authority contracting requirements and state its ability and willingness to comply with each of them in its proposal. The Transportation Authority does not intend to deviate from its standard contract language.

i. **Insurance**

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

- (a) Workers’ Compensation, in statutory amounts, with Employers’ Liability Limits not less than \$1,000,000 each accident;
- (b) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations;
- (c) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable; and

- (d) Professional Liability Insurance with limits not less than \$2,000,000 per claim. Sub-consultants providing professional services under this Agreement shall be added to Contractor's policy as additional insured, or shall provide evidence of their own professional liability insurance which is acceptable to the Transportation Authority's Executive Director.

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

ii. **Indemnification**

- (a) **Generally.** To the fullest extent permitted by law, Contractor shall assume the defense of (with legal counsel subject to approval of the Transportation Authority), indemnify and save harmless the Transportation Authority, its boards, commissions, officers, and employees (collectively "Indemnitees"), from and against any and all claims, loss, cost, damage, injury (including, without limitation, injury to or death of an employee of the Contractor or its sub-consultants), expense and liability of every kind, nature, and description (including, without limitation, incidental and consequential damages, court costs, attorneys' fees, litigation expenses, fees of expert consultants or witnesses in litigation, and costs of investigation), that arise out of, pertain to, or relate to, directly or indirectly, in whole or in part, the negligence, recklessness, or willful misconduct of the Contractor, any sub-consultant, anyone directly or indirectly employed by them, or anyone that they control (collectively, "Liabilities").

- (b) **Limitations.** No insurance policy covering the Contractor's performance under this Agreement shall operate to limit the Contractor's Liabilities under this provision. Nor shall the amount of insurance coverage operate to limit the extent of such Liabilities.

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

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

iii. **Incidental and Consequential Damages**

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

5. 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 proposer's allowable incurred costs, to the extent prescribed in the contract, plus a fixed fee. The cost proposal must include a budget comprised of a matrix with columns for hourly rates, classification, and name for all personnel and/or sub-consultants involved for the work described in Section IV above. It also must provide a breakdown of hours and costs for each task listed in the scope of work. The cost proposal must also identify profit margins, overhead, any other direct or indirect costs and percentage of any expected salary increases or cost of living adjustments, not to exceed 3% annually. The cost proposal must include a method for establishing rates for personnel or classifications not listed. In addition, the cost proposal must include a billing rate schedule by classification 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 proposals will be evaluated by a selection committee appointed by the Executive Director and scored (maximum of 100 points) using the following criteria:

1. Proposer Information and Understanding of Project Objectives. (15 points)

- a. Responsiveness to all items requested in the RFP, such as completeness of submission, adherence to required page limits, overall organization and clarity of proposal; 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. (50 points)

- a. Effectiveness of the proposed work plan, program and method of execution;
- b. Technical solutions to meet the scope of services; insight and understanding of special issues, problems and constraints, approach towards mitigating and resolving them;
- c. Effectiveness of the team's organizational structure in executing and managing the tasks;
- d. Management approach in providing technically sound and cost-effective services; and
- e. Ability to provide timely, qualified and adequate staffing and services to support project demands.

3. Capabilities and Experience. (35 points)

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

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

Submittals receiving an initial score of less than 70 points will not be considered further in the selection process. Proposers 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 proposer based solely on the written proposal. If oral interviews are held, individuals who are identified as key personnel in the proposal 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 proposer with the highest final evaluation score shall be determined as the top proposer. Proposers who do not arrive for a scheduled interview, if one is held, will no longer be considered further in the selection process.

Once the top proposer has been identified and the proposer's cost and pricing data has been reviewed, Transportation Authority staff will start contract negotiations with that proposer. If contract negotiations are not successful, the second-ranked proposer may be asked to negotiate with the Transportation Authority. Each proposer's cost and pricing data will remain unopened until negotiations begin with that particular proposer. The goal of such negotiations will be to agree on a final contract that delivers the services and work described in this RFP at a fair and reasonable cost to the Transportation Authority. The award, if any, will be made to the proposer whose submittal is most responsive to the RFP and deemed most advantageous to the Transportation Authority. The Transportation Authority reserves the right to modify and/or suspend any and all aspects of this procurement, to obtain further information from any firm or person responding to this procurement, to waive any informality or irregularity as to form or content of this procurement or any response thereto, to be the sole judge of the merits of the proposals received, and to reject any or all proposals.

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

Terms. The terms used in this Policy have the meanings as defined in U.S. Department of Transportation (DOT) Code of Federal Regulations Title 49 Section 26 (49 CFR § 26).

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 **16%**. 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*, Exhibit 10-O2, *Consultant Contract DBE Information*, and Exhibit 15-H, *DBE Information – Good Faith Efforts*. Regardless of whether or not proposers are able to meet the DBE goal, all proposers must complete and submit Exhibit 15-H showing that proposers made adequate good faith efforts to meet the goal. Proposals that do not make an adequate good faith effort to meet the DBE contract goal and document adequate good faith efforts shall be considered non-responsive to this procurement.

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*.

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. Proposers 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 proposal) 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 proposers will be open to inspection. Each party submitting a response to the RFP 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 proposal 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 proposer with notice that it has received a request. If the proposer 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.

APPENDICES AND EXHIBITS

The following documents are attached:

- Exhibit A – Debarment and Suspension Certification
- Exhibit B – Terminated Contracts
- Exhibit C – Workforce Data Spreadsheets

- Exhibit D – Guidance for Bidders Completing the Good Faith Effort Submittal
- Exhibit 10-I – Notice to Proposers DBE Information
- Exhibit 10-O1 – Consultant Proposal DBE Commitment
- Exhibit 10-O2 – Consultant Contract DBE Information
- Exhibit 10-Q – Disclosure of Lobbying Activities
- Exhibit 15-H – DBE Information – Good Faith Efforts



Solicitations and follow-up telephone contacts should occur within reasonable time before the opening bid date to allow the subcontractor time to prepare a quote to submit to the bidder. Telephone or e-mail logs, and fax receipts may be used to corroborate follow-up contacts.

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

EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION

The Agency has established a DBE goal for this Contract of _____ **16** _____%

OR

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

1. TERMS AS USED IN THIS DOCUMENT

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

2. AUTHORITY AND RESPONSIBILITY

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Contracts financed in whole or in part with federal funds (See 49 CFR 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”). The Consultant must ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The 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 Request for 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 the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-O2 *Consultant Contract DBE Information* must be included with the Request for Proposal. 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: <http://www.dot.ca.gov/hq/bep/>.
 - 1. Click on the link titled *Disadvantaged Business Enterprise*;
 - 2. Click on Search for a DBE Firm link;
 - 3. Click on *Access to the DBE Query Form* located on the first line in the center of the page.

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

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

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

purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.

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

EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT

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

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

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

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

INSTRUCTIONS – CONSULTANT PROPOSAL DBE COMMITMENTCONSULTANT SECTION

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

LOCAL AGENCY SECTION

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

EXHIBIT 10-O2 CONSULTANT CONTRACT DBE COMMITMENT

1. Local Agency: _____ 2. Contract DBE Goal: _____
 3. Project Description: _____
 4. Project Location: _____
 5. Consultant's Name: _____ 6. Prime Certified DBE: 7. Total Contract Award Amount: _____
 8. Total Dollar Amount for **ALL** Subconsultants: _____ 9. Total Number of **ALL** Subconsultants: _____

10. Description of Work, Service, or Materials Supplied	11. DBE Certification Number	12. DBE Contact Information	13. DBE Dollar Amount
Local Agency to Complete this Section			\$
20. Local Agency Contract Number: _____ 21. Federal-Aid Project Number: _____ 22. Contract Execution Date: _____			%
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.			14. TOTAL CLAIMED DBE PARTICIPATION
_____ 23. Local Agency Representative's Signature			_____ 15. Preparer's Signature
_____ 24. Date			_____ 16. Date
_____ 25. Local Agency Representative's Name			_____ 17. Preparer's Name
_____ 26. Phone			_____ 18. Phone
_____ 27. Local Agency Representative's Title			_____ 19. Preparer's Title

DISTRIBUTION: 1. Original – Local Agency
 2. Copy – Caltrans District Local Assistance Engineer (DLAE). Failure to submit to DLAE within 30 days of contract execution may result in de-obligation of federal funds on contract.

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 CONTRACT DBE COMMITMENTCONSULTANT SECTION

- 1. Local Agency** - Enter the name of the local or regional agency that is funding the contract.
- 2. Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
- 3. Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc).
- 4. Project Location** - Enter the project location as it appears on the project advertisement.
- 5. Consultant's Name** - Enter the consultant's firm name.
- 6. Prime Certified DBE** - Check box if prime contractor is a certified DBE.
- 7. Total Contract Award Amount** - Enter the total contract award dollar amount for the prime consultant.
- 8. Total Dollar Amount for ALL Subconsultants** – Enter the total dollar amount for all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
- 9. Total number of ALL subconsultants** – Enter the total number of all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
- 10. 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.
- 11. DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
- 12. 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.
- 13. DBE Dollar Amount** - Enter the subcontracted dollar amount of the work to be performed or service to be provided. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
- 14. Total Claimed DBE Participation - \$:** Enter the total dollar amounts entered in the "DBE Dollar Amount" column. **%:** Enter the total DBE participation claimed ("Total Participation Dollars Claimed" divided by item "Total Contract Award Amount"). 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).
- 15. Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
- 16. Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
- 17. Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
- 18. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 19. Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

LOCAL AGENCY SECTION

- 20. Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
- 21. Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
- 22. Contract Execution Date** - Enter the date the contract was executed.
- 23. 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.
- 24. Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
- 25. Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
- 26. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 27. Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

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

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

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 DBE INFORMATION —GOOD FAITH EFFORTS

DBE INFORMATION - GOOD FAITH EFFORTS

Federal-aid Project No. _____ Bid Opening Date _____

The _____ established a Disadvantaged Business Enterprise (DBE) goal of _____% for this project. The information provided herein shows that a good faith effort was made.

Lowest, second lowest and third lowest bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the “Local Agency Bidder DBE Commitment” form indicates that the bidder has met the DBE goal. This will protect the 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.

Submittal of only the “Local Agency Bidder DBE Commitment” form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made.

The following items are listed in the Section entitled “Submission of DBE Commitment” of the Special Provisions:

- 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 which the bidder made available to DBE firms including, where appropriate, any breaking down of the contract work items (including those items normally performed by the bidder with its own forces) into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation was made available to DBE firms.

Items of Work	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 made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any technical assistance or information related to the plans, specifications and requirements for the work which was provided to DBEs:

F. Efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate:

G. The names of agencies, 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
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H. Any additional data to support a demonstration of good faith efforts (use additional sheets if necessary):

NOTE: USE ADDITIONAL SHEETS OF PAPER IF NECESSARY.