SOLANO TRANSPORTATION AUTHORITY

Member Agencies:
Benicia ♦ Dixon ♦ Fairfield ♦ Rio Vista ♦ Suisun City ♦ Vacaville ♦ Vallejo ♦ Solano County

One Harbor Center, Ste. 130, Suisun City, CA 94585-2473 ♦ Phone (707) 424-6075 / Fax (707) 424-6074
Email: info@sta.ca.gov ♦ Website: sta.ca.gov

Novmber 10, 2015

To: Consultant

RE: Request for Qualifications (RFQ 2015-01) for Public Information, Public Education, Public Outreach, and Marketing Services Consultant

Dear Consultant:

The Solano Transportation Authority (STA) invites your firm to submit a proposal to provide professional services for the preparation of a public information, public education, public outreach and marketing services campaign.

To obtain a copy of the full Request for Qualifications (RFQ), please download the RFQ as a PDF file from the STA website: http://tiny.cc/jobsrfps or call the STA at (707) 424-6075.

The Request for Qualifications (RFQ) describes the project, presents the requirements of the **Proposer** and outlines the criteria that will be used to evaluate the **Qualifications**.

Qualified organizations are invited to submit four (4) hard copies and one (1) digital copy (CD or flash drive) of your Proposal to the STA office no later than 4:00 PM, on November 24, 2015 addressed to:

Daryl Halls
STA Executive Director
Solano Transportation Authority
One Harbor Center, Suite 130
Suisun City, CA 94585-2473

Note that this deadline is firm and late submittals **will not** be accepted. **Qualifications** will be reviewed and, if needed, the firms/teams whose qualifications most closely meet the STA's needs will be invited to commence the project or interview on or about November 30, 2015**.**

The STA has adopted a Disadvantaged Business Enterprise ("DBE") goal for this project which is 10%. Please note that the attached DBE forms (Exhibit 10-O1 and Exhibit 10-O2) must be filled out and included in an appendix of your firm's proposal. Firms whose proposals fail to meet the established DBE goal must demonstrate in writing what efforts they have made to locate DBE firms. The STA has the right to deem a proposal as non-responsive if this participation goal has not been met, and documentation demonstrating a good faith effort is judged inadequate. Guidelines for determining good faith efforts are available from the STA.

In addition, the STA encourages, but does not require for this solicitation, the use of local firms. To assist in the use of local firms, the STA has prepared a database of contact information for local firms for convenience purposes only and without guarantees as to the ability of such firms to provide the services. This database and the Local Preference Policy can be viewed at http://tiny.cc/jobsrfps.

If you have questions regarding this project, please contact **Daryl Halls**, **Executive Director** at (707) **424-6074**. Thank you for your interest.

Sincerely,

Daryl K. Halls
Executive Director

Solano Transportation Authority

REQUEST FOR QUALIFICATIONS
(RFQ #2015-01)

For the
Public Information, Public Education, Public Outreach, and Marketing Services Consultant

In
Solano County

Release Date: November 10, 2015

RESPONSES DUE:

4:00 PM, TUESDAY, NOVEMBER 24, 2015
(Four (4) complete hard copies and one digital copy (CD or flash drive) of each response)

Solano Transportation Authority
One Harbor Center, Suite 130
Suisun City, CA 94585-2473

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INTRODUCTION

The Solano Transportation Authority (STA) is a Joint Powers Authority comprised of members including the cities of Benicia, Dixon, Fairfield, Rio Vista, Suisun City, Vacaville, and Vallejo, and the County of Solano. The STA serves as the Congestion Management Agency (CMA) for Solano County and is responsible for countywide transportation planning and programming of State and Federal funding for transportation projects within the county and through its Solano Transit Consortium, coordinates intercounty transit service called Solano Express, various fixed route, and Solano Paratransit Services.

As the CMA for Solano County, the STA is responsible for assisting local jurisdictions in attaining their transportation goals. A large aspect of reaching these goals comes from successful public education and information sharing of the current and future needs, active projects, and available programs.

RELEVANT STUDIES

The STA has completed the 2014 Solano Pothole Report, which can be found here:
http://www.sta.ca.gov/docManager/1000005018/10-1-14%20Solano%20County%20Annual%20Pothole%20Report%20Final2.pdf

SolanoExpress recently completed their Short Range Transit Plan which can be found here:
http://www.sta.ca.gov/docManager/1000004243/2%20STA%20Coordinated%20SRTP%20-%20Final.pdf

BACKGROUND

Solano County has various needs for public outreach, public information sharing, social media engagement, and marketing services. Solano County and its seven cities have a significant funding shortfall for local streets and roads, which is resulting in the degrading of pavement quality. Countywide the PCI for Solano is 64. Once roadways reach a maintenance cliff of PCI 60, or below, repair costs can increase up to 5 times what they are to maintain roads above PCI 60. STA released its first Pothole Report on October 2014 and is expected to release the second one in December 2015 or January 2016. The public needs to be made aware of the roadway issues facing Solano County and how investment in its roadway network today will save large amounts in the future.

In 1998 the first Solano Travel Safety Plan was released. Since that time, a 2005 plan was developed and released and a 2015 plan is under development. These Travel Safety Plans seek to identify dangerous locations within Solano County and provide generalized projects to improve safety. The public needs to be informed that Solano County is focused on the safety of its residents and investment in these projects will reduce accident frequency and severity.

Solano County is not alone in the fact that its population is aging. The older the population of particular areas, the greater the need for improved mobility services such as paratransit, volunteer drivers, and continuing education. STA has a mobility management department that is tasked with improving the mobility of seniors, persons with disabilities, and low-income individuals. Many of the mobility programs being offered by STA are funded with one-time grants and their long-term viability is not guaranteed unless new funding is identified. The public needs to understand the demographic shift occurring in Solano County and that the needs of this segment of the population will continue to grow over time.

SolanoExpress is an intercity transit service that travels to various Solano County cities and has destinations such as Bay Area Rapid Transit (BART) and downtown Sacramento. STA coordinates this transit service in coordination with Solano County Transit (SolTrans) and Fairfield and Suisun Transit (FAST). A few of these routes are well used, while the rest are underperforming. The public needs to know about the benefits of using this quick, affordable, and frequent transit service.

FINAL PRODUCT

The final product will be communications strategy and program to inform the public regarding needs of Solano County and the programs and services being offered though STA. The focus of the public outreach and education campaign will be

1. The roadway funding needs and shortfall facing Solano County;
2. The roadway safety needs of Solano County and the proposed projects included in the 2015 Solano Travel Safety Plan;
3. The demographic shift taking place in Solano County and the current and future transportation needs of the elderly, disabled, and low-income and the programs being offered by STA;
4. SolanoExpress service, stops, destinations, and benefits
5. Any other STA programs that might be relevant to an information campaign needed during the term of this contract.

DISADVANTAGED BUSINESS ENTERPRISE (DBE) GOAL

The STA has adopted a DBE goal which encourages the hiring of registered disadvantaged businesses which can be found at http://tiny.cc/jobsrfps. The participation goal for DBE firms for this Project has been established at 10 percent (%).

LOCAL PREFERENCE POLICY

LOCAL PREFERENCE POLICY

The STA has adopted a Local Preference Policy which encourages the hiring of local firms. While there is no adopted goal for this Project, firms are still encouraged to utilize the services of local firms in the preparation of a response to this RFP. The STA has prepared a database of contact information for local firms for convenience purposes only and without guarantees as to the ability of such firms to provide the services. This database and the Local Preference Policy can be viewed at http://tiny.cc/jobsrfps.

SCOPE OF SERVICE TASKS

The STA intends to retain a qualified and committed professional public education and outreach firm to develop these components:

1. Budget and Schedule
2. Coordinate with STA and other partners
3. Meet with Stakeholder Groups
4. Develop a Public Education and Outreach Campaign for Local Streets & Roads Needs
5. Develop a Marketing Campaign for SolanoExpress Transit Service
6. Implement Outreach and Marketing Campaigns Utilizing Approved Tools

The following details each potential task with task deliverable information:

Task 1. Budget and Schedule

Develop detailed project budget and schedule.

Task 1.1 Kick off meeting with STA and selected consultant to negotiate final task budget and determine final schedule with milestones to complete the tasks.

Deliverable
1) Finalized budget and detailed project schedule.

Task 2. Coordinate with STA and SolanoExpress Staff

Coordinate with STA and SolanoExpress staff to provide comments and recommendations with requested focus on public education and outreach for LS&R needs and marketing campaign for SolanoExpress.

Task 2.1 Meet with STA staff to discuss the requested focus of the public education and outreach campaign for LS&R issues and needs.

Task 2.2 Meet with SolanoExpress staff, as needed, to coordinate requested inputs of marketing campaign.

Deliverable
1) Compile relevant information necessary to begin developing public education and outreach campaign for LS&R issues and needs. 2) Compile relevant information necessary to begin developing SolanoExpress marketing campaign.

Task 3. Meet with Stakeholder Groups

Task 3.1 With assistance of STA staff, identify and meet with stakeholder groups in Solano County, such as tax-payer and business interest groups, to explain LS&R issues and needs.

Task 3.2 With assistance of SolanoExpress staff, identify and meet with stakeholder groups in Solano County, such as transit advocacy groups, to gain input on what aspects of the marketing campaign might be most effective.

Deliverable
1) Attend stakeholder meetings as necessary to explain LS&R issues and needs. 2) Attend stakeholder meetings as necessary to gain input on what aspects of the SolanoExpress marketing campaign might be most effective.

Task 4. Develop a Public Education and Outreach Campaign for Local Streets & Roads Issues and Needs

Task 4.1 Identify multiple media platforms for LS&R public education and outreach.

Task 4.2 Utilizing the adopted Solano Pothole Report as the basis for information, develop a public education and outreach campaign on the issues and needs of LS&R.

Deliverable
1) Multiple media platform public education and outreach campaign for local streets & roads needs.

Task 5. Develop a Marketing Campaign for SolanoExpress Transit Service

Task 5.1 Identify multiple media platforms for SolanoExpress marketing campaign.

Task 5.2 Taking into account stakeholder comments, develop a SolanoExpress marketing campaign

Deliverable
1) Multiple media platform SolanoExpress marketing campaign.

Task 6. Implement Outreach and Marketing Campaigns Utilizing Approved Tools

Task 6.1 Along multiple media platforms, implement public education and outreach campaign for LS&R issues and needs.

Task 6.2 Along multiple media platforms, implement SolanoExpress marketing campaign.

Task 6.3 Provide Solano Transportation Authority with all relevant electronic files (using Adobe Creative Suite or MS Word programs) for future plan updates and duplication.

Deliverable
1) Implementation of LS&R issues and needs public education and outreach campaign along multiple media platforms. 2) Implementation of SolanoExpress marketing campaign along multiple media platforms.

Proposed Project Timeline

Task	Timeframe
Task 1. Budget and Schedule	Week of November 30, 2015
Task 2. Coordinate with STA staff	Week of December 7, 2015
Task 3. Meet with Stakeholder Groups	December 14 – January 15, 2016
Task 4. Develop a Public Education and Outreach Campaign for Local Streets & Roads Needs	December 14 – January 15, 2016
Task 5. Develop a Marketing Campaign for SolanoExpress Transit Service	January 18, 2016 – March 9, 2016
Task 6. Implement Outreach and Marketing Campaigns Utilizing Approved Tools	January 15, 2016 – Close of contract

INSTRUCTION TO PROPOSER

1. *Examination of Proposal Documents*: By submitting a proposal, the proposer represents that it has thoroughly examined and become familiar with the work required under this RFQ, and that it is capable of performing the work identified in Scope of Work.

2. *Addenda/Clarifications*: Explanations or clarifications desired by respondents regarding the meaning or interpretation of the RFQ may be requested verbally or in writing. All inquiries pertaining to this RFQ should be emailed to Daryl Halls, Executive Director, at the following email address: dkhalls@sta.ca.gov no later than 4:00 PM (local), November 18, 2015. Response to all questions submitted by the November 18, 2015 deadline that may have a material impact on the proposal will be posted on the STA website at www.sta.ca.gov. The subject line for questions submitted in writing should include reference to: "Questions - STA RFQ 2015-01 Public Information, Public Education, Public Outreach, and Marketing Services Consultant".

3. *Withdrawal of Proposal Submittal*: A proposer may withdraw its proposal at any time before the expiration of the time for submission of proposal submittals as provided in this RFQ by delivering to the procurement officer a written request for withdrawal signed by, or on behalf of, the proposer.

4. *Rights of STA*: This RFQ does not commit STA to enter into a contract, nor does it obligate STA to pay for any costs incurred in preparation and submission of the proposal or in anticipation of a contract.

   STA may investigate the qualifications of any proposer under consideration, require confirmation of information furnished by the proposer, and require additional evidence or qualifications to perform the services described in this RFQ.

   STA, in its sole discretion, reserves the right to:
   - Reject any or all proposal submittals.
   - Issue one or more subsequent RFQs and/or RFPs.
   - Postpone opening for its own convenience.
   - Remedy technical errors in the RFQ and/or RFP process.
   - Approve or disapprove the use of particular subcontractors.
   - Negotiate with any, all, or none of the proposers responding to this RFQ.
   - Solicit best and final offers from all or some of the proposers.
   - Award a contract to one or more proposers.
   - Waive informalities and irregularities in any proposal.

5. *Contract Type*: It is anticipated that the agreements resulting from this solicitation, if awarded, may be two separate contracts, which may use hourly rate(s) compensation with a not to exceed $249,000.

   Proposers shall be prepared to accept the terms and conditions of STA's standard form contract. If a proposer desires to take exception to the agreement, the proposer shall provide the following information as a section of the proposal identified as "Exceptions to the Agreement":

   a. Proposer shall clearly identify each proposed change to the agreement, including all relevant exhibits and attachments.
   b. Proposer shall furnish the reasons therefore as well as specific recommendations for alternative language.
   c. The above factors will be taken into account in evaluating proposals. Substantial exceptions to the agreement may be determined by **STA**, at its sole discretion, to be unacceptable and **STA** may proceed with negotiations with the other proposed firms.

RFQ SUBMITTAL REQUIREMENTS

Please prepare your qualifications in accordance with the following requirements.

1. *Qualifications:* The qualifications (excluding resumes and the transmittal letter) shall not exceed a total of 10 single-sided, 8.5" x 11" pages. A **copy of the RFQ** and resumes shall be included in an appendix. Include in the appendix similar examples of past projects.

2. *Transmittal Letter:* The qualifications shall be transmitted with a cover letter describing the firm's/team's interest and commitment to the proposed project. The letter shall state that the qualifications shall be valid for a 90-day period and should include the name, title, address and

telephone number of the individual to whom correspondence and other contacts should be directed during the consultant selection process. The person authorized by the firm/team to negotiate a contract with STA shall sign the cover letter.

Address the cover letter as follows:

Daryl Halls, Executive Director
Solano Transportation Authority
One Harbor Center, Suite 130
Suisun City, California 94585

3. *Project Understanding:* This section shall clearly convey that the consultant understands the nature of the work, and issues related to the Public Information, Public Education, Public Outreach, and Marketing Services Consultant.

4. *Approach and Management Plan:* This section shall provide the firm's/team's proposed approach and management plan for providing the services. Include an organization chart showing the proposed relationships among consultant staff, STA staff and any other parties that may have a significant role in the delivery of this project.

5. *Qualifications and Experience:* The qualifications submittal shall provide the qualifications and experience of the consultant team that will be available for the Public Information, Public Education, Public Outreach, and Marketing Services Consultant. It is expected that team members would include planning expertise in public outreach and marketing. Please emphasize the specific qualifications and experience from projects similar to this project for the Key Team Members. Key Team Members are expected to be committed for the duration of the project. Replacement of Key Team Members will <u>not be permitted</u> without prior consultation with and approval of the STA.

6. *Staffing Plan:* The qualifications shall provide a staffing plan (by quarter) and an estimate of the **<u>total hours</u>** (detailed by position) required for preparation of the education, outreach, and/or marketing. Discuss the workload, both current and anticipated, for all Key Team Members, and their capacity to perform the requested services for the Public Information, Public Education, Public Outreach, and Marketing Services Consultant according to your proposed schedule. Discuss the firm/team's approach for completing the requested services for this project within budget.

7. *Work Plan and Schedule:* This section shall include a description and schedule of how each task deliverable of the project will be completed. The Work Plan should be in sufficient detail to demonstrate a clear understanding of the project. The schedule should show the expected sequence of tasks and include durations for the performance of each task, milestones, submittal dates and review periods for each submittal. Discuss the firm/team's approach for completing the requested services for this project on schedule. **The project is expected to commence no later than December 3, 2015.**

8. *Cost Control:* Provide information on how the firm/team will control project costs to ensure all work is completed within the negotiated budget for the project. Include the name and title of the individual responsible for cost control.

9. *Additional Relevant Information:* Provide additional relevant information that may be helpful in the selection process (<u>not to exceed the equivalent of 2 single-sided pages</u>).

10. *References:* For each Key Team Member, provide at least three references (names and current phone numbers) from recent work (previous three years). Include a brief description of each project associated with the reference, and the role of the respective team member.

11. *Submittal of Qualifications:* Four (4) hard copies and one digital copy (CD or flash drive) of your qualifications are due at the STA office **no later than 4:00 p.m., November 24, 2015**. Envelopes or packages containing the qualifications should be clearly marked, **"Public Information, Public Education, Public Outreach, and Marketing Services Consultant."**

12. *Cost Proposal:* A cost proposal should be submitted in a **separate sealed envelope titled "Public Information, Public Education, Public Outreach, and Marketing Services Consultant."** The cost submittal should indicate the number of anticipated hours by the Project Manager and Key Team Members. The estimated level of hours for other staff can be summarized in general categories.

SELECTION OF CONSULTANT & CRITERIA

The overall process will be to evaluate the technical components of all the qualifications completely and independently from the cost component. The qualifications will be evaluated and scored on a 100-point total basis using the following criteria:

1. Project understanding and approach, including an understanding of multiple media platforms and marketing techniques (25 Points)
2. Experience with similar types of projects (25 Points)
3. Satisfaction of previous clients (10 Points)
4. Schedule and capacity to provide qualified personnel (30 Points)
5. Business presence and/or experience in Solano County (10 Points)

Project may commence on November 30, 2015, but if needed, two or more of the firms/teams may be invited to an interview on or about **November 30, 2015**. The Project Manager and Key Team Members should attend the interview. The evaluation interview panel may include representatives from STA, and other agencies, but the specific composition of the panel will not be revealed prior to the interviews. Costs for travel expenses and qualifications preparation shall be borne by the consultants.

STA staff will provide the appropriate notice and schedule for the interviews. STA staff will select the most qualified consultant or consultant team based primarily on experience, ability to contain costs and conducting very similar projects. Recent experience in Solano County is desirable.

Once the top firm/team has been selected, STA staff will negotiate a services contract with the selected firm/team.

SELECTION SCHEDULE

November 24, 2015	**Qualifications are due no later than 4:00 PM** at the offices of the Solano Transportation Authority, One Harbor Center, Suite 130, Suisun City, CA 94585. ***Late submittals will not be accepted*.**
November 30, 2015	Project Commences or Tentative panel interview date. STA selects recommended firm.

December 3, 2015	Project commences if interview panel is required for consultant selection.
December 10, 2016	Begin Implementing Public Education and Outreach Campaign for Local Streets & Roads Issues and Needs
February 1, 2016	Begin Implementing SolanoExpress Marketing Campaign

If you have any questions regarding this RFQ, please contact:

Daryl Halls
Executive Director
Phone (707) 399-3203
Fax (707) 424-6074
dkhalls@sta.ca.gov

DISCLOSURE:

The master copy of each response to this RFP shall be retained for official files and will become a public record after the award of a contract unless the qualifications or specific parts of the qualifications can be shown to be exempt by law (Government Code section 6250 et seq.). Each Responding Firm may clearly label part of a submittal as "CONFIDENTIAL" if the Responding Firm agrees to indemnify and defend the STA for honoring such a designation. The failure to so label any information that is released by the STA shall constitute a complete waiver of all claims for damages caused by any release of the information. If a public records request for labeled information is received by the STA, the STA will notify the Responding Firm of the request and delay access to the material until seven working days after notification to the Responding Firm. Within that time delay, it will be the duty of the Responding Firm to act in protection of its labeled information. Failure to so act shall constitute a complete waiver.

PROTEST AND APPEALS

Any actual or prospective bidder, offeror, or contractor who is aggrieved in connection with the Solicitations or Notice of Intent to Award a contract may protest to the Executive Director. The protest shall be submitted in writing to the Executive Director within seven (7) working days after such aggrieved person or company knows or should have known of the facts giving rise thereto. All letters of protest shall clearly identify the reasons for the protest. The protest also must state the law, rule, regulation, or policy upon which the protest is based. The Executive Director shall issue a written decision within ten (10) working days after receipt of the protest. The decision shall; state the reason for the action taken; and inform the protester that a request of further administrative appeal of an adverse decision must be submitted in writing to the Clerk of the STA Board of Directors within seven (7) working days after receipt of the decision by the Executive Director.

EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION

The Agency has established a DBE goal for this Contract of 10 %

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 in the left menu titled *Disadvantaged Business Enterprise*;
2. Click on Search for a DBE Firm link;
3. Click on *Access to the DBE Query Form* located on the first line in the center of the page.

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

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

A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.

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

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

C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.

D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

EXHIBIT 10-O1 CONSULTANT PROPOSAL DBE COMMITMENT

(Inclusive of all DBEs listed at bid proposal. Refer to instructions on the reverse side of this form)

Consultant to Complete this Section

1. Local Agency Name: _____

2. Project Location: _____

3. Project Description: _____

4. Consultant Name: _____

5. Contract DBE Goal %: _____

DBE Commitment Information

6. Description of Services to be Provided	**7.** DBE Firm Contact Information	**8.** DBE Cert. Number	**9.** DBE %

10. Total % Claimed	_____ %

Local Agency to Complete this Section

16. Local Agency Contract Number: _____

17. Federal-aid Project Number: _____

18. Proposed Contract Execution Date: _____

Local Agency certifies that all DBE certifications are valid and the information on this form is complete and accurate:

_____
19. Local Agency Representative Name (Print)

_____ _____
20. Local Agency Representative Signature **21.** Date

_____ _____
22. Local Agency Representative Title **23.** (Area Code) Tel. No.

_____
11. Preparer's Signature

_____
12. Preparer's Name (Print)

_____
13. Preparer's Title

_____ _____
14. Date **15.** (Area Code) Tel. No.

Distribution: (1) Original – Consultant submits to local agency with proposal
(2) Copy – Local Agency files

INSTRUCTIONS - CONSULTANT PROPOSAL DBE COMMITMENT

Consultant Section

The Consultant shall:

1. **Local Agency Name** – Enter the name of the local or regional agency that is funding the contract.
2. **Project Location** - Enter the project location 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. **Consultant Name** - Enter the consultant's firm name.
5. **Contract DBE Goal %** - Enter the contract DBE goal percentage, as it was reported on the Exhibit 10-I *Notice to Proposers DBE Information* form. See LAPM Chapter 10.
6. **Description of Services to be Provided** - Enter item of work description of services 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.
7. **DBE Firm Contact Information** - Enter the name and telephone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and telephone number, if the prime is a DBE.
8. **DBE Cert. Number** - Enter the DBEs Certification Identification Number. All DBEs must be certified on the date bids are opened. (DBE subcontracted consultants should notify the prime consultant in writing with the date of the decertification if their status should change during the course of the contract.)
9. **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.
10. **Total % Claimed –** Enter the total DBE participation claimed. If the Total % Claimed is less than item "6. Contract DBE Goal", an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H *DBE Information - Good Faith Efforts* of the LAPM).
11. **Preparer's Signature** – The person completing this section of the form for the consultant's firm must sign their name.
12. **Preparer's Name (Print)** – Clearly enter the name of the person signing this section of the form for the consultant.
13. **Preparer's Title** - Enter the position/title of the person signing this section of the form for the consultant.
14. **Date** - Enter the date this section of the form is signed by the preparer.
15. **(Area Code) Tel. No.** - Enter the area code and telephone number of the person signing this section of the form for the consultant.

Local Agency Section:

The Local Agency representative shall:

16. **Local Agency Contract Number** - Enter the Local Agency Contract Number.
17. **Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
18. **Contract Execution Date** - Enter date the contract was executed and Notice to Proceed issued. See LAPM Chapter 10, page 23.
19. **Local Agency Representative Name (Print)** - Clearly enter the name of the person completing this section.
20. **Local Agency Representative 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 Local Agency Representative signs the form.
22. **Local Agency Representative Title** - Enter the position/title of the person signing this section of the form.
23. **(Area Code) Tel. No.** - Enter the area code and telephone number of the Local Agency representative signing this section of the form.

EXHIBIT 10-O2 CONSULTANT CONTRACT DBE INFORMATION

(Inclusive of all DBEs listed at contract award. Refer to instructions on the reverse side of this form)

Consultant to Complete this Section

1. Local Agency Name: _____

2. Project Location: _____

3. Project Description: _____

4. Total Contract Award Amount: $ _____

5. Consultant Name: _____

6. Contract DBE Goal %: _____

7. Total Dollar Amount for all Subconsultants: $ _____

8. Total Number of all Subconsultants: _____

Award DBE/DBE Information

9. Description of Services to be Provided	**10.** DBE/DBE Firm Contact Information	**11.** DBE Cert. Number	**12.** DBE Dollar Amount

13. Total Dollars Claimed $ _____

14. Total % Claimed _____ %

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 the information on this form is complete and accurate:

_____
23. Local Agency Representative Name (Print)

_____ _____
24. Local Agency Representative Signature **25.** Date

_____ _____
26. Local Agency Representative Title **27.** (Area Code) Tel. No.

_____
15. Preparer's Signature

_____
16. Preparer's Name (Print)

_____
17. Preparer's Title

_____ _____
18. Date **19.** (Area Code) Tel. No.

Caltrans to Complete this Section

Caltrans District Local Assistance Engineer (DLAE) certifies that this form has been reviewed for completeness:

_____ _____ _____
28. DLAE Name (Print) **29.** DLAE Signature **30.** Date

Distribution: (1) Copy – Email a copy to the Caltrans District Local Assistance Engineer (DLAE) within 30 days of contract award. Failure to send a copy to the DLAE within 30 days of contract award may result in delay of payment.
(2) Copy – Include in award package sent to Caltrans DLAE
(3) Original – Local agency files

INSTRUCTIONS - CONSULTANT CONTRACT AWARD DBE INFORMATION

Consultant Section

The Consultant shall:

1. **Local Agency Name** – Enter the name of the local or regional agency that is funding the contract.
2. **Project Location** - Enter the project location 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. **Total Contract Award Amount** - Enter the total contract award dollar amount for the prime consultant.
5. **Consultant Name** - Enter the consultant's firm name.
6. **Contract DBE Goal %** - Enter the contract DBE goal percentage, as it was reported on the Exhibit 10-I *Notice to Proposers DBE Information* form. See LAPM Chapter 10.
7. **Total Dollar Amount for all Subconsultants –** Enter the total dollar amount for all subcontracted consultants. SUM = (DBE's + all Non-DBE's). Do **not** include the prime consultant information in this count.
8. **Total number of all subconsultants –** Enter the total number of all subcontracted consultants. SUM = (DBE's + all Non-DBE's). Do **not** include the prime consultant information in this count.
9. **Description of Services to be Provided** - Enter item of work description of services 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.
10. **DBE Firm Contact Information** - Enter the name and telephone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and telephone number, if the prime is a DBE.
11. **DBE Cert. Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened. (DBE subcontracted consultants should notify the prime consultant in writing with the date of the decertification if their status should change during the course of the contract.)
12. **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, and include DBEs that are not identified as subconsultants on the Exhibit 10-O1 *Consultant Proposal DBE Commitment* form. See LAPM Chapter 9 for how to count full/partial participation.
13. **Total Dollars Claimed** – Enter the total dollar amounts for column 13.
14. **Total % Claimed –** Enter the total DBE participation claimed for column 13. SUM = (item "14. Total Participation Dollars Claimed" divided by item "4. Total Contract Award Amount"). If the Total % Claimed is less than item "6. 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 this section of the form for the consultant's firm must sign their name.
16. **Preparer's Name (Print)** – Clearly enter the name of the person signing this section of the form for the consultant.
17. **Preparer's Title** - Enter the position/title of the person signing this section of the form for the consultant.
18. **Date** - Enter the date this section of the form is signed by the preparer.
19. **(Area Code) Tel. No.** - Enter the area code and telephone number of the person signing this section of the form for the consultant.

Local Agency Section:

The Local Agency representative shall:

20. **Local Agency Contract Number** - Enter the Local Agency Contract Number.
21. **Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
22. **Contract Execution Date** - Enter the date the contract was executed and Notice to Proceed issued. See LAPM Chapter 10, page 23.
23. **Local Agency Representative Name (Print)** - Clearly enter the name of the person completing this section.
24. **Local Agency Representative 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.
25. **Date** - Enter the date the Local Agency Representative signs the form.
26. **Local Agency Representative Title** - Enter the position/title of the person signing this section of the form.
27. **(Area Code) Tel. No.** - Enter the area code and telephone number of the Local Agency representative signing this section of the form.

Caltrans Section:

Caltrans District Local Assistance Engineer (DLAE) shall:

28. **DLAE Name (Print)** – Clearly enter the name of the DLAE.
29. **DLAE Signature** – DLAE must sign this section of the form to certify that it has been reviewed for completeness.
30. **Date** - Enter the date that the DLAE signs this section the form.

EXHIBIT 15-H DBE INFORMATION —GOOD FAITH EFFORTS Attachment A

DBE INFORMATION - GOOD FAITH EFFORTS

Federal-aid Project No. _____ Bid Opening Date _____

The _____(City/County of)_____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

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.

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

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

Certification of Final Indirect Costs:

Consultant Firm Name: _____

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

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

Local Government: _____

Contract Number: _____ Project Number: _____

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

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

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

Certification of Financial Management System:

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

Certification of Dollar Amount for all A&E Contracts:

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

Certification of Direct Costs:

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

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

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

Subconsultants (if applicable)
Proposed Contract Amount (or amount not to exceed if on-call contract): $ _____

Prime Consultants (if applicable)
Proposed **Total** Contract Amount (or amount not to exceed if on-call contract): $ _____

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

_____ $_____
_____ $_____
_____ $_____
_____ $_____
_____ $_____

Consultant Certifying (Print Name and Title):

Name: _____

Title: _____

Consultant Certification Signature **: _____

Date of Certification (mm/dd/yyyy): _____

Consultant Contact Information:

Email: _____

Phone number: _____

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

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

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