



**REQUEST FOR QUALIFICATIONS (RFQ)
FOR ON-CALL ARCHITECTURAL & ENGINEERING CONSULTANT SERVICES
FOR VARIOUS PUBLIC WORKS PROJECTS**

Date Released: November 15, 2021

**County of Fresno
Department of Public Works and Planning
2220 Tulare Street, Suite 600
Fresno, CA 93721**

**Statement of Qualifications (SOQs) are due prior to 4:00 P.M., Friday,
December 17, 2021**

SUBMITTALS: **SOQs will be received at:**
<https://www.bidexpress.com/businesses/36473/home>

SOLICITATION: "RFQ 2021 On-Call A&E Consultant and Related Services"

Inquiries and Updates: Requests for Clarification (RFCs) regarding this RFQ must be submitted in writing via website form:

<https://www.co.fresno.ca.us/departments/public-works-and-planning/request-for-proposals/rfq-on-call-architectural-and-engineering-services-2021/requests-for-clarification>

and received by the Department no later than **4:00 p.m., Wednesday, December 8, 2021**. Such information as is reasonably available and will facilitate preparation of responses hereto, requests for clarification and associated responses, and any addenda to this RFQ will be posted at: <http://www.co.fresno.ca.us/rfp>. To receive email notification of updates to this RFQ, submit your email address on the RFQ webpage:

<https://www.co.fresno.ca.us/departments/public-works-and-planning/request-for-proposals/rfq-on-call-architectural-and-engineering-services-2021>

Updates and addenda will not otherwise be distributed.

Table Of Contents

Request for Qualifications

On-Call Architectural & Engineering Consultant and Related Services

Preface.....	3
I. Introduction and Project Overview.....	3
II. Anticipated Schedule.....	6
III. Services Required of the Consultant.....	7
IV. Services Provided by the Department.....	7
V. SOQ Submittal Requirements.....	7
VI. Consultant Fees and Financial Management System.....	9
VII. Consultant Selection Procedure.....	10
VIII. Fee Determination	12
IX. Protest Procedures	12

Attachments:

- A. Exhibit 10-I, Notice to Proposers Disadvantaged Business Enterprise Information*
- B.1 Sample Cost Proposal for Non-Federal
- B.2 Sample Cost Proposal Exhibit 10-H2 for Federal*
- C. Exhibit 10-B, Consultant Evaluation Sheet
- D. Exhibit 10-Q, Disclosure of Lobbying Activities*
- E. State Water Resources Control Board Financial Assistance Program*
- F.1 Exhibit 10-01, Consultant Proposal DBE Commitment*
- F.2 Exhibit 10-02, Consultant Contract DBE Commitment*
- G. Exhibit 15-H, Proposer / Contractor Good Faith Efforts*
- H. Self-Dealing Transaction Disclosure Form
- I.1 Exhibit 10-K Consultant Annual Certification of Indirect Costs and Financial Management System*
- I.2 California Safe Harbor Indirect Cost Rate Program*
- J. Sample Agreement

*Attachments A, B.2, D, E, F, G, and I are for Federally funded projects only.

REQUEST FOR QUALIFICATIONS

On-Call Architectural & Engineering Consultant and Related Services

Preface

The County of Fresno is seeking qualified consulting firms to provide on-call architectural, engineering and related services as may be necessary for Public Works Projects. The response to this solicitation will be in the form of a Statement of Qualifications (SOQ).

It is the intent of the County to engage a variety of consultants to provide professional services as described herein. However, the County reserves the right, at its sole discretion, to terminate this Request for Qualifications (RFQ) process or negotiations with a selected consultant and either perform the work with its staff or begin a new RFQ process. Nothing herein, or in the process, shall be construed as having obligated the County to pay for any expenses incurred by respondents to this RFQ, or to the selected consultant(s) prior to Board of Supervisors' approval of a consultant services agreement.

All qualified firms interested in providing these services are invited to submit an SOQ for consideration. The Consultant's SOQ will be evaluated and ranked according to the criteria provided in Attachment C, "Proposal Evaluation," of this RFQ.

If your firm submits an SOQ and is selected for an interview, it is anticipated that interviews will be held between January 17-28, 2022.

Addenda to this RFQ, if issued, will be posted on the County's website at:

<http://www.co.fresno.ca.us/rfp>

IMPORTANT: It shall be the Consultant's responsibility to check the County of Fresno website to obtain any addenda that may be issued.

I. Introduction and Project Overview

The Fresno County Department of Public Works and Planning (hereinafter referred to as "the Department") is seeking qualified architectural and engineering consultant and related services to provide on-call consulting services through a Consultant Services Agreement (hereinafter referred to as "Agreement") for various Public Works projects (hereinafter referred to as "the Projects"). The Projects may include, but are not limited to, road reconstruction, road widening, bridge replacement, bridge rehabilitation, bike paths, trails, traffic signal design, traffic calming, hydraulic analysis, groundwater well design, potable water treatment and distribution systems, wastewater collection systems and treatment plants, and capital improvements.

The Department is seeking firms to perform services according to the following disciplines:

- Archaeology / Architectural History / Paleontology – 3-7 firms

- Architectural Design and Drafting – 3-5 firms
- Assessment Engineering – 3-5 firms
- Biology – 3-7 firms
- Building Commissioning (LEED) – 3-5 firms
- Certified Access Specialist (CASP) Certification – 3-5 firms
- Civil Engineering – 5-9 firms
- Construction Management – 3-5 firms
- Cost Estimating – 3-5 firms
- Electrical Engineering – 3-5 firms
- Encroachment Permit Inspections – 3-5 firms
- Environmental Planning Services – 3-7 firms
- Geotechnical Engineering – 3-5 firms
- Hydraulic Engineering – 3-5 firms
- Industrial Hygiene, Hazardous Material, Lead and Asbestos Compliance – 3-5 firms
- Land Use / Planning – 3-5 firms
- Landscape Architecture – 3-5 firms
- Materials Testing – 3-5 firms
- Pavement Management – 3-5 firms
- Plumbing and Mechanical Engineering – 3-5 firms
- Solid Waste Engineering – 5-10 firms
- Structural Engineering – 4-7 firms
- Surveying – 3-5 firms
- Traffic and Transportation Engineering – 3-5 firms
- Utility Locating – 3-5 firms
- Water Resource Operators – 3-5 firms
- Water Resources Engineering – 3-5 firms

The consultant may propose on one or more types of service or discipline and if the consultant does not have adequate resources to perform all the professional services in a specific discipline, the consultant may retain subconsultants to perform services at the agreed upon hourly rates attached as an exhibit to the Agreement. Consultants may not charge a markup on subconsultant charges; however, the consultant may include administrative time in their fee proposal to administer their subconsultant contracts. The Department reserves the right to approve all subconsultants.

At the time of SOQ submission, Consultants may opt in to be considered for providing services for federally funded projects. For federally funded projects, the provisions of 49 CFR, Part 26 (“Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs” and “State Water Resources Control Board and California State Department of Public Health Financial Assistance Program Requirements”) require that a local agency receiving federal-aid funds complies with the Disadvantaged Business Enterprise (DBE) program, and that DBE firms, have an opportunity to participate in the projects. The DBE Goal for agreements for firms providing services for federally funded projects is listed in Attachment A - Exhibit 10-I, Notice to

Proposers Disadvantaged Business Enterprise Information. DBE goals will additionally be established on a project-by-project basis. Therefore, non-DBE proposers are encouraged to retain DBE subconsultants. It is the Consultant's responsibility to be fully informed regarding the requirements of 49 CFR, Part 26 and the State of California Department of Transportation's Race Conscious DBE program developed pursuant to the regulations (See Attachment A, Notice to Proposers DBE Information; Attachment E, State Water Resources Control Board Financial Assistance Program, Attachments F.1, F.2 Consultant DBE Commitment forms, and Attachment G Proposer / Contractor Good Faith Efforts).

Consultants opting to be considered for federally funded projects should be aware that the provisions of 49 CFR, Part 26 and the Department's DBE Program may apply during the course of the consulting Agreement and would require reporting on the part of the consultant in the event a work activity requires the participation of a subconsultant other than one originally listed by the consultant and which is approved by the Department. Additionally, projects funded by a federal grant or loan would require compliance with the particular disadvantaged business enterprise program established by the funding federal agency.

Prospective respondents to this RFQ are encouraged to review the Department's Liability Insurance and Indemnification Requirements included in the Sample Agreement (Attachment J).

If an Agreement is successfully negotiated with your firm, your firm may be asked to provide professional services on an on-call basis. **The Department's representative will send the contracted consultants all miniature Requests for Proposals (mini-RFPs) for a particular service.** This letter will include a description of the professional services needed, a detailed project description, a location map and other relevant material the Department is able to provide. Based on the information provided by the Department, the consultant will be asked to provide a detailed proposal, including a refined scope of work to better address the needs of the Department if necessary, a schedule, and a sealed or password protected project fee proposal. The proposals will then be ranked by reviewers, and passwords will be requested from the top ranked consultant. If negotiations are unsuccessful with the top ranked firm, negotiations may begin with the next highest ranking firm. Final authorization shall be provided in writing by the Department's Contract Administrator. Once written authorization is given, the consultant shall perform the required service within the agreed upon parameters.

The maximum term of the Agreement will be five years. The maximum total dollar amount for all agreements awarded is an aggregate of \$20,000,000. The total fees paid to the consultant will be dependent upon the professional services performed for the projects. No guarantee is made that the total fee or any fee will be received by the consultant.

The hourly and cost rates presented in the Agreement will be in effect for the entire duration of the Agreement, with an optional provision to adjust the rates once annually for inflation. The consultant may request new labor rates from the Department, subject to

written approval of the Department's representative. The consultant shall initiate the rate adjustment process by submitting a proposed adjusted fee schedule to the Department for review and approval. The Department's Director or their designee expressly reserves the right to approve all labor rate increases. Specific project work may be extended or may be transferred to another consultant if work is not concluded by the end of the Agreement.

Where specific functions are required by law to be performed by the Department or where specific functions are listed in the Agreement as to be performed by the Department, Department staff will perform the actual work function.

All interested consultants are invited to respond to this RFQ.

VII. Anticipated Schedule

Date	Description
Nov 15, 2021	RFQ Issued
Nov 30, 2021	Optional demonstration via videoconference of submission using Bid Express
Dec 3, 2021	Optional demonstration via videoconference of submission using Bid Express
Dec 8, 2021	Requests for Clarification Due
Dec 17, 2021	Deadline for submittal of SOQ
Week of Jan 3, 2022	Selection Committee recommends shortlist
Jan 10, 2022	All submitting firms notified of results, interviews scheduled for shortlisted firms
Jan 17-28, 2022	Selection Committee interviews shortlist and accepts submittal of hourly fees
Feb 11, 2022	Selection Committee recommends consultant finalists. Hourly fees reviewed for consultant finalists. Finalists notified & provided Final Agreement.
Mar 8, 2022	Recommendation to Fresno County Board of Supervisors
Mar 8-TBD, 2022	Consultant finalists submit two signed final agreements for Department routing and approval
Mar 2022	Director executes agreements
Mar-Apr 2022	Letter of Approval and Agreements mailed to consultants

VII. Services Required of the Consultant

Consultant services on a project may include but are not necessarily limited to the services listed in the Sample Agreement in Appendix B Scope (Sample Agreement is attached as Attachment J).

IV. Services Provided by the Department

Services provided by the Department are listed in the Sample Agreement in Article 2 (Attachment J) and shall include, but are not limited to the following:

1. Examine documents submitted and render timely decisions pertaining thereto; and
2. Provide a Project Administrator to serve as a Department representative for individual projects.
3. Provide a Contract Administrator to serve as a Department representative regarding implementation of the Agreement.

V. SOQ Submittal Requirements

The SOQ shall be received at: <https://www.bidexpress.com/businesses/36473/home>. A demonstration showing how to use the Bid Express to submit your SOQ will be provided via Zoom on November 30, 2021 and on December 3, 2021. Attending one of the sessions is optional. Details about the videoconferences are posted to the website:

<https://www.co.fresno.ca.us/departments/public-works-and-planning/request-for-proposals/rfq-on-call-architectural-and-engineering-services-2021>

The SOQ shall consist of up to three (3) parts:

1. Solicitation Form (Required)

Provide the following information in the fields provided in the Solicitation:

- a. Firm Information
 - i. Firm name, address, phone number
 - ii. Type of organization (sole-proprietorship, partnership, or corporation).
 - iii. Contact person's name, phone number, and email address through which to send correspondence relating to this RFQ/SOQ.
 - iv. Contact information for firm principal(s) who will be responsible for overall coordination and management of the Agreement
- b. Include a Conflict-of-Interest Statement. The proposing Consultant shall disclose any financial, business or other relationship with the County that may have an impact upon the outcome of the contract.
- c. Indicate if the proposing Consultant was involved with any litigation in connection with prior projects. If yes, briefly describe the nature of the litigation and the result.

- d. Agreement Statement. The proposing Consultant shall disclose any issues or needed changes to the proposed contract agreement included as Attachment J Sample Agreement. The Consultant shall provide a brief statement affirming that the proposal terms shall remain in effect for ninety (90) days following the date proposal submittals are due.
- e. List the name, phone number, email address and projects of at least four (4) client references.
- f. Areas of Interest and Eligibility – Indicate disciplines, project types, funding sources, and contract types for which the consultant is applying to be considered

2. Attachments to all SOQs (Required)

Provide the following information uploaded to the Solicitation as a separate pdf for each:

- a. Cover Letter / Executive Summary
- b. Firm principal(s) who will be responsible for overall coordination and management of the Agreement, and their educational background, credentials and experience.
- c. Key personnel who may work on projects with their educational background, credentials and experience on comparable projects.
- d. List of current staff, including job classification.
- e. Subconsultants to be used, if any, and their experience in their respective fields. Indicate the tasks to be performed by these subconsultants.
- f. Firm qualifications.
- g. Firm organization chart.
- h. List current projects or commitments in your office.
- i. List in reverse chronological order for the last four (4) years projects completed or under design for which your firm provided engineering consultant services in the category or categories of services which your firm is proposing to provide, and indicate for each:
 - a) Name of project
 - b) Project location(s)
 - c) Brief description
 - d) Name of owner
 - e) Name of owner's contact person, telephone number and email
 - f) Your firm's specific involvement
 - g) Status of completion

3. Attachments related to Federally Funded eligibility (Optional)

For consideration to be eligible for federally funded projects, upload to the Solicitation as a separate pdf for each section below:

- a) List portions of work that could potentially be completed by a DBE subconsultant under this Agreement. The DBE goal for the agreement is listed in Attachment A. Projects receiving federal aid may have an

additional DBE goal and consultants are encouraged to assist the Department in meeting any goal established for a Project. Note that the ability to identify and utilize DBE subconsultants will not be used as a criterion for selecting on-call consultants.

- b) Complete Exhibit 10-O1, Consultant Proposal DBE Commitment, (Consultant Contracts) from the LAPM to be included in the proposal (see Attachment F.1 to this RFQ). The DBE Commitment will be included as an Exhibit to the Agreement upon a successful contract negotiation. Exhibit 10-O2, Consultant Contract DBE Commitment, will be submitted in the sealed fee proposal on a project-by-project basis (See Attachment F.2 to this RFQ).
- c) While Consultants whose DBE Commitment will not meet the DBE Goal listed in Attachment A Notice to Proposers Disadvantaged Business Enterprise Information are required to attach Exhibit 15-H, Proposer / Contractor Good Faith Efforts (See Attachment G), all consultants who wish to be considered for eligibility for federally funded projects are encouraged to attach their Exhibit 15-H, Proposer / Contractor Good Faith Efforts.

VI. Consultant Fees and Financial Management System

If selected for an interview, consultants shall be requested to submit a sealed password protected "fee proposal" or "cost proposal" containing the consultant's and subconsultants' hourly fees within one (1) week of the request. Consultants and their subconsultants are to use the "Attachment B.1 - Sample Cost Proposal" by deleting the sample data from within the proposal and inserting their fees **OR** if Consultants and their subconsultants are applying for eligibility to participate in federally funded projects, Consultants are to use "Attachment B.2 Sample Cost Proposal Exhibit 10-H2." If selected as a finalist, consultants shall be requested to submit the password to the sealed password protected Fee Proposal for review and attachment to the consultant services agreement.

If your firm is selected for an interview, your firm will be asked to submit in a password protected file your specific rates of compensation fee schedule.

If you have indicated in your SOQ that your firm would like to be eligible for federally funded projects, your firm will be asked to submit in a password protected file and, if your firm or proposed consultant firms has an approved ICR: a completed Caltrans Exhibit 10-K "Consultant Certification of Contract Costs and Financial Management System" form (Attachment I.1), the ICR Schedule with FAR References for Disallowed Costs, the Cognizant Approval Letter for the ICR FYE Proposed for your firm and each of your proposed subconsultants. If your firm or proposed subconsultants do not have an approved ICR, your firm will be asked to submit in a password protected file, a "California Safe Harbor Indirect Cost Rate Program" form, otherwise known as a Safe Harbor Rate (SHR) Request Form (Attachment I.2). An Agreement shall not be awarded to a consultant without an adequate financial management and accounting system as required by 48 CFR Part 16.301-3, 49 CFR Part 18, and 48 CFR Part 31. See

Attachment I Indirect Cost Rate Forms and Article 5 Section C Indirect Cost Rate in Attachment J Sample Agreement.

DO NOT SUBMIT MORE INFORMATION THAN REQUESTED IN THIS RFQ

VII. Consultant Selection Procedure

The selection procedure shall be in accordance with Fresno Department Ordinance Code Chapter 4.10 and applicable provisions of the "Policy for Selection and Compensation of Architectural/Engineering Consultants" as revised by the Board of Supervisors on October 2, 2007 and Chapter 10 Consultant Selection, of the California Department of Transportation's Local Assistance Procedures Manual.

Selection Committees (hereinafter referred to as "the Committees") will be formed to evaluate the SOQs and to make recommendations to the Fresno County Board of Supervisors. The Committees will consist of representatives of the Department, other County of Fresno Departments, outside agencies or private companies if considered necessary or desirable for the selection process. The Committees will screen the SOQs to narrow consideration to those firms with qualifications and experience deemed especially qualified for this commission. These firms may be invited to participate in interviews prior to a final selection.

Selection Committees will conduct interviews according to the discipline groupings of overlapping expertise of Selection Committee members. Each discipline eligibility will be evaluated individually, and top ranked firms will be scheduled for each discipline grouping for which they will be considered. The Selection Committees and their respective disciplines are listed below:

Architectural Design Committee

- Architectural Design and Drafting
- Building Commissioning (LEED)
- Certified Access Specialist (CASP) Certification
- Cost Estimating
- Industrial Hygiene, Hazardous Material, Lead and Asbestos Compliance

Development Committee

- Land Use / Planning

Engineering Design Committee

- Assessment Engineering
- Civil Engineering
- Electrical Engineering
- Geotechnical Engineering
- Hydraulic Engineering
- Plumbing and Mechanical Engineering
- Structural Engineering

- Surveying
- Traffic and Transportation Engineering

Environmental Committee

- Archaeology / Architectural History / Paleontology
- Biology
- Environmental Planning Services
- Landscape Architecture

Landfill / Resources Committee

- Solid Waste Engineering
- Water Resource Operators
- Water Resources Engineering

Road Maintenance and Construction Committee

- Construction Management
- Construction Quality Assurance
- Encroachment Permit Inspections
- Materials Testing
- Pavement Management
- Utility Locating

The Committee will address the criteria listed in Attachment C “Exhibit 10-B, Consultant Evaluation Sheet” in its evaluation of the SOQs and will use an Evaluation Sheet to systematically review the SOQs.

The Department reserves the right to conduct a background inquiry of each proposer which may include collection of appropriate criminal history information, contractual and business associations and practices, employment histories and reputation in the business community. By submitting a SOQ to the Department, the proposer consents to such an inquiry and agrees to make available to the Department such books and records the Department deems necessary to conduct the inquiry.

Example:

- 1) Proposal: Example Firm selects Civil Engineering, Structural Engineering, Landscape Architecture, Environmental Planning Services, Biology, and Pavement Management.
- 2) Short List Evaluation:
 - a. The Engineering Design Committee evaluates their proposal and highly ranks their proposal for Civil Engineering and Structural Engineering.
 - b. The Environmental Committee evaluates their proposal and ranks their eligibility for Landscape Architecture and Environmental Planning Services as sufficiently high for an interview, but not Biology.
 - c. The Road Maintenance and Construction Committee evaluates their proposal and does not rank them as a top ranked candidate for Pavement Management.

- 3) Interviews: Two interviews with Example Firm (and their subconsultants) are scheduled, and Firm is asked for a password protected fee proposal and references are checked:
 - a. Engineering Design Committee interviews Example Firm to consider their eligibility for Civil Engineering and Structural Engineering. Example Firm is evaluated and is one of the top ranked firms in both disciplines.
 - b. Environmental Committee interviews Example Firm to consider their eligibility for Landscape Architecture and Environmental Planning Services and Example Firm is one of the top ranked firms for Landscape Architecture, but not for Environmental Planning Services.
- 4) Offer of Agreement: Example Firm is contacted requesting their password and upon completion of successful fee negotiation, an agreement stipulating Example Firm's eligibility to work within the fields of Civil Engineering, Structural Engineering, and Landscape Architecture is submitted to the Board for approval and execution.

Additional attachments to the agreement such as, but not limited to, Attachment D Exhibit 10-Q, Disclosure of Lobbying Activities and Attachment H Self-Dealing Transaction Disclosure Form would be requested from the proposer upon offer of agreement.

VIII. Fee Determination

The term of the Agreement will be three years, with two optional one-year extensions. The maximum total dollar amount for all agreements awarded is an aggregate of \$20,000,000. The total fees paid to the consultant will be dependent upon the professional services performed for the projects. No guarantee is made that the total fee or any fee will be received by the consultant.

IX. Protest Procedures

When a written appeal is filed regarding the decision of the selection committee, the Director of the Department and a representative of the County Administrative Officer shall render a decision on the merits of the appeal within ten (10) days.

All appeals shall be filed in writing with the Director of the Department within five (5) working days after notification of non-selection, or the proposer shall lose any right to further appeals.

All proposals shall be kept confidential throughout the appeals process and no proprietary information shall be revealed to competing firms.

In cases where a resolution satisfactory to the appellant is not possible, the appeal will be heard by the Board of Supervisors in regular session.

All proposers will be notified when an appeal is made. When an appeal is to be heard by the Board of Supervisors in regular session, the notification will include the time and place for the hearing and all affected firms will be given an opportunity to comment publicly,

along with the Department. Affected professional societies will be allowed to file comments with the Board of Supervisors prior to such hearings.



County of Fresno

DEPARTMENT OF PUBLIC WORKS AND PLANNING
STEVEN E. WHITE, DIRECTOR

December 7, 2021

ADDENDUM NO. 1 to the Request for Qualifications - On-Call Architectural & Engineering Consultant Services for Various Public Works Projects:

These changes will affect the Bid Express Solicitation. Any section affected will be reset by the changes and your saved information may need to be reentered. The Bid Express Solicitation changes are considered part of this addendum (Addendum No. 1) for the purpose of Addendum Acknowledgement.

RFQ

DELETE the following on page 6:

"VII. Anticipated Schedule

REPLACE with:

"II. Anticipated Schedule

DELETE the following on page 7:

"VII. Services Required of the Consultant

REPLACE with:

"III. Services Required of the Consultant

Preface

DELETE the following:

If your firm submits an SOQ and is selected for an interview, it is anticipated that interviews will be held between January 17-28, 2022.

REPLACE with:

If your firm submits an SOQ and is selected for an interview, it is anticipated that interviews will be held in February 2022.

DESIGN DIVISION

2220 Tulare Street, Seventh Floor / Fresno, California 93721 / Phone (559) 600-4154 / FAX (559) 600-4544
The County of Fresno is an Equal Employment Opportunity Employer

II. Anticipated Schedule

DELETE the following:

Date	Description
Week of Jan 3, 2022	Selection Committee recommends shortlist
Jan 10, 2022	All submitting firms notified of results, interviews scheduled for shortlisted firms
Jan 17-28, 2022	Selection Committee interviews shortlist and accepts submittal of hourly fees
Feb 11, 2022	Selection Committee recommends consultant finalists. Hourly fees reviewed for consultant finalists. Finalists notified & provided Final Agreement.
Mar 8, 2022	Recommendation to Fresno County Board of Supervisors
Mar 8-TBD, 2022	Consultant finalists submit two signed final agreements for Department routing and approval
Mar 2022	Director executes agreements
Mar-Apr 2022	Letter of Approval and Agreements mailed to consultants

REPLACE with:

Date	Description
Week of Jan 24, 2022	Selection Committees recommend shortlists
Late January / Early February, 2022	All submitting firms notified of results, interviews scheduled for shortlisted firms
February, 2022	Selection Committees interviews shortlist and accepts submittal of hourly fees
Early March, 2022	Selection Committees recommends consultant finalists. Hourly fees reviewed for consultant finalists. Finalists notified & provided Final Agreement.
April, 2022	Recommendation to Fresno County Board of Supervisors
April-TBD, 2022	Consultant finalists submit two signed final agreements for Department routing and approval

Date	Description
April 2022	Director executes agreements
Apr-May 2022	Letter of Approval and Agreements mailed to consultants

V. SOQ Submittal Requirements

2. Attachments to all SOQs (Required)

DELETE the following:

i. List in reverse chronological order for the last four (4) years projects completed or under design for which your firm provided engineering consultant services in the category or categories of services which your firm is proposing to provide, and indicate for each:

REPLACE with:

i. List in reverse chronological order for the last four (4) years projects completed or under design for which your firm provided consultant services in the category or categories of services which your firm is proposing to provide, and indicate for each:

VII. Consultant Selection Procedure

Landscape Architecture has been moved from the Environmental Committee to the Architectural Design Committee, Land Use / Planning has been moved from the Development Committee to the Environmental Committee and Construction Quality Assurance is not an independent discipline.

DELETE the following:

Architectural Design Committee

- Architectural Design and Drafting
- Building Commissioning (LEED)
- Certified Access Specialist (CASP) Certification
- Cost Estimating
- Industrial Hygiene, Hazardous Material, Lead and Asbestos Compliance

Development Committee

- Land Use / Planning

Engineering Design Committee

- Assessment Engineering
- Civil Engineering
- Electrical Engineering
- Geotechnical Engineering
- Hydraulic Engineering
- Plumbing and Mechanical Engineering
- Structural Engineering
- Surveying
- Traffic and Transportation Engineering

Environmental Committee

- Archaeology / Architectural History / Paleontology
- Biology
- Environmental Planning Services
- Landscape Architecture

Landfill / Resources Committee

- Solid Waste Engineering
- Water Resource Operators
- Water Resources Engineering

Road Maintenance and Construction Committee

- Construction Management
- Construction Quality Assurance
- Encroachment Permit Inspections
- Materials Testing
- Pavement Management
- Utility Locating

REPLACE with:

Architectural Design Committee

- Architectural Design and Drafting
- Building Commissioning (LEED)
- Certified Access Specialist (CASP) Certification
- Cost Estimating
- Industrial Hygiene, Hazardous Material, Lead and Asbestos Compliance
- Landscape Architecture

Engineering Design Committee

- Assessment Engineering

- Civil Engineering
- Electrical Engineering
- Geotechnical Engineering
- Hydraulic Engineering
- Plumbing and Mechanical Engineering
- Structural Engineering
- Surveying
- Traffic and Transportation Engineering

Environmental Committee

- Archaeology / Architectural History / Paleontology
- Biology
- Environmental Planning Services
- Land Use / Planning

Landfill / Resources Committee

- Solid Waste Engineering
- Water Resource Operators
- Water Resources Engineering

Road Maintenance and Construction Committee

- Construction Management
- Encroachment Permit Inspections
- Materials Testing
- Pavement Management
- Utility Locating

Attachment A Exhibit 10-I, Notice to Proposers Disadvantaged Business Enterprise Information*

The DBE goal has been set by the County but has not yet been reviewed by Caltrans. If Caltrans disapproves the current goal but approves a higher goal, those consultants that applied for federal funding eligibility will be allowed an additional submission period before the shortlist is determined in which they may change or add subconsultants and they may make revisions, specifically to the documents:

Attach Required Documents

- e. Subconsultants

Attach Required Documents if applying for Federally Funded Eligibility

- a. Subconsultant Potential

- b. Consultant Proposal DBE Commitment
- c. Proposer / Contractor Good Faith Efforts

Note: If Caltrans approves the goal, no additional submission period will be allowed.

Bid Express Solicitation

Firm Information

The field "Consultant's Project Manager" is deleted because it is a duplicate of the field "Project Manager – Name."

Areas of Interest and Eligibility

The Selection Committees have been changed: Landscape Architecture has been moved from the Environmental Committee to the Architectural Design Committee and Land Use / Planning has been moved from the Development Committee to the Environmental Committee

Supplemental Information – Questions and Answers

For environmental services, could you be more specific as to the County's needs on this scope? (RFC 43844 submitted 11/03/2021)

We're looking for several firms to provide a variety of services, including, but not limited to architectural and engineering services, planning, environmental, right-of-way, utility location, and other related services. A more comprehensive list and more scope details will be included with the RFQ & sample agreement, once published. Firms will be able to indicate the field(s) for which they would like to be considered. *Response date: 11/05/2021*

Will the new RFQ/Agreement(s) include disciplines and/or services for which the County already has on-calls in place? (RFC 44072 submitted 11/08/2021)

The new on-call Request for Qualifications *will* include various services for which the Department has current on-call agreements in place. The new agreement(s) *will not* immediately override or replace existing on-call agreements, but will be used concurrently until the current agreements expire. The Department is taking a more general/holistic approach to our consulting procurement and aims to consolidate and include a variety of services that had been split up and handled under more narrow RFQs and Agreements under a single solicitation. *Response date: 11/09/2021*

Please provide the overall page limit and does the cover and index page count towards not exceeding the page limit? (RFC 44296 submitted 11/16/2021)

There is no overall page limit, but each document you upload has a 10 MB limit.

An index should not be necessary because the components are separated in the Bid Express Solicitation and each component document should be uploaded in its own upload field. For example, your Cover Letter / Executive Summary should be uploaded in the file upload field "Cover Letter" under "Attach Required Documents."

There are ~~six (6)~~ twelve (12) additional optional file upload fields available under "Attach Optional Additional Documents" for additional file uploads, each of which has a 10 MB limit. For example, if your "f. Firm qualifications" document were 12 MB, you would divide the document into 2 files, each under 10 MB and upload the first file under "f. Firm Qualifications" and the second file would be uploaded under "Attach Optional Additional Documents." We suggest (though it is not required) that you use filenames to indicate the nature of the additional files. Example: "F-Firm-Qualifications-2-of-2.pdf" *Response date: 11/17/2021*

Can the RFQ submitted last June 2020 be reconsidered for this RFQ? (RFC 44305 submitted 11/16/2021)

You are welcome to reuse your answers and materials from previous RFQs, however you must fill out the questions in the Bid Express Solicitation and upload the different attachments in the file upload field for each question that applies to be considered responsive. For example: Upload a pdf containing your Cover Letter/Executive Summary in the file upload field for "a. Cover Letter" in the section "Attach Required Documents." Upload a separate pdf containing your firm organization chart in the file upload field for "g. Firm organization chart." Type in the name of the Project Manager in the provided text field for "Consultant's Project Manager Name." *Response date:* 11/17/2021

Do we need to submit separately for each discipline? (RFC 44304 submitted 11/16/2021)

Only submit one response and select multiple disciplines within Bid Express. *Response date:* 11/17/2021

Can the County provide a list of firms that hold current contracts for on-call architectural, engineering, and related services? (RFC 44288 submitted 11/16/2021)

The following list of firms hold current contracts for on-call architectural, engineering, environmental, solid waste engineering, and staff augmentation services with the Department of Public Works and Planning. This list is not comprehensive and is limited to services that are currently performed through on-call service or staff augmentation contracts related to architectural and engineering services. In addition, some of the services in this new RFQ had previously been performed through other arrangements/agreements, such as project-based Requests for Proposals or using County forces.

- A&M Engineers
- AECOM
- Applied Earthworks
- Area West Environmental Consultants
- Avila & Associates
- ASH Architects/Huber & Huber
- Biggs Cardosa Associates
- BKF Engineers
- Blackburn Consulting
- Blair, Church and Flynn
- Blue Ridge Services Montna Inc.
- BSK
- Carollo Engineering
- Cornerstone Structural Engineering Group
- DeNovo Planning
- Dewberry Drake Haglan
- Dyson & Janzen
- EBA Engineering
- Electrical Power Systems
- Forensic Analytical Consulting Services (HMS)
- Geo-Logic Associates

- Geosyntec
- GHD Services, Inc.
- Golder Associates, USA Inc.
- GPA Consulting
- Hardin-Davidson Engineering
- Integrated Designs
- James W. Babcock
- JLB Traffic Engineering
- Kitchell
- Kleinfelder
- Krazan
- Lars Anderson
- Lawrence Engineering Group (LEG)
- Live Oak Associates
- LSA Associates
- Mark Thomas & Co.
- MGE Engineering
- Moore Twining
- NV5
- OCMI, Inc
- O'Dell Engineering
- Parrish Hansen
- Peters Engineering Group
- Provost & Pritchard
- Quincy Engineering
- RDT Architecture & Interior Design, Inc.
- Rincon Consulting
- Robina Wright
- SCS Engineers
- Sierra West
- Southern Yosemite Engineering Inc.
- SSG
- Stantec Consulting Services, Inc.
- Stratus Environmental, Inc.
- SWCA
- T2 Utility Engineers
- TAM CZ
- Technicon
- Tetra Tech BAS, Inc.
- TJKM Transportation Consultants
- TRC Engineers
- Vanir Construction Management
- Wood Wiley & Jebian

Response date: 11/24/2021

Regarding section V. SOQ Submittal Requirements, in the Request for Qualifications, Item 2 “Attachments to all SOQs” (page 8 of 13) "Provide the following information uploaded to the Solicitation as a separate pdf for each:" does this mean you would like to receive nine (9) separate pdfs or can this section be combined into one pdf, with each item on each page? (RFC 44378 submitted 11/18/2021)

We would like to receive nine (9) separate pdfs. The sections should not be combined in one pdf. The BidExpress system will combine and order the sections for each firm's Response to the RFQ. This is intended to ensure adequate space for the response to each question and to speed review and document processing through using the more uniform response structure. *Response date: 11/24/2021*

Regarding section V. SOQ Submittal Requirements, in the Request for Qualifications, item 1 “Solicitation Form”. The RFQ states, “provide the following information in the fields provided in the Solicitation”. We do not see that this Solicitation Form was included in the RFQ. Will the County be issuing this Form? (RFC 44387 and 44420 submitted 11/18/2021)

The Solicitation Form is available via this link, which is provided on the project website, in the RFQ on the cover page under "Submittals" (page 1 of 13), and under "V. SOQ Submittal Requirements" (page 7 of 13): <https://www.bidexpress.com/businesses/36473/home>

This link will take you to the open solicitations for Fresno County Department of Public Works and Planning on the Bid Express webpage. The Solicitation is listed under the heading "Upcoming Solicitations" as "RFQ 2021 On-Call A&E Consultant and Related Services." *Response date: 11/18/2021*

When will the County be posting the Sample Agreement, Attachment J? (RFC 44389 submitted 11/18/2021)

The Sample Agreement has been drafted, but it is under review. The most recent draft has been posted to the website. A final version of the proposed agreement will be provided to the consultants who are shortlisted. Firms will be able to bring up any issues with the proposed agreement during the interview. *Response date: 11/24/2021*
Revised 12/07/2021

Will projects subject to AB 1768 be released under this OnCall and does the County expect prevailing wage rates to be included in the cost proposals? (RFC 44393 submitted 11/18/2021)

Yes. See Attachment J - Sample Agreement Article 23 State Prevailing Wage Rates. *Response date: 11/24/2021*

Does discipline "Water Resources Engineering" encompass both groundwater and surface water projects? (RFC 44394 submitted 11/18/2021)

See Attachment J - Sample Agreement – Appendix B - Scope. *Response date: 11/24/2021*

Could you please clarify whether the \$20,000,000 award ceiling is per consultant across all engineering disciplines or across all consultants selected within each engineering discipline? (RFC 44395 submitted 11/18/2021)

It is across all architectural and engineering and other related disciplines for the entire duration of the agreement (3 years plus potentially 2 one-year renewals for a maximum of 5 years) distributed among the consultants who perform work as needed. There is no minimum amount per consultant. *Response date: 11/24/2021*

We do not see 'Environmental Engineering/Assessment' as a category in the County's RFQ for On-Call Architectural & Engineering Consulting Services for Various Public Work Projects. Does the County contemplate needing services such as: Initial Site Assessments, Aerially Deposited Lead surveys for roadway

projects, Environmental Assessments or Investigations for property transfers/regulatory compliance under this contract? If so, under what category would qualifications be presented? If not, are they currently awarded under a different contract? (RFC 44465 submitted 11/22/2021)

See Attachment J – Sample Agreement – Appendix B – Scope. These services fall under “Environmental Planning Services” and “Materials Testing.” *Response date: 12/03/2021*

Per the website, is Staff Augmentation part of the RFQ? (RFC 44475 submitted 11/22/2021)

Yes. See Attachment J - Sample Agreement – Appendix B - Scope. *Response date: 11/24/2021*

Per page 8 of 13 of the RFQ, Section 2, Attachments to all SOQs, should the word "discipline" be inserted after the word "each" in the first sentence/clause? (RFC 44476 submitted 11/22/2021)

No. Submit a pdf for each attachment to the SOQ listed (#a-i). *Response date: 11/24/2021*

If the word “discipline” is not inserted after the word “each,” per page 8 of 13, we note that different information would be submitted under Sections 1.e, 2.b through 2.i., and 3.a depending on the specific discipline, and you have different review teams depending on the discipline, so we request that to make your review process and our SOQ assemblage easier, consultants be permitted to submit a separate PDF file/SOQ for each discipline. (RFC 44479, 44482 and 44514 submitted 11/22/2021)

You are welcome to either use headings in your pdf to indicate relevant sections for each discipline or submit additional pdfs for each discipline, though you are not required to do so. There is sufficient space provided under “Client References” for twenty (20) references and if you wish you may indicate the applicable disciplines for each reference under “Projects Worked On.”

If you choose to attach additional pdfs, there are twelve (12) additional optional file upload fields available under “Attach Optional Additional Documents” that you may use for this purpose. We suggest (though it is not required) that you use filenames to indicate the sections and disciplines for the additional files. Examples: “F-Firm-Qualifications-Archaeology-2-of-2.pdf” or “Client-References-Continued.pdf” *Response date: 11/29/2021 Response date: 11/29/2021*

Per page 8 of 13 of the RFQ, Section 3, Attachments Related to Federally Funded Eligibility. Attachment A is referenced, however this Attachment was not provided. (RFC 44480 submitted 11/22/2021)

Attachment A Exhibit 10-I, Notice to Proposers Disadvantaged Business Enterprise Information has been posted. *Response date: 12/07/2021*

Please clarify the DBE goal. (RFC 44481 submitted 11/22/2021)

The goal is 4%. See Attachment A Exhibit 10-I, Notice to Proposers Disadvantaged Business Enterprise Information for information about the DBE goal and see Addendum 1 regarding review by Caltrans. *Response date: 12/07/2021*

Please define the scope for Construction Quality Assurance. (RFC 44513 submitted 11/24/2021)

Construction Quality Assurance is not a separate discipline. We anticipate removing "Construction Quality Assurance" from page 11 of the RFQ under "Road Maintenance and Construction Committee" via addendum.

Within the Civil Engineering discipline in Attachment J - Sample Agreement – Appendix B – Scope, Construction Quality Assurance includes in the field and plan/specifications review. Field review provides periodic or continuous observation of construction methods and as-built conditions to ensure conformance with the plans and specifications. The scope of review may include any part of Civil design. *Response date: 12/01/2021*

Can we use 11x17 sheets where necessary? (RFC 44584 submitted 11/30/2021)

For this SOQ, all responses must be submitted electronically via Bid Express, and there are no printing specifications.

For technical reports and design plans referenced in Attachment J Sample Agreement – Appendix D Deliverables, the standard sizes of various documents are listed. Deviations from the listed formats should be verified with the Project Administrator for specific projects. *Response date: 12/03/2021*

For the "firm org chart" mentioned on page 8, would the County like to see an org chart of our entire firm, or an org chart of the team that will be working on the on-call projects? (RFC 44585 submitted 11/30/2021)

The org chart should show the team anticipated to work on the on-call projects as well as tracing the reporting relationships from that team to your firm's highest leadership. *Response date: 12/06/2021*

Regarding the Litigation Statement, does the County require litigation for the entire history of the firm or can we limit the requirement to litigation within the last five years? (RFC 44684 submitted 12/02/2021)

You may limit to litigation within the last five (5) years. *Response date: 12/06/2021*

I understand that our existing Environmental on-call agreement is primarily for federally funded transportation projects and that the new RFQ emphasizes Architectural and Engineering services, but given that there appears to be a fair amount of transportation projects how will projects be divided between the two agreements? (RFC 44825 submitted 11/29/2021)

Mini-RFPs will be issued to all qualified on-call consultants whenever the scope of services is covered by both agreements and the services can be performed before the end of the agreement term. Consultants with current on-call agreements are encouraged to respond to this RFP to ensure they continue to receive mini-RFPs after the expiration of the current agreement and to shift to the new cycle of on-call agreements.

Example 1: A mini-RFP is issued for a community impact assessment on a federally funded transportation project. The work is expected to conclude before the existing agreements expire. The list of consultants who would be issued the mini-RFP would include both consultants with agreements through the new RFP who are eligible for "Environmental Planning Services" and are eligible for work on Federal funded projects, as well as all environmental consultants with the existing agreements under the 2020 RFQ, as they all have established eligibility for work on federally funded projects. Consultants from both agreements would respond. If the top candidate firm were participating on both agreements, the County would announce which agreement (2020 or 2022) would apply.

Example 2: A mini-RFP is issued for environmental planning work on a federally funded transportation project where the scoped work is expected to conclude in 2026. The 2020 agreements cannot be extended beyond 2025, but the 2022 agreements could be extended to 2027. This mini-RFP would only be issued to consultants eligible for federal funding in the "Environmental Planning Services" under the new RFQ. *Response date: 12/06/2021*

Page 11 of 13, notes that the evaluation committee will address criteria listed in Attachment C "Exhibit 10-B, Consultant Evaluation Sheet". This attachment does not appear to be listed on the web site. Will you be providing this form? (RFC 44835 submitted 12/06/2021)

"Attachment C. Exhibit 10-B, Consultant Evaluation Sheet" was posted to the website on 11/15/2021 under "Requests for Qualifications, Attachments, and Addenda, as well

as to the Bid Express Solicitation under "RFQ, Appendices and Addenda." *Response date: 12/07/2021*

Page 8 of 13 of the RFQ, Item 2.i asks for "...projects completed or under design for which your firm provided engineering consultant services..." Since not all of the categories are for engineering design, can we submit projects for which we have provided similar services; not necessarily engineering? (RFC 44845 submitted 12/06/2021)

Yes, see Addendum 1. *Response date: 12/07/2021*

Is it expected that that vertical construction (buildings) will receive federal funding or is the mainly constrained to horizontal and utility infrastructure projects? E.g. roads, bridges, trails, paths, traffic, water, and wastewater. (RFC 44853 submitted 12/06/2021)

In general, most building projects we have completed in the past or are contemplating completion of do not involve federal funding. However, we cannot precisely anticipate future funding sources. The following disciplines are anticipated to **never** have projects that involve federal funding:

- Solid Waste Engineering

The following disciplines are anticipated to **rarely** have projects that involve federal funding:

- Architectural Design and Drafting
- Building Commissioning (LEED)
- Certified Access Specialist (CASP) Certification
- Land Use / Planning
- Pavement Management
- Water Resource Operators

The following disciplines are anticipated to **occasionally** have projects that involve federal funding:

- Assessment Engineering
- Construction Management
- Cost Estimating
- Electrical Engineering
- Encroachment Permit Inspections
- Industrial Hygiene, Hazardous Material, Lead and Asbestos Compliance
- Plumbing and Mechanical Engineering

The following disciplines are anticipated to **often** have projects that involve federal funding:

- Archaeology / Architectural History / Paleontology
- Biology
- Civil Engineering
- Environmental Planning Services
- Geotechnical Engineering
- Hydraulic Engineering
- Landscape Architecture
- Materials Testing
- Structural Engineering
- Surveying
- Traffic and Transportation Engineering
- Utility Locating
- Water Resources Engineering

Response date: 12/07/2021



County of Fresno

DEPARTMENT OF PUBLIC WORKS AND PLANNING
STEVEN E. WHITE, DIRECTOR

December 10, 2021

ADDENDUM NO. 2 to the Request for Qualifications - On-Call Architectural & Engineering Consultant Services for Various Public Works Projects:

DELETE Attachment A Exhibit 10-I, Notice to Proposers Disadvantaged Business Enterprise Information

REPLACE with Attachment A.1 Exhibit 10-I, Notice to Proposers Disadvantaged Business Enterprise Information

Caltrans has approved a DBE goal of 13%. **Consultants that apply for federal funding eligibility must submit their complete response by December 17th with the following documents included in be considered responsive.** As stated in Addendum 1, however, those Consultants applying for federal funding eligibility will be allowed an additional submission period before the shortlist is determined in which they may *change* or *add* subconsultants and they may make revisions specifically to the documents:

Attach Required Documents

- e. Subconsultants

Attach Required Documents if applying for Federally Funded Eligibility

- a. Subconsultant Potential
- b. Consultant Proposal DBE Commitment
- c. Proposer / Contractor Good Faith Efforts

Firms who apply for Federal funding eligibility will be provided with a link and instructions for submitting revised versions of these documents. Revisions will be due by Friday, January 7th at 4:00pm. Both versions of these documents will be provided to the Selection Committees.

V. SOQ Submittal Requirements

DELETE the following:

- c. Indicate if the proposing Consultant was involved with any litigation in connection with prior projects. If yes, briefly describe the nature of the litigation and the result.

DESIGN DIVISION

2220 Tulare Street, Seventh Floor / Fresno, California 93721 / Phone (559) 600-4154 / FAX (559) 600-4544
The County of Fresno is an Equal Employment Opportunity Employer

REPLACE with:

- c. Indicate if the proposing Consultant was involved with any litigation within the last five (5) years in connection with prior projects. If yes, briefly describe the nature of the litigation and the result.

DELETE the following:

- i. List in reverse chronological order for the last four (4) years projects completed or under design for which your firm provided consultant services in the category or categories of services which your firm is proposing to provide, and indicate for each:

REPLACE with:

- i. List in reverse chronological order for the last four (4) years projects completed or under design for which your firm provided consultant services in the category or categories of services which your firm is proposing to provide. Limit the list to projects where the project location is in California and the project was worked on by your proposed key personnel, regardless of the work location of the key personnel. Indicate for each:

Attachment B.1 Sample Cost Proposal for Non-Federal

Calculation Information

DELETE

Actual **or** Avg. Hourly Rate⁴

REPLACE with:

Actual **or** Avg. Hourly Rate³

Supplemental Information – Questions and Answers

May we submit different rate sets for Federally-funded and County-funded projects? (RFC 44372 submitted 11/18/2021)

Yes. *Response date: 12/10/2021*

For Section c. Key personnel: should we include one PDF resume per person or combine all resumes in one pdf? (RFC 44858 submitted 12/07/2021)

Yes, you should use one pdf if possible as there are limited additional file locations for additional files. The format is not specified so you may use the format of your choice (resumes, paragraphs, etc.) to convey educational background, credentials, and experience on comparable projects for your key personnel. *Response date: 12/10/2021*

For Section d. List of current staff including job classification: Will this list restate the staff listed on the org chart? Is there any other purpose for this list? (RFC 44859 submitted 12/07/2021)

Yes, this list will also be attached to the agreement as Appendix C. See Sample Agreement Article 1. Section C. *Response date: 12/08/2021 Revised 12/10/2021*

For the purposes of the SOQ, is there a distinction between subconsultants and vendors? Do you want to receive information/qualifications in 2.e. for vendor-like services such as utility locating, labs, drillers, traffic control, waste hauling, etc., or just professional services? (RFC 44902 submitted 12/07/2021)

No, there is no distinction for work directly related to the projects / scope of work. Yes, we expect vendor and professional services to be listed as subconsultants. However, there is no need to showcase the background and performance abilities of your vendors. *Response date: 12/10/2021*

Do you have a maximum number of projects? What if we have hundreds of projects? What about projects located throughout the US and abroad? What about projects by our teams located elsewhere? Should we list only relevant projects? Is there a maximum number of projects per category? Is there a minimum of specific projects? (RFC 44910, 44913, and 44988 submitted 12/07/2021)

See Addendum 2. List all projects in the last 4 years where the project location is in California and the project was worked on by your proposed key personnel, regardless of the work location of the key personnel. *Response date: 12/10/2021*

The County has identified a DBE goal of 4% for this contract. This effectively precludes any non-DBE firm from proposing to provide Staff Augmentation services on projects with federal funding. Does the County intend to only use staff augmentation on non-federal projects or will the DBE goal be relaxed for Staff Augmentation services? (RFC 44976 submitted 12/08/2021)

The DBE goal and/or good faith effort does not apply to Staff Augmentation services, as there are no subconsultants allowed for Staff Augmentation services. Where there is no opportunity for subconsultants, no DBE goal applies. (This was recently clarified in the 2021 Caltrans Local Assistance Procedures Manual update to Chapter 10: Consultant Selection.) *Response date: 12/10/2021*

While reviewing the RFQ attachments B.1 and B.2: on B.2 (Federal Projects) there are superscripts 3 and 4 with footnotes for determining the billing rates on personnel. So based on the actual hourly rate a billing rate can be determined. However, on B.1 (Non-Federal Projects) the superscripts and footnotes do not match up. Footnote 3 stated (in the billing section) that we are required to enter the actual employee hourly rate without a multiplier. So whatever the employee is paid is the billing rate we get to charge. Is there a multiplier the County is requiring and is there a % increase that County is allowing annually? (RFC 44977 submitted 12/08/2021)

Yes, for the Federal projects whatever the actual employee is paid is the billing rate.

Mark-ups are not allowed. Mark-ups are adding a percentage of a subconsultant's rate.

The straight hourly billing rate is without an overtime multiplier.

For B-1 Cost Proposal Non-Federal, since the ICR does not apply, consultants may list the employee billing rate here, even if that amount is different than the rate the employee is paid.

Both superscripts 3 and 4 should refer to footnote 3. If you are naming the employee under "Name/Job Title/Classification", use the rate you will bill for that actual employee, without an overtime multiplier. Aside from key personnel, listing rates by job classifications is preferred.

See Article 5 Compensation, Allowable Costs and Payments Section B.3. Consultant Fee regarding annual inflation increases. *Response date: 12/10/2021*

Our firm specializes in structural engineering services, but we commonly subcontract other disciplines to design portions of projects necessary to deliver a complete project. Should we select all disciplines including ones performed by

subconsultants when submitting our SOQ, or should we only select structural engineering when submitting our SOQ? (RFC 44980 submitted 12/08/2021)

Mini-RFPs will only be issued to consultants who qualify for the disciplines needed for the scope of work. You should select all disciplines for which you would like to be eligible to receive mini-RFPs and submit proposals. In the case of projects which require a structural and a civil engineer, and where the nature of the work is such that either consultant could be the prime, the mini-RFP might be issued to both types of consultants. Or, the County might issue separate mini-RFPs for the Civil and Structural work, and manage each consultant directly. *Response date 12/10/2021*

Are we to submit separate SOQ's for each discipline we are proposing on? (RFC 44981 submitted 12/08/2021)

We want one SOQ per firm. If your firm will propose on multiple disciplines, you may use integrated content or distinguish between disciplines. The Selection Committee members will have access to the entire SOQ. If you decide to create distinct content by discipline or Selection Committee, be as clear as possible about how you have organized your information. *Response date: 12/10/2021*

Contract has a reference to “economic loss” – can you please clarify on what constitutes an economic loss? (RFC 44983 submitted 12/08/2021)

An economic loss refers to financial or monetary loss. *Response date: 12/10/2021*

We currently have an on-call contract with the County. Can we still submit for this proposal? (RFC 44984 submitted 12/08/2021)

Yes. We encourage firms who currently have an on-call contract with the County to submit for this proposal. This is the new contract to replace the existing agreements when the existing ones expire. *Response date: 12/10/2021*

For Pavement Management services, is it the County’s intention that all data collection be performed visually or should consultants plan on performing this work by technological means such as radar or other means? (RFC 44984 submitted 12/08/2021)

Data collection should be performed utilizing the practices of ASTM D 6433 : Standard Practice for Roads and Parking Lots Pavement Condition Index Surveys. *Response date: 12/10/2021*

For Pavement Management services, will certified Pavement Management Program (PMP) raters be required to perform this work? (RFC 44989 submitted 12/08/2021)

Yes. Response date: 12/10/2021

Do you have a list of the capital projects buildings for the next 5 years? (RFC 45013 submitted 12/09/2021)

Potential upcoming projects identified at this time include a new Agricultural Department building, a library in Clovis, a library in Reedley, as well as renovations to / construction of the Hall of Records. Additional projects may come up as funding becomes available. Over the last five years, County building projects have included new Jail Expansion, Sheriff's Substation, Animal Control Facility, and Environmental Compliance Center. Please see link to a recent meeting of the Board of Supervisors where upcoming capital projects were discussed.

<https://fresnocounty.legistar.com/LegislationDetail.aspx?ID=5210653&GUID=ED38311B-AA4D-4530-A2C1-BF296F3ED09D>

Response date: 12/10/2021

EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION

(Federally funded projects only)

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

1. TERMS AS USED IN THIS DOCUMENT

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

2. AUTHORITY AND RESPONSIBILITY

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

3. SUBMISSION OF DBE INFORMATION

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

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

4. DBE PARTICIPATION GENERAL INFORMATION

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

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
 3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.

- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Civil Rights [website](#)
 - 1. Click on the link titled Disadvantaged Business Enterprise;
 - 2. Click on Search for a DBE Firm link;
 - 3. Click on [Access to the DBE Query Form](#) located on the first line in the center of the page.

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

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

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.



County of Fresno

DEPARTMENT OF PUBLIC WORKS AND PLANNING
STEVEN E. WHITE, DIRECTOR

December 16, 2021

ADDENDUM NO. 3 to the Request for Qualifications - On-Call Architectural & Engineering Consultant Services for Various Public Works Projects:

The Bid Express Solicitation changes are considered part of this addendum (Addendum No. 3) for the purpose of Addendum Acknowledgement.

Additional disciplines are anticipated to be added to the RFQ in a future addendum with details for the increased scope. Note that the changes in that future addendum will affect the Bid Express Solicitation under Areas of Interest and Eligibility and your previously saved information may need to be reentered.

Firms applying for Federal funding eligibility will not receive an additional submittal period for revisions of their Subconsultant documents.

RFQ

DELETE the following:

**Statement of Qualifications (SOQs) are due prior to 4:00 P.M., Friday,
December 17, 2021**

REPLACE with:

**Statement of Qualifications (SOQs) are due prior to 4:00 P.M., Friday,
January 14, 2022**

DELETE the following:

Inquiries and Updates: Requests for Clarification (RFCs) regarding this RFQ must be submitted in writing via website form:

<https://www.co.fresno.ca.us/departments/public-works-and-planning/request-for-proposals/rfq-on-call-architectural-and-engineering-services-2021/requests-for-clarification>

and received by the Department no later than **4:00 p.m., Wednesday, December 8, 2021.**

DESIGN DIVISION

2220 Tulare Street, Seventh Floor / Fresno, California 93721 / Phone (559) 600-4154 / FAX (559) 600-4544
The County of Fresno is an Equal Employment Opportunity Employer

REPLACE with:

Inquiries and Updates: Requests for Clarification (RFCs) regarding this RFQ must be submitted in writing via website form:

<https://www.co.fresno.ca.us/departments/public-works-and-planning/request-for-proposals/rfq-on-call-architectural-and-engineering-services-2021/requests-for-clarification>

and received by the Department no later than **12:00 p.m. (noon), Friday, January 7, 2022.**

Preface

DELETE the following:

If your firm submits an SOQ and is selected for an interview, it is anticipated that interviews will be held between January 17-28, 2022.

REPLACE with:

If your firm submits an SOQ and is selected for an interview, it is anticipated that interviews will be held in February 2022.

II. Anticipated Schedule

DELETE the following:

Date	Description
Dec 8, 2021	Requests for Clarification Due
Dec 17, 2021	Deadline for submittal of SOQ
Week of Jan 24, 2022	Selection Committees recommend shortlists
Late January / Early February, 2022	All submitting firms notified of results, interviews scheduled for shortlisted firms
February, 2022	Selection Committees interviews shortlist and accepts submittal of hourly fees

Date	Description
Early March, 2022	Selection Committees recommends consultant finalists. Hourly fees reviewed for consultant finalists. Finalists notified & provided Final Agreement.
April, 2022	Recommendation to Fresno County Board of Supervisors
April-TBD, 2022	Consultant finalists submit two signed final agreements for Department routing and approval
April 2022	Director executes agreements
Apr-May 2022	Letter of Approval and Agreements mailed to consultants

REPLACE with:

Date	Description
Jan 7, 2022	Requests for Clarification Due
Jan 14, 2022	Deadline for submittal of SOQ
Week of Feb 14, 2022	Selection Committees recommend shortlists
Late Feb 2022	All submitting firms notified of results, interviews scheduled for shortlisted firms
Early March 2022	Selection Committees interviews shortlist and accepts submittal of hourly fees
Late March/Early April 2022	Selection Committees recommends consultant finalists. Hourly fees reviewed for consultant finalists. Finalists notified & provided Final Agreement.
May 2022	Recommendation to Fresno County Board of Supervisors
June-TBD 2022	Consultant finalists submit two signed final agreements for Department routing and approval
June 2022	Director executes agreements
June 2022	Letter of Approval and Agreements mailed to consultants



County of Fresno

DEPARTMENT OF PUBLIC WORKS AND PLANNING
STEVEN E. WHITE, DIRECTOR

December 22, 2021

ADDENDUM NO. 4 to the Request for Qualifications - On-Call Architectural & Engineering Consultant Services for Various Public Works Projects:

The Bid Express Solicitation changes are considered part of this addendum (Addendum No. 4) for the purpose of Addendum Acknowledgement.

Additional disciplines are added to the RFQ. Note that the changes may have affected the Bid Express Solicitation under "Areas of Interest and Eligibility" and your previously saved information may need to be reentered.

DELETE Attachment J Sample Agreement – Appendix B Scope (Draft Version – Under Review)

REPLACE with Attachment J Sample Agreement – Appendix B Scope

RFQ

I. Introduction and Project Overview

The Department is seeking firms to perform services according to the following disciplines:

ADD the following:

- Grant Writing – 3-5 firms
- Building Plan Checking – 3-5 firms
- Permit Technicians – 3-5 firms

DELETE the following:

The maximum total dollar amount for all agreements awarded is an aggregate of \$20,000,000.

DESIGN DIVISION

2220 Tulare Street, Seventh Floor / Fresno, California 93721 / Phone (559) 600-4154 / FAX (559) 600-4544
The County of Fresno is an Equal Employment Opportunity Employer

REPLACE with:

The maximum total dollar amount for all agreements awarded is an aggregate of \$22,200,000.

VII. Consultant Selection Procedure

Building Plan Checking and Permit Technicians have been added to the Building Inspection and Permitting Committee. Certified Access Specialist (CASP) Certification has been moved to the Building Inspection and Permitting Committee. Grant Writing has been added to the Engineering Design Committee.

DELETE the following:

Architectural Design Committee

- Architectural Design and Drafting
- Building Commissioning (LEED)
- Certified Access Specialist (CASP) Certification
- Cost Estimating
- Industrial Hygiene, Hazardous Material, Lead and Asbestos Compliance
- Landscape Architecture

Engineering Design Committee

- Assessment Engineering
- Civil Engineering
- Electrical Engineering
- Geotechnical Engineering
- Hydraulic Engineering
- Plumbing and Mechanical Engineering
- Structural Engineering
- Surveying
- Traffic and Transportation Engineering

Environmental Committee

- Archaeology / Architectural History / Paleontology
- Biology
- Environmental Planning Services
- Land Use / Planning

Landfill / Resources Committee

- Solid Waste Engineering
- Water Resource Operators

- Water Resources Engineering

Road Maintenance and Construction Committee

- Construction Management
- Encroachment Permit Inspections
- Materials Testing
- Pavement Management
- Utility Locating

REPLACE with:

Architectural Design Committee

- Architectural Design and Drafting
- Building Commissioning (LEED)
- Cost Estimating
- Industrial Hygiene, Hazardous Material, Lead and Asbestos Compliance
- Landscape Architecture

Building Inspection and Permitting Committee

- Building Plan Checking
- Certified Access Specialist (CASP) Certification
- Permit Technicians

Engineering Design Committee

- Assessment Engineering
- Civil Engineering
- Electrical Engineering
- Geotechnical Engineering
- Grant Writing
- Hydraulic Engineering
- Plumbing and Mechanical Engineering
- Structural Engineering
- Surveying
- Traffic and Transportation Engineering

Environmental Committee

- Archaeology / Architectural History / Paleontology
- Biology
- Environmental Planning Services
- Land Use / Planning

Landfill / Resources Committee

- Solid Waste Engineering
- Water Resource Operators
- Water Resources Engineering

Road Maintenance and Construction Committee

- Construction Management
- Encroachment Permit Inspections
- Materials Testing
- Pavement Management
- Utility Locating

Bid Express Solicitation

Areas of Interest and Eligibility

The disciplines of Building Plan Checking and Permit Technicians have been added to the Building Inspection and Permitting Committee. Certified Access Specialist (CASP) Certification has been moved to the Building Inspection and Permitting Committee. Grant Writing has been added to the Engineering Design Committee.

EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION

(Federally funded projects only)

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

1. TERMS AS USED IN THIS DOCUMENT

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

2. AUTHORITY AND RESPONSIBILITY

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

3. SUBMISSION OF DBE INFORMATION

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

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

4. DBE PARTICIPATION GENERAL INFORMATION

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

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
 3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.

- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Civil Rights [website](#)
 - 1. Click on the link titled Disadvantaged Business Enterprise;
 - 2. Click on Search for a DBE Firm link;
 - 3. Click on [Access to the DBE Query Form](#) located on the first line in the center of the page.

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

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

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

NON FEDERAL - COST PROPOSAL

SPECIFIC RATE OF COMPENSATION

Note: Mark-ups are Not AllowedConsultant _____ ☐ Prime Consultant ☐ Subconsultant ☐ 2nd Tier Subconsultant

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

BILLING INFORMATION**CALCULATION INFORMATION**

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

(Add pages as necessary)

NOTES:

1. Key personnel **must** be marked with an asterisk (*) and employees that are subject to prevailing wage requirements must be marked with two asterisks (**). All costs must comply with the Federal cost principles. Subconsultants will provide their own cost proposals.
2. The cost proposal format shall not be amended.
3. For named employees and key personnel enter the actual hourly rate. For classifications only, enter the Average Hourly Rate for that classification.

NON FEDERAL - COST PROPOSAL

SPECIFIC RATE OF COMPENSATION

Consultant _____ ☐ Prime Consultant ☐ Subconsultant

Project No. _____ Contract No. _____ Date _____

SCHEDULE OF OTHER COST ITEMS (Add additional pages as necessary)				
Description of Item	Quantity	Unit	Unit Cost	Total
Mileage Costs			\$	\$
Equipment Rental and Supplies			\$	\$
Permit Fees			\$	\$
Plan Sheets			\$	\$
Test			\$	\$
Vehicle			\$	\$
Subconsultant 1:				\$
Subconsultant 2:				\$
Subconsultant 3:				\$
Subconsultant 4:				\$
Subconsultant 5:				\$

Note: Add additional pages if necessary.

NOTES:

1. List other direct cost items with estimated costs. These costs should be competitive in their respective industries and supported with appropriate documentation.
2. Proposed ODC items should be consistently billed regardless of client and contract type.
3. Items when incurred for the same purpose, in like circumstance, should not be included in any indirect cost pool or in the overhead rate.
4. Items such as special tooling, will be reimbursed at actual cost with supporting documentation (invoice).
5. Items listed above that would be considered "tools of the trade" are not reimbursable as other direct cost.
6. Travel related costs should be pre-approved by the contracting agency and shall not exceed current State Department of Personnel Administration rules.
7. If mileage is claimed, the rate should be properly supported by the consultant's calculation of their actual costs for company vehicles. In addition, the miles claimed should be supported by mileage logs.
8. If a consultant proposes rental costs for a vehicle, the company must demonstrate that this is its standard procedure for all of their contracts and that they do not own any vehicles that could be used for the same purpose.
9. The cost proposal format shall not be amended. All costs must comply with the Federal cost principles.
10. Add additional pages if necessary.
11. Subconsultants must provide their own cost proposals.

NON FEDERAL - COST PROPOSAL**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 actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

1. Generally Accepted Accounting Principles (GAAP)
2. Terms and conditions of the contract

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files and be in compliance with applicable federal and state requirements. Costs that are noncompliant with the federal and state requirements are not eligible for reimbursement.

Prime Consultant or Subconsultant Certifying:

Name: _____ Title *: _____

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

Email: _____ Phone Number: _____

Address: _____

* An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President or a Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the cost proposal for the contract.

List services the consultant is providing under the proposed contract:

EXHIBIT 10-H2 COST PROPOSAL

SPECIFIC RATE OF COMPENSATION (USE FOR ON-CALL OR AS-NEEDED CONTRACTS)

(CONSTRUCTION ENGINEERING AND INSPECTION CONTRACTS)

Note: Mark-ups are Not Allowed

Consultant _____ ☐ Prime Consultant ☐ Subconsultant ☐ 2nd Tier Subconsultant

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

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

Fee	=	%
-----	---	---

BILLING INFORMATION

CALCULATION INFORMATION

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

(Add pages as necessary)

NOTES:

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

EXHIBIT 10-H2 COST PROPOSAL

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

Consultant _____ ☐ Prime Consultant ☐ Subconsultant

Project No. _____ Contract No. _____ Date _____

SCHEDULE OF OTHER DIRECT COST ITEMS (Add additional pages as necessary)				
Description of Item	Quantity	Unit	Unit Cost	Total
Mileage Costs			\$	\$
Equipment Rental and Supplies			\$	\$
Permit Fees			\$	\$
Plan Sheets			\$	\$
Test			\$	\$
Vehicle			\$	\$
Subconsultant 1:				\$
Subconsultant 2:				\$
Subconsultant 3:				\$
Subconsultant 4:				\$
Subconsultant 5:				\$

Note: Add additional pages if necessary.

NOTES:

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

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

EXHIBIT 10-H2 COST PROPOSAL

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 actual, reasonable, allowable, and allocable to the contract in accordance with the contract terms and the following requirements:

1. Generally Accepted Accounting Principles (GAAP)
2. Terms and conditions of the contract
3. [Title 23 United States Code Section 112](#) - Letting of Contracts
4. [48 Code of Federal Regulations Part 31](#) - Contract Cost Principles and Procedures
5. [23 Code of Federal Regulations Part 172](#) - Procurement, Management, and Administration of Engineering and Design Related Service
6. [48 Code of Federal Regulations Part 9904 - Cost Accounting Standards Board](#) (when applicable)

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files and be in compliance with applicable federal and state requirements. Costs that are noncompliant with the federal and state requirements are not eligible for reimbursement.

Prime Consultant or Subconsultant Certifying:

Name: _____ Title *: _____

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

Email: _____ Phone Number: _____

Address: _____

* An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President or a Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the cost proposal for the contract.

List services the consultant is providing under the proposed contract:

--

Consultant Evaluation Sheet

Project:	RFQ For On-Call Architectural and Engineering And Related Consultant Services For Various Public Works Projects – Statement of Qualifications
Consultant/Firm Name:	

Pass / Fail Criteria

Meets minimum requirements	
----------------------------	--

Evaluation Table

Evaluation Criteria	Rating Score (0-5)	Weight (must total 100)	Weighted Score (Rating * Weight / Maximum Rating)
A. Qualifications of individuals responsible for work		25	
B. Quality and experience with A & E services related to public works		40	
C. Demonstrated ability to work effectively with other others		10	
D. Demonstrated ability to keep costs within project budget and estimates		10	
E. Knowledge of local conditions		15	
Total		100	

Evaluator

Print Name: _____

Signature: _____

Date: _____

Contract Office

Initials: _____

Date: _____

Criteria

Proposals will be evaluated according to each Evaluation Criteria and scored on a zero to five point rating. The scores for all the Evaluation Criteria will then be multiplied according to their assigned weight and divided by the maximum possible score (5) to arrive at a weighted score for each proposal. A proposal with a high weighted total will be deemed of higher quality than a proposal with a lesser-weighted total. The final maximum score for any project is one hundred (100) points.

Rating and Rating Scale

Score	Rating	Rating Scale
0	Not Acceptable	Non-responsive, fails to meet RFQ specifications. The approach has no probability of success. For mandatory requirement this score will result in disqualification of proposal.
1	Poor	Below average, falls short of expectations, is substandard to that which is the average or expected norm, has a low probability of success in achieving project objectives per RFQ.
2	Fair	Has a reasonable probability of success, however, some objectives may not be met.
3	Average	Acceptable, achieves all objectives in a reasonable fashion per RFQ specification. This will be the baseline score for each item with adjustments based on interpretation of proposal by Evaluation Committee members.
4	Above Average/Good	Very good probability of success, better than that which is average or expected as the norm. Achieves all objectives per RFQ requirements and expectations.
5	Excellent/Exceptional	Exceeds expectations, very innovative, clearly superior to that which is average or expected as the norm. Excellent probability of success and in achieving all objectives and meeting RFQ specification.

Form based on LAPM Exhibit 10-B Suggested Evaluation.

The evaluation criteria and weighted values must be identified in the RFP/RFQ. If the RFP/RFQ has different evaluation criteria or weighted values then the information above would have to be changed to match. The Contract Office is to initial and date in the space provided to verify that the criteria and weighted values used in the evaluation sheet are appropriate and that the sheet has been completed correctly.

Attach a copy of the criteria and minimum requirements from the RFP/RFQ to this evaluation sheet.

Minimum Requirements

- Proposal complete - all sections included or acknowledged as “N/A”
- Proposal submitted before the deadline
- All addenda (if applicable) are acknowledged

Evaluation Criteria Description

A. Qualifications, experience, and education of individuals responsible for work
Key personnel and sub-consultants have relevant experience, credentials, and qualifications to perform the work well. Key positions for the work are appropriately staffed.
B. Quality and experience with A & E services related to public works
Experience with an emphasis on engineering services related to typical public works projects. Qualifications, experience and credentials demonstrate understanding of all Demonstrated ability to work effectively as a consultant or subconsultant with Department staff, other public agencies and/or related parties. Federal, State, and local codes and regulations relating to the work.
C. Demonstrated ability to work effectively with other others
Quality of past performance as a consultant or subconsultant for the Department or similar agencies.
D. Demonstrated ability to keep costs within project budget and estimates
Demonstrated ability to keep costs within project budget and estimates. Adequacy of staff to provide capability to perform volume and quality of needed work and meet deadlines.
E. Knowledge of local conditions
Knowledge of local conditions demonstrated.

Consultant Evaluation Sheet

Project:	RFQ For On-Call Architectural and Engineering And Related Consultant Services For Various Public Works Projects - Interview
Consultant/Firm Name:	

Pass / Fail Criteria

Meets minimum requirements	
----------------------------	--

Evaluation Table

Evaluation Criteria	Rating Score (0-5)	Weight (must total 100)	Weighted Score (Rating * Weight / Maximum Rating)
A. Qualifications of individuals responsible for work		25	
B. Quality and experience with A & E services related to public works		40	
C. Demonstrated ability to work effectively with other others		10	
D. Demonstrated ability to keep costs within project budget and estimates		10	
E. Ability to make effective public presentations		10	
F. Knowledge of local conditions		5	
Total		100	

Evaluator

Print Name: _____

Signature: _____

Date: _____

Contract Office

Initials: _____

Date: _____

Criteria

Proposals will be evaluated according to each Evaluation Criteria and scored on a zero to five point rating. The scores for all the Evaluation Criteria will then be multiplied according to their assigned weight and divided by the maximum possible score (5) to arrive at a weighted score for each proposal. A proposal with a high weighted total will be deemed of higher quality than a proposal with a lesser-weighted total. The final maximum score for any project is one hundred (100) points.

Rating and Rating Scale

Score	Rating	Rating Scale
0	Not Acceptable	Non-responsive, fails to meet RFQ specifications. The approach has no probability of success. For mandatory requirement this score will result in disqualification of proposal.
1	Poor	Below average, falls short of expectations, is substandard to that which is the average or expected norm, has a low probability of success in achieving project objectives per RFQ.
2	Fair	Has a reasonable probability of success, however, some objectives may not be met.
3	Average	Acceptable, achieves all objectives in a reasonable fashion per RFQ specification. This will be the baseline score for each item with adjustments based on interpretation of proposal by Evaluation Committee members.
4	Above Average/Good	Very good probability of success, better than that which is average or expected as the norm. Achieves all objectives per RFQ requirements and expectations.
5	Excellent/Exceptional	Exceeds expectations, very innovative, clearly superior to that which is average or expected as the norm. Excellent probability of success and in achieving all objectives and meeting RFQ specification.

Form based on LAPM Exhibit 10-B Suggested Evaluation.

The evaluation criteria and weighted values must be identified in the RFP/RFQ. If the RFP/RFQ has different evaluation criteria or weighted values then the information above would have to be changed to match. The Contract Office is to initial and date in the space provided to verify that the criteria and weighted values used in the evaluation sheet are appropriate and that the sheet has been completed correctly.

Attach a copy of the criteria and minimum requirements from the RFP/RFQ to this evaluation sheet.

Minimum Requirements

- Proposal complete - all sections included or acknowledged as “N/A”
- Proposal submitted before the deadline
- All addenda (if applicable) are acknowledged

Evaluation Criteria Description

A. Qualifications, experience, and education of individuals responsible for work
Key personnel and sub-consultants have relevant experience, credentials, and qualifications to perform the work well. Key positions for the work are appropriately staffed.
B. Quality and experience with A & E services related to public works
Experience with an emphasis on engineering services related to typical public works projects. Qualifications, experience and credentials demonstrate understanding of all Demonstrated ability to work effectively as a consultant or subconsultant with Department staff, other public agencies and/or related parties. Federal, State, and local codes and regulations relating to the work.
C. Demonstrated ability to work effectively with other others
Quality of past performance as a consultant or subconsultant for the Department or similar agencies.
D. Demonstrated ability to keep costs within project budget and estimates
Demonstrated ability to keep costs within project budget and estimates. Adequacy of staff to provide capability to perform volume and quality of needed work and meet deadlines.
E. Ability to make effective public presentations
Demonstrated ability to make effective public presentations.
F. Knowledge of local conditions
Knowledge of local conditions demonstrated.

EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

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

1. Type of Federal Action: <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	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known Congressional District, if known _____	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known _____	
6. Federal Department/Agency: _____	7. Federal Program Name/Description: CFDA Number, if applicable _____	
8. Federal Action Number, if known: _____	9. Award Amount, if known: _____	
10. Name and Address of Lobby Entity (If individual, last name, first name, MI) _____ (attach Continuation Sheet(s) if necessary)	11. Individuals Performing Services (including address if different from No. 10) (last name, first name, MI) _____ (attach Continuation Sheet(s) if necessary)	
12. Amount of Payment (check all that apply) \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	14. Type of Payment (check all that apply) <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 _____	
13. Form of Payment (check all that apply): <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ Value _____		
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: (attach Continuation Sheet(s) if necessary)		
16. Continuation Sheet(s) attached: Yes <input type="checkbox"/> No <input type="checkbox"/>		
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.		
Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		
Authorized for Local Reproduction Standard Form - LLL		

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



Financial Assistance Programs – Grants and Loans

Davis-Bacon Act Compliance

The Clean Water/Drinking Water State Revolving Fund Programs (CWSRF/DWSRF) provides assistance to cities, counties, municipalities, and communities across the State of California. This assistance comes with Federal requirements which are unfamiliar to many assistance recipients. The State Water Resources Control Board publishes information to the public regarding Davis-Bacon Act compliance on this web page.

- **Compliance Notice**

All CWSRF/DWSRF Financial Agreements executed on or after October 30, 2009 will need to comply with Davis-Bacon provisions regardless of the funding source.

In order to comply with these provisions, it is the responsibility of the CWSRF/DWSRF recipient to:

- Include appropriate wage determinations and required clauses in bids and contracts
- *Verify registration in approved U.S. Department of Labor Apprenticeship Programs
- Conduct employee wage rate interviews
- Collect/review weekly payroll and compliance statements within 7 days after the regular payment date of the payroll period
- Post in a conspicuous location applicable wage determinations and Davis-Bacon posters at construction site
- **Davis-Bacon Terms and Conditions**
 - CWSRF Davis-Bacon Terms and Conditions
 - [Requirements for Governmental Entities](#)
 - [Requirements for Non-Governmental Entities](#)
 - DWSRF Davis-Bacon Terms and Conditions
 - [Requirements for Governmental Entities](#)
 - [Requirements for Non-Governmental Entities](#)

Davis-Bacon compliance is required for the entirety of the construction activities financed by the assistance agreement through completion of construction, no matter when construction commences.

*The California Department of Industrial Relations (CDIR) and the California Apprenticeship Council (CAC) is no longer recognized by the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship (DOL/ETA OA). Therefore, all apprentices working on construction projects financed through CWSRF/DWSRF agreements must be registered in a bona fide apprenticeship program recognized by the Bureau of Apprenticeship and Training, U.S. Department of Labor.

The following is a guide to be used for CWSRF/DWSRF projects:

- **Bid/Contract Documents:**
 1. Physically include wage determinations which can be found at beta.sam.gov.
 2. Physically include Davis Bacon Language ([CWSRF](#)) ([DWSRF](#))
- **During Construction:**
 1. Davis-Bacon poster and wage determinations (federal and state) must be posted in a conspicuous place at the project construction site.
 2. Contractors and subcontractors must submit weekly certified payrolls to recipient within 7 days after the regular payment date of the payroll period.
 3. Recipient or authorized representative compare payrolls to wage determinations to ensure wages and fringes are being paid.
 4. Recipient or authorized representative **conduct employee interviews** using Labor Standards Interview Form (Standard Form 1445).
 5. The recipient, contractors/subcontractors shall be prepared to make available any Davis-Bacon documentation to State Water Board, EPA, DOL, and other auditing authorities.
- **After Construction:**
 1. Certified payrolls and interview forms must be kept for three (3) years
 2. Davis-Bacon documentation must remain available for review by State Water Board, EPA, DOL and other auditing authorities for a period of at least (3) years after completion of construction
- **Posters**
 - **Wage Poster** (WH-1321) – This poster must be posted at the construction site in a conspicuous place protected from the weather in all relevant languages. »» [English](#) | [Spanish](#)
- **Forms**
 - **Labor Standards Interview Form** ([Standard Form 1445](#))
 - **Payroll Form** (WH-347)
 - **Instruction For Completing Payroll Form, WH-347**

- **References**
 - [2017 Davis-Bacon Handbook](#)
 - [29 CFR Part 1](#)
 - [29 CFR Part 3](#)
 - [29 CFR Part 5](#)
- **Frequently Asked Questions** (FAQ), updated 9/18/2013

Davis Bacon Reference Links

- US Department of Labor
 - [Davis-Bacon and Related Acts](#)
 - [Wage Determinations Online](#)
 - [Office of Apprenticeship](#)
- [CA Department of Industrial Relations, Office of Apprenticeship Standards](#)

Questions?

For more information about Davis-Bacon Compliance, please email us at DavisBacon@waterboards.ca.gov or phone (916) 327-7323

(Page last updated 12/21/20)

EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT

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

7. Description of Work, Service, or Materials Supplied	8. DBE Certification Number	9. DBE Contact Information	10. DBE %
Local Agency to Complete this Section		11. TOTAL CLAIMED DBE PARTICIPATION	%
17. Local Agency Contract Number: _____ 18. Federal-Aid Project Number: _____ 19. Proposed Contract Execution Date: _____ 20. Consultant's Ranking after Evaluation: _____ Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate. _____ _____ _____			
		<p>IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> 12. Preparer's Signature _____ 14. Preparer's Name _____ 16. Preparer's Title _____ </div> <div style="width: 45%;"> 13. Date _____ 15. Phone _____ </div> </div>	

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

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

INSTRUCTIONS – CONSULTANT PROPOSAL DBE COMMITMENT**CONSULTANT SECTION**

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

LOCAL AGENCY SECTION

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

EXHIBIT 10-02 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		14. TOTAL CLAIMED DBE PARTICIPATION	\$
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.			%
23. Local Agency Representative's Signature _____ 24. Date _____ 25. Local Agency Representative's Name _____ 26. Phone _____ 27. Local Agency Representative's Title _____		IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required. 15. Preparer's Signature _____ 16. Date _____ 17. Preparer's Name _____ 18. Phone _____ 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 COMMITMENT**CONSULTANT SECTION**

- 1. Local Agency** - Enter the name of the local or regional agency that is funding the contract.
- 2. Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
- 3. Project 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 15-H: PROPOSER/CONTRACTOR GOOD FAITH EFFORTS

Cost Proposal Due Date _____ PE/CE

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

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

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

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

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

Publications

Dates of Advertisement

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

Names of DBEs Solicited

Date of Initial Solicitation

Follow Up Methods and Dates

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

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

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

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

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

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

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

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

Name of Agency/Organization

Method/Date of Contact

Results

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

SELF-DEALING TRANSACTION DISCLOSURE FORM

In order to conduct business with the County of Fresno (hereinafter referred to as "County"), members of a contractor's board of directors (hereinafter referred to as "County Contractor"), must disclose any self-dealing transactions that they are a party to while providing goods, performing services, or both for the County. A self-dealing transaction is defined below:

"A self-dealing transaction means a transaction to which the corporation is a party and in which one or more of its directors has a material financial interest"

The definition above will be utilized for purposes of completing this disclosure form.

INSTRUCTIONS

- (1) Enter board member's name, job title (if applicable), and date this disclosure is being made.
- (2) Enter the board member's company/agency name and address.
- (3) Describe in detail the nature of the self-dealing transaction that is being disclosed to the County. At a minimum, include a description of the following:
 - a. The name of the agency/company with which the corporation has the transaction; and
 - b. The nature of the material financial interest in the Corporation's transaction that the board member has.
- (4) Describe in detail why the self-dealing transaction is appropriate based on applicable provisions of the Corporations Code.
- (5) Form must be signed by the board member that is involved in the self-dealing transaction described in Sections (3) and (4).

(1) Company Board Member Information:			
Name:		Date:	
Job Title:			
(2) Company/Agency Name and Address:			
(3) Disclosure (Please describe the nature of the self-dealing transaction you are a party to):			
(4) Explain why this self-dealing transaction is consistent with the requirements of Corporations Code 5233 (a):			
(5) Authorized Signature			
Signature:		Date:	

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

(Note: If a Safe Harbor Indirect Cost Rate is approved, this form is not required.)

Consultant's Full Legal Name: _____

Important: Consultant means the individual or consultant providing engineering and design related services as a party of a contract with a recipient or sub-recipient of Federal assistance. Therefore, the Indirect Cost Rate(s) shall not be combined with its parent company or subsidiaries.

Indirect Cost Rate:

Combined Rate _____ % **OR**

Home Office Rate _____ % and Field Office Rate (if applicable) _____ %

Facilities Capital Cost of Money _____ % (if applicable)

Fiscal period * _____

* Fiscal period is annual one year applicable accounting period that the Indirect Cost Rate was developed (not the contract period). The Indirect Cost Rate is based on the consultant's one-year applicable accounting period for which financial statements are regularly prepared by the consultant.

I have reviewed the proposal to establish an Indirect Cost Rate(s) for the **fiscal period** as specified above and have determined to the best of my knowledge and belief that:

- All costs included in the cost proposal to establish the indirect cost rate(s) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) 48, Code of Federal Regulations (CFR), Chapter 1, Part 31 (48 CFR Part 31);
- The cost proposal does not include any costs which are expressly unallowable under the cost principles of 48 CFR Part 31;
- The accounting treatment and billing of prevailing wage delta costs are consistent with our prevailing wage policy as either direct labor, indirect costs, or other direct costs on all federally-funded A&E Consultant Contracts.
- All known material transactions or events that have occurred subsequent to year-end affecting the consultant's ownership, organization, and indirect cost rates have been disclosed as of the date of this certification.

I am providing the required and applicable documents as instructed on Exhibit 10-A.

Financial Management System:

Our labor charging, job costing, and accounting systems meet the standards for financial reporting, accounting records, and internal control adequate to demonstrate that costs claimed have been incurred, appropriately accounted for, are allocable to the contract, and comply with the federal requirements as set forth in [Title 23 United States Code \(U.S.C.\) Section 112\(b\)\(2\); 48 CFR Part 31.201-2\(d\); 23 CFR, Chapter 1, Part 172.11\(a\)\(2\)](#); and all applicable state and federal rules and regulations.

Our financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts;
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into separate cost

accounts;

- Ability to accumulate and segregate allowable direct costs by project, contract and type of cost;
- Internal controls to maintain integrity of financial management system;
- Ability to account and record costs consistently and to ensure costs billed are in compliance with FAR;
- Ability to ensure and demonstrate costs billed reconcile to general ledgers and job costing system; and
- Ability to ensure costs are in compliance with contract terms and federal and state requirement

Cost Reimbursements on Contracts:

I also understand that failure to comply with 48 CFR Part 16.301-3 or knowingly charge unallowable costs to Federal-Aid Highway Program (FAHP) contracts may result in possible penalties and sanctions as provided by the following:

- Sanctions and Penalties - [23 CFR Part 172.11\(c\)\(4\)](#)
- False Claims Act - [Title 31 U.S.C. Sections 3729-3733](#)
- Statements or entries generally - [Title 18 U.S.C. Section 1001](#)
- Major Fraud Act - [Title 18 U.S.C. Section 1031](#)

All A&E Contract Information:

- Total participation amount \$ _____ on all State and FAHP contracts for Architectural & Engineering services that the consultant received in the last three fiscal periods.
- The number of states in which the consultant does business is _____.
- Years of consultant's experience with 48 CFR Part 31 is _____.
- Audit history of the consultant's current and prior years (if applicable)

<input type="checkbox"/> Cognizant ICR Audit	<input type="checkbox"/> Local Gov't ICR Audit	<input type="checkbox"/> Caltrans ICR Audit
<input type="checkbox"/> CPA ICR Audit	<input type="checkbox"/> Federal Gov't ICR Audit	

I, the undersigned, certify all of the above to the best of my knowledge and belief and that I have reviewed the Indirect Cost Rate Schedule to determine that any costs which are expressly unallowable under the Federal cost principles have been removed and comply with [Title 23 U.S.C. Section 112\(b\)\(2\)](#), [48 CFR Part 31](#), [23 CFR Part 172](#), and all applicable state and federal rules and regulations. I also certify that I understand that all documentation of compliance must be retained by the consultant. I hereby acknowledge that costs that are noncompliant with the federal and state requirements are not eligible for reimbursement and must be returned to Caltrans.

Name**: _____ Title**: _____

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

Email**: _____ Phone Number**: _____

**An individual executive or financial officer of the consultant's or subconsultant's organization at a level no lower than a Vice President, a Chief Financial Officer, or equivalent, who has authority to represent the financial information used to establish the indirect cost rate.

Note: Both prime and subconsultants as parties of a contract must complete their own Exhibit 10-K forms. Caltrans will not process local agency's invoices until a complete Exhibit 10-K form is accepted and approved by Caltrans Audits and Investigations.

Distribution: 1) Original - Local Agency Project File
2) Copy - Consultant
3) Copy - Caltrans Audits and Investigations

California Safe Harbor Indirect Cost Rate Program

Consultant Firm Certification of Eligibility and Certification of Financial Management System

Consultant Firm Name _____

Local Agency (if applicable) _____

Contract Number / Federal Project Number _____

Contract Total \$ _____

For Subconsultant Firms – estimated % of work to be performed _____ %

Safe Harbor Indirect Cost Rate (SHR): **Home: 120% and/or Field: 90%**

Field SHR will be utilized for contracts where the work deliverables are not completed from the consultant offices (i.e. Construction Inspection, Material Testing, Sources Inspection, others).

Consultant Firm Certification of Eligibility

I, the undersigned, certify that I am eligible to use the Safe Harbor indirect cost rate as I:

1. Am not a Prime Consultant Firm on a Caltrans contract > \$3.5M, or
Local Government contract > \$1M, regardless of the participation amount.
2. Have not used SHR for more than three (3) years since entering the program on a state or federally funded contract.

AND

1. Do not have relevant contract cost history to use as a base for developing a Federal Acquisition Regulations (FAR) of Title 48, Code of Federal Regulations (CFR), Part 31 compliant ICR.
2. Do not have a previously accepted ICR by a cognizant agency, or with an audited/accepted actual ICR, and do not have an existing contract with a provisional rate.

Certification of Financial Management System

I, the undersigned, certify that our financial management system in place for this contract and moving forward meets the standards for the Safe Harbor indirect cost rate requirements and financial reporting, accounting records, internal and budget control as set forth in 2 CFR 200, Subpart D. These standards require consulting firms have an accounting system

California Safe Harbor Indirect Cost Rate Program

adequate to accumulate, and track allowable, allocable, and reasonable direct labor and other direct costs by contract; segregate indirect costs and remove unallowable costs.

Print Name _____

Signature _____
(Electronic Signature Allowed)

Title _____

Date Completed _____

Note: The certification of this Safe Harbor Rate was made by, and are the responsibility of, the Company's management.

Definition of Terms

Direct Cost is any cost that is identified specifically with a particular cost objective. Direct costs are not limited to items that are incorporated in the end products as material or labor. Costs identified specifically with a contract are direct costs of that contract. All costs identified with other final cost objectives of the contractor are direct costs of those objectives, 48 CFR 31.202.

Indirect or overhead cost is any cost that is not directly identified with a single final cost objective but is identified with two or more final cost objectives or with at least one intermediate cost objective, 48 CFR 31. 203.

References

Title 48 Code of Federal Regulations (CFR) Part 31 -Federal cost principles.

Title 48 CFR Chapter 99, Subchapter B - Procurement Practices and Cost Accounting Standards.

Title is 2 CFR 200 Subpart D, Standards for Financial and Program Management.

Title 23 United States Code (U.S.C.), Chapter 1, Section 112 - Letting of Contracts.

Title 23 CFR, Chapter 1, Part 172 - Procurement, Management, and Administration of Engineering and Design Related Services.

American Association of State Highway and Transportation Officials (AASHTO) Uniform Audit & Accounting Guide (2016 Edition).

California Safe Harbor Indirect Cost Rate Program

Caltrans Contract

If participating on a Caltrans Contract, also attach a completed copy of the following Safe Harbor Indirect Cost Rate Questionnaire for Evaluating Consultant Firm's Financial Management System.

California Safe Harbor Indirect Cost Rate Program

Questionnaire for Evaluating Consultant Firm's Financial Management System

Consultant Firm Name _____

Firm Headquarters Address _____

Accounting Records

- Location where Accounting records are held _____
- Name and Title _____
- Email and Phone _____
- Mailing Address _____

To be eligible for Safe Harbor indirect cost rate (SHR), the Consultant Firm's financial management system must be adequate to accumulate and track direct labor and other direct costs by contract, segregate indirect costs, and remove unallowable costs in accordance with 48 CFR 31 for the different business segments.

Instructions

1. Answer all questions and provide an explanation and additional supporting documentation where requested.
2. If additional space is required, please attach a separate sheet and refer to items being answered by number.

Has the Firm developed an indirect cost rate in the past? Yes ____ No ____

If "Yes", you are NOT ELIGIBLE to use the SHR.

DO NOT CONTINUE with this Questionnaire and please complete the AASHTO Appendix B ICQ and provide an ICR Schedule.

Is the Firm a Prime Consultant Firm on a Caltrans contract > \$3.5M Or Local Government contract > \$1M, regardless of the participation Amount? Yes ____ No ____

If "Yes", you are NOT ELIGIBLE to use the SHR.

DO NOT CONTINUE with this Questionnaire and please complete the AASHTO Appendix B ICQ and provide an AUDITED ICR Report.

California Safe Harbor Indirect Cost Rate Program

1. What form of business entity is the Firm?

Sole Proprietorship ____ Partnership ____ C Corporation ____ S Corporation ____

Other _____

2. What types of services will the Firm provide for this contract? (Select all that apply.)

Architectural and Engineering Services ____ Program Management ____

Preliminary Engineering ____ Design Engineering ____

Surveying ____ Feasibility Studies ____

Mapping or Architectural Related Services ____ Other _____

3. Does the Firm have prior government contracting experience? Yes ____ No ____

4. Does the general ledger contain separate direct and indirect accounts for the following?

Labor Yes ____ No ____ Non-Labor Yes ____ No ____

5. Does the company have a system in place to identify and remove from the indirect cost pools all unallowable cost? Yes ____ No ____

6. Does the firm assign a unique identification/project number in your accounting system for each contract/project?

Yes ____ No ____

7. Is indirect and direct labor separated by contract/project/cost objectives on employee timesheets with unique reporting codes?

Yes ____ No ____

California Safe Harbor Indirect Cost Rate Program

8. Do you have written policies on the following cost categories?

Accounting	Yes ____ No ____	Overtime	Yes ____ No ____
Billing	Yes ____ No ____	Direct/Indirect Expenses	Yes ____ No ____
Timesheet Preparation	Yes ____ No ____	Prevailing Wage	Yes ____ No ____
Bonus	Yes ____ No ____		

9. What types of employee status will the Firm provide for this contract?

Non-exempt ____ Exempt-salaried ____ Exempt-hourly ____ Contract Employee ____
Other _____

10. Does the Firm pay overtime for exempt employees?

Yes ____ No ____

11. Besides labor, does the Firm normally bill/invoice the following as direct contract/project costs? (Select all that apply)

Vehicle	_____	Shipping	_____
Computer/CADD	_____	Lab	_____
Printing	_____	Travel	_____
Specialty Equipment (List below)	_____	Other (List below)	_____
_____		_____	

12. Are mileage logs maintained for all vehicles? If no, please explain below.

Explanation _____

Where is the vehicle stored after work? _____

Does employee use vehicle for personal use? Yes _____ No _____

What is the recovery/billing rate used for Firm or personal vehicle mileage reimbursement?

\$ _____ per mile

California Safe Harbor Indirect Cost Rate Program

I certify that to the best of my knowledge and belief the responses to this questionnaire are accurate.

Print Name _____

Signature _____
(Electronic Signature Allowed)

Title _____

Date Completed _____

Note: The certification of this Safe Harbor Rate was made by, and are the responsibility of, the Company's management.