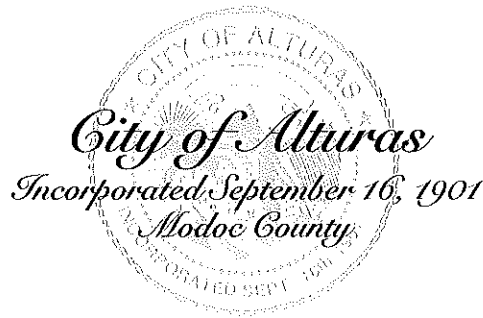


200 W. North St.
Alturas, CA 96101-3938



(530) 233-2512
Fax (530) 233-3559

Dorothy Long, City Treasurer and Financial Officer
dlong@cityofalturas.us

REQUEST FOR QUALIFICATIONS

ON-CALL PROFESSIONAL AND CIVIL ENGINEERING SERVICES For the Alturas Public Works and Transportation Improvement Projects In the City of Alturas, California

INTRODUCTION

The City of Alturas is requesting submittals of Statements of Qualifications (SOQs) from qualified firms to provide on-call civil engineering services for transportation improvement projects consistent with Caltrans Local Assistance Procedures, and Federal, State, and local regulations. Qualified firms shall have experience in civil engineering services for design, construction and maintenance projects, as enumerated herein.

The qualified civil engineering firm(s) (herein referred to as "CONSULTANT") may have the ability to provide in-house services or capacity to sublet projects requiring a licensed land surveyor, traffic engineering, geotechnical engineering, landscape design and structural design. The CONSULTANT must be knowledgeable and experienced in the preparation of construction plans and specifications and have a history of producing plans that are successfully implemented in a timely manner and within budget.

Potential projects may include, but are not limited to, city street reconstruction (including drainage, utilities, curb, gutter and sidewalks), street widening, bike paths, pedestrian walkways, traffic calming, peer review, hydraulic analysis, engineering survey, and record-keeping.

The following City street projects are contemplated:

- East Street rehabilitation (from Modoc St. to 4th St.)
- 8th Street rehabilitation (from Warner St. to West C St.)
- Court Street rehabilitation (from 1st St. to 8th St)
- West C Street rehabilitation (from 1st St to 12th St)
- Prepare plans and specifications for various small ADA upgrade projects throughout the City.

The scope of work during the term of the primary project contract may, at the sole option of the City of Alturas, include on-call civil engineering services to be performed for other Alturas

projects (including that of other City departments or dependent special districts) that may be under the administrative jurisdiction of (or under agreement with) other City of Alturas departments.

Each project shall be implemented by a task order, with the specific scope of work identified and established, on an as-requested basis, through issuance of a contract, with the specific scope of work for that task order, and a not-to-exceed fee, and a project or task schedule to be negotiated at the time of issuance of the contract for each task order.

The term of the contract will be for three (3) years from the date of contract execution. The not-to-exceed contract amount will be Four Hundred Fifty Thousand Dollars and No Cents (\$450,000.00), with an option, depending on the City's workload and a specific request for a contract amendment, to increase the base contract amount and term limit for an additional two one-year extensions.

Small partnerships are also encouraged to respond to this RFQ.

BACKGROUND

The City of Alturas is located east of the center of Modoc County in extreme northeastern California at an elevation of 4,370 feet. It is the single incorporated City within the County and occupies a compact area of about 2.5 miles. Alturas straddles the North Fork Pit River, near its confluence with the South Fork in the north end of South Fork Valley. Alturas is served by US Route 395 and California State Route 299. In 2017, the City's population was estimated at 2540.

Each year, the City designs and constructs various street projects, depending on available funding sources and workload assignments. At times, these projects may require a variety of civil engineering and other technical services. When funds are authorized by federal, state or local government for these services, the City begins the process of securing the necessary easements or land acquisition to provide public works improvements.

SCOPE OF WORK

It is anticipated that the City will expand or refine the Scope of Services during the future negotiation of a Contract Amendment with the selected consultant(s), incorporating their experience, expertise and method of approach. The Consultant will need to adhere to the latest requirements of the Caltrans Local Assistance Procedures Manual (LAPM), depending on project funding. Depending on the scope of work established by the City, the selected Consultant and/or Consultant team will provide all project management, staff, services, equipment, materials, transportation, and labor necessary to complete the requested services.

Essential services may include (but are not limited to):

1. Provide consulting and professional engineering services upon request of the City including project concept, design, engineering, land surveying, and drafting services.
2. Provide professional civil and or licensed engineering services for transportation projects including preparation of PS&E (plans, specifications, and estimates), preparation and solicitation of construction bid documents (including estimates, analysis of bidders proposals, plan holders list, bid summaries, etc.), project construction engineering, project completion and close out

reports.

3. Provide professional civil engineering services for city street and bike path improvements.
4. Provide field surveys as requested.
5. Review developers' site plans and drainage plans.
6. Provide maps and mapping services as requested.
7. May prepare and review legal descriptions for easements, Rights-of-Way, Lot Line Adjustments, etc.
8. Review the City's requested project and/or task to be accomplished, and provide preliminary consultation, research and evaluation of same.
9. Assist with presentations (task order and project specific) and/or recommendations to staff and/or City Councilmembers.
10. Third party review consultation related to documents prepared by staff or other consultants retained by the City.
11. Provide other engineering and design services as requested.

CONTRACT MANAGEMENT FOR THIS REQUEST FOR QUALIFICATIONS

The primary point of contact for firms interested in submitting a Request for Statement of Qualifications is Dorothy Long, City Treasurer. Submitters may contact Ms. Long via email at dlong@cityofalturas.us (with cc to dpedersen@modoctransportation.com) for any questions pertaining to this RFQ.

During the Consultant selection process, the decision(s) of the City Treasurer shall be final, except that the decision of the City Council in regard to contract award shall be final.

ANTICIPATED CONSULTANT SELECTION SCHEDULE

The evaluation of submittals and subsequent negotiation is expected to proceed under the schedule shown below:

RFQ is available for Public Distribution	Monday, September 16, 2019
Final Date for Inquiries to the City Treasurer for Written Clarification of RFQs	Monday, September 30, 2019 at 5:00 p.m. Clarifications issued by City on or before Tuesday, October 1, 2019 by 5:00 p.m.
Responses to RFQs are due	Tuesday, October 8, 2019 at 5:00 PM 200 W North Street, Alturas, CA 96101
Ranking of submittals by the Consultant Selection Team	On or about Wednesday, October 16, 2019
Contract Negotiation Between City Treasurer and top ranked submittal(s)	Thursday, October 10, 2019 thru Tuesday, October 15, 2019
Draft Agreement between Consultant and City is negotiated and is acceptable to the City Treasurer	Friday, October 24, 2019

Draft Agreement approved as to form by City Counsel	By Thursday, November 14, 2019
Award of Final Agreement considered by the City Council	Tuesday, November 19, 2019

PROPOSAL FORMAT & REQUIREMENTS

The SOQ should be titled, **“On-Call Civil Engineering and Augmentation Services.”**

The SOQ shall include a scope of work as described below.

The entire "Request For Qualifications," including instructions for submittal, is available during normal business hours from the Alturas City Treasurer at 200 W North Street, Alturas CA 96101 Telephone (530) 233-2512; E-Mail: dlong@cityofalturas.us The entire "Request For Qualifications" is also available via internet at the City’s web page, accessible via the City of Alturas’ internet home page at: <http://cms4.revize.com/revize/alturas/index.php>

The proposal shall include, at a minimum, the following information presented in a clear and concise format. Information provided should demonstrate the Submitter’s competence and professional qualification for the satisfactory performance of the services outlined in the “Scope of Work” in this RFQ.

1. Document Format:

The proposal (excluding attachments, transmittal and resumes) should preferably not exceed 15 single sided 8 1/2" x 11" pages. The proposal is to include a cover letter, proposal and additional forms as described in this RFQ. Submit three duplicate copies and one digital copy of the SOQ including attachments and enclosures. This is an RFQ based on qualifications. As such, the discussion of fees or the submittal of a cost proposal is prohibited.

2. Cover Letter:

Please include a cover letter describing your firm’s interest, or your individual or partnership interest, and commitment to providing services. Please be sure to include your name, address, phone, fax, and email. The person authorized by the firm to negotiate a contract with the city must sign the cover letter. Address the cover letter to:

Dorothy Long, City Treasurer
City of Alturas
200 W North St.
Alturas, CA 96101

ATTN: On-call Civil Engineering and Staff Augmentation Services

3. Discussion:

Your submittal should discuss your understanding of this RFQ, along with a detailed description of a general work plan for providing the required services.

4. Qualifications and Experience:

The proposal should provide a resume(s) with qualifications and experience of the proposed team that will be available for providing the requested services, including a list of all appropriate licenses and certificates with license numbers and expiration dates (resumes are not counted against the Proposal page limit).

5. Staffing Plan:

The proposal should provide a staffing plan that shows anticipated staffing for the duration of the contract. In particular, identify current key personnel responsible for Negotiations and Project Management. Do not identify staff that will not be a part of the project team.

6. Disadvantaged Business Enterprise (DBE) Program:

For the projects/tasks that are partially funded by federal funds from the U.S. Department of Transportation, the Consultant is required to comply with the City's Disadvantaged Business Enterprise (DBE) Program in accordance with Title 49, Part 26 of the Code of Federal Regulations (CFR). Caltrans Local Assistance Procedure Manual (LAPM) **Exhibit 10- O2** "Consultant Proposal DBE Commitment" and **Exhibit 10-O2** "Consultant Contract DBE Information" are included in the attachments and provide further details on DBE Program compliance. Even if no DBE participation will be reported, Proposers must execute and return **Exhibit 10-O1** with the proposal. **Exhibit 10-O2** shall only be submitted by the successful Proposer at the time of contract award.

Proposers must take all necessary steps to ensure that DBEs have the opportunity to participate in the contract. A good faith effort must be documented and verified using **Exhibit 15-H** "DBE Information-Good Faiths Efforts". For detailed information see **Exhibit 10-I** "Notice to Proposers Disadvantaged Business Enterprise Information."

The City has established a DBE goal of 1.7% for federally funded projects (task orders) pertaining to this proposal. Proposers are encouraged to obtain DBE participation for this proposal.

7. Other LAPM forms part of the proposal:

- **Exhibit 10-P**, "Non-lobbying Certification for Federal-Aid Contracts"
- **Exhibit 10-Q**, "Disclosure of Lobbying Activities"

8. References:

Identify at least three (3) client references (names and current phone numbers) from recent work (previous three years) similar to this scope of services. Include a brief description of each project associated with the references and the role of each team member (references are not counted against the Proposal page limit).

9. Submittal of Proposal:

Four (4) copies of the proposal package are due at the City of Alturas later than the time and date specified. Late or facsimile proposals will not be accepted.

GENERAL INFORMATION

1. The City reserves the right to reject any and all submittals.
2. The Consultant may provide the City with any exceptions, additions, or suggestions that may aid in the selection process.
3. The terms and the scope of the contract will be determined on the basis of professional negotiations between the City and the prospective consultant(s).
4. The proposals and this RFQ shall jointly become part of the "Consultant Services Agreement" for this work when said agreement is fully executed by the Consultant and the City of Alturas.
5. The Consultant will maintain required professional engineering licenses and registration during the life of the contract with the City.
6. The Consultant acknowledges that its compensation for any given work task may originate from state and/or federal sources. The Consultant will agree to comply with all applicable terms of state and federal laws and regulations related to such funds, as well as all applicable grant funding conditions. The Consultant will agree to execute any additional documentation, including addendum to the Consultant Services Agreement that may be required to comply with such state and federal laws and regulations or grant funding conditions.
7. If funding for any fiscal year is reduced or deleted, the City shall have the option to either cancel any task order/agreement with no further liability incurring to the City, or offer a task order modification to the Consultant to reflect the reduced amount available from the program.

EVALUATION OF STATEMENT OF QUALIFICATIONS

1. The City Treasurer and other City representatives shall be designated by the City Treasurer to comprise the Consultant Selection Committee.
2. The Consultant Selection Committee shall review the responses to the Request for Qualifications and select a "short list" of consultants. Final consultant selection shall be based on the information provided in the SOQ, together with information obtained from interview(s), if any. Be sure to include all relevant information and evidence of the firm's record of performance and ability to perform the work.
3. The Consultant Selection Committee may choose, but is not obligated, to interview the project manager, together with other key personnel, of the most qualified firm(s) or individual(s).
4. The Committee's rating of the consultant shall be based upon the professional engineering qualifications necessary for the timely and satisfactory completion of the tasks and the proposed fees for accomplishing the project. The following criteria shall be utilized by the Consultant Selection Committee in the rating process:

- A. Approach/understanding of the scope of this solicitation (20 Points)

- a) Clear understanding of the work statement within the proposal.
 - b) Approach shows consultant's plan to complete a project in a timely fashion.
 - c) Overall technical quality of the proposal.
- B. Technical qualifications and experience of Consultant/Individual(s) (35 Points)
- a) Qualifications and project history relevant to similar scope of work as defined.
- C. Ability to meet project deadlines and attend brief meetings and site visits (15 Points)
- a) Present workload of the firm and availability of staff for the project. The ability to commit the staff personnel identified in the proposal to meet project deadlines.
 - b) Availability of a local liaison to manage the projects.
 - c) Ability to provide required projects within the allotted time.
 - d) Quality and thoughtfulness of proposed schedule.
- D. Consultant/individual(s) past record in performing similar projects (20 Points)
- a) Familiarity with the Local Assistance Procedures/Programs and previous experience performing Local Agency Assistance Program projects.
- E. Familiarity and experience with the City of Alturas, Caltrans, and other permitting/funding agency procedures (10 Points)
- a) Correctly following and administering DBE procedures/protocols.
 - b) Ability to complete the necessary exhibits from the Caltrans LAPM.
 - c) DBE commitment or Good Faith Effort submitted with the SOQ.

5. The Consultant Selection Committee will utilize the Local Assistance Consultant Evaluation Reviewers Checklist and Instructions as guidance in the selection of a Consultant to perform the work.

GLOSSARY TERMS OF THIS REQUEST FOR THE STATEMENT OF QUALIFICATIONS

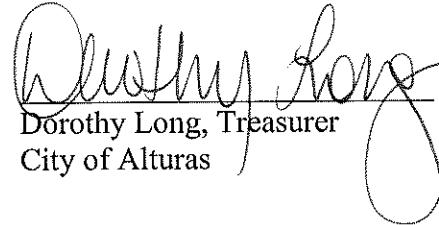
Acceptance of RFQ: The City reserves the right to reject any and all submittals and to waive any informality, technical defect or clerical error in any submittal. This Request for Statement of Qualifications is not an offer to contract. The accepted submittal will become part of the contract agreement for furnishing the services.

Oral Communications: Any oral communication between City staff and the consultant is not binding, nor will it modify the Request for Qualifications (RFQ) in any way.

Changes/Clarifications: If deemed necessary by the City Treasurer, the City may provide clarification or changes to this Request for Qualifications (RFQ) in writing. In addition these will also be posted immediately to the City's web page, accessible via the City's internet home page at: <http://cms4.revize.com/revize/alturas/index.php>

Submittal: The cost of developing the SOQ and its attachments or enclosures, is the sole responsibility of the consultant. The City is not liable for any costs incurred by those responding to the RFQ by submitting a SOQ. A submittal by fax or e-mail is not acceptable.

Basis for SOQ: This Request for Qualifications and any addendum thereto represent the most definitive statement the City will make concerning information upon which SOQ's are to be based. The consultant will be assumed to have thoroughly examined these documents. Any binding clarification to these documents shall be requested in writing by the consultant by the date required in the project schedule. Written interpretations or amendments to the RFQ made by the City Treasurer will be furnished to all consultants requesting receipt of the RFQ from the City of Alturas.


Dorothy Long, Treasurer
City of Alturas

Attachments:

- A. Location Map of the City of Alturas, California
- B. Exhibit 10-I Notice to Proposers - DBE Information
- C. Exhibit 10-K Consultant Certification of Contract Costs and Financial Management System
- D. Exhibit 10-O1 Consultant Proposal DBE Commitment
- E. Exhibit 10-O2 Consultant Contract DBE Commitment
- F. Exhibit 10-Q Disclosure of Lobbying Activities
- G. Exhibit 15-H DBE Information – Good Faith Efforts

Attachment A: Location Maps

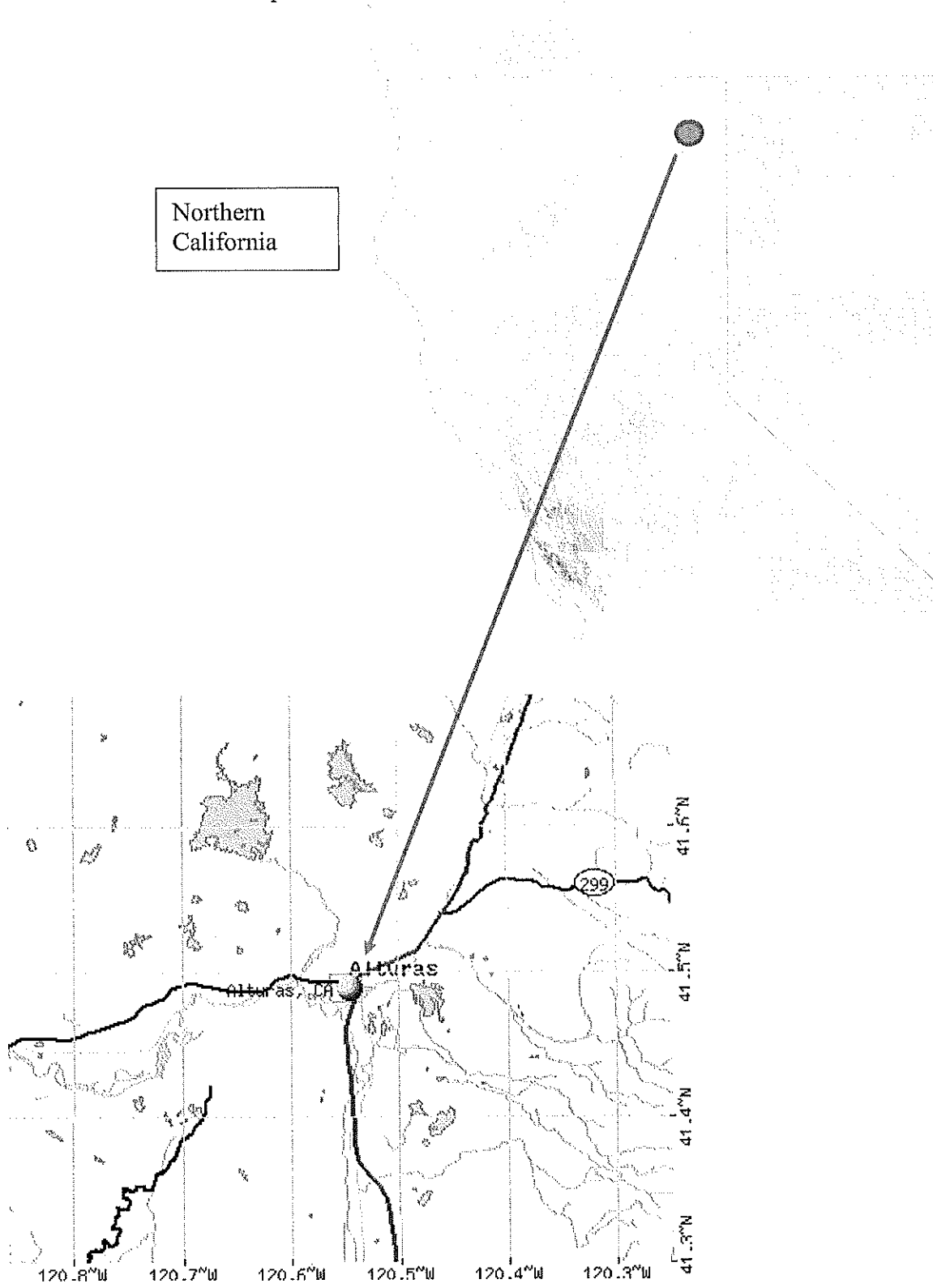


EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION

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

OR

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

1. TERMS AS USED IN THIS DOCUMENT

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

2. AUTHORITY AND RESPONSIBILITY

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

3. SUBMISSION OF DBE INFORMATION

If there is a DBE goal on the contract, Exhibit 10-01 *Consultant Proposal DBE Commitment* must be included in the Request for Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-02 *Consultant Contract DBE Information* must be included with the Request for Proposal. Even if no DBE participation will be reported, the successful proposer must execute and return the form.

4. DBE PARTICIPATION GENERAL INFORMATION

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

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).

- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
 - 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
 - 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
 - 3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.
- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Business and Economic Opportunity Web site at: <http://www.dot.ca.gov/hq/bep/>.
 - 1. Click on the link titled *Disadvantaged Business Enterprise*.
 - 2. Click on Search for a DBE Firm link.
 - 3. Click on *Access to the DBE Query Form* located on the first line in the center of the page.

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

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

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

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

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

EXHIBIT 10-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)
 - Cognizant ICR Audit
 - Local Gov't ICR Audit
 - Caltrans ICR Audit
 - CPA ICR Audit
 - 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 subcontractant'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

Reset Form

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. _____ _____	IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required. 12. Preparer's Signature _____ 13. Date _____ 14. Preparer's Name _____ 15. Phone _____ 16. Preparer's Title _____		

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.

Attachment E – Exhibit 10-02 Consultant Contract DBE Commitment

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.		IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.	
_____ 23. Local Agency Representative's Signature	_____ 24. Date	_____ 15. Preparer's Signature	_____ 16. Date
_____ 25. Local Agency Representative's Name	_____ 26. Phone	_____ 17. Preparer's Name	_____ 18. Phone
_____ 27. Local Agency Representative's Title		_____ 19. Preparer's Title	

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

ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-0410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

INSTRUCTIONS – CONSULTANT CONTRACT DBE COMMITMENTCONSULTANT SECTION

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

LOCAL AGENCY SECTION

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

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 (03-18-0046), Washington, D.C. 20503. SF-LLL-Instructions Rev. 06-04

EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

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

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

Standard Form LLL Rev. 04-28-06

Distribution: Orig- Local Agency Project Files

EXHIBIT 15-H: DBE INFORMATION -GOOD FAITH EFFORTS

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

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) business days from 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 met or exceed the DBE contract goal.

Items of Work	Bidder Normally Performs Item (Y/N)	Breakdown of Items	Amount (\$)	Percentage Of Contract
				0.00%
				0.00%
				0.00%

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: