

**REQUEST FOR PROPOSALS (RFP) 1-3819**

**FEDERAL TRANSPORTATION  
PROGRAM STRATEGIC  
REGULATORY AND FUNDING  
CONSULTING SERVICES**



**ORANGE COUNTY TRANSPORTATION AUTHORITY  
550 South Main Street  
P.O. Box 14184  
Orange, CA 92863-1584  
(714) 560-6282**

**Key RFP Dates**

<b>Issue Date:</b>	<b>November 30, 2021</b>
<b>Pre-Proposal Conference</b>	<b>December 8, 2021</b>
<b>Question Submittal Date:</b>	<b>December 10, 2021</b>
<b>Proposal Submittal Date:</b>	<b>January 10, 2022</b>
<b>Interview Date:</b>	<b>January 25, 2022</b>

## **TABLE OF CONTENTS**

<b>SECTION I: INSTRUCTIONS TO OFFERORS .....</b>	<b>1</b>
<b>SECTION II: PROPOSAL CONTENT .....</b>	<b>7</b>
<b>SECTION III: EVALUATION AND AWARD .....</b>	<b>14</b>
<b>EXHIBIT A: SCOPE OF WORK.....</b>	<b>18</b>
<b>EXHIBIT B: COST AND PRICE FORMS .....</b>	<b>22</b>
<b>EXHIBIT C: PROPOSED AGREEMENT .....</b>	<b>25</b>
<b>EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACTS FORM .....</b>	<b>27</b>
<b>EXHIBIT E: CAMPAIGN CONTRIBUTION DISCLOSURE FORM .....</b>	<b>30</b>
<b>EXHIBIT F SAFETY SPECIFICATIONS .....</b>	<b>34</b>
<b>EXHIBIT G: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS.....</b>	<b>39</b>



November 30, 2021

**NOTICE OF REQUEST FOR PROPOSALS**

**(RFP): 1-3819: “FEDERAL TRANSPORTATION PROGRAM STRATEGIC REGULATORY AND FUNDING CONSULTING SERVICES”**

**TO: ALL OFFERORS**

**FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY**

The Orange County Transportation Authority (Authority) invites proposals from qualified consulting firms to provide strategic consultation for federal transportation development, regulatory and funding processes at all levels in the Executive branch of government. The budget for this project is \$336,000 for a two (2)-year initial term.

**Proposals must be submitted, electronically**, through the following URL link: <http://www.octa.net/Proposal Upload Link>, at or before the deadline of **2:00 p.m. on January 10, 2022. The link has an upload file size limit of 80MB. Authority will not accept hard copy proposals for this RFP.**

Offerors are instructed to click the upload link, select “**RFP 1-3819**” from the drop-down menu, and follow the instructions as prompted to upload the proposal. The upload link will expire at the submittal deadline and will not allow proposals to be uploaded.

Should Offerors encounter technical issues with uploading the proposals via the link provided, Offerors are required to contact the Contract Administrator prior to the submission deadline. Proposals and supplemental information to proposals received after the date and time specified above will be rejected.

Firms interested in obtaining a copy of this RFP may do so by downloading the RFP from CAMM NET at <https://cammnet.octa.net>.

All firms interested in doing business with the Authority are required to register their business on-line at CAMM NET. The website can be found at <https://cammnet.octa.net>. From the site menu, click on CAMM NET to register.

To receive all further information regarding this RFP 1-3819, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

Category:

Professional Consulting  
Professional Services

Commodity:

Consultant Services - General  
Government Relation Services

A pre-proposal conference will be held via teleconference on December 8, 2021, at 9:00 a.m. Prospective Offerors may join or call-in using the following credentials:

- <https://meet.octa.net/ycrowder/9W4EMPV9>
- OR Call-in Number: 714-558-5200
- Conference ID: 153450#

An on-site/in-person conference will not be held. A copy of the presentation slides and pre-proposal conference registration sheet(s) will be issued via addendum prior to the date of the pre-proposal conference. All prospective Offerors are encouraged to attend the pre-proposal conference

The Authority has established January 25, 2022, as the date to conduct interviews via Microsoft Teams Meeting. All prospective Offerors will be asked to keep this date available.

Offerors are encouraged to subcontract with small businesses to the maximum extent possible.

All Offerors will be required to comply with all applicable equal opportunity laws and regulations.

The award of this contract is subject to receipt of federal, state and/or local funds adequate to carry out the provisions of the proposed agreement including the identified Scope of Work.

**SECTION I: INSTRUCTIONS TO OFFERORS**

**SECTION I. INSTRUCTIONS TO OFFERORS****A. PRE-PROPOSAL CONFERENCE**

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An on-site/in-person conference will not be held. A copy of the presentation slides and pre-proposal conference registration sheet(s) will be issued via addendum prior to the date of the pre-proposal conference. All prospective Offerors are encouraged to attend the pre-proposal conference.

**B. EXAMINATION OF PROPOSAL DOCUMENTS**

By submitting a proposal, Offeror represents that it has thoroughly examined and become familiar with the work required under this RFP and that it is capable of performing quality work to achieve the Authority's objectives.

**C. ADDENDA**

The Authority reserves the right to revise the RFP documents. Any Authority changes to the requirements will be made by written addendum to this RFP. Any written addenda issued pertaining to this RFP shall be incorporated into the terms and conditions of any resulting Agreement. The Authority will not be bound to any modifications to or deviations from the requirements set forth in this RFP as the result of oral instructions. Offerors shall acknowledge receipt of addenda in their proposals. Failure to acknowledge receipt of Addenda may cause the proposal to be deemed non-responsive to this RFP and be rejected.

**D. AUTHORITY CONTACT**

All communication and/or contacts with Authority staff regarding this RFP are to be directed to the following Contract Administrator:

Yvette Crowder, Senior Contract Administrator  
Contracts Administration and Materials Management Department  
Phone: 714.560. 5616  
Email: [ycrowder@octa.net](mailto:ycrowder@octa.net)

Commencing on the date of the issuance of this RFP and continuing until award of the contract or cancellation of this RFP, no proposer, subcontractor, lobbyist or

agent hired by the proposer shall have any contact or communications regarding this RFP with any Authority's staff; member of the evaluation committee for this RFP; or any contractor or consultant involved with the procurement, other than the Contract Administrator named above or unless expressly permitted by this RFP. Contact includes face-to-face, telephone, electronic mail (e-mail) or formal written communication. Any proposer, subcontractor, lobbyist or agent hired by the proposer that engages in such prohibited communications may result in disqualification of the proposer at the sole discretion of the Authority.

## **E. CLARIFICATIONS**

### **1. Examination of Documents**

Should an Offeror require clarifications of this RFP, the Offeror shall notify the Authority in writing in accordance with Section E.2. below. Should it be found that the point in question is not clearly and fully set forth, the Authority will issue a written addendum clarifying the matter which will be sent to all firms registered on CAMM NET under the commodity codes specified in this RFP.

### **2. Submitting Requests**

- a. All questions must be put in writing and must be received via email to [ycrowder@octa.net](mailto:ycrowder@octa.net) no later than 4:30 p.m., on December 10, 2021.
- b. Requests for clarifications, questions and comments must be clearly labeled, "RFP 1-3819 Written Questions". The Authority is not responsible for failure to respond to a request that has not been labeled as such.

### **3. Authority Responses**

Responses from the Authority will be posted on CAMM NET, no later than December 14, 2021. Offerors may download responses from CAMM NET at <https://cammnet.octa.net>, or request responses be sent via U.S. Mail by emailing or faxing the request to Yvette Crowder, Senior Contract Administrator.

To receive email notification of Authority responses when they are posted on CAMM NET, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

Category:

Professional Consulting

Professional Services

Commodity:

Consultant Services - General

Government Relation Services

Inquiries received after 4:30 p.m. on December 10, 2021 will not be responded to.

**F. SUBMISSION OF PROPOSALS**

**1. Date and Time**

**Proposals must be submitted, electronically**, through the following URL link: <http://www.octa.net/Proposal Upload Link>, at or before the deadline of **2:00 p.m. on January 10, 2022. The link has an upload file size limit of 80MB. Authority will not accept hard copy proposals for this RFP.**

Offerors are instructed to click the upload link, select “**RFP 1-3819**” from the drop-down menu, and follow the instructions as prompted to upload the proposal. The upload link will expire at the submittal deadline and will not allow proposals to be uploaded.

Should Offerors encounter technical issues with uploading the proposals via the link provided, Offerors are required to contact the Contract Administrator prior to the submission deadline. Proposals and supplemental information to proposals received after the date and time specified above will be rejected.

**2. Acceptance of Proposals**

- a. The Authority reserves the right to accept or reject any and all proposals, or any item or part thereof, or to waive any informalities or irregularities in proposals.
- b. The Authority reserves the right to withdraw or cancel this RFP at any time without prior notice and the Authority makes no representations that any contract will be awarded to any Offeror responding to this RFP.
- c. The Authority reserves the right to issue a new RFP for the project.
- d. The Authority reserves the right to postpone proposal openings for its own convenience.
- e. Each proposal will be received with the understanding that acceptance by the Authority of the proposal to provide the services



described herein shall constitute a contract between the Offeror and Authority which shall bind the Offeror on its part to furnish and deliver at the prices given and in accordance with conditions of said accepted proposal and specifications.

- f. The Authority reserves the right to investigate the qualifications of any Offeror, and/or require additional evidence of qualifications to perform the work.
- g. Submitted proposals are not to be copyrighted.

**G. PRE-CONTRACTUAL EXPENSES**

The Authority shall not, in any event, be liable for any pre-contractual expenses incurred by Offeror in the preparation of its proposal. Offeror shall not include any such expenses as part of its proposal.

Pre-contractual expenses are defined as expenses incurred by Offeror in:

- 1. Preparing its proposal in response to this RFP;
- 2. Submitting that proposal to the Authority;
- 3. Negotiating with the Authority any matter related to this proposal; or
- 4. Any other expenses incurred by Offeror prior to date of award, if any, of the Agreement.

**H. JOINT OFFERS**

Where two or more firms desire to submit a single proposal in response to this RFP, they should do so on a prime-subcontractor basis rather than as a joint venture. The Authority intends to contract with a single firm and not with multiple firms doing business as a joint venture.

**I. TAXES**

Offerors' proposals are subject to State and Local sales taxes. However, the Authority is exempt from the payment of Federal Excise and Transportation Taxes. Offeror is responsible for payment of all taxes for any goods, services, processes and operations incidental to or involved in the contract.

**J. PROTEST PROCEDURES**

The Authority has on file a set of written protest procedures applicable to this solicitation that may be obtained by contacting the Contract Administrator responsible for this procurement. Any protests filed by an Offeror in connection with this RFP must be submitted in accordance with the Authority's written procedures.

**K. CONTRACT TYPE**

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a firm-fixed price contract specifying a fixed monthly rate for work specified in the Scope of Work, included in this RFP as Exhibit A. The Agreement will have a two-year initial term with one, two-year option term.

**L. CONFLICT OF INTEREST**

All Offerors responding to this RFP must avoid organizational conflicts of interest which would restrict full and open competition in this procurement. An organizational conflict of interest means that due to other activities, relationships or contracts, an Offeror is unable, or potentially unable to render impartial assistance or advice to the Authority; an Offeror's objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or an Offeror has an unfair competitive advantage. Conflict of Interest issues must be fully disclosed in the Offeror's proposal.

All Offerors must disclose in their proposal and immediately throughout the course of the evaluation process if they have hired or retained an advocate to lobby Authority staff or the Board of Directors on their behalf.

Offerors hired to perform services for the Authority are prohibited from concurrently acting as an advocate for another firm who is competing for a contract with the Authority, either as a prime or subcontractor.

**M. CODE OF CONDUCT**

All Offerors agree to comply with the Authority's Code of Conduct as it relates to Third-Party contracts which is hereby referenced and by this reference is incorporated herein. All Offerors agree to include these requirements in all of its subcontracts.

**SECTION II: PROPOSAL CONTENT**

## **SECTION II. PROPOSAL CONTENT**

### **A. PROPOSAL FORMAT AND CONTENT**

#### **1. Format**

Proposals should be typed with a standard 12-point font, double-spaced. Proposals should not include any unnecessarily elaborate or promotional materials. Proposals should not exceed fifty (50) pages in length, excluding any appendices, cover letters, resumes, or forms.

#### **2. Letter of Transmittal**

The Letter of Transmittal shall be addressed to Yvette Crowder, Senior Contract Administrator and must, at a minimum, contain the following:

- a. Identification of Offeror that will have contractual responsibility with the Authority. Identification shall include legal name of company, corporate address, telephone and fax number, and email address. Include name, title, address, email address, and telephone number of the contact person identified during period of proposal evaluation.
- b. Identification of all proposed subcontractors including legal name of company, contact person's name and address, phone number and fax number, and email address; relationship between Offeror and subcontractors, if applicable.
- c. Acknowledgement of receipt of all RFP addenda, if any.
- d. A statement to the effect that the proposal shall remain valid for a period of not less than 120 days from the date of submittal.
- e. Signature of a person authorized to bind Offeror to the terms of the proposal.
- f. Signed statement attesting that all information submitted with the proposal is true and correct.

#### **3. Technical Proposal**

##### **a. Qualifications, Related Experience and References of Offeror**

This section of the proposal should establish the ability of Offeror to satisfactorily perform the required work by reasons of: experience in performing work of a similar nature; demonstrated competence in the services to be provided; strength and stability of the firm; staffing

capability; work load; record of meeting schedules on similar projects; and supportive client references.

Offeror to:

- (1) Provide a brief profile of the firm, including the types of services offered; the year founded; form of the organization (corporation, partnership, sole proprietorship); number, size and location of offices; and number of employees.
- (2) Provide a general description of the firm's financial condition and identify any conditions (e.g., bankruptcy, pending litigation, planned office closures, impending merger) that may impede Offeror's ability to complete the project.
- (3) Describe the firm's experience in performing work of a similar nature to that solicited in this RFP and highlight the participation in such work by the key personnel proposed for assignment to this project.
- (4) Identify subcontractors by company name, address, contact person, telephone number, email, and project function. Describe Offeror's experience working with each subcontractor.
- (5) Identify all firms hired or retained to provide lobbying or advocating services on behalf of the Offeror by company name, address, contact person, telephone number and email address. This information is required to be provided by the Offeror immediately during the evaluation process, if a lobbyist or advocate is hired or retained.
- (6) Provide as a minimum three (3) references for the projects cited as related experience, and furnish the name, title, address, telephone number, and email address of the person(s) at the client organization who is most knowledgeable about the work performed. Offeror may also supply references from other work not cited in this section as related experience.

**b. Proposed Staffing and Project Organization**

This section of the proposal should establish the method, which will be used by the Offeror to manage the project as well as identify key personnel assigned.

Offeror to:

- (1) Identify key personnel proposed to perform the work in the specified services and include major areas of subcontract work. Include the person's name, current location, proposed position for this project, current assignment, level of commitment to that assignment, availability for this assignment and how long each person has been with the firm.
- (2) Furnish brief resumes (not more than two [2] pages each) for the proposed Project Manager and other key personnel that includes education, experience, and applicable professional credentials.
- (3) Include a project organization chart, which clearly delineates communication/reporting relationships among the project staff.
- (4) Include a statement that key personnel will be available to the extent proposed for the duration of the project acknowledging that no person designated as "key" to the project shall be removed or replaced without the prior written concurrence of the Authority.

**c. Work Plan**

Offeror should provide a narrative, which addresses the Scope of Work, and shows Offeror's understanding of Authority's needs and requirements.

Offeror to:

- (1) Describe the approach to completing the services specified in the Scope of Work. The approach to the work plan shall be of such detail to demonstrate the Offeror's ability to accomplish the project objectives and overall schedule.
- (2) Outline sequentially the activities that would be undertaken in completing the services and specify who would perform them.
- (3) Identify methods that Offeror will use to ensure quality control as well as budget and schedule control for the project.
- (4) Identify any special issues or problems that are likely to be encountered in this project and how the Offeror would propose to address them.
- (5) Offeror is encouraged to propose enhancements or procedural or technical innovations to the Scope of Work that do not

materially deviate from the objectives or required content of the project.

**d. Exceptions/Deviations**

State any technical and/or contractual exceptions and/or deviations from the requirements of this RFP, including the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit C), using the form entitled "Proposal Exceptions and/or Deviations" included in this RFP. This Proposal Exceptions and/or Deviations form must be included in the original proposal submitted by the Offeror. If no technical or contractual exceptions and/or deviations are submitted as part of the original proposal, Offerors are deemed to have accepted the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit C). Offerors will not be allowed to submit the Proposal Exceptions and/or Deviations form or any technical and/or contractual exceptions after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

All exceptions and/or deviations will be reviewed by the Authority and will be assigned a "pass" or "fail" status. Exceptions and deviations that "pass" do not mean that the Authority has accepted the change but that it is a potential negotiable issue. Exceptions and deviations that receive a "fail" status means that the requested change is not something that the Authority would consider a potential negotiable issue. Offerors that receive a "fail" status on their exceptions and/or deviations will be notified by the Authority and will be allowed to retract the exception and/or deviation and continue in the evaluation process. Any exceptions and/or deviation that receive a "fail" status and the Offeror cannot or does not retract the requested change may result in the firm being eliminated from further evaluation.

**4. Cost and Price Proposal**

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a firm-fixed price contract specifying a fixed monthly rate for work specified in the Scope of Work, included in this RFP as Exhibit A. The Agreement will have a two (2)-year initial term with one, two (2)-year option term.

## 5. Appendices

Information considered by Offeror to be pertinent to this project and which has not been specifically solicited in any of the aforementioned sections may be placed in a separate appendix section. Offerors are cautioned, however, that this does not constitute an invitation to submit large amounts of extraneous materials. Appendices should be relevant and brief.

## B. FORMS

### 1. Campaign Contribution Disclosure Form

In conformance with the statutory requirements of the State of California Government Code Section 84308, part of the Political Reform Act and Title 2, California Code of Regulations 18438 through 18438.8, regarding campaign contributions to members of appointed Board of Directors, Offeror is required to complete and sign the Campaign Contribution Disclosure Form provided in this RFP and submit as part of the proposal.

This form **must** be completed regardless of whether a campaign contribution has been made or not and regardless of the amount of the contribution.

The prime contractor, subconsultants, lobbyists and agents are required to report all campaign contributions made from the proposal submittal date up to and until the Board of Directors makes a selection.

### 2. Status of Past and Present Contracts Form

Offeror shall complete and sign the form entitled "Status of Past and Present Contracts" provided in this RFP and submit as part of its proposal. Offeror shall identify the status of past and present contracts where the firm has either provided services as a prime vendor or a subcontractor during the past five (5) years in which the contract has been the subject of or may be involved in litigation with the contracting authority. This includes, but is not limited to, claims, settlement agreements, arbitrations, administrative proceedings, and investigations arising out of the contract. Offeror shall have an ongoing obligation to update the Authority with any changes to the identified contracts and any new litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations that arise subsequent to the submission of Offeror's proposal.

A separate form must be completed for each identified contract. Each form must be signed by the Offeror confirming that the information provided is true and accurate.



**3. Proposal Exceptions and/or Deviations Form**

Offerors shall complete the form entitled "Proposal Exceptions and/or Deviations" provided in this RFP and submit it as part of the original proposal. For each exception and/or deviation, a new form should be used, identifying the exception and/or deviation and the rationale for requesting the change. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed nor considered by the Authority.

**SECTION III: EVALUATION AND AWARD**

### **SECTION III. EVALUATION AND AWARD**

#### **A. EVALUATION CRITERIA**

The Authority will evaluate the offers received based on the following criteria:

- 1. Qualifications of the Firm 30%**

Technical experience in performing work of a closely similar nature; strength and stability of the firm; strength, stability, experience and technical competence of subcontractors; assessment by client references.
- 2. Staffing and Project Organization 30%**

Qualifications of project staff, particularly key personnel and especially the Project Manager; key personnel's level of involvement in performing related work cited in "Qualifications of the Firm" section; logic of project organization; adequacy of labor commitment; concurrence in the restrictions on changes in key personnel.
- 3. Work Plan 20%**

Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; appropriateness of resource allocation among the services; reasonableness of proposed schedule; utility of suggested technical or procedural innovations.
- 4. Cost and Price 20%**

Reasonableness of the monthly rates for the services; competitiveness with other offers received; adequacy of data in support of figures quoted.

#### **B. EVALUATION PROCEDURE**

An evaluation committee will be appointed to review all proposals received for this RFP. The committee is comprised of Authority staff and may include outside personnel. The committee members will evaluate the written proposals using criteria identified in Section III A. A list of top-ranked proposals, firms within a competitive range, will be developed based upon the totals of each committee members' score for each proposal.

During the evaluation period, the Authority may interview some or all of the proposing firms. The Authority has established January 25, 2022, as the date to conduct interviews. All prospective Offerors are asked to keep this date available. No other interview dates will be provided, therefore, if an Offeror is unable to attend the interview on this date, its proposal may be eliminated from further discussion.

The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.

At the conclusion of the proposal evaluations, the evaluation committee will score the proposals to develop a competitive range. Offerors remaining within the competitive range may be asked to submit a Best and Final Offer (BAFO). In the BAFO request, the firms may be asked to provide additional information, confirm or clarify issues and submit a final cost/price offer. A deadline for submission will be stipulated.

At the conclusion of the evaluation process, the evaluation committee will recommend to the Legislative and Communications Committee, the Offeror with the highest final ranking or a short list of top ranked firms within the competitive range whose proposal(s) is most advantageous to the Authority. The Board Committee will review the evaluation committee's recommendation and forward its recommendation to the Board of Directors for final action.

#### **C. AWARD**

The Authority's Board of Directors will consider the selection of the firm(s) recommended by the Board Committee.

The Authority may also negotiate contract terms with the selected Offeror prior to award, and expressly reserves the right to negotiate with several Offerors simultaneously and, thereafter, to award a contract to the Offeror offering the most favorable terms to the Authority.

Offeror acknowledges that the Authority's Board of Directors reserves the right to award this contract in its sole and absolute discretion to any Offeror to this RFP regardless of the evaluation committee's recommendation or recommendation of a Board Committee.

The Authority reserves the right to award its total requirements to one Offeror or to apportion those requirements among several Offerors as the Authority may deem to be in its best interest. In addition, negotiations may or may not be conducted with Offerors; therefore, the proposal submitted should contain Offeror's most favorable terms and conditions, since the selection and award may be made without discussion with any Offeror.

The selected Offeror will be required to submit to the Authority's Accounting department a current IRS W-9 form prior to commencing work.

**D. NOTIFICATION OF AWARD AND DEBRIEFING**

Offerors who submit a proposal in response to this RFP shall be notified via CAMM NET of the contract award. Such notification shall be made within three (3) business days of the date the contract is awarded.

Offerors who were not awarded the contract may obtain a debriefing concerning the strengths and weaknesses of their proposal. Unsuccessful Offerors, who wish to be debriefed, must request the debriefing in writing or electronic mail and the Authority must receive it within three (3) business days of notification of the contract award.

**EXHIBIT A: SCOPE OF WORK**

## **SCOPE OF WORK**

### **FEDERAL TRANSPORTATION PROGRAM STRATEGIC REGULATORY & FUNDING CONSULTING SERVICES**

#### **BACKGROUND**

The Orange County Transportation Authority (OCTA) is responsible for planning, funding and implementing transit and capital projects serving Orange County's 34 cities and 3.1 million residents. OCTA was formed in 1991 through the consolidation of seven separate transportation agencies, including the Orange County Transportation Commission, the Orange County Transit District, the Consolidated Transportation Services Agency, the Orange County Local Transportation Authority, the Orange County Service Authority for Freeway Emergencies, and the Orange County Congestion Management Agency. This consolidation created a multimodal transportation authority that eliminated duplicate functions and increased efficiency in providing transportation services throughout Orange County, California.

OCTA's multimodal activities include, but are not limited, to the following:

- Regional planning
- Freeway improvements
- Street and road improvements
- Bus and rail transit
- Motorist services
- Express toll lanes
- Environmental programs
- Active transportation
- OC Go (Measure M sales tax) administration

To support these efforts, OCTA seeks a highly qualified Consultant team to provide high-level strategic advice and consultation to ensure OCTA's top initiatives are delivered efficiently and cost-effectively, and to maximize the opportunities available at the federal level and effectively address potential issues and events occurring in Washington, D.C.

#### **TASKS**

1. Consultant shall provide high level strategic advice and consultation to OCTA as the subject matter expert for the federal transportation development, regulatory, and funding processes at all levels in the Executive branch of government.
2. Consultant shall provide strategic consultation on a wide variety of federal transportation programs through the Federal Transit Administration (FTA), Federal Highway Administration, and Federal Railroad Administration, as well as the Build America Bureau's credit assistance programs. Examples include, but are not limited to, FTA's Capital Investment Grants (CIG) Program, Transportation Infrastructure

Finance and Innovation Act (TIFIA) loans, and the Railroad Rehabilitation Improvement Financing (RRIF) programs.

3. Consultant shall provide strategic advice to ensure the steady flow of FTA funding through the grant process from development through execution, including the federal review process that includes certification from the US Department of Labor, and any issues that may arise from 49 U.S.C. § 5333(b) (formerly Section 13(c) of the Urban Mass Transportation Act) and the California Public Employees' Pension Reform Act (PEPRA).
4. Consultant shall provide strategic advice for specific modes supported by Orange County's Measure M2 half-cent sales tax, including Project A through N for key Freeway Improvements, Project S for Transit Extensions to Metrolink, and Project R for High Frequency Metrolink Service. More information regarding the specific projects and programs included in Measure M2 is available at [http://www.octa.net/Projects-and-Programs/OC-Go/OC-Go-\(2011-2041\)/Overview/](http://www.octa.net/Projects-and-Programs/OC-Go/OC-Go-(2011-2041)/Overview/).
5. On designated projects seeking CIG funding or implementing projects under the program, including the OC Streetcar (Santa Ana-Garden Grove Fixed Guideway) project, Consultant shall coordinate with OCTA's internal project management team and project management consultant (PMC) to provide strategic assistance in the FTA design, engineering, and construction phases, as well as the operations and maintenance of the project, including securing a full funding grant agreement and fulfilling all related terms and conditions.
  - A. Consultant shall in coordination with OCTA's PMC, advise OCTA in interactions with FTA's capital project development team and assist OCTA in monitoring, informing and responding to FTA Headquarters and Region, as needed.
  - B. Consultant shall work with OCTA to package the selected projects to maximize project competitive advantages against other projects nationwide seeking the same sources of federal funding.
  - C. Consultant shall advise OCTA on necessary actions and product content to communicate to FTA the selected project advantages in terms of job creation, livability initiatives and economic development along proposed corridors.
  - D. Consultant shall advise OCTA on the best practices utilized by CIG project sponsors nationwide to ensure the agency effectively leverages local, state, and federal funding in the safe, efficient operation and maintenance of the OC Streetcar and future transit efforts.
6. On designated projects, including the Interstate 405 Freeway Improvement project, Consultant shall coordinate with OCTA's internal project management team to provide strategic guidance on grant funding or credit assistance programs and funding



applications, and in negotiating issues as they arise, for the purpose of maximize the likelihood of obtaining project federal funding.

7. On designated projects seeking federal funding, including those associated with the CIG program, advise OCTA on potential project funding impacts resulting from legislative and regulatory proposals and help identify potential policy strategies with the Administration and Congress.
8. On an as-needed basis, Consultant in conjunction with OCTA staff, shall develop a communication strategy through verbal and/or written communications to explain federal programs, processes, and timelines, as well as statutory or regulatory compliance to the OCTA Board of Directors (Board), and key OCTA staff through presentations at OCTA Board Meetings, OCTA Committee Meetings and/or Senior Staff Meetings. Three (3) visits to Orange County, California, are anticipated for interactions with the OCTA's Board of Directors.
9. On an as-needed basis, Consultant shall work with OCTA staff to develop reasonable expectations for federal project funding and/or credit assistance programs and to refine appropriate and reasonable timelines.
10. Consultant shall advise OCTA staff and consultants on capital program strategies employed by other successful transportation agencies to include procurement approach, contract sequencing, and positioning of capital project to maximize strategic advantages in a competitive federal funding environment.
11. Consultant shall provide representation, consulting, and logistical assistance for activities conducted by the American Public Transportation Association, including legislative meetings, strategy sessions, and conferences as directed.
12. Consultant shall develop and submit on a monthly basis a progress report that describes the work performed and activities conducted during the invoice period, including any issues faced, accomplishments achieved and/or deliverables completed.

**EXHIBIT B: COST AND PRICE FORMS**

**PRICE SUMMARY SHEET**

**REQUEST FOR PROPOSALS (RFP) 1-3819**

Enter below the proposed firm-fixed monthly rate to perform the services described in the Scope of Work, Exhibit A. Prices shall include direct costs, indirect costs, and profits. The Authority's intention is to award a firm-fixed price contract.

**Initial Term: Effective May 1, 2022 through April 30, 2024**

**Fully-Burdened Monthly Rate**

<b>Year 1 5/1/22 – 4/30/23</b>	<b>Year 2 5/1/23 – 4/30/24</b>
\$	\$

**Option Term: May 1, 2024 through April 30, 2026**

<b>Year 3 5/1/24 – 4/30/25</b>	<b>Year 4 5/1/25 – 4/30/26</b>
\$	\$

- 
1. I acknowledge receipt of RFP 1-3819 and Addenda No.(s) \_\_\_\_\_
  2. This offer shall remain firm for \_\_\_\_\_ days from the date of proposal  
(Minimum 120)

COMPANY NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

TELEPHONE \_\_\_\_\_

FACSIMILE # \_\_\_\_\_

EMAIL ADDRESS \_\_\_\_\_

SIGNATURE OF PERSON  
AUTHORIZED TO BIND OFFEROR \_\_\_\_\_

NAME AND TITLE OF PERSON  
AUTHORIZED TO BIND OFFEROR

---

---

DATE SIGNED

---

**EXHIBIT C: PROPOSED AGREEMENT**



1 relinquishment of AUTHORITY's right to such performance or to future performance of such terms or  
2 conditions and CONSULTANT's obligation in respect thereto shall continue in full force and effect.  
3 Changes to any portion of this Agreement shall not be binding upon AUTHORITY except when  
4 specifically confirmed in writing by an authorized representative of AUTHORITY by way of a written  
5 amendment to this Agreement and issued in accordance with the provisions of this Agreement.

6 **ARTICLE 2. AUTHORITY DESIGNEE**

7 The Chief Executive Officer of AUTHORITY, or designee, shall have the authority to act for and  
8 exercise any of the rights of AUTHORITY as set forth in this Agreement.

9 **ARTICLE 3. SCOPE OF WORK**

10 A. CONSULTANT shall perform the work necessary to complete in a manner satisfactory to  
11 AUTHORITY the services set forth in Exhibit A, entitled "Scope of Work," attached to and, by this  
12 reference, incorporated in and made a part of this Agreement. All services shall be provided at the times  
13 and places designated by AUTHORITY.

14 B. CONSULTANT shall provide the personnel listed below to perform the above-specified  
15 services, which persons are hereby designated as key personnel under this Agreement.

16 **Names**

**Functions**

17  
18 C. No person named in paragraph B of this Article, or his/her successor approved by  
19 AUTHORITY, shall be removed or replaced by CONSULTANT, nor shall his/her agreed-upon function or  
20 level of commitment hereunder be changed, without the prior written consent of AUTHORITY. Should  
21 the services of any key person become no longer available to CONSULTANT, the resume and  
22 qualifications of the proposed replacement shall be submitted to AUTHORITY for approval as soon as  
23 possible, but in no event later than seven (7) calendar days prior to the departure of the incumbent key  
24 person, unless CONSULTANT is not provided with such notice by the departing employee. AUTHORITY  
25 shall respond to CONSULTANT within seven (7) calendar days following receipt of these qualifications  
26 concerning acceptance of the candidate for replacement.

**ARTICLE 4. TERM OF AGREEMENT**

This Agreement shall commence upon execution by both parties and shall continue in full force and effect through April 30, 2024 unless earlier terminated or extended as provided in this Agreement.

AUTHORITY, at its sole discretion, may elect to extend the term of this Agreement for an additional twenty-four (24) months, commencing May 1, 2024, and continuing through April 30, 2026 ("Option Term"), and thereupon require CONSULTANT to continue to provide services, and otherwise perform, in addition with Exhibit A and at the rates set forth in Article 5, "Payment".

AUTHORITY's election to extend this Agreement beyond the Initial Term shall not diminish its right to terminate the Agreement for convenience or CONSULTANT's default as provided elsewhere in this Agreement. The "maximum term" of this Agreement shall be the period extending from the effective date of this Agreement through April 30, 2026, which period encompasses the Initial Term and Option Term.

**ARTICLE 5. PAYMENT**

A. For CONSULTANT's full and complete performance of its obligations under this Agreement and subject to the maximum cumulative payment obligation provisions set forth in Article 6, AUTHORITY shall pay CONSULTANT on a firm-fixed price basis in accordance with the following provisions.

B. The following schedule shall establish the firm-fixed payment to CONSULTANT by AUTHORITY for work set forth in the Scope of Work. The schedule shall not include any CONSULTANT expenses not approved by AUTHORITY, including, but not limited to reimbursement for local meals.

<u>Terms</u>	<u>Firm-Fixed Monthly Rate</u>
Year One Effective -	\$ .00
Year Two Effective -	\$ .00
<b>TWO-YEAR OPTION TERM:</b>	
Year One Effective	\$ .00
Year Two Effective	\$ .00

C. CONSULTANT shall invoice AUTHORITY on a monthly basis for payments corresponding to



1 the work actually completed by CONSULTANT. Percentage of work completed shall be documented in  
2 a monthly progress report prepared by CONSULTANT, which shall accompany each invoice submitted  
3 by CONSULTANT. CONSULTANT shall also furnish such other information as may be requested by  
4 AUTHORITY to substantiate the validity of an invoice. At its sole discretion, AUTHORITY may decline to  
5 make full payment for any work listed in paragraph B of this Article until such time as CONSULTANT has  
6 documented to AUTHORITY's satisfaction that CONSULTANT has fully completed all work required.  
7 AUTHORITY's payment in full for any task completed shall constitute AUTHORITY's final acceptance of  
8 CONSULTANT's work.

9 D. Invoices shall be submitted by CONSULTANT on a monthly basis and shall be submitted in  
10 duplicate to AUTHORITY's Accounts Payable office. CONSULTANT may also submit invoices  
11 electronically to AUTHORITY's Accounts Payable Department at [vendorinvoices@octa.net](mailto:vendorinvoices@octa.net). Each invoice  
12 shall be accompanied by the monthly progress report specified in paragraph C of this Article.  
13 AUTHORITY shall remit payment within thirty (30) calendar days of the receipt and approval of each  
14 invoice. Each invoice shall include the following information:

- 15 1. Agreement No.C-1-3819;
- 16 2. Specify the effort for which payment is being requested;
- 17 3. The time period covered by the invoice;
- 18 4. Total monthly invoice (including project-to-date cumulative invoice amount
- 19 5. Monthly Progress Report;
- 20 6. Certification signed by the CONSULTANT or his/her designated alternate that a)

21 The invoice is a true, complete and correct statement of reimbursable costs and progress; b) The backup  
22 information included with the invoice is true, complete and correct in all material respects; c) All payments  
23 due and owing to subcontractors and suppliers have been made; d) Timely payments will be made to  
24 subcontractors and suppliers from the proceeds of the payments covered by the certification and; e) The  
25 invoice does not include any amount which CONSULTANT intends to withhold or retain from a  
26 subcontractor or supplier unless so identified on the invoice.

Any other information as agreed or requested by AUTHORITY to substantiate the validity of an invoice.

**ARTICLE 6. MAXIMUM OBLIGATION**

Notwithstanding any provisions of this Agreement to the contrary, AUTHORITY and CONSULTANT mutually agree that AUTHORITY's maximum cumulative payment obligation (including obligation for CONSULTANT's profit) shall be \_\_\_\_\_ Dollars (\$\_\_\_\_.00) which shall include all amounts payable to CONSULTANT for its subcontracts, leases, materials and costs arising from, or due to termination of, this Agreement.

**ARTICLE 7. NOTICES**

All notices hereunder and communications regarding the interpretation of the terms of this Agreement, or changes thereto, shall be effected by delivery of said notices in person or by depositing said notices in the U.S. mail, registered or certified mail, returned receipt requested, postage prepaid and addressed as follows:

To CONSULTANT:

To AUTHORITY:

Orange County Transportation Authority

550 South Main Street

P.O. Box 14184

Orange, CA 92863-1584

ATTENTION:

ATTENTION: Yvette Crowder

Senior Contract Administrator

(714) 560 - 5616

ycrowder@octa.net

**ARTICLE 8. INDEPENDENT CONTRACTOR**

A. CONSULTANT's relationship to AUTHORITY in the performance of this Agreement is that of an independent contractor. CONSULTANT's personnel performing services under this Agreement shall at all times be under CONSULTANT's exclusive direction and control and shall be employees of CONSULTANT and not employees of AUTHORITY. CONSULTANT shall pay all wages, salaries and

1 other amounts due its employees in connection with this Agreement and shall be responsible for all  
2 reports and obligations respecting them, such as social security, income tax withholding, unemployment  
3 compensation, workers' compensation and similar matters.

4 B. Should CONSULTANT's personnel or a state or federal agency allege claims against  
5 AUTHORITY involving the status of AUTHORITY as employer, joint or otherwise, of said personnel, or  
6 allegations involving any other independent contractor misclassification issues, CONSULTANT shall  
7 defend and indemnify AUTHORITY in relation to any allegations made.

8 **ARTICLE 9. INSURANCE**

9 A. CONSULTANT shall procure and maintain insurance coverage during the entire term of this  
10 Agreement. Coverage shall be full coverage and not subject to self-insurance provisions. CONSULTANT  
11 shall provide the following insurance coverage:

12 1. Commercial General Liability, to include Products/Completed Operations,  
13 Independent Contractors', Contractual Liability, and Personal Injury Liability, and Property Damage with  
14 a minimum limit of \$1,000,000.00 per occurrence and \$2,000,000.00 general aggregate;

15 2. Automobile Liability Insurance to include owned, hired and non-owned autos with  
16 a combined single limit of \$1,000,000.00 each accident;

17 3. Workers' Compensation with limits as required by the State of California including  
18 a waiver of subrogation in favor of AUTHORITY, its officers, directors, employees or agents;

19 4. Employers' Liability with minimum limits of \$1,000,000.00; and

20 5. Professional Liability with minimum limits of \$1,000,000 per claim.

21 B. Proof of such coverage, in the form of a certificate of insurance, with the AUTHORITY, its  
22 officers, directors, employees and agents, designated as additional insureds as required by contract. In  
23 addition, provide an insurance policy blanket additional insured endorsement. Both documents must be  
24 received by AUTHORITY prior to commencement of any work. Proof of insurance coverage must be  
25 received by AUTHORITY within ten (10) calendar days from the effective date of this Agreement. Such  
26 insurance shall be primary and non-contributive to any insurance or self-insurance maintained by the

1 AUTHORITY. Furthermore, AUTHORITY reserves the right to request certified copies of all related  
2 insurance policies.

3 C. CONSULTANT shall include on the face of the certificate of insurance the Agreement  
4 Number C-1-3819; and, the Senior Contract Administrator's Name, Yvette Crowder.

5 D. CONSULTANT shall also include in each subcontract the stipulation that subcontractors shall  
6 maintain insurance coverage in the amounts required from CONSULTANT as provided in this Agreement.

7 E. CONSULTANT shall be required to immediately notify AUTHORITY of any modifications or  
8 cancellation of any required insurance policies.

9 **ARTICLE 10. ORDER OF PRECEDENCE**

10 Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence:

11 (1) the provisions of this Agreement, including all exhibits; (2) the provisions of  
12 RFP 1-3819; (3) CONSULTANT's proposal dated \_\_\_\_\_; and (4) all other documents, if any, cited  
13 herein or incorporated by reference.

14 **ARTICLE 11. CHANGES**

15 By written notice or order, AUTHORITY may, from time to time, order work suspension and/or  
16 make changes in the general scope of this Agreement, including, but not limited to, the services furnished  
17 to AUTHORITY by CONSULTANT as described in the Scope of Work. If any such work suspension or  
18 change causes an increase or decrease in the price of this Agreement, or in the time required for its  
19 performance, CONSULTANT shall promptly notify AUTHORITY thereof and assert its claim for  
20 adjustment within ten (10) calendar days after the change or work suspension is ordered, and an  
21 equitable adjustment shall be negotiated. However, nothing in this clause shall excuse CONSULTANT  
22 from proceeding immediately with the Agreement as changed.

23 **ARTICLE 12. DISPUTES**

24 A. Except as otherwise provided in this Agreement, when a dispute arises between  
25 CONSULTANT and AUTHORITY, the project managers shall meet to resolve the issue. If project  
26 managers do not reach a resolution, the dispute will be decided by AUTHORITY's Director of Contracts

Administration and Materials Management (CAMP), who shall reduce the decision to writing and mail or otherwise furnish a copy thereof to CONSULTANT. The decision of the Director, CAMP, shall be the final and conclusive administrative decision.

B. Pending final decision of a dispute hereunder, CONSULTANT shall proceed diligently with the performance of this Agreement and in accordance with the decision of AUTHORITY's Director, CAMP. Nothing in this Agreement, however, shall be construed as making final the decision of any AUTHORITY official or representative on a question of law, which questions shall be settled in accordance with the laws of the State of California.

**ARTICLE 13. TERMINATION**

A. AUTHORITY may terminate this Agreement for its convenience at any time, in whole or part, by giving CONSULTANT written notice thereof. Upon said notice, AUTHORITY shall pay CONSULTANT its allowable costs incurred to date of termination and those allowable costs determined by AUTHORITY to be reasonably necessary to effect such termination. Thereafter, CONSULTANT shall have no further claims against AUTHORITY under this Agreement.

B. In the event either Party defaults in the performance of any of their obligations under this Agreement or breaches any of the provisions of this Agreement, the non-defaulting Party shall have the option to terminate this Agreement upon thirty (30) days' prior written notice to the other Party. Upon receipt of such notice, CONSULTANT shall immediately cease work, unless the notice from AUTHORITY provides otherwise. Upon receipt of the notice from AUTHORITY, CONSULTANT shall submit an invoice for work and/or services performed prior to the date of termination. AUTHORITY shall pay CONSULTANT for work and/or services satisfactorily provided to the date of termination in compliance with this Agreement. Thereafter, CONSULTANT shall have no further claims against AUTHORITY under this Agreement. AUTHORITY shall not be liable for any claim of lost profits or damages for such termination.

**ARTICLE 14. INDEMNIFICATION**

CONSULTANT shall indemnify, defend, and hold harmless AUTHORITY, its officers, directors,

employees and agents from and against any and all claims (including attorneys' fees and reasonable expenses for litigation or settlement) for any loss, costs, penalties, fines, damages, bodily injuries, including death, damage to or loss of use of property, arising out of, resulting from, or in connection with the performance of CONSULTANT, its officers, directors, employees, agents, subconsultants or suppliers under the Agreement. Notwithstanding the foregoing, such obligation to defend, hold harmless, and indemnify AUTHORITY, its officers, directors, employees and agents shall not apply to such claims or liabilities arising from the sole or active negligence or willful misconduct of AUTHORITY.

**ARTICLE 15. ASSIGNMENTS AND SUBCONTRACTS**

A. Neither this Agreement nor any interest herein nor claim hereunder may be assigned by CONSULTANT either voluntarily or by operation of law, nor may all or any part of this Agreement be subcontracted by CONSULTANT, without the prior written consent of AUTHORITY. Consent by AUTHORITY shall not be deemed to relieve CONSULTANT of its obligations to comply fully with all terms and conditions of this Agreement.

B. AUTHORITY hereby consents to CONSULTANT's subcontracting portions of the Scope of Work to the parties identified below for the functions described in CONSULTANT's proposal. CONSULTANT shall include in the subcontract agreement the stipulation that CONSULTANT, not AUTHORITY, is solely responsible for payment to the subcontractor for the amounts owing and that the subcontractor shall have no claim, and shall take no action, against AUTHORITY, its officers, directors, employees or sureties for nonpayment by CONSULTANT.

**Subcontractor Name/Addresses**

**Subcontractor Amounts**

**ARTICLE 16. AUDIT AND INSPECTION OF RECORDS**

CONSULTANT shall provide AUTHORITY, or other agents of AUTHORITY, such access to CONSULTANT's accounting books, records, payroll documents and facilities, as AUTHORITY deems necessary. CONSULTANT shall maintain such books, records, data and documents in accordance with generally accepted accounting principles and shall clearly identify and make such items readily

1 accessible to such parties during CONSULTANT's performance hereunder and for a period of four (4)  
2 years from the date of final payment by AUTHORITY. AUTHORITY's right to audit books and records  
3 directly related to this Agreement shall also extend to all first-tier subcontractors identified in Article 15  
4 of this Agreement. CONSULTANT shall permit any of the foregoing parties to reproduce documents  
5 by any means whatsoever or to copy excerpts and transcriptions as reasonably necessary.

6 **ARTICLE 17. CONFLICT OF INTEREST**

7 CONSULTANT agrees to avoid organizational conflicts of interest. An organizational conflict  
8 of interest means that due to other activities, relationships or contracts, the CONSULTANT is unable,  
9 or potentially unable to render impartial assistance or advice to the AUTHORITY; CONSULTANT's  
10 objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or  
11 the CONSULTANT has an unfair competitive advantage. CONSULTANT is obligated to fully disclose  
12 to the AUTHORITY in writing Conflict of Interest issues as soon as they are known to the  
13 CONSULTANT. All disclosures must be submitted in writing to AUTHORITY pursuant to the Notice  
14 provision herein. This disclosure requirement is for the entire term of this Agreement.

15 **ARTICLE 18. CODE OF CONDUCT**

16 CONSULTANT agrees to comply with the AUTHORITY's Code of Conduct as it relates to  
17 Third-Party contracts which is hereby referenced and by this reference is incorporated herein.  
18 CONSULTANT agrees to include these requirements in all of its subcontracts.

19 **ARTICLE 19. PROHIBITION ON PROVIDING ADVOCACY SERVICES**

20 CONSULTANT and all subconsultants performing work under this Agreement, shall be  
21 prohibited from concurrently representing or lobbying for any other party competing for a contract with  
22 AUTHORITY, either as a prime consultant or subconsultant. Failure to refrain from such  
23 representation may result in termination of this Agreement.

24 **ARTICLE 20. FEDERAL, STATE AND LOCAL LAWS**

25 CONSULTANT warrants that in the performance of this Agreement, it shall comply with all  
26 applicable federal, state and local laws, statutes and ordinances and all lawful orders, rules and

1 regulations promulgated thereunder.

2 **ARTICLE 21. EQUAL EMPLOYMENT OPPORTUNITY**

3 In connection with its performance under this Agreement, CONSULTANT shall not discriminate  
4 against any employee or applicant for employment because of race, religion, color, sex, age or national  
5 origin. CONSULTANT shall take affirmative action to ensure that applicants are employed, and that  
6 employees are treated during their employment, without regard to their race, religion, color, sex, age or  
7 national origin. Such actions shall include, but not be limited to, the following: employment, upgrading,  
8 demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other  
9 forms of compensation; and selection for training, including apprenticeship.

10 **ARTICLE 22. PROHIBITED INTERESTS**

11 CONSULTANT covenants that, for the term of this Agreement, no director, member, officer or  
12 employee of AUTHORITY during his/her tenure in office or for one (1) year thereafter shall have any  
13 interest, direct or indirect, in this Agreement or the proceeds thereof.

14 **ARTICLE 23. OWNERSHIP OF REPORTS AND DOCUMENTS**

15 A. The originals of all letters, documents, reports and other products and data produced under  
16 this Agreement shall be delivered to and become the property of AUTHORITY. Copies may be made for  
17 CONSULTANT's records but shall not be furnished to others without written authorization from  
18 AUTHORITY. Such deliverables shall be deemed works made for hire and all rights in copyright therein  
19 shall be retained by AUTHORITY.

20 B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings,  
21 descriptions, and all other written information submitted to CONSULTANT in connection with the  
22 performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any  
23 purposes other than the performance under this Agreement, nor be disclosed to an entity not connected  
24 with the performance of the project. CONSULTANT shall comply with AUTHORITY's policies regarding  
25 such material. Nothing furnished to CONSULTANT, which is otherwise known to CONSULTANT or is or  
26 becomes generally known to the related industry shall be deemed confidential. CONSULTANT shall not



1 use AUTHORITY's name, photographs of the project, or any other publicity pertaining to the project in  
2 any professional publication, magazine, trade paper, newspaper, seminar or other medium without the  
3 express written consent of AUTHORITY.

4 C. No copies, sketches, computer graphics or graphs, including graphic artwork, are to be  
5 released by CONSULTANT to any other person or agency except after prior written approval by  
6 AUTHORITY, except as necessary for the performance of services under this Agreement. All press  
7 releases, including graphic display information to be published in newspapers, magazines, etc., are to be  
8 handled only by AUTHORITY unless otherwise agreed to by CONSULTANT and AUTHORITY.

9 **ARTICLE 24. PATENT AND COPYRIGHT INFRINGEMENT**

10 A. In lieu of any other warranty by AUTHORITY or CONSULTANT against patent or copyright  
11 infringement, statutory or otherwise, it is agreed that CONSULTANT shall defend at its expense any claim  
12 or suit against AUTHORITY on account of any allegation that any item furnished under this Agreement  
13 or the normal use or sale thereof arising out of the performance of this Agreement, infringes upon any  
14 presently existing U.S. letters patent or copyright and CONSULTANT shall pay all costs and damages  
15 finally awarded in any such suit or claim, provided that CONSULTANT is promptly notified in writing of  
16 the suit or claim and given authority, information and assistance at CONSULTANT's expense for the  
17 defense of same. However, CONSULTANT will not indemnify AUTHORITY if the suit or claim results  
18 from: (1) AUTHORITY's alteration of a deliverable, such that said deliverable in its altered form infringes  
19 upon any presently existing U.S. letters patent or copyright; or (2) the use of a deliverable in combination  
20 with other material not provided by CONSULTANT when such use in combination infringes upon an  
21 existing U.S. letters patent or copyright.

22 B. CONSULTANT shall have sole control of the defense of any such claim or suit and all  
23 negotiations for settlement thereof. CONSULTANT shall not be obligated to indemnify AUTHORITY  
24 under any settlement made without CONSULTANT's consent or in the event AUTHORITY fails to  
25 cooperate fully in the defense of any suit or claim, provided, however, that said defense shall be at  
26 CONSULTANT's expense. If the use or sale of said item is enjoined as a result of such suit or claim,

CONSULTANT, at no expense to AUTHORITY, shall obtain for AUTHORITY the right to use and sell said item, or shall substitute an equivalent item acceptable to AUTHORITY and extend this patent and copyright indemnity thereto.

**ARTICLE 25. FINISHED AND PRELIMINARY DATA**

A. All of CONSULTANT's finished technical data, including but not limited to illustrations, photographs, tapes, software, software design documents, including without limitation source code, binary code, all media, technical documentation and user documentation, photoprints and other graphic information required to be furnished under this Agreement, shall be AUTHORITY's property upon payment and shall be furnished with unlimited rights and, as such, shall be free from proprietary restriction except as elsewhere authorized in this Agreement. CONSULTANT further agrees that it shall have no interest or claim to such finished, AUTHORITY-owned, technical data; furthermore, said data is subject to the provisions of the Freedom of Information Act, 5 USC 552.

B. It is expressly understood that any title to preliminary technical data is not passed to AUTHORITY but is retained by CONSULTANT. Preliminary data includes roughs, visualizations, software design documents, layouts and comprehensives prepared by CONSULTANT solely for the purpose of demonstrating an idea or message for AUTHORITY's acceptance before approval is given for preparation of finished artwork. Preliminary data title and right thereto shall be made available to AUTHORITY if CONSULTANT causes AUTHORITY to exercise Article 11, and a price shall be negotiated for all preliminary data.

**ARTICLE 26. FORCE MAJEURE**

Either party shall be excused from performing its obligations under this Agreement during the time and to the extent that it is prevented from performing by an unforeseeable cause beyond its control, including but not limited to: any incidence of fire, flood; acts of God; commandeering of material, products, plants or facilities by the federal, state or local government; national fuel shortage; or a material act or omission by the other party; when satisfactory evidence of such cause is presented to the other party, and provided further that such nonperformance is unforeseeable, beyond the control and is not due to

the fault or negligence of the party not performing.

**ARTICLE 27. HEALTH AND SAFETY REQUIREMENT**

CONSULTANT shall comply with all the requirements set forth in Exhibit \_\_, Level 1, Standard Health, Safety and Environmental Specifications.

**IN WITNESS WHEREOF**, the parties hereto have caused this Agreement No. C-1-3819 to be executed as of the date of the last signature below.

**CONSULTANT**

**ORANGE COUNTY TRANSPORTATION AUTHORITY**

By: \_\_\_\_\_

By: \_\_\_\_\_

Darrell E. Johnson  
Chief Executive Officer

**APPROVED AS TO FORM:**

By: \_\_\_\_\_

James M. Donich  
General Counsel

**APPROVED BY:**

By: \_\_\_\_\_

Maggie McJilton  
Executive Director, People and  
Community Engagement

**EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACTS FORM**

**STATUS OF PAST AND PRESENT CONTRACTS FORM**

On the form provided below, Offeror/Bidder shall list the status of past and present contracts where the firm has either provided services as a prime vendor or a subcontractor during the past five (5) years in which the contract has been the subject of or may be involved in litigation with the contracting authority. This includes, but is not limited to, claims, settlement agreements, arbitrations, administrative proceedings, and investigations arising out of the contract.

A separate form must be completed for each contract. Offeror/Bidder shall provide an accurate contact name and telephone number for each contract and indicate the term of the contract and the original contract value. Offeror/Bidder shall also provide a brief summary and the current status of the litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations. If the contract was terminated, list the reason for termination.

Offeror/Bidder shall have an ongoing obligation to update the Authority with any changes to the identified contracts and any new litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations that arise subsequent to the submission of the bid. Each form must be signed by an officer of the Offeror/Bidder confirming that the information provided is true and accurate.

<b>Project city/agency/other:</b>	
<b>Contact Name:</b>	<b>Phone:</b>
<b>Project Award Date:</b>	<b>Original Contract Value:</b>
<b>Term of Contract:</b>	
<b>(1) Litigation, claims, settlements, arbitrations, or investigations associated with contract:</b>	
<b>(2) Summary and Status of contract:</b>	
<b>(3) Summary and Status of action identified in (1):</b>	
<b>(4) Reason for termination, if applicable:</b>	

By signing this Form entitled "Status of Past and Present Contracts," I am affirming that all of the information provided is true and accurate.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**EXHIBIT E: CAMPAIGN CONTRIBUTION DISCLOSURE FORM**

**CAMPAIGN CONTRIBUTION DISCLOSURE FORM****Information Sheet****ORANGE COUNTY TRANSPORTATION AUTHORITY**

The attached Campaign Contribution Disclosure Form must be completed by applicants for, or persons who are the subject of, any proceeding involving a license, permit, or other entitlement for use pending before the Board of Directors of the OCTA or any of its affiliated agencies. (Please see next page for definitions of these terms.)

**IMPORTANT NOTICE****Basic Provisions of Government Code Section 84308**

- A. If you are an applicant for, or the subject of, any proceeding involving a license, permit, or other entitlement for use, you are prohibited from making a campaign contribution of more than \$250 to any board member or his or her alternate. This prohibition begins on the date your application is filed or the proceeding is otherwise initiated, and the prohibition ends three months after a final decision is rendered by the Board of Directors. In addition, no board member or alternate may solicit or accept a campaign contribution of more than \$250 from you during this period.
- B. These prohibitions also apply to your agents, and, if you are a closely held corporation, to your majority shareholder as well. These prohibitions also apply to your subcontractor(s), joint venturer(s), and partner(s) in this proceeding. Also included are parent companies and subsidiary companies directed and controlled by you, and political action committees directed and controlled by you.
- C. You must file the attached disclosure form and disclose whether you or your agent(s) have in the aggregate contributed more than \$250 to any board member or his or her alternate during the 12-month period preceding the filing of the application or the initiation of the proceeding.
- D. If you or your agent have in the aggregate contributed more than \$250 to any individual board member or his/or her alternate during the 12 months preceding the decision on the application or proceeding, that board member or alternate must disqualify himself or herself from the decision. However, disqualification is not required if the board member or alternate returns the campaign contribution within 30 days from the time the director knows, or should have known, about both the contribution and the fact that you are a party in the proceeding. The Campaign Contribution Disclosure Form should be completed and filed with your proposal, or with the first written document you file or submit after the proceeding commences.

1. A proceeding involving "a license, permit, or other entitlement for use" includes all business, professional, trade and land use licenses and permits, and all other entitlements for use, including all entitlements for land use, all contracts (other than competitively bid, labor or personal employment contracts), and all franchises.
2. Your "agent" is someone who represents you in connection with a proceeding involving a license, permit or other entitlement for use. If an individual acting as an agent is also acting in his or her capacity as an employee or member of a law, architectural, engineering, consulting firm, or similar business entity, both the business entity and the individual are "agents."
3. To determine whether a campaign contribution of more than \$250 has been made by you, campaign contributions made by you within the preceding 12 months must be aggregated with those made by your agent within the preceding 12 months or the period of the agency, whichever is shorter. Contributions made by your majority shareholder (if a closely held corporation), your subcontractor(s), your joint venturer(s), and your partner(s) in this proceeding must also be included as part of the aggregation. Campaign contributions made to different directors or their alternates are not aggregated.
4. A list of the members and alternates of the Board of Directors is attached.

This notice summarizes the major requirements of Government Code Section 84308 of the Political Reform Act and California Code of Regulations, Title 2 Sections 18438-18438.8.



ORANGE COUNTY TRANSPORTATION AUTHORITY  
CAMPAIGN CONTRIBUTION DISCLOSURE FORM

RFP Number: \_\_\_\_\_ RFP Title: \_\_\_\_\_

Was a campaign contribution made to any OCTA Board Member within the preceding 12 months, regardless of dollar amount of the contribution by either the proposing firm, proposed subconsultants and/or agent/lobbyist?      Yes \_\_\_\_\_ No \_\_\_\_\_

**If no**, please sign and date below.

**If yes**, please provide the following information:

Prime Contractor Firm Name: \_\_\_\_\_

Contributor or Contributor Firm's Name: \_\_\_\_\_

Contributor or Contributor Firm's Address: \_\_\_\_\_

Is Contributor:

- |   |           |          |
|---|-----------|----------|
| <input type="radio"/> The Prime Contractor  | Yes _____ | No _____ |
| <input type="radio"/> Subconsultant   | Yes _____ | No _____ |
| <input type="radio"/> Agent/Lobbyist hired by Prime<br>to represent the Prime in this RFP | Yes _____ | No _____ |

Note: Under the State of California Government Code section 84308 and California Code of Regulations, Title 2, Section 18438, campaign contributions made by the Prime Contractor and the Prime Contractor's agent/lobbyist who is representing the Prime Contractor in this RFP must be aggregated together to determine the total campaign contribution made by the Prime Contractor.

Identify the Board Member(s) to whom you, your subconsultants, and/or agent/lobbyist made campaign contributions, the name of the contributor, the dates of contribution(s) in the preceding 12 months and dollar amount of the contribution. Each date must include the exact month, day, and year of the contribution.

Name of Board Member: \_\_\_\_\_

Name of Contributor: \_\_\_\_\_

Date(s) of Contribution(s): \_\_\_\_\_

Amount(s): \_\_\_\_\_

Name of Board Member: \_\_\_\_\_

Name of Contributor: \_\_\_\_\_

Date(s) of Contribution(s): \_\_\_\_\_

Amount(s): \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Contributor

\_\_\_\_\_  
Print Firm Name

\_\_\_\_\_  
Print Name of Contributor

**ORANGE COUNTY TRANSPORTATION AUTHORITY  
AND AFFILIATED AGENCIES**

**Board of Directors**

**Andrew Do, Chairman**

**Mark A. Murphy, Vice Chairman**

**Lisa A. Bartlett, Director**

**Doug Chaffee, Director**

**Barbara Delgleize, Director**

**Katrina Foley, Director**

**Brian Goodell, Director**

**Patrick Harper, Director**

**Michael Hennessey, Director**

**Gene Hernandez, Director**

**Steve Jones, Director**

**Joseph Muller, Director**

**Tam Nguyen, Director**

**Vicente Sarmiento, Director**

**Tim Shaw, Director**

**Harry S. Sidhu, Director**

**Donald P. Wagner, Director**

**EXHIBIT F SAFETY SPECIFICATIONS**

## **LEVEL 1 HEALTH, SAFETY AND ENVIRONMENTAL SPECIFICATIONS**

### **1.1 GENERAL HEALTH, SAFETY & ENVIRONMENTAL REQUIREMENTS**

- A. The Contractor, its subcontractors, suppliers, and employees have the obligation to comply with all Authority health, safety and environmental compliance department (HSEC) requirements of this safety specification, project site requirements, bus yard safety rules, as well as all federal, state, and local regulations pertaining to scope of work, contracts or agreements with the Authority. Additionally, manufacturer requirements are considered incorporated by reference as applicable to this scope of work.
- B. Observance of repeated unsafe acts or conditions, serious violation of safety standards, non-conformance of Authority health, safety and environmental compliance department (HSEC) requirements, or disregard for the intent of these safety specifications to protect people and property, by Contractor or its subcontractors may be cause for termination of scope or agreements with the Authority, at the sole discretion of the Authority.
- C. The health, safety, and environmental requirements, and references contained within this scope of work shall not be considered all-inclusive as to the hazards that might be encountered. Safe work practices shall be planned and performed, and safe conditions shall be maintained during this work scope.
- D. The Authority Project Manager shall be responsible to ensure a safety orientation is conducted of known potential hazards and emergency procedures for all Contractor personnel, subcontractors, suppliers, vendors, and new employees assigned to the project prior to commencement of the project.
- E. The Contractor shall ensure that all Contractor vehicles, including those of its subcontractors, suppliers, vendors and employees are parked in designated parking areas, and comply with traffic routes, and posted traffic signs in areas other than the employee parking lots.
- F. California Code of Regulations (CCR) Title 8 Standards are minimum requirements; each Contractor is encouraged to exceed minimum requirements. When the Contractor's safety requirements exceed statutory standards, the more stringent requirements shall be applied for the safeguard of public and employees.

### **1.2 REGULATORY**

- A. Injury/Illness Prevention Program  
The Contractor shall comply with CCR Title 8, Section with California Code of Regulations (CCR) Title 8, Section 3203. The intent and elements of the IIPP shall be implemented and enforced by the Contractor and its sub-tier contractors, suppliers, and vendors. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.
- B. Substance Abuse Prevention Program

Contractor shall comply with the Policy or Program of the Company's Substance Abuse Prevention Policy that complies with the most recent Drug Free Workplace Act. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

**C. Heat Illness Prevention Program**

Contractor shall comply with CCR Title 8, Section, Section 3395, Heat Illness Prevention. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

**D. Hazard Communication Program**

Contractor shall comply with CCR Title 8, Section 5194 Hazard Communication Standard. Prior to use on Authority property and/or project work areas Contractor shall provide the Authority Project Manager copies of SDS for all applicable chemical products used, if any. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

- a. All chemicals including paint, solvents, detergents and similar substances shall comply with South Coast Air Quality Management District (SCAQMD) rules 103, 1113, and 1171.

**E. Storm Water Pollution Prevention Plan**

The Contractor shall protect property and water resources from fuels and similar products throughout the duration of the contract. Contractor shall comply with Storm Water Pollution Prevention Plan (SWPPP) requirements. The program or plan if required by scope shall be provided to the Authority's Project Manager, upon request, within 72 hours.

**1.3 INCIDENT NOTIFICATION AND INVESTIGATION**

**A. The Authority shall be promptly notified of any of the following types of incidents including but not limited to:**

1. Damage incidents of property (incidents involving third party, contractor or Authority property damage);
2. Reportable and/or Recordable injuries (as defined by the U. S. Occupational Safety and Health Administration), a minor injury, and near miss incidents;
3. Incidents impacting the environment, i.e. spills or releases on Authority projects or property.
4. Outside Agency Inspections; agencies such as Cal/OSHA, DTSC, SCAQMD, State Water Resources Control Board, FTA, CPUC, EPA, USACE and similar agencies.

**B. Notifications shall be made to Authority representatives, employees and/or agents. This includes incidents occurring to contractors, vendors, visitors, or members of the public that arise from the performance of Authority contract work. An immediate verbal notice followed by an initial written incident investigation report shall be submitted to the Authority's Project Manager within 24 hours of the incident.**

- C. A final written incident investigative report shall be submitted within seven (7) calendar days and include the following information. The Current Status of anyone injured, photos of the incident area, detailed description of what happened, Photos of the existing conditions and area of the injury/incident, the contributing factors that lead to the incident occurrence, a copy of the company policy or procedure associated with the incident and evaluation of effectiveness, copy of task planning documentation, copy of the Physician's first report of injury, copy of Cal/OSHA 300 log of work related injuries and illnesses, the Cal/OSHA 301 Injury Illness Incident Report, and corrective actions initiated to prevent recurrence. This information shall be considered the minimum elements required for a comprehensive incident report provided to OCTA.
- D. A Serious Injury, Serious Incident, OSHA Recordable Injury/Illness, or a Significant Near Miss shall require a formal incident review at the discretion of the Authority's Project Manager. The incident review shall be conducted within seven (7) calendar days of the incident. This review shall require a company senior executive, company program or project manager from the Contractors' organization to participate and present the incident review as determined by the OCTA Project Manager. The serious incident presentation shall include action taken for the welfare of the injured, a status report of the injured, causation factors that lead to the incident, a root cause analysis (using 5 whys and fishbone methods), and a detailed recovery plan that identifies corrective actions to prevent a similar incident, and actions to enhance safety awareness.
1. Serious Injury: includes an injury or illness to one or more employees, occurring in a place of employment or in connection with any employment, which requires inpatient hospitalization for a period in excess of twenty-four hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement. A serious injury also includes a lost workday or reassignment or restricted injury case as determined by the Physician's first report of injury or Cal/OSHA definitions.
  2. Serious Incident: includes but not limited to property damage of \$500.00 or more, an incident requiring emergency services (local fire, paramedics and ambulance response), news media or OCTA media relations response, and/or incidents involving other agencies (Cal/OSHA, EPA, AQMD, DTSC, Metrolink, FTA, FRA etc.) notification or representation.
  3. OSHA Recordable Injury / Illness: includes and injury / illness resulting in medical treatment beyond First Aid, an injury / illness which requires restricted duty, or an injury / illness resulting in days away from work.
  4. Significant Near Miss Incident: includes incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

**1.4 DESIGNATED HEALTH AND SAFETY REPRESENTATIVE**

- A. Upon contract award, the contractor within 10 business days shall designate a health and safety representative and provide a resume and qualifications to the Authority project manager, upon request, within 72 hours.
- B. This person shall be a competent or qualified individual as defined by the Occupational, Safety, and Health Administration (OSHA), familiar with applicable CCR Title 8 Standards (Cal/OSHA) and has the authority to affect changes in work procedures that may have associated cost, schedule and budget impacts.

**1.5 PERSONAL PROTECTIVE EQUIPMENT**

- A. The Contractor, its subcontractors, suppliers, and employees are required to comply with applicable personal protective equipment (PPE) requirements while performing work at any Authority project or property. Generally minimum PPE requirements include eye protection; hearing protection, head protection, class 2 or 3 safety reflective vests, and appropriate footwear.
- B. The Contractor, its subcontractors, suppliers, and employees are required to provide their own PPE, including eye, head, foot, and hand protection, safety vests, or other PPE required to perform their work safely on Authority projects or property. The Authority requires eye protection on construction projects and work areas that meet ANSI Z-87.1 Standards.

**1.6 REFERENCES**

- A. CCR Title 8 Standards (Cal/OSHA)
- B. FCR Including 1910 and 1926 Standards
- C. NFPA, NEC, ANSI, NIOSH Standards
- D. Construction Industry Institute (CII)
- E. OCTA Yard Safety Rules

**EXHIBIT G: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS**

**PROPOSAL EXCEPTIONS AND/OR DEVIATIONS**

The following form shall be completed for each technical and/or contractual exception or deviation that is submitted by Offeror for review and consideration by Authority. The exception and/or deviation must be clearly stated along with the rationale for requesting the exception and/or deviation. If no technical or contractual exceptions or deviations are submitted as part of the original proposal, Offerors are deemed to have accepted Authority’s technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit C). Offerors will not be allowed to submit this form or any contractual exceptions and/or deviation after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

Offeror:\_\_\_\_\_

RFP No.:\_\_\_\_\_ RFP Title: \_\_\_\_\_

Deviation or Exception No. : \_\_\_\_\_

Check one:

- Scope of Work (Technical) \_\_\_\_\_
- Proposed Agreement (Contractual) \_\_\_\_\_

Reference Section/Exhibit: \_\_\_\_\_ Page/Article No. \_\_\_\_\_

Complete Description of Deviation or Exception:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Rationale for Requesting Deviation or Exception:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Area Below Reserved for Authority Use Only:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_