



September 23, 2013

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Chief Executive Officer

**SUBJECT: Request for Proposals (RFP) 3-1971  
“Public Outreach for South County Interstate 5 (I-5), Avenida  
Pico to San Juan Creek Road Improvement Project”**

Gentlemen/Ladies:

This letter shall serve as Addendum No. 1 to the above RFP issued by the Orange County Transportation Authority (Authority). Offerors are reminded that the proposal submittal date is at or before **2:00 p.m., October 16, 2013.**

Offerors are advised to the following change to the RFP:

The interview date has been changed from November 11, 2013 to November 12, 2013.

A pre-proposal conference was held at the Authority’s office in Orange on September 23, 2013. The pre-proposal registration sheet is presented as Attachment A to this Addendum No. 1 and the pre-proposal presentation is presented as Attachment B to this Addendum No. 1.

Offerors are reminded to acknowledge receipt of this Addendum No. 1 in their transmittal letter and Exhibit B, “Price Summary Sheet.” All changes addressed in this Addendum No. 1 shall be incorporated into the final Agreement.

Questions regarding this Addendum No. 1 should be directed to the undersigned at [imendoza@octa.net](mailto:imendoza@octa.net).

Sincerely,

**Iris Mendoza**  
Contract Administrator  
Contracts Administration and Materials Management



# PRE-BID / PRE-PROPOSAL REGISTRATION

ATTACHMENT A

RFP #: 3-1971

Date: September 23, 2013

Title: Public Outreach for South County Interstate 5 (I-5), Avenida Pico to San Juan Creek Road Improvement Project

1. Company Name: CALTROP  
 Attendee: Stephanie Sweezy  
 Address: 22025 Summerfield 2415 Campus Drive  
 City, State Zip: Mission Viejo, CA Irvine, CA  
 Phone Number: (949) 651-6810 Registered on CAMM NET?  Yes  No  
 E-Mail Address: S.S.W.E.E.Z.Y@C.A.L.T.R.O.P.I.C.O.R.P.

2. Company Name: Communications LAB  
 Attendee: Justin Glover  
 Address: 25 Orchard  
 City, State Zip: Lake Forest, CA  
 Phone Number: (850) 545-8100 Registered on CAMM NET?  Yes  No  
 E-Mail Address: J.U.S.T.I.N.G.L.O.V.E.R@C.O.M.M.U.N.I.C.A.T.I.O.N.S.L.A.B.COM

3. Company Name: GCAP Services - DBE  
 Attendee: Ed Salcedo  
 Address: 3525 Hyland Ave #260  
 City, State Zip: 92626  
 Phone Number: (714) 800-1795 Registered on CAMM NET?  Yes  No  
 E-Mail Address: E.S.A.L.C.E.D.O@G.C.A.P.S.E.R.V.I.C.E.S.COM

4. Company Name: Arellano Associates  
 Attendee: Celste Milam  
 Address: 5851 Pine Ave., Ste. A  
 City, State Zip: Chino Hills, CA  
 Phone Number: (909) 627-2974 Registered on CAMM NET?  Yes  No  
 E-Mail Address: C.M.I.L.A.M@A.R.E.L.L.A.N.O.A.S.S.O.C.I.A.T.E.S.COM

PRE-BID / PRE-PROPOSAL REGISTRATION



RFP #: 3-1971

Date: September 23, 2013

Title: Public Outreach for South County Interstate 5 (I-5), Avenida Pico to San Juan Creek Road Improvement Project

1. Company Name: Westbound  
 Attendee: Rick Miltenberger  
 Address: 625 The City Drive  
 City, State Zip: Orange, CA  
 Phone Number: (714) 663-8185 Registered on CAMM NET?  Yes  No  
 E-Mail Address:                        
rmiltenberger@westboundcommunications.com

2. Company Name: BETKON, INC.  
 Attendee: HEATHER MCGUEFFIN  
 Address: 4344 LATHAM ST, SUITE 130  
 City, State Zip: RIVERSIDE, CA  
 Phone Number: (760) 964-1124 Registered on CAMM NET?  Yes  No  
 E-Mail Address:                          
H M C G U E F F I N @ B E T K O N . C O M

3. Company Name: GCAP SERVICES  
 Attendee: STEPHEN MRAS  
 Address: 3525 HYLAND STE 260  
 City, State Zip: COSTA MESA CA 92626  
 Phone Number: (714) 800-1795 Registered on CAMM NET?  Yes  No  
 E-Mail Address:                           
S M R A S @ G C A P S E R V I C E S . C O M

4. Company Name: \_\_\_\_\_  
 Attendee: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City, State Zip: \_\_\_\_\_  
 Phone Number: ( ) \_\_\_\_\_ Registered on CAMM NET?  Yes  No  
 E-Mail Address:



PRE-BID / PRE-PROPOSAL REGISTRATION

ATTACHMENT A

RFP #: 3-1971

Date: September 23, 2013

Title: Public Outreach for South County Interstate 5 (I-5), Avenida Pico to San Juan Creek Road Improvement Project

1. Company Name: MBI MEDIA  
 Attendee: TAYLOR HAMLETT, WAYNE BROWN  
 Address: 857 S Village Oaks Drive  
 City, State Zip: COVINA, CA  
 Phone Number: (626) 9671510 Registered on CAMM NET?  Yes  No  
 E-Mail Address: T H A M L E T T @ M B I M E D I A . C O M

2. Company Name: CityWorks  
 Attendee: Destree Bascos  
 Address: 625 Broadway Suite 835  
 City, State Zip: San Diego, CA 92101  
 Phone Number: (619) 238-9091 Registered on CAMM NET?  Yes  No  
 E-Mail Address: d e s t r e e @ c i t y w o r k s . b i z

3. Company Name: \_\_\_\_\_  
 Attendee: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City, State Zip: \_\_\_\_\_  
 Phone Number: ( ) \_\_\_\_\_ Registered on CAMM NET?  Yes  No  
 E-Mail Address: [ ]

4. Company Name: \_\_\_\_\_  
 Attendee: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City, State Zip: \_\_\_\_\_  
 Phone Number: ( ) \_\_\_\_\_ Registered on CAMM NET?  Yes  No  
 E-Mail Address: [ ]



PRE-BID / PRE-PROPOSAL REGISTRATION

RFP #: 3-1971 Date: September 23, 2013

Title: Public Outreach for South County Interstate 5 (I-5), Avenida Pico to San Juan Creek Road Improvement Project

1. Company Name: Frank Wilson & Associates  
Attendee: Deaise Purmort  
Address: 30900 Rancho Viejo Rd. #155  
City, State Zip: San Juan Capistrano  
Phone Number: (949) 218-1850 Registered on CAMM NET?  Yes  No  
E-Mail Address: 

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@frankwilson.com

2. Company Name: ~~Frank Wilson & Associates~~  
Attendee: \_\_\_\_\_  
Address: \_\_\_\_\_  
City, State Zip: \_\_\_\_\_  
Phone Number: ( \_\_\_\_\_ ) \_\_\_\_\_ Registered on CAMM NET?  Yes  No  
E-Mail Address: 

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3. Company Name: \_\_\_\_\_  
Attendee: \_\_\_\_\_  
Address: \_\_\_\_\_  
City, State Zip: \_\_\_\_\_  
Phone Number: ( \_\_\_\_\_ ) \_\_\_\_\_ Registered on CAMM NET?  Yes  No  
E-Mail Address: 

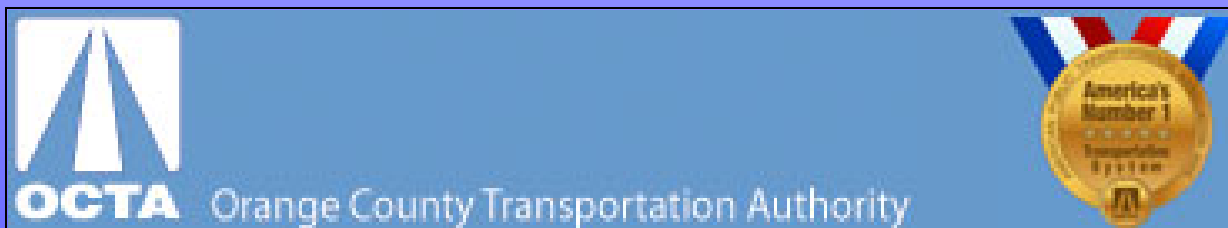
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4. Company Name: \_\_\_\_\_  
Attendee: \_\_\_\_\_  
Address: \_\_\_\_\_  
City, State Zip: \_\_\_\_\_  
Phone Number: ( \_\_\_\_\_ ) \_\_\_\_\_ Registered on CAMM NET?  Yes  No  
E-Mail Address: 

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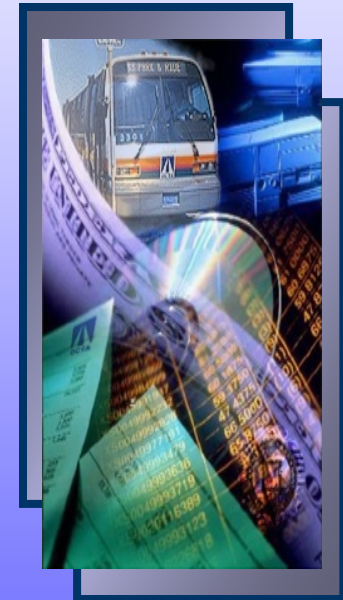
Pre-Proposal Conference for  
RFP 3-1971: Public Outreach for South County  
Interstate 5 (I-5), Avenida Pico to San Juan  
Creek Road Improvement Project





# Agenda

- Introductions / Opening Statement
- Purpose of Pre-Proposal Conference
- Review of RFP Documents
- Review of Disadvantaged Business Enterprise (DBE) Goal
- Review of the Scope of Work
- Questions and Answers
- Closing





# CAMM NET Registration

Why register on CAMM NET?

[www.octa.net/cammnet](http://www.octa.net/cammnet)

- To receive e-mail notifications of Solicitations, Addenda, and Awards
- View and update your vendor profile
- Required for Award



# OCTA's Online Business Networking Tool



Cammmet Connect

https://www.facebook.com/CammnetConnect

facebook Search for people, places and things Neal Johnson

**CAMM NET Connect**

**OCTA**

**Cammnet Connect**  
2 likes · 2 talking about this

✓ Liked Message \* ▾

## How to access CAMM NET Connect:

- CAMM NET Facebook links
- Facebook links in CAMM NET Solicitation Emails

The screenshot shows the CAMMNET website interface. At the top, there is a navigation bar with links for HOME, PROCUREMENTS, ONLINE PROCUREMENTS, AWARDS, WORKING WITH OCTA, DBE PROGRAM, and CONTACT US. The main content area is titled "Open PROCUREMENTS" and includes a list of procurement items with columns for Solicitation No., Title, Date Posted, and Closing Date.

Solicitation No.	Title	Date Posted	Closing Date
31616	Remediation Services - Raymond Avenue GS	7/9/2013	8/23/2013
31617	Replacement of the Fluid Management Tank	8/30/2013	7/22/2013
31618	Prevent Damage Appraisal Services	7/10/2013	7/24/2013
31674	Hazardous Waste Removal & Disposal	6/14/2013	7/15/2013
31821	Consultant Services for PCH Corridor Study between the Pacific Coast Highway and Los Angeles County Line	7/12/2013	8/12/2013
31838	Bus Bus Parts - 2 ITEMS	7/12/2013	7/15/2013
31839	Bus Bus Parts - MISC	7/12/2013	7/15/2013

Below the table, there is a "Showing 7 Items" indicator and several promotional banners for OCTA, CAMMNET CONNECT, and Reference Materials.

The screenshot shows an email message in a web browser. The email is from cammadmin@octa.net to Neal Johnson, dated Monday, 1/21/2013 at 10:34 AM. The subject is "New Solicitation, 60027 - Construction of the Orangethorpe Ave GS".

**From:** cammadmin@octa.net  
**To:** Neal Johnson  
**Cc:**  
**Subject:** New Solicitation, 60027 - Construction of the Orangethorpe Ave GS

**A new solicitation has been posted on our web site.**

**Solicitation Title:** Construction of the Orangethorpe Ave GS  
**Solicitation Number:** 60027  
**Close Date:** 01/01/13

[Click here to view the solicitation and download solicitation documents.](#)

**Procurement Administrator:** Arlene Terry  
 aterry@octa.net  
 (714) 866-5650

**Commodity Descriptions:** Rail - Property Management Services  
 Rail - Right of Way Maintenance  
 Rail Systems Operations and Management  
 Test Commodity Code - DO NOT SELECT

[Business Networking on CAMMNET CONNECT](#)

If you are no longer interested in doing business with OCTA and do not want to receive CAMM NET solicitation email notices, [UNSUBSCRIBE HERE](#).



# CAMMNET Connect

**Cammnet Connect**  
3 likes · 2 talking about this

Liked Message

Government Organization  
Cammnet Connect is currently under development and is not ready for use!! All current posts, comments and information on Cammmnet Connect are fictitious and for testing and development purposes only. Click here to learn more.

About



Photos



Events



Likes

Highlights

Post  
Write something...

**Cammnet Connect** shared a link via Cammmnet Solicitation.  
19 hours ago

The Orange County Transportation Authority invites sealed bids for construction of a railroad grade separation project at the railroad crossing at....

**Business Opportunities**  
Solicitation 6-0027: Construction of the Orangethorpe Ave GS  
Close Date: 1/1/2013 10:00:00 AM

click here to learn more about →

To connect with other firms interested in this procurement, comment below.

**Cammnet Connect** shared a link via Cammmnet Solicitation.  
18 hours ago

The Orange County Transportation Authority (Authority) invites proposals from qualified Contractors for Tree Pruning Services to be performed at A....

**Business Opportunities**  
Solicitation 2-1337: Tree Pruning and Maintenance Services  
Close Date: 11/28/2012 4:00:00 PM

click here to learn more about →

To connect with other firms interested in this procurement, comment below.

Like · Comment · Share

**Jan Immanuel Zacal** I am a sales representative for a major lawn equipment manufacturer. Please let me know if you are in the market for new equipment.  
2 hours ago · Like

Chat

Firefox

Cammet Connect

https://www.facebook.com/CammnetConnect

facebook login

Most Visited Getting Started Free Hotmail Suggested Sites Web Slice Gallery

Bookmarks

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**Post**

Write something...

---

**Cammet Connect** shared a link via Cammet Solicitation. 19 hours ago

The Orange County Transportation Authority invites sealed bids for construction of a railroad grade separation project at the railroad crossing at...

**Business Opportunities**

**Solicitation 6-0027: Construction of the Orangethorpe Ave GS**

Close Date: 1/1/2013 10:00:00 AM

click here to learn more about →

To connect with other firms interested in this procurement, comment below.

Like · Comment · Share

**Neal Johnson** My company is a small business who provides demolition services. We would love to partner with someone on this project. 18 hours ago · Like

**Jan Immanuel Zacal** We are planning on proposing on this project and are very interested in subcontracting the demolition. about an hour ago · Like

**Carolina Boesch Coppolo** Jan - my firm provides demolition services. We are located in Laguna Hills and plan on attending the pre-proposal conference. Let me know if you will be there. about an hour ago · Like

Write a comment...

---

**Cammet Connect** shared a link via Cammet Solicitation. 19 hours ago

**Cammet Connect** shared a link via Cammet Solicitation. 18 hours ago

The Orange County Transportation Authority (Authority) invites proposals from qualified Contractors for Tree Pruning Services to be performed at A...

**Business Opportunities**

**Solicitation 2-1337: Tree Pruning and Maintenance Services**

Close Date: 11/28/2012 4:00:00 PM

click here to learn more about →

To connect with other firms interested in this procurement, comment below.

Like · Comment · Share

**Jan Immanuel Zacal** I am a sales representative for a major lawn equipment manufacturer. Please let me know if you are in the market for new equipment. 2 hours ago · Like

**Carolina Boesch Coppolo** I provided tree pruning services. I am looking for a firm to partner with on this effort. about an hour ago · Like

Write a comment...

---

**Cammet Connect** shared a link via Cammet Solicitation. 19 hours ago

**Cammet Connect** shared a link via Cammet Solicitation. 19 hours ago

The Orange County Transportation Authority (The Authority) invites qualified firms to provide on-site flu shot clinic services.

**Business Opportunities**

**Solicitation 1-2387: On-Site Flu Shot Clinic Services**

Close Date: 10/15/2012 4:00:00 PM

click here to learn more about →

To connect with other firms interested in this procurement, comment below.

Like · Comment · Share

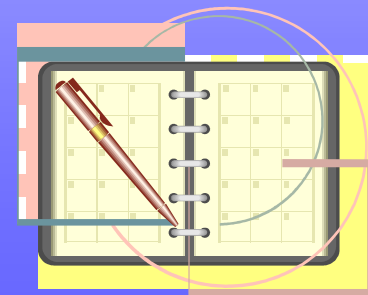
Write a comment...

Chat



# Key Procurement Dates

- Written Questions Due: September 25, 2013
- OCTA Responds: October 1, 2013
- Proposals Due: October 16, 2013, 2:00 p.m.
- Interviews: November 12, 2013
- Board of Directors (BOD): January 13, 2014





# Key Procurement Information

- Next Addendum will contain a copy of the Pre-Proposal sign-in sheet.
- Award based on prime-sub relationship, not joint ventures.
- DBE Goal – 7%



# Guidelines for Written Questions

- Questions must be submitted directly to Iris Mendoza, Contract Administrator, in writing, prior to established due dates.
- E-mail recommended: [imendoza@octa.net](mailto:imendoza@octa.net)
- Any changes Authority makes to procurement documents will be by written Addenda only.
- Addenda will be issued via CAMM NET.
- Verbal discussions today are non-binding.



NEXT...

Proposal Instructions

Followed by...

Review of DBE 7% Goal

Then...

Review of Scope of Work





# Proposal Submittal Instructions

(Refer to RFP Section I, pp. 4 & 5)

- Proposals are due by 2:00 p.m. on the date specified in the RFP.
- Proposals are to be submitted to the address specified in the RFP.
- Submit **one (1) original** and **six (6) copies of proposal** sealed and clearly identified on exterior of package as specified in the RFP.



# Proposal Submittal Instructions (continued)

(Refer to RFP Section I, p. 5)

- Authority has the right to:
  - accept or reject any and all proposals;
  - withdraw or cancel the RFP;
  - postpone proposal opening for its own convenience.
- Proposals received are considered public information.
- Proposals are not to be copyrighted.



# Proposal Submittal Instructions (continued)

(Refer to RFP Section I, p. 6)

- Contract type is time-and-expense
- Conflict of Interest
- Code of Conduct



# Proposal Content

(Refer to RFP Section II, p. 9)

- Letter of Transmittal
- Technical Proposal
  - a) Qualifications, related experience, and references of Offeror
  - b) Proposed staffing and project organization
  - c) Work plan
  - d) Exceptions / Deviations (Technical vs. Contractual)



## Proposal Content (continued)

- Cost and Price Proposal – Exhibit B
  - Pricing should include initial term and option term for a total of 5 years.



## Proposal Content (continued)

- Forms
  - Party and Participant Disclosure Forms – Exhibit D
  - Status of Past and Present Contracts Form – Exhibit E
  - DBE Forms – Exhibit F
  - Certification of Restrictions on Lobbying – Exhibit G

*Note: Forms excluded from 80-page proposal limit.*



# Evaluation and Award

(Refer to RFP Section III, p. 16)

- All proposals, timely received, will be evaluated using the following BOD-approved evaluation criteria:

Qualifications of the firm	20%
Staffing and project organization	25%
Work plan	30%
Cost and price	25%

- Evaluation Committee comprised of staff from OCTA, Caltrans, and City Representatives.



## Evaluation and Award (continued)

- “Short-Listed” firms will be invited to interview.
- Interviews are scheduled for November 12, 2013. Offerors are requested to keep this date available.

*Note: Interview date has changed.*





# Award

- Award Process
  - Evaluation Committee recommends highest ranking Offerors to Board Committee.
  - Board Committee makes recommendation to BOD.
  - BOD may accept / reject staff's recommendation.
  - Staff conducts interviews and makes recommendation to Board Committee.
  - All firms submitting a proposal will be notified of Award via CAMM NET.

# Proposed Agreement



- Proposed Agreement
  - Please review the Proposed Agreement so you are aware of the contractual requirements of these projects.
- Exceptions
  - Any exceptions must be identified in the Exception / Deviation section of your proposal.



## Proposed Agreement (continued)

- Offerors are encouraged to review:
  - Article 4 – Term of Agreement
  - Article 5 – Payment (time-and-expense)
  - Article 6 – Prompt Payment Clause
  - Article 7 – Maximum Obligation
  - Article 10 – Insurance
  - Article 23 – Disadvantaged Business Enterprises



# DBE Information

(Refer to RFP, Proposed Agreement-Article 23  
and Exhibit F)

**Lauren Padilla**

Padilla & Associates

DBE Requirements and Forms



# Orange County Transportation Authority (OCTA) RFP 3-1971 FEDERAL REQUIREMENTS

- OCTA is utilizing Federal funds toward this project and as a condition of receiving such is required to implement the State of California, DOT Disadvantaged Business Enterprise (DBE) Program Plan, based on U.S. DOT, 49 CFR, Part 26 requirements.
  
- Proposers are required to demonstrate DBE responsiveness in meeting the 7% DBE contract-specific goal on this project.
  - Only DBEs may be credited towards the contract-specific DBE goal;



# DBE

"Disadvantaged Business Enterprise (DBE)" means a small business concern:

- (a) at least 51 percent owned by one or more socially and economically disadvantaged individuals or, in the case of any publicly-owned business, at least 51 percent of the stock of which is owned by one or more socially and economically disadvantaged individuals; and
- (b) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it



# How Do Proposers Prepare Their Proposals to Respond to an OCTA RFP?

- As a condition of responsiveness, proposers are required to complete and submit the forms listed below with the Proposal submittal or as specified in the RFP instructions:
  
- “Local Agency Consultant DBE Commitment (Consultant Contracts)”
- “Local Agency Consultant DBE Information (Consultant Contracts)”
- “Bidders List Form”
- “DBE Information-Good Faith Efforts” (If DBE Goal commitment not met)

# “Local Agency Consultant DBE Commitment (Consultant Contracts)”

Local Assistance Procedures Manual

EXHIBIT 10-01  
Local Agency Consultant DBE Commitment

**EXHIBIT 10-01: LOCAL AGENCY CONSULTANT DBE COMMITMENT**  
(Inclusive of all DBEs at time of proposal)

NOTE: Please refer to instructions on the reverse side of this form.

**Consultant to Complete this Section**

- 1. Local Agency Name: \_\_\_\_\_
- 2. Project Location: \_\_\_\_\_
- 3. Project Description: \_\_\_\_\_
- 4. Consultant Name: \_\_\_\_\_
- 5. Contract DBE Goal %: \_\_\_\_\_

**DBE Commitment Information**

6. Designation of Services to be Provided	7. DBE Firm Contact Information	8. DBE Con. Number	9. DBE %

**Local Agency to Complete this Section**

- 16. Local Agency Contract Number: \_\_\_\_\_
- 17. Federal-Aid Project Number: \_\_\_\_\_
- 18. Proposed Contract Execution Date: \_\_\_\_\_
- Local Agency certifies that all DBE certifications are valid and the information on this form is complete and accurate:
- 19. Local Agency Representative Name (Print) \_\_\_\_\_
- 20. Local Agency Representative Signature \_\_\_\_\_ 21. Date \_\_\_\_\_
- 22. Local Agency Representative Title \_\_\_\_\_ 23. (Area Code) Tel. No. \_\_\_\_\_

- 10. Total % Claimed \_\_\_\_\_ %
- 11. Preparer's Signature \_\_\_\_\_
- 12. Preparer's Name (Print) \_\_\_\_\_
- 13. Preparer's Title \_\_\_\_\_
- 14. Date \_\_\_\_\_ 15. (Area Code) Tel. No. \_\_\_\_\_

Distribution: (1) Original - Submit with Award Package  
(2) Copy - Local Agency files

Exhibit 10-01

Local Agency Consultant DBE Commitment

Local Assistance Procedures Manual

**INSTRUCTIONS - LOCAL AGENCY CONSULTANT DBE COMMITMENT**

**Consultant Section**

The Consultant shall:

1. Local Agency Name - Enter the name of the local or regional agency that is funding the contract.
2. Project Location - Enter the project location as it appears on the project advertisement.
3. Project Description - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc.).
4. Consultant Name - Enter the consultant's firm name.
5. Contract DBE Goal % - Enter the contract DBE goal percentage, as it was reported on the Exhibit 10-1 form. See LAPM Chapter 10.
6. Description of Services to be Provided - Enter item of work description of services to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
7. DBE Firm Contact Information - Enter the name and telephone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and telephone number, if the prime is a DBE.
8. DBE Cert. Number - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened. (DBE subcontracted consultants should notify the prime consultant in writing with the date of the decertification if their status should change during the course of the contract).
9. DBE % - Percent participation of work to be performed or service provided by a DBE. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
10. Total % Claimed - Enter the total participation claimed. If the Total % Claimed is less than item "6. Contract DBE Goal", a Good Faith Effort (GFE) is required.
11. Preparer's Signature - The person completing this section of the form for the consultant's firm must sign their name.
12. Preparer's Name (Print) - Clearly enter the name of the person signing this section of the form for the consultant.
13. Preparer's Title - Enter the position title of the person signing this section of the form for the consultant.
14. Date - Enter the date this section of the form is signed by the preparer.
15. (Area Code) Tel. No. - Enter the area code and telephone number of the person signing this section of the form for the consultant.

**Local Agency Section:**

The Local Agency representative shall:

16. Local Agency Contract Number - Enter the Local Agency Contract Number.
17. Federal-Aid Project Number - Enter the Federal-Aid Project Number.
18. Contract Execution Date - Enter the date the contract was executed and Notice to Proceed issued. See LAPM Chapter 10, page 25.
19. Local Agency Representative Name (Print) - Clearly enter the name of the person completing this section.
20. Local Agency Representative Signature - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
21. Date - Enter the date the Local Agency Representative signs the form.
22. Local Agency Representative Title - Enter the position title of the person signing this section of the form.
23. (Area Code) Tel. No. - Enter the area code and telephone number of the Local Agency representative signing this section of the form.





# Conditions of Responsiveness

## “Local Agency Proposer DBE Commitment (Consultant Contracts)”

- This form should identify all DBE firms being proposed to participate in the project regardless of tier.
  
- Proposer must commit to meet the 7% DBE Goal on this procurement to meet conditions of responsiveness.



# Conditions of Responsiveness (Cont)

- To determine DBE responsiveness the following must be verified:
  - DBE has a valid DBE Certification at time of Proposal; OCTA accepts DBE certification from certifying agencies of the California Unified Certification Program (CUCP) (<http://www.dot.ca.gov/hq/bep>).
  - Scope of Work Identified for each DBE meets commercially useful function standards (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.
  - Only services performed by a DBE's own workforce may be credited towards the Proposer's DBE goal. Services subcontracted by DBE's to non-DBE firms may not be credited towards DBE participation.
  - Proper calculation of DBE participation against total Proposal Cost (amount)

# “Local Agency Consultant DBE Information (Consultant Contracts)”

Local Assistance Procedures Manual

EXHIBIT 10-02  
Local Agency Consultant DBE Information**EXHIBIT 10-02: LOCAL AGENCY CONSULTANT DBE INFORMATION**(Inclusive of all DBEs listed at bid proposal)  
NOTE: Please refer to instructions on the reverse side of this form.

Consultant to Complete this Section			
1. Local Agency Name: _____			
2. Project Location: _____			
3. Project Description: _____			
4. Total Contract Award Amount: \$ _____			
5. Consultant Name: _____			
6. Contract DBE Goal %: _____			
7. Total Dollar Amount for all Subcontractors: \$ _____			
8. Total Number of all Subcontractors: _____			
Award DBE Information			
9. Description of Services to be Provided	10. DBE Firm Contact Information	11. DBE Cont. Number	12. DBE Dollar Amount
Local Agency to Complete this Section			
20. Local Agency Contract Number: _____		13. Total Dollars Claimed	\$ _____
21. Federal-Aid Project Number: _____		14. Total % Claimed	_____ %
22. Contract Execution Date: _____		Local Agency certifies that all DBE certifications are valid and the information on this form is complete and accurate.	
23. Local Agency Representative Name (Print) _____		25. Date _____	
24. Local Agency Representative Signature _____		26. Local Agency Representative Title _____	
27. (Area Code) Tel. No. _____		15. Preparer's Signature _____	
16. Preparer's Name (Print) _____		17. Preparer's Title _____	
18. Date _____		19. (Area Code) Tel. No. _____	
Caltrans to Complete this Section			
Caltrans District Local Assistance Engineer (DLAE) certifies that this form has been reviewed for completeness.			
28. DLAE Name (Print) _____	29. DLAE Signature _____	30. Date _____	

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

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EXHIBIT 10-02

Local Agency Consultant DBE Information

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**INSTRUCTIONS - LOCAL AGENCY CONSULTANT DBE INFORMATION****Consultant Section**

The Consultant shall:

1. **Local Agency Name** - Enter the name of the local or regional agency that is funding the contract.
2. **Project Location** - Enter the project location as it appears on the project advertisement.
3. **Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc.)
4. **Total Contract Award Amount** - Enter the total contract award dollar amount for the prime consultant.
5. **Consultant Name** - Enter the consultant's firm name.
6. **Contract DBE Goal %** - Enter the contract DBE goal percentage, as it was reported on the Exhibit 10-1 form. See LAPM Chapter 10.
7. **Total Dollar Amount for all Subcontractors** - Enter the total dollar amount for all subcontracted consultants. SUM = (DBE's + all Non-DBE's). Do not include the prime consultant information in this count.
8. **Total number of all subcontractors** - Enter the total number of all subcontracted consultants. SUM = (DBE's + all Non-DBE's). Do not include the prime consultant information in this count.
9. **Description of Services to be Provided** - Enter item of work description of services to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
10. **DBE Firm Contact Information** - Enter the name and telephone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and telephone number, if the prime is a DBE.
11. **DBE Cert. Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened. (DBE subcontracted consultants should notify the prime consultant in writing with the date of the decertification if their status should change during the course of the contract.)
12. **DBE Dollar Amount** - Enter the subcontracted dollar amount of the work to be performed or service to be provided. Include the prime consultant if the prime is a DBE, and include DBEs that are not identified as subcontractors on the Exhibit 10-01 form. See LAPM Chapter 9 for how to count full/partial participation.
13. **Total Dollars Claimed** - Enter the total dollar amounts for columns 12 and 13.
14. **Total % Claimed** - Enter the total participation claimed for columns 12 and 13. SUM = (item "14. Total Participation Dollars Claimed" divided by item "4. Total Contract Award Amount"). If the Total % Claimed is less than item "6. Contract DBE Goal", a Good Faith Effort (GFE) is required.
15. **Preparer's Signature** - The person completing this section of the form for the consultant's firm must sign their name.
16. **Preparer's Name (Print)** - Clearly enter the name of the person signing this section of the form for the consultant.
17. **Preparer's Title** - Enter the position title of the person signing this section of the form for the consultant.
18. **Date** - Enter the date this section of the form is signed by the preparer.
19. **(Area Code) Tel. No.** - Enter the area code and telephone number of the person signing this section of the form for the consultant.

**Local Agency Section:**

The Local Agency representative shall:

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

**Caltrans Section:**

Caltrans District Local Assistance Engineer (DLAE) shall:

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

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# Conditions of Responsiveness

## “Local Agency Proposer DBE Information (Consultant Contracts)”

- This form should capture DBE Participation in accordance with 49 CFR, Part 26. On contracts with a DBE goal, this form captures certified DBEs that are owned by specific DBE groups.

# “Bidders List”



Project Name: \_\_\_\_\_

## BIDDERS LIST [EXHIBIT D-3]

Bidder/Offeror: \_\_\_\_\_ IFB/RFP No.: \_\_\_\_\_

The Department of Transportation requires the AUTHORITY to create and maintain a “Bidders List” containing information about all firms (DBE and Non-DBE) that bid, propose or quote on the Authority’s DOT-assisted contracts, in accordance with 49 CFR Part 26.11. The “Bidders List” is intended to be a count of all firms that are participating, or attempting to participate, on DOT-assisted contracts, whether successful or unsuccessful in their attempt to obtain a contract.

The Bidder/Offeror is to complete all requested information on **Form D-3: “Bidders List”** for every firm who submitted a bid, proposal or quote, including the primary Bidder/Offeror, and submit this information at the time of bid submission. However, if not elected to do so at the time of bid submission, Bidders/Offerors must submit such information at the request of the Authority within the prescribed timeline set forth in the solicitation. The AUTHORITY will utilize this information to assist in the AUTHORITY’s overall annual DBE goal-setting process.

### Prime Bidder’s/Offeror’s Information:

Name of Prime’s Firm:	Phone: ( )
Firm Address:	Fax: ( )
Number of years in business:	Type of work/services/materials provided:
Contact Person:	Title:
Is the firm currently certified as a DBE under 49 CFR Part 26? <input type="checkbox"/> Yes <input type="checkbox"/> No	Check the box below for your firm’s annual gross receipts last year:
DBE Certification Eligibility (place an “X”):	Less than \$1 million
<input type="checkbox"/> African American <input type="checkbox"/> Asian Pacific American	Less than \$5 million
<input type="checkbox"/> Native American <input type="checkbox"/> Woman	Less than \$10 million
<input type="checkbox"/> Hispanic American <input type="checkbox"/> Subcontinent Asian American	Less than \$15 million
<input type="checkbox"/> Other	More than \$15 million

Provide the following information for every firm (DBE and non-DBE) that submitted a bid, proposal or quote on this DOT-assisted project, whether successful or unsuccessful in their attempt to obtain a contract:

Firm Name:	Phone: ( )
Firm Address:	Fax: ( )
Number of years in business:	Type of work/services/materials provided:
Contact Person:	Title:
Is the firm currently certified as a DBE under 49 CFR Part 26? <input type="checkbox"/> Yes <input type="checkbox"/> No	Check the box below for your firm’s annual gross receipts last year:
DBE Certification Eligibility (place an “X”):	Less than \$1 million
<input type="checkbox"/> African American <input type="checkbox"/> Asian Pacific American	Less than \$5 million
<input type="checkbox"/> Native American <input type="checkbox"/> Woman	Less than \$10 million
<input type="checkbox"/> Hispanic American <input type="checkbox"/> Subcontinent Asian American	Less than \$15 million
<input type="checkbox"/> Other	More than \$15 million

Firm Name:	Phone: ( )
Firm Address:	Fax: ( )
Number of years in business:	Type of work/services/materials provided:
Contact Person:	Title:
Is the firm currently certified as a DBE under 49 CFR Part 26? <input type="checkbox"/> Yes <input type="checkbox"/> No	Check the box below for your firm’s annual gross receipts last year:
DBE Certification Eligibility (place an “X”):	Less than \$1 million
<input type="checkbox"/> African American <input type="checkbox"/> Asian Pacific American	Less than \$5 million
<input type="checkbox"/> Native American <input type="checkbox"/> Woman	Less than \$10 million
<input type="checkbox"/> Hispanic American <input type="checkbox"/> Subcontinent Asian American	Less than \$15 million
<input type="checkbox"/> Other	More than \$15 million





# Conditions of Responsiveness

## Bidder's List

- All Proposers are to submit a Bidder's List which will include all firms (DBE and non-DBE) that submitted proposals to act as sub consultants to your firm on this project, whether you elected to use them in your Proposal or not.

# Proposer's Good Faith Effort Requirements

Local Assistance Procedures Manual

Exhibit 15-H  
DBE Information - Good Faith Effort

**EXHIBIT 15-H DBE INFORMATION —GOOD FAITH EFFORTS**

**DBE INFORMATION - GOOD FAITH EFFORTS**

Federal-aid Project No. \_\_\_\_\_ Bid Opening Date \_\_\_\_\_

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

Lowest, second lowest and third lowest bidders shall submit the following information to document adequate good faith efforts. Bidders should submit the following information even if the "Local Agency Bidder DBE Commitment" form indicates that the bidder has met the DBE goal. This will protect the bidder's eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

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

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

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

Publications	Dates of Advertisement

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

Names of DBEs Solicited	Date of Initial Solicitation	Follow Up Methods and Dates

Exhibit 15-H  
DBE Information - Good Faith Effort

Local Assistance Procedures Manual

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

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

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

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

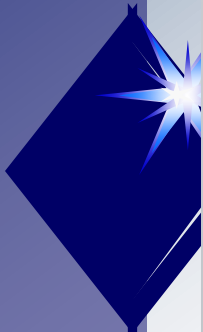
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_





# Bidder's Good Faith Effort Requirements (Continued)

Local Assistance Procedures Manual

Exhibit 15-H  
DBE Information - Good Faith Effort

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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

Name of Agency/Organization	Method/Date of Contact	Results
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\_\_\_\_\_  
\_\_\_\_\_

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

\_\_\_\_\_  
\_\_\_\_\_

**NOTE:** USE ADDITIONAL SHEETS OF PAPER IF NECESSARY.





# Good Faith Effort Responsiveness Requirements

**PROPOSERS CAN DEMONSTRATE RESPONSIVENESS TO THE DBE CONTRACT-SPECIFIC GOAL IN *ONE OF TWO* OPTIONS:**

1. Propose sufficient DBE participation to meet the DBE contract-specific goal; or
2. Demonstrate adequate Good Faith Efforts undertaken to meet the goal.



## **Good Efforts Responsiveness Requirements (Continued)**

For Option 2, Proposer must demonstrate Real and Substantive Efforts!

- The proposer must have undertaken all necessary and reasonable steps to achieve a DBE goal that by their scope, intensity, and appropriateness to the objective could reasonably be expected to obtain sufficient DBE Participation.
- OCTA will consider the quality, quantity, and intensity of the different kinds of efforts.
- Per Caltrans' directives OCTA will examine Good Faith Efforts made by Other Proposers for comparison.



# Adequate Good Faith Efforts

*A few of the Good Faith Efforts required include, but are not limited to:*

- Items of work broken out sufficiently in an effort to meet goal
- Enough work has been made available to DBEs
- DBEs were timely solicited and followed up with
- Technical Assistance Provided: Insurance Bonding, Material & Supplies Specifications & Proposal Requirements must be made available
- Negotiating with DBEs in Good Faith



# Adequate Good Faith Efforts

Please verify that if you are utilizing a company to assist with your good faith efforts they are placing your advertisement(s) in:

- one general circulation
- one trade association publication and
- at least one disadvantaged/minority and women business focus medias



# Q&A Session



Thank You on Behalf of OCTA's DBE Consultant



*If you have specific questions regarding this procurement please contact the Contract Administrator.*

*For general DBE questions contact P&A via e-mail  
[Lpadilla@padillainc.com](mailto:Lpadilla@padillainc.com) or phone (714) 973-1335.*





# Scope of Work

(Refer to RFP Exhibit A)

**Julie Toledo**

Project Manager

Project Overview and Scope of Work



# I-5 South County Improvement Projects







# I-5 South County Goals

- Relieve local street congestion within interchange areas
- Reduce congestion on I-5 within the project limits
- Enhance safety
- Minimize the amount of right of way acquisition needed for the project
- Provide continuity of the I-5 main line carpool network within the project limits





# Project I I-5 from Avenida Pico to San Juan Creek Road

## Segments

- San Juan Creek Road to PCH
- PCH to Vista Hermosa
- Vista Hermosa to Avenida Pico

## Construction Schedule

- Late 2013/early 2014 to 2015
- Late 2013/early 2014 to 2015
- Late 2014 to mid-2017





# Project Highlights – Pico to San Juan Creek

- Add one carpool lane in each direction
- Improve sight distance on SB horizontal curve north of PCH
- Reconstruct Avenida Pico interchange:
  - Widen northbound Avenida Pico on-ramp to three lanes
  - Provide dual left-turn lanes to both NB and SB Avenida Pico off-ramps
- Add soundwalls
- Approximately \$275 million from Measure M, federal and state funds
- Construction begins late 2013/early 2014

NB = northbound

SB = southbound





# Existing Pico Interchange





# Proposed Pico Interchange



- Questions?





- Reminder.... Proposals are due @ 2:00 p.m. on October 16, 2013.
- Please leave a business card.
- Please register on CAMM NET.
- Thank you for your interest in OCTA! Feel free to stay and network.