

**REQUEST FOR PROPOSALS (RFP) 3-2203**

# **COUNTYWIDE TRANSPORTATION DEMAND MANAGEMENT STRATEGIC PLAN**



**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>February 16, 2023</b>
<b>Question Submittal Date:</b>	<b>February 23, 2023</b>
<b>Proposal Submittal Date:</b>	<b>March 9, 2023</b>
<b>Interview Date:</b>	<b>April 3, 2023</b>

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February 16, 2023

**NOTICE OF REQUEST FOR PROPOSALS (RFP)**

**RFP 3-2203: “COUNTYWIDE TRANSPORTATION DEMAND MANAGEMENT STRATEGIC PLAN”**

**TO: ALL OFFERORS**

**FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY**

The Orange County Transportation Authority (Authority) invites proposals from qualified consultants to provide a countywide transportation demand management strategic plan.

The budget for this project is \$200,000 for a twenty-two (22)-month term.

**Please note that by submitting a Proposal, Offeror certifies that it is not subject to any Ukraine/Russia-related economic sanctions imposed by the State of California or the United States Government including, but not limited to, Presidential Executive Order Nos. 13660, 13661, 13662, 13685, and 14065. Any individual or entity that is the subject of any Ukraine/Russia-related economic sanction is not eligible to submit a Proposal. In submitting a Proposal, all Offerors agree to comply with all economic sanctions imposed by the State or U.S. Government.**

**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 March 9, 2023. 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 3-2203**” 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 3-2203, 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:

<u>Category:</u>	<u>Commodity:</u>
Professional Consulting	Consultant Services - General Consultant Services – Transportation planning Feasibility Studies (Consulting) Traffic Planning Consulting

The Authority has established April 3, 2023, as the date to conduct interviews. 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. 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.

**B. 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.

**C. AUTHORITY CONTACT**

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

Luis Martinez, Contract Administrator  
Contracts Administration and Materials Management Department  
Phone: 714.560.5767  
Email: [lmartinez1@octa.net](mailto:lmartinez1@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 offeror, subcontractor, lobbyist or agent hired by the offeror 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 offeror, subcontractor, lobbyist or agent hired by the offeror that engages in such prohibited communications may result in disqualification of the offeror at the sole discretion of the Authority.

**D. 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 D.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 received via e-mail at [lmartinez1@octa.net](mailto:lmartinez1@octa.net) no later than 5:00 p.m., on February 23, 2023.
- b. Requests for clarifications, questions and comments must be clearly labeled, "Written Questions RFP 3-2203" in the subject line of the e-mail. 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 February 28, 2023. Offerors may download responses from CAMM NET at <https://cammnet.octa.net>, or request responses be sent via email.

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

Commodity:  
Consultant Services - General  
Consultant Services –  
Transportation planning  
Feasibility Studies (Consulting)  
Traffic Planning Consulting

Inquiries received after 5:00 p.m. on February 23, 2023 will not be responded to.

## E. 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 March 9, 2023**. 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 3-2203**” 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.



**F. 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.

**G. 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.

**H. 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.

**I. 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.

**J. CONTRACT TYPE**

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a firm-fixed price contract specifying firm-fixed prices for individual tasks specified in the Scope of Work, included in this RFP as Exhibit A. The agreement will have a twenty-two (22)-month term.

**K. 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.

**L. 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.

**M. OWNERSHIP OF RECORDS/PUBLIC RECORDS ACT**

All proposals and documents submitted in response to this RFP shall become the property of the Authority and a matter of public record pursuant to the California Public Records Act, Government Code sections 6250 et seq. (the "Act"). Offerors should familiarize themselves with the provisions of the Act requiring disclosure of public information. Offerors are discouraged from marking their proposal documents as "confidential" or "proprietary."

If a Proposal does include "confidential" or "proprietary" markings and the Authority receives a request pursuant to the Act, the Authority will endeavor (but cannot guarantee) to notify the Offeror of such a request. In order to protect any information submitted within a Proposal, the Offeror must pursue, at its sole cost and expense, any and all appropriate legal action necessary to maintain the confidentiality of such information. The Authority generally does not consider pricing information, subcontractor lists, or key personnel, including resumes, as being exempt from disclosure under the Act. In no event shall the Authority or any of its officers, directors, employees, agents, representatives, or consultants be liable to a Offeror for the disclosure of any materials or information submitted in response to the RFP or by failing to notify a Offeror of a request seeking its Proposal. The Authority reserves the right to make an independent decision to disclose records and material.

Notwithstanding the above, all information regarding proposal responses will be held as confidential until such time as the evaluation has been completed; an

award has been made by the Board of Directors or Authority Staff, as appropriate; and the contract has been fully negotiated.

**N. STATEMENT OF ECONOMIC INTERESTS**

The awarded Offeror (including designated employees and subconsultants) may be required to file Statements of Economic Interests (Form 700) in accordance with the Political Reform Act (Government Code section 81000 et seq.). This applies to individuals who make, participate in making, or act in a staff capacity for making governmental decisions. The AUTHORITY determines which individuals are required to file a Form 700, and if such determination is made, the individuals must file Form 700s with the AUTHORITY's Clerk of the Board no later than 30 days after the execution of the Agreement, annually thereafter for the duration of the Agreement, and within 30 days of termination of the Agreement.

**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 and 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 Luis Martinez, 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 tasks 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) Indicate adequacy of labor resources utilizing a table projecting the labor-hour allocation to the project by individual task.
- (4) Include a project organization chart, which clearly delineates communication/reporting relationships among the project staff.
- (5) 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 tasks 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 tasks and specify who would perform them.
- (3) Furnish a project schedule for completing the tasks in terms of elapsed weeks.
- (4) Identify methods that Offeror will use to ensure quality control as well as budget and schedule control for the project.

- (5) Identify any special issues or problems that are likely to be encountered in this project and how the Offeror would propose to address them.
- (6) 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**

As part of the cost and price proposal, the Offeror shall submit proposed pricing to provide the services for each work task described in Exhibit A, Scope of Work.

The Offeror shall complete the "Price Summary Sheet" form included with this RFP (Exhibit B), and furnish any narrative required to explain the prices quoted in the schedules. It is anticipated that the Authority will issue a firm-fixed-price contract specifying firm-fixed-prices for individual tasks.

#### **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. 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. Offeror is required to submit one copy of the completed form(s) as part of its proposals and it should be included in only the original proposal.

#### **2. 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** **25%**  
  
 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** **25%**  
  
 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** **30%**  
  
 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 tasks; reasonableness of proposed schedule; utility of suggested technical or procedural innovations.
4. **Cost and Price** **20%**  
  
 Reasonableness of the total price as well as the individual tasks; 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 April 3, 2023, 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.

**C. AWARD**

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.

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

### Countywide Transportation Demand Management Strategic Plan

#### Introduction

The Federal Highway Administration (FHWA) defines transportation demand management (TDM) as “a set of strategies aimed at reducing the demand for roadway travel, particularly in single occupancy vehicles (SOVs).” TDM investments help to shift trips from SOVs to other modes through projects that often cost significantly less than roadway or transit capital expansion projects. TDM strategies and options add transportation choices that improve equity, sustainability, public health, and quality of life by improving mobility and reducing harmful emissions. Traditional TDM strategies include carpooling, vanpooling, and telecommuting, while new technology-enabled mobility innovations have emerged in recent years such as transportation network companies (TNCs), carshare, bikeshare, and mobile trip planning applications.

This Project will provide recommendations for effective investments that shift trips away from SOV, increase transit and non-motorized travel, reduce travel costs, and improve operational efficiency. Specific TDM strategies will be recommended and prioritized based on analysis of effectiveness within defined Orange County (OC) place-types. The strategies being analyzed will generally align with those identified in the Southern California Association of Governments (SCAG) 2019 TDM Strategic Plan. Consideration will also be given to strategies identified in the South Coast Air Quality Management District’s 2016 Air Quality Management Plan, SCAG’s 2020 Connect SoCal (2020-2045 Regional Transportation Plan/Sustainable Communities Strategy), The Orange County Transportation Authority’s (OCTA) OC Active: Bicycle and Pedestrian Master Plan, California Department of Transportation (Caltrans) California Transportation Plan 2050, and OCTA’s Orange County Mobility Hub Strategy Human Services Transportation Coordination Plan. The Project also builds on OCTA’s 2018 OC Transit Vision, in which stakeholders, including the OCTA Special Needs Advisory Committee and Caltrans District 12, strongly support improved walking and bicycle access to bus stops, park and rides, and transit centers. TDM strategies are also being included in the ongoing South OC Multimodal Transportation Study, which is addressing mobility needs through innovative solutions that provide more travel choices for residents, commuters, and visitors. This Project also aligns with planning efforts called for in OCTA’s 2018 Long-Range Transportation Plan (2018 LRTP), including transit support services, transportation demand management opportunities, active transportation investments, sustainable transportation strategies, and addressing new technologies.

OC is facing several long-term mobility challenges that can be addressed through the strategic use of TDM. Over 180,000 new housing units are being planned for by Orange County’s local jurisdictions over the next decade in response to the Regional Housing Needs Assessment (RHNA) process. In addition, between 2019 and 2045, OC’s population and employment are expected to grow by 9% and 12%, respectively (OC Projections 2018, Center for Demographic Research, CSUF). This growth is expected to increase travel demand, which could result in more vehicle miles traveled if convenient alternatives are not provided. Additionally, Orange County is faced with a growing number of climate-related risks. These include frequent wildfires, extreme heat, and drought, rising sea levels, and poor air quality. This Project will consider these challenges and look to make more efficient use of the OC transportation system by planning for effective TDM solutions. Current average weekday countywide trips include only 1% usage of transit (138,000), 45% (6,410,000) high-occupancy vehicle usage (HOV), and 54% (7,780,000) SOV (OC Transportation Analysis Model (OCTAM) 5.0). This Project aims to reduce

SOV use through increased HOV, transit use, and non-motorized options that can significantly reduce VMT and the need for additional lanes on Orange County freeways and roadways.

TDM strategies provide a good opportunity to address equity, as TDM solutions often provide affordable mobility options and improve access to essential destinations, including addressing first/last mile challenges. There are 338 disadvantaged communities and low-income communities in OC as defined by CalEnviroScreen 3.0 and Assembly Bill 1550 (AB 1550). Also, under SB 535, 69 census tracts qualify for the top 25% most disadvantaged communities. This Project will look to improve mobility in communities that are likely to be more dependent on public mobility options. The 1 million+ residents of Anaheim, Santa Ana, Garden Grove, Westminster, Buena Park and Stanton all located in Central OC which together are 66% non-white (CA HPI). Of these residents, 78% are driving alone to get to work (US Census), therefore these residents may benefit from TDM strategies. This Project will prioritize disadvantaged and low-income communities to improve access to destinations and improve quality of life. When people have easier access to higher educational institutions, jobs, and healthcare, their living wages tend to increase, and their household transportation expenses are reduced. Furthermore, fewer SOVs result in faster access to destinations and reduced exposure to GHG emission. Reduced need for driving increases safety, and alternative travel modes tend to also have better health benefits. Thus, implementing TDM strategies is critical to ensuring transportation equity. Despite the benefits of TDM strategies noted above, OCTA is also aware of the potential for unintended consequences resulting from transportation improvements. These include the potential for increased cost of living and/or gentrification of nearby communities, which could result in displacement of residents. This Project will consider the potential for such impacts and include recommended actions and/or policies to avoid them, as appropriate.

This Project will provide clear goals (e.g., provides easily accessible information for sustainable travel choices), guiding principles (e.g., equity focused), objectives (e.g., increase awareness/comfort with non-SOV travel options), strategies (i.e., vehicle sharing programs easily accessed by all), and key Action Plans for each strategy (e.g., engagement initiatives and performance measures for monitoring and evaluation). This Project develops a vision for an integrated suite of mobility and accessibility services, complementary amenities and programs, and technologies that bridge local and regional needs with capital-, program-, and policy-based solutions. A “Toolbox” of appropriate and effective TDM strategies will be developed to address OC’s unique transportation needs. Fact sheets for each Toolbox Strategy will provide strengths, weaknesses, costs, coordination needs, and complementary policies/strategies. Opportunity corridors, zones, or other means of segmentation will be identified using criteria linked to the mobility challenges. TDM strategies will then be recommended that effectively address the challenges in each opportunity area.

Additionally, this Project will provide recommendations for the best investments for local agencies to shift trips away from SOV, increase transit and non-motorized travel, reduce travel costs, and improve operational efficiency. For example, it may be recommended that land-use development projects incorporate selected TDM amenities into their project to support a shift to more sustainable modes of travel (e.g., improve walking conditions, on-site childcare, shuttle bus services, and on-site affordable housing).

Thus, this Countywide TDM Strategic Plan will serve as a resource for follow-on subarea and project level planning studies. This will provide a consistent countywide TDM approach between the subsequent planning studies that are needed to advance the recommended TDM strategies towards implementation. The Countywide TDM Strategic Plan will also be shared with local jurisdictions and other partner agencies to encourage a coordinated approach for advancing, funding, and implementing TDM strategies at both the local and regional levels. Having a toolbox



of TDM strategies will ensure OCTA and the partner agencies have the groundwork to develop grant applications as funding opportunities arise. The recommended TDM strategies will also be incorporated into OCTA's Long-Range Transportation Plan and SCAG's Regional Transportation Plan and Sustainable Communities Strategy as appropriate.

## **Project Stakeholders**

Project stakeholders include Caltrans, local jurisdictions (Public Works and planning staff who understand the needs in each city), employers, schools, first responders, regional service providers such as Metrolink, community organizations, healthcare agencies such as OC Healthcare Agency, faith-based organizations, social services agencies, transit-users, and non-transit users. Community organization stakeholders include affordable housing advocates such as People for Housing, Santa Ana Active Streets, Latino Health Access, and Alliance for a Healthy Orange County.

To facilitate active transportation initiatives, OCTA will collaborate with OC's Active Transportation Network, which brings together active transportation stakeholders. The Project will also be presented to OCTA's Citizens Advisory Committee which actively helps examine traffic solutions and provides input to transportation studies and communicates with their constituencies. Members are diverse and include planners, engineers, residents, and affiliates with local universities. Interagency coordination will be achieved through participation in up to ten project team meetings held at key project milestones. Project updates will also be provided quarterly with OCTA's Diverse Community Leaders Group representing business, community, civic, faith, education and nonprofits (i.e., Hispanic Chamber of Commerce of OC, Asian American Senior Center, Native Americans). Working group meetings and one-on-one meetings with key community stakeholders will further engage stakeholders to be involved with the Project. Engagement will be ongoing and evaluated for effectiveness and adjustments will be made as needed.

## **Overall Project Objectives**

The Countywide TDM Strategic Plan will result in a TDM strategy for Orange County, a vision for an integrated suite of mobility and accessibility services, complementary amenities and programs, and technologies that bridge local and regional needs with capital, programmatic, and policy-based solutions. This strategy support reductions in SOV trips, access to non-SOV travel options, reliable and efficient mobility, and technological and innovative designs that improve the performance and social equity of the transportation system. This Project will define best practices, develop a toolbox of strategies, identify an implementation plan and overall approach, and utilize a robust community outreach and engagement process that effectively solicits meaningful input from community members (including low-income and disadvantaged communities) and relevant stakeholders.

Increase transit ridership: Integration of complementary services, amenities, policies, programs, and technologies help to address first/last mile challenges and make transit more attractive. There are a multitude of TDM strategies that can be very effective when integrated with dense employment and urban centers or other transit-oriented environments. In these circumstances, strategies such as mobile trip planning applications and real-time transit information can be focused on improving access to and the efficiency of the transit network.

Promote innovation and economic vitality: The use of technology and innovative designs as a means of improving connectivity and transportation choice allow TDM to address mobility needs at a smaller and more efficient cost in comparison to traditional capital-based transportation solutions. These efforts support the economic vitality of Orange County by increasing activity

through e-commerce and reducing mobility barriers to employment opportunities and economic hubs.

Congestion relief: Increased transportation choices and supporting amenities reduce the need to own a car. Pooled rides, shared mobility services, trip planning applications, telecommuting and other TDM strategies can decrease the number of vehicles on the road and improve system efficiency by spreading or reducing travel demand. Other TDM policies and programmatic solutions serve to improve efficiency of and access to the bicycle, pedestrian, and transit networks which reduce congestion through an improved multimodal system.

Improve air quality & public health: TDM utilizes capital, programmatic, and policy-based solutions to promote the usage of transit, active transportation, zero-emission vehicles, shared mobility services, telecommuting, and other strategies or technologies that significantly improve air quality by reducing air pollution and greenhouse gas emissions. Furthermore, by promoting non-SOV trips and more active travel options TDM reduces serious injuries and fatalities on the transportation system while improving physical activity and overall public health.

Equity: TDM promotes transportation solutions that focus on and prioritize the needs of communities most affected by poverty, air pollution and climate change, and promotes solutions that integrate community values with transportation safety and performance. TDM strategies are designed to improve transportation choice and system efficiency for these historically underserved communities by providing new mobility opportunities, resources, programs, policies, and technologies. Not only do strategies such as telecommuting improve the vital connections between communities and job opportunities, but also improve energy conservation, quality of life, public health, and overall sustainability.

## Summary of Project Tasks

### Task 1: Needs Assessment

#### Defining Areas of Need

- Consultant shall conduct a comprehensive literature review to identify a set of mobility needs that can be effectively addressed through the use of TDM strategies.
- With input from the project team, stakeholders, and/or community, the Consultant shall prioritize the mobility needs that are of most concern to Orange County travelers. Special consideration will be given to communities that are more likely to be dependent on publicly accessible mobility options.
- Consultant shall analyze Orange County for various factors, including but not limited to existing and forecasted transportation facilities, land uses, travel patterns, and major trip generators to define areas impacted by each of the prioritized mobility needs.

#### Goals & Objectives

- TDM goals and objectives shall be established to define the desired outcomes from use of TDM strategies in Orange County. These TDM goals and objectives shall support OCTA's goals, objectives, and strategies included in but not limited to the OC Transit Vision (Transit Master Plan), OC Active (Bicycle and Pedestrian Master Plan), and most recent LRTP and Congestion Management Program (CMP) documents. Goals and objectives shall support strategies that effectively address the prioritized mobility needs and are equitable, scalable, and sustainable.

- Performance measures shall be analyzed that support the goals and objectives, communicate costs and benefits, and facilitate systematic evaluation of implemented strategies. Performance measures may include both qualitative and quantitative measures and shall address at a minimum mobility, accessibility, cost-effectiveness, equity, air quality, and sustainability. Lastly, the Consultant shall identify efficient and effective methods, platforms, and technologies for evaluating these performance measures.

<b>Task Deliverables</b>
Best Practices & Lessons Learned Technical Memo
Goals & Objectives Technical Memo
Performance measures & evaluation approach

## **Task 2: TDM Strategies & Analysis**

### TDM Toolbox

- Consultant shall conduct a comprehensive literature review of TDM strategies including applicable policies, programs, services, technologies, and key partners. References will include the SCAG TDM Strategic Plan, West Hollywood Mobility Element, Santa Monica Zoning Ordinance, SDOT's CTR Strategic Plan, TransLink TravelSmart, and any other applicable sources that add value. This review will provide an initial set of strategies for inclusion in the TDM Toolbox. Additional strategies will be added based on input gathered through public outreach and engagement with the Advisory Committee.
- Consultant shall document the strengths, weaknesses, opportunities, and challenges of each strategy consistent with the identified performance metrics. This will also address how they relate to the goals & objectives defined in Task 1. The Consultant shall conduct additional research, as directed by the OCTA project manager, to ensure criteria includes social equity considerations.
- Consultant shall hold up to five (5) interviews with organizations involved with the development and/or implementation of TDM strategies, including but not limited to Transportation Management Associations (TMAs). These interviews shall focus on lessons learned, challenges, observed benefits, and other experience-based information that apply to TDM strategies included in the TDM Toolbox. These interviews allow for an in-depth understanding of experiences with implementing TDM strategies that will add to the literature review and research.
- The TDM Toolbox will include the development of fact sheets for each Toolbox strategy that at a minimum discuss strategy strengths and weaknesses, costs, coordination needs, complementary policies/strategies, and identify which study goals and objectives are supported.
- Consultant shall work with the project team and consider public input to identify the TDM Toolbox strategies that are most appropriate and effective for addressing Orange County's transportation needs and the study goals and objectives.

### TDM Assignment & Analysis

- Consultant shall develop an initial recommendation identifying which strategy or set of strategies from the TDM Toolbox best applies to each area of need identified in Task 1.

- The Consultant shall prepare a qualitative and quantitative analysis identifying the costs and benefits of implementing the recommended TDM Toolbox strategies. This analysis will identify which strategies are most effective at achieving the study goals and objectives through evaluation of the identified performance metrics.
- The initial recommendation and analysis will be revised based on review by the project team and the Advisory Committee, as well as through consideration of public input.

<b>Task Deliverables</b>
Best Practices & Lessons Learned Technical Memo
TDM Toolbox
Implementation Plan Technical Memo
Action Plan Technical Memo
Final TDM Strategy

### **Task 3: Public Outreach**

#### Community Outreach Framework

- The Consultant shall assist OCTA in the development of a Community Outreach Framework outlining the selected approach to stakeholder engagement throughout the project. The framework will detail key outreach events, timelines, strategies, platforms for feedback, and language/translation needs, among other elements. The Consultant shall assist OCTA in identifying effective ways to solicit meaningful input from community members (including hard-to-reach, low-income, and disadvantaged communities) and relevant stakeholders at key milestones in the process.

#### Community Engagement

- In coordination with the OCTA PM and the OCTA Public Outreach PM, the Consultant shall participate in and assist with hosting up to three (3) online/virtual public workshops. Participation may entail, but is not limited to presenting technical material, Q&A sessions, and panel discussions. The Consultant shall assist in development of event materials for webinars, meetings, and pop-ups. The materials may include but are not limited to editable electronic and hardcopy presentations, posters, handouts, infographics, and development of online surveys/questionnaires.
- Up to three (3) public workshops at designated publicly accessible locations,
- Virtual meetings, which offer easy access for many through call-in and video options with chat features to voice opinions.
- Pop-up engagement events to be hosted at designated publicly accessible locations throughout the County and/or concurrently with larger events.
- Survey - paper format and online. The survey will be advertised on social media and sent via email to OCTA's 100,000+ subscribers and available on dedicated project webpage.
- Signage throughout the county and ads/articles in ethnic publications will ask residents to complete an online or paper survey at locations throughout the county or send comments by text or email.
- All engagement materials will be multilingual and translation services will be offered as feasible.
- To ensure the data collected is representative of the target audience, demographics will be analyzed, and target methods will be adjusted as needed.

- To gauge effectiveness of the engagement efforts and assess the diversity and representation of the target audience, OCTA will survey the public throughout and enhance as needed and will adjust as needed.
- The Consultant shall also be responsible for participating in and providing presentation materials for up to four (4) OCTA Board meetings.

OCTA Standing Committees

- Project updates will be presented quarterly to OCTA’s Citizens Advisory Committee which actively helps examine traffic solutions and provides input to transportation studies and communicates with their constituencies.
- Project updates will also be provided quarterly with OCTA’s Diverse Community Leaders Group representing business, community, civic, faith, education and nonprofit groups.

Community Outreach Report

- OCTA Public Outreach will draft a Final Community Outreach Report. The Consultant shall include the outreach report with the final TDM Strategic Plan report.

<b>Task Deliverables</b>
Community Outreach Framework
Three (3) online/virtual public workshops
Three (3) Stakeholder Working Group Meetings
Two (2) online surveys
Quarterly updates at the OCTA Citizens Advisory Committee and Diverse Community Leaders meetings
Incorporate Community Outreach Report to final strategy
Meeting and advertising materials (PowerPoint Presentations, flyers, website announcements, sign-in sheets, community surveys, conceptual drawings, bilingual services, etc.)

**Task 4: Advisory Committee Meetings**

- Consultant shall participate in and assist with interagency coordination through participation in regular Advisory Committee meetings. The Advisory Committee will provide technical input to the study from OCTA’s partner agencies, such as representatives from local jurisdictions (Public Works and/or planning staff), Caltrans, Metrolink, SCAG, OC Council of Governments, and/or others as appropriate.
- Up to ten (10) Advisory Committee meetings shall be held at key project milestones and the Consultant shall provide review copies of project documents for distribution at least one (1) week prior to each meeting. Additional one-on-one meetings with member agencies will also be held as appropriate.
- The Consultant shall provide meeting materials to facilitate Advisory Committee discussions. Meeting materials shall include but are not limited to meeting agendas, presentations, handouts, and minutes.

<b>Task Deliverables</b>
Agendas
Meeting notes and Action items
List of attendees
Meeting materials (presentations, handouts, posters, etc.)

## **Task 5: Draft and Final Plan and Board Review/Approval**

### Action Plan

- The Consultant shall develop an Action Plan that provides guidance on the varying levels of coordination and partnerships necessary to deliver the TDM Strategy, and any subsequent steps OCTA should take to support its development. This includes discussion of potential financing, collaboration and communication methods, technical guidance, data collection or other factors for consideration in its delivery. These steps shall include segment-specific considerations, as well as an overall phase-by-phase summary.

### Draft TDM Strategy

- The preceding subtasks and their deliverables shall be synthesized into the Draft Countywide TDM Strategic Plan, including the recommended Action Plan.
- The Draft TDM Strategy will be reviewed and revised by the project team and advisory committee prior to presenting to the OCTA Board of Directors and any appropriate committees to initiate a public review period.
- Additional revisions may be necessary prior to initiating the public review period based on feedback received from the OCTA Board and committees.

### Final TDM Strategy

- Consultant shall document the comments received and identify recommended revisions at the close of the public review period.
- The comments and recommended revisions will be reviewed by the project team.
- Consultant shall prepare the Final TDM Strategy based on the recommended revisions and feedback received from the project team.
- The Final TDM Strategy will be presented to the OCTA Board and any appropriate committees to inform them of any revisions made and to receive direction on the proposed Action Plan.
- Additional revisions to the Final TDM Strategy may be necessary based on feedback received from the OCTA Board and committees.

<b>Task Deliverables</b>
Action Plan
Draft Plan (Electronic Delivery)
Public Review – list of comments and recommended revisions
Final Plan that includes a summary of next steps towards implementation and credits Caltrans on the cover or title page and is also formatted as an ADA accessible electronic copy.

**LIMITATION ON GOVERNMENTAL DECISIONS**

Nothing contained in this scope of work permits Consultant’s personnel to authorize or direct any actions, votes, appoint any person, obligate, or commit OCTA to any course of action or enter into any contractual agreement on behalf of OCTA. In addition, Consultant’s personnel shall not provide information, an opinion, or a recommendation for the purpose of affecting a decision without significant intervening substantive review by OCTA personnel, counsel, and management.

**EXHIBIT B: COST AND PRICE FORMS**



**PRICE SUMMARY SHEET**

**REQUEST FOR PROPOSALS (RFP) 3-2203**

Enter below the proposed price for each of the tasks described in Exhibit A – Scope of Work. Prices shall include direct costs, indirect costs, and profits. The Authority’s intention is to award a firm-fixed price contract.

<b>TASK</b>	<b>TERM Effective through February 28, 2025</b>
1. Needs Assessment	\$ _____
2. TDM Strategies & Analysis	\$ _____
3. Public Outreach	\$ _____
4. Advisory Committee Meetings	\$ _____
5. Draft and Final Plan and Board Review/Approval	\$ _____
<b>Total Firm Fixed Price</b>	<b>\$ _____</b>

The undersigned, upon acceptance, agrees to provide the service in accordance with the terms, conditions, and requirements as contained in RFP 3-2203 and the supporting documents for all prices proposed.

\_\_\_\_\_

1. I acknowledge receipt of RFP 3-2203 and Addenda No.(s) \_\_\_\_\_
2. This offer shall remain firm for \_\_\_\_\_ days from the date of proposal  
(Minimum 120)

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

ADDRESS \_\_\_\_\_

TELEPHONE \_\_\_\_\_

SIGNATURE OF PERSON  
AUTHORIZED TO BIND OFFEROR

---

SIGNATURE'S NAME AND TITLE

---

DATE SIGNED

---

**EXHIBIT C: PROPOSED AGREEMENT**

1 **PROPOSED AGREEMENT NO. C-3-2203**

2 **BETWEEN**

3 **ORANGE COUNTY TRANSPORTATION AUTHORITY**

4 **AND**

5 \_\_\_\_\_  
6 **THIS AGREEMENT** is effective this \_\_\_\_\_ day of \_\_\_\_\_, 2023  
7 ("Effective Date"), by and between the Orange County Transportation Authority, 550 South Main Street,  
8 P.O. Box 14184, Orange, California 92863-1584, a public corporation of the State of California  
9 (hereinafter referred to as "AUTHORITY"), and , , , (hereinafter referred to as "CONSULTANT").

10 **WITNESSETH:**

11 **WHEREAS**, AUTHORITY requires assistance from CONSULTANT to provide a countywide  
12 transportation demand management strategic plan; and

13 **WHEREAS**, said work cannot be performed by the regular employees of AUTHORITY; and

14 **WHEREAS**, CONSULTANT has represented that it has the requisite personnel and experience,  
15 and is capable of performing such services; and

16 **WHEREAS**, CONSULTANT wishes to perform these services.

17 **NOW, THEREFORE**, it is mutually understood and agreed by AUTHORITY and CONSULTANT  
18 as follows:

19 **ARTICLE 1. COMPLETE AGREEMENT**

20 A. This Agreement, including all exhibits and documents incorporated herein and made  
21 applicable by reference, constitutes the complete and exclusive statement of the terms and conditions of  
22 this Agreement between AUTHORITY and CONSULTANT and it supersedes all prior representations,  
23 understandings and communications. The invalidity in whole or in part of any term or condition of this  
24 Agreement shall not affect the validity of other terms or conditions.

25 B. AUTHORITY's failure to insist in any one or more instances upon CONSULTANT's  
26 performance of any terms or conditions of this Agreement shall not be construed as a waiver or

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  
19  
20  
21 C. No person named in paragraph B of this Article, or his/her successor approved by  
22 AUTHORITY, shall be removed or replaced by CONSULTANT, nor shall his/her agreed-upon function or  
23 level of commitment hereunder be changed, without the prior written consent of AUTHORITY. Should  
24 the services of any key person become no longer available to CONSULTANT, the resume and  
25 qualifications of the proposed replacement shall be submitted to AUTHORITY for approval as soon as  
26 possible, but in no event later than seven (7) calendar days prior to the departure of the incumbent key

1 person, unless CONSULTANT is not provided with such notice by the departing employee. AUTHORITY  
2 shall respond to CONSULTANT within seven (7) calendar days following receipt of these qualifications  
3 concerning acceptance of the candidate for replacement.

4 **ARTICLE 4. TERM OF AGREEMENT**

5 This Agreement shall commence upon execution by both parties, and shall continue in full force  
6 and effect through February 28, 2025, unless earlier terminated or extended as provided in this  
7 Agreement.

8 **ARTICLE 5. PAYMENT**

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

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

<u>Tasks</u>	<u>Description</u>	<u>Firm Fixed Price</u>
1	Needs Assessment	.00
2	TDM Strategies & Analysis	.00
3	Public Outreach	.00
4	Advisory Committee Meetings	.00
5	Draft and Final Plan and Board Review/Approval	<u>.00</u>
<b>TOTAL FIRM FIXED PRICE PAYMENT</b>		<b><u>.00</u></b>

23 C. CONSULTANT shall invoice AUTHORITY on a monthly basis for payments corresponding to  
24 the work actually completed by CONSULTANT. Percentage of work completed shall be documented in  
25 a monthly progress report prepared by CONSULTANT, which shall accompany each invoice submitted  
26 by CONSULTANT. CONSULTANT shall also furnish such other information as may be requested by

EXHIBIT C

1 AUTHORITY to substantiate the validity of an invoice. At its sole discretion, AUTHORITY may decline to  
2 make full payment for any task listed in paragraph B of this Article until such time as CONSULTANT has  
3 documented to AUTHORITY's satisfaction that CONSULTANT has fully completed all work required  
4 under the task. AUTHORITY's payment in full for any task completed shall not constitute AUTHORITY's  
5 final acceptance of CONSULTANT's work under such task.

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

- 12 1. Agreement No. C-3-2203;
- 13 2. Specify the task number for which payment is being requested;
- 14 3. The time period covered by the invoice;
- 15 4. Total monthly invoice (including project-to-date cumulative invoice amount);
- 16 5. Monthly Progress Report;
- 17 6. Certification signed by the CONSULTANT or his/her designated alternate that a)

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

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

26 /

**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 (\$\_\_\_\_\_ ) 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: Luis Martinez

Title:

Title: Contract Administrator

Phone:

Phone: (714) 560 - 5767

Email:

Email: lmartinez1@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 other amounts due its employees in connection with this Agreement and shall be responsible for all



1 reports and obligations respecting them, such as social security, income tax withholding, unemployment  
2 compensation, workers' compensation and similar matters.

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

7 **ARTICLE 9. INSURANCE**

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

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

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

19 4. Employers' Liability with minimum limits of \$1,000,000 per accident, \$1,000,000  
20 policy limit-disease, and \$1,000,000 policy limit employee-disease.

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

1 Furthermore, AUTHORITY reserves the right to request certified copies or review all related insurance  
2 policies, in response to a related loss.

3 C. CONSULTANT shall include on the face of the certificate of insurance the Agreement  
4 Number C-3-2203 and, the Contract Administrator's Name, Luis Martinez.

5 D. CONSULTANT shall also include in each subcontract, the stipulation that subconsultants shall  
6 maintain insurance coverage in the amounts required of CONSULTANT as provided in the Agreement.  
7 Subconsultants will be required to include AUTHORITY as additional insureds on the Commercial  
8 General Liability, and Auto Liability insurance policies.

9 E. Insurer must provide AUTHORITY with at least thirty (30) days' prior notice of cancellation or  
10 material modification of coverage, and ten (10) days' prior notice for non-payment of premium.

11 **ARTICLE 10. ORDER OF PRECEDENCE**

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

13 (1) the provisions of this Agreement, including all exhibits; (2) the provisions of RFP 3-2203;  
14 (3) CONSULTANT's proposal dated \_\_\_\_\_; (4) all other documents, if any, cited herein or  
15 incorporated by reference.

16 **ARTICLE 11. CHANGES**

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

25 /

26 /

1 **ARTICLE 12. DISPUTES**

2 A. Except as otherwise provided in this Agreement, when a dispute arises between  
3 CONSULTANT and AUTHORITY, the project managers shall meet to resolve the issue. If project  
4 managers do not reach a resolution, the dispute will be decided by AUTHORITY's Director of Contracts  
5 Administration and Materials Management (CAMM), who shall reduce the decision to writing and mail or  
6 otherwise furnish a copy thereof to CONSULTANT. The decision of the Director, CAMM, shall be the  
7 final and conclusive administrative decision.

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

13 **ARTICLE 13. TERMINATION**

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

19 B. In the event either Party defaults in the performance of any of their obligations under this  
20 Agreement or breaches any of the provisions of this Agreement, the non-defaulting Party shall have the  
21 option to terminate this Agreement upon thirty (30) days' prior written notice to the other Party. Upon  
22 receipt of such notice, CONSULTANT shall immediately cease work, unless the notice from AUTHORITY  
23 provides otherwise. Upon receipt of the notice from AUTHORITY, CONSULTANT shall submit an invoice  
24 for work and/or services performed prior to the date of termination. AUTHORITY shall pay  
25 CONSULTANT for work and/or services satisfactorily provided to the date of termination in compliance  
26 with this Agreement. Thereafter, CONSULTANT shall have no further claims against AUTHORITY under

1 this Agreement. AUTHORITY shall not be liable for any claim of lost profits or damages for such  
2 termination.

3 **ARTICLE 14. INDEMNIFICATION**

4 A. CONSULTANT shall indemnify, defend and hold harmless AUTHORITY, its  
5 officers, directors, employees and agents (indemnities) from and against any and all claims (including  
6 attorneys' fees and reasonable expenses for litigation or settlement) for any loss or  
7 damages, bodily injuries, including death, damage to or loss of use of property caused by the negligent  
8 acts, omissions or willful misconduct by CONSULTANT, its officers, directors, employees, agents,  
9 subconsultants or suppliers in connection with or arising out of the performance of this Agreement.

10 **ARTICLE 15. ASSIGNMENTS AND SUBCONTRACTS**

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

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

22 **Subcontractor Name/Addresses**

**Subcontractor Amounts**

23 .00

24 .00

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

2 CONSULTANT shall provide AUTHORITY, or other agents of AUTHORITY, such access to  
3 CONSULTANT's accounting books, records, payroll documents and facilities, as AUTHORITY deems  
4 necessary. CONSULTANT shall maintain such books, records, data and documents in accordance  
5 with generally accepted accounting principles and shall clearly identify and make such items readily  
6 accessible to such parties during CONSULTANT's performance hereunder and for a period of four (4)  
7 years from the date of final payment by AUTHORITY. AUTHORITY's right to audit books and records  
8 directly related to this Agreement shall also extend to all first-tier subcontractors identified in 0 of this  
9 Agreement. CONSULTANT shall permit any of the foregoing parties to reproduce documents by any  
10 means whatsoever or to copy excerpts and transcriptions as reasonably necessary.

11 **ARTICLE 17. CONFLICT OF INTEREST**

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

20 B. If the AUTHORITY determines that CONSULTANT, its employees, or subconsultants are  
21 subject to disclosure requirements under the Political Reform Act (Government Code section 81000 et  
22 seq.), CONSULTANT and its required employees and subconsultants shall complete and file Statements  
23 of Economic Interest (Form 700) with the AUTHORITY's Clerk of the Board disclosing all required  
24 financial interests.

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26 /

1 **ARTICLE 18. CODE OF CONDUCT**

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

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

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

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

11 CONSULTANT warrants that in the performance of this Agreement, it shall comply with all  
12 applicable federal, state and local laws, statutes and ordinances and all lawful orders, rules and  
13 regulations promulgated thereunder.

14 **ARTICLE 21. EQUAL EMPLOYMENT OPPORTUNITY**

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

22 **ARTICLE 22. PROHIBITED INTERESTS**

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

26 /

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

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

7 B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings,  
8 descriptions, and all other written information submitted to CONSULTANT in connection with the  
9 performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any  
10 purposes other than the performance under this Agreement, nor be disclosed to an entity not connected  
11 with the performance of the project. CONSULTANT shall comply with AUTHORITY's policies regarding  
12 such material. Nothing furnished to CONSULTANT, which is otherwise known to CONSULTANT or is or  
13 becomes generally known to the related industry shall be deemed confidential. CONSULTANT shall not  
14 use AUTHORITY's name, photographs of the project, or any other publicity pertaining to the project in  
15 any professional publication, magazine, trade paper, newspaper, seminar or other medium without the  
16 express written consent of AUTHORITY.

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

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

23 A. In lieu of any other warranty by AUTHORITY or CONSULTANT against patent or copyright  
24 infringement, statutory or otherwise, it is agreed that CONSULTANT shall defend at its expense any claim  
25 or suit against AUTHORITY on account of any allegation that any item furnished under this Agreement  
26 or the normal use or sale thereof arising out of the performance of this Agreement, infringes upon any

EXHIBIT C

1 presently existing U.S. letters patent or copyright and CONSULTANT shall pay all costs and damages  
2 finally awarded in any such suit or claim, provided that CONSULTANT is promptly notified in writing of  
3 the suit or claim and given authority, information and assistance at CONSULTANT's expense for the  
4 defense of same. However, CONSULTANT will not indemnify AUTHORITY if the suit or claim results  
5 from: (1) AUTHORITY's alteration of a deliverable, such that said deliverable in its altered form infringes  
6 upon any presently existing U.S. letters patent or copyright; or (2) the use of a deliverable in combination  
7 with other material not provided by CONSULTANT when such use in combination infringes upon an  
8 existing U.S. letters patent or copyright.

9 B. CONSULTANT shall have sole control of the defense of any such claim or suit and all  
10 negotiations for settlement thereof. CONSULTANT shall not be obligated to indemnify AUTHORITY  
11 under any settlement made without CONSULTANT's consent or in the event AUTHORITY fails to  
12 cooperate fully in the defense of any suit or claim, provided, however, that said defense shall be at  
13 CONSULTANT's expense. If the use or sale of said item is enjoined as a result of such suit or claim,  
14 CONSULTANT, at no expense to AUTHORITY, shall obtain for AUTHORITY the right to use and sell  
15 said item, or shall substitute an equivalent item acceptable to AUTHORITY and extend this patent and  
16 copyright indemnity thereto.

17 **ARTICLE 25. FINISHED AND PRELIMINARY DATA**

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

26 B. It is expressly understood that any title to preliminary technical data is not passed to



1 AUTHORITY but is retained by CONSULTANT. Preliminary data includes roughs, visualizations,  
2 software design documents, layouts and comprehensives prepared by CONSULTANT solely for the  
3 purpose of demonstrating an idea or message for AUTHORITY's acceptance before approval is given  
4 for preparation of finished artwork. Preliminary data title and right thereto shall be made available to  
5 AUTHORITY if CONSULTANT causes AUTHORITY to exercise Article 11, and a price shall be  
6 negotiated for all preliminary data.

7 **ARTICLE 26. HEALTH AND SAFETY REQUIREMENT**

8 CONSULTANT shall comply with all the requirements set forth in Exhibit \_\_, Level 1 Safety  
9 Specifications.

10 **ARTICLE 27. LIMITATION ON GOVERNMENTAL DECISIONS**

11 CONSULTANT shall not make, participate in making, or use its position to influence any  
12 governmental decisions as defined by the Political Reform Act, Government Code section 8100 et seq.,  
13 and the implementing regulations in Title 2 of the California Code of Regulations section 18110 et seq.  
14 CONSULTANT's personnel performing services under this Agreement shall not authorize or direct any  
15 actions, votes, appoint any person, obligate, or commit AUTHORITY to any course of action or enter into  
16 any contractual agreement on behalf of AUTHORITY. In addition, CONSULTANT's personnel shall not  
17 provide information, an opinion, or a recommendation for the purpose of affecting a decision without  
18 significant intervening substantive review by AUTHORITY personnel, counsel, and management.

19 **ARTICLE 28. FORCE MAJEURE**

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

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**IN WITNESS WHEREOF**, the parties hereto have caused this Agreement No. C-3-2203 to be executed as of the date of the last signature below.

**CONSULTANT**

**ORANGE COUNTY TRANSPORTATION AUTHORITY**

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

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

Georgia Martinez  
Department Manager, Contracts and Procurement

**APPROVED AS TO FORM:**

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

James M. Donich  
General Counsel

**EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACT 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: SAFETY SPECIFICATIONS**

## LEVEL 1 HEALTH, SAFETY AND ENVIRONMENTAL SPECIFICATIONS

### PART I – GENERAL

#### 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

END OF SECTION

**EXHIBIT F: 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:

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Rationale for Requesting Deviation or Exception:

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Area Below Reserved for Authority Use Only:

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