

**REQUEST FOR PROPOSALS (RFP) 4-2155**

**ON-CALL PROFESSIONAL  
CONSULTANT SERVICES FOR  
MEASURE M2 PROGRAM  
MANAGEMENT OFFICE**



**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>April 18, 2024</b>
<b>Pre-Proposal Conference Date:</b>	<b>April 30, 2024</b>
<b>Question Submittal Date:</b>	<b>May 2, 2024</b>
<b>Proposal Submittal Date:</b>	<b>May 17, 2024</b>
<b>Interview Date:</b>	<b>June 19, 2024</b>

## **TABLE OF CONTENTS**

<b>SECTION I: INSTRUCTIONS TO OFFERORS .....</b>	<b>1</b>
<b>SECTION II: PROPOSAL CONTENT .....</b>	<b>8</b>
<b>SECTION III: EVALUATION AND AWARD .....</b>	<b>15</b>
<b>EXHIBIT A: SCOPE OF WORK.....</b>	<b>18</b>
<b>EXHIBIT B: COST AND PRICE FORMS .....</b>	<b>19</b>
<b>EXHIBIT C: PROPOSED AGREEMENT .....</b>	<b>20</b>
<b>EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACTS FORM .....</b>	<b>21</b>
<b>EXHIBIT E: SAFETY SPECIFICATIONS .....</b>	<b>23</b>
<b>EXHIBIT F: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS.....</b>	<b>24</b>



April 18, 2024

## **NOTICE OF REQUEST FOR PROPOSALS**

### **RFP 4-2155: “ON-CALL PROFESSIONAL CONSULTANT SERVICES FOR MEASURE M2 PROGRAM MANAGEMENT OFFICE”**

**TO: ALL OFFERORS**

**FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY**

The Orange County Transportation Authority (Authority) invites proposals from qualified bench of consultant(s) to provide on-call professional services to support the Program Management Office (PMO). The selected bench of consultant(s) may also be tasked to provide strategic advice to OCTA on matters related to the goals of the agency. Projects may vary from short research and consultations on specific questions to larger efforts such as reviewing programs for efficiency and recommendations for improvement.

The budget for this project is \$400,000 for a three (3)-year 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 May 17, 2024. 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 4-2155” 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 Request for Proposals (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 4-2155, 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:

Administrative Consulting  
Consultant Services - General  
Consultant Services -  
Transportation Planning  
Financial - Consulting

An on-site/pre-proposal conference will be held on **April 30, 2024**, at 9:00 a.m., at the Authority's Administrative Offices, 500 South Main Street, Orange, California, in Conference Room 07. All prospective Offerors are encouraged to attend the pre-proposal conference.

Participation via teleconference will also be available. Prospective Offerors may join or call-in using the following credentials:

- [Join the meeting now](#)
- OR Call-in Number: +1 916-550-9867
- Conference ID: 273 604 562#

A copy of the presentation slides and pre-proposal conference registration sheet(s) will be issued via addendum prior to the date of the pre-proposal conference. All prospective Offerors are encouraged to attend the pre-proposal conference.

The Authority has established **June 19, 2024**, 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. PRE-PROPOSAL CONFERENCE**

An on-site/pre-proposal conference will be held **April 30, 2024**, at 9:00 a.m., at the Authority's Administrative Offices, 500 South Main Street, Orange, California, in Conference Room 07. All prospective Offerors are encouraged to attend the pre-proposal conference.

Participation via teleconference will also be available. Prospective Offerors may join or call-in using the following credentials:

- [Join the meeting now](#)
- Call-in number: +1 916-550-9867
- Conference ID: 273 604 562#

A copy of the presentation slides and pre-proposal registration sheet will be issued via addendum prior to the date of the pre-proposal conference.

### **B. EXAMINATION OF PROPOSAL DOCUMENTS**

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

### **C. ADDENDA**

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

**D. AUTHORITY CONTACT**

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

Gustavo Valle, Senior Contract Administrator  
Contracts Administration and Materials Management Department  
600 South Main Street  
P.O. Box 14184  
Orange, CA 92863-1584  
Phone: 714.560. 5670, Fax: 888.404.6282  
Email: gvalle@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 (email) 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.

**E. CLARIFICATIONS**

**1. Examination of Documents**

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

**2. Submitting Requests**

- a. All questions, including questions that could not be specifically answered at the pre-proposal conference, must be put in writing and received via email at gvalle@octa.net no later than 5:00 p.m., on May 2, 2024.
- b. Requests for clarifications, questions, and comments must be clearly labeled, "Written Questions RFP 4-2155", in the subject line of the email. 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 **May 9, 2024**. 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:

Administrative Consulting  
Consultant Services - General  
Consultant Services -  
Transportation Planning  
Financial - Consulting

Inquiries received after 5:00 p.m. on May 2, 2024 will not be responded to.

## F. SUBMISSION OF PROPOSALS

### 1. Date and Time

**Proposals must be submitted, electronically**, through the following URL link: <http://www.octa.net/Proposal Upload Link>, at or before the deadline of **2:00 p.m. on May 17, 2024**. 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 4-2155**" from the drop-down menu, and follow the instructions as prompted to upload the proposal. The upload link will expire at the submittal deadline and will not allow proposals to be uploaded.

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

### 2. Acceptance of Proposals

- a. The Authority reserves the right to accept or reject any and all proposals, or any item or part thereof, or to waive any informalities or irregularities in proposals.
- b. The Authority reserves the right to withdraw or cancel this RFP at

any time without prior notice and the Authority makes no representations that any contract will be awarded to any Offeror responding to this RFP.

- c. The Authority reserves the right to issue a new RFP for the project.
- d. The Authority reserves the right to postpone proposal openings for its own convenience.
- e. Each proposal will be received with the understanding that acceptance by the Authority of the proposal to provide the services described herein shall constitute a contract between the Offeror and Authority which shall bind the Offeror on its part to furnish and deliver at the prices given and in accordance with conditions of said accepted proposal and specifications.
- f. The Authority reserves the right to investigate the qualifications of any Offeror, and/or require additional evidence of qualifications to perform the work.
- g. Submitted proposals are not to be copyrighted.

#### **G. PRE-CONTRACTUAL EXPENSES**

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

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

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

#### **H. JOINT OFFERS**

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

#### **I. TAXES**

Offerors' proposals are subject to State and Local sales taxes. However, the Authority is exempt from the payment of Federal Excise and Transportation Taxes.

Offeror is responsible for payment of all taxes for any goods, services, processes and operations incidental to or involved in the contract.

**J. PROTEST PROCEDURES**

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

**K. CONTRACT TYPE**

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be Contract Task Order (CTO)-based for a three-year term. The CTO agreement will include fully burdened labor rates and anticipated expenses for work specified in the scope of work, included in the RFP as Exhibit A.

**L. CONTRACT TASK ORDERS**

This RFP is issued to place several selected firms on an on-call list. As the need for policy and regulatory, technical, project management and miscellaneous projects arises during the term of the Agreement, CTO's will be issued on a competitive basis to the on-call firms. This contract is on an on-call and as-needed basis, with no guaranteed usage.

**M. 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.

**N. 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.

**O. 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 7920.000 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 Offeror for the disclosure of any materials or information submitted in response to the RFP or by failing to notify 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.

**P. 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 thirty (30) days after the execution of the Agreement, annually thereafter for the duration of the Agreement, and within thirty (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, double-spaced, and submitted in 8 1/2" x 11" format. Charts and schedules may be included in 11" x 17" format. 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 Gustavo Valle, Senior Contract Administrator and must, at a minimum, contain the following:

- a. Identification of Offeror that will have contractual responsibility with the Authority. Identification shall include legal name of company, corporate address, telephone and fax number, and email address. Include name, title, address, email address, and telephone number of the contact person identified during period of proposal evaluation.
- b. Identification of all proposed subcontractors including legal name of company, whether the firm is a Disadvantaged Business Enterprise (DBE), 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 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.
- (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, if applicable, 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 (Exhibit F) 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 (Exhibit F) 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 Agreement resulting from this solicitation, if awarded, will be a time and expense contract with fully burdened labor rates and anticipated expenses for work specified in the Scope of Work, included in the RFP as Exhibit A.

**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 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.

**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 30%**  
 Technical experience in performing work of a closely similar nature; strength and stability of the firm; strength, stability, experience, and technical competence of subcontractors; assessment by client references.
- 2. Staffing and Project Organization 30%**  
 Qualifications of project staff, particularly key personnel and especially the Project Manager; key personnel's level of involvement in performing related work cited in "Qualifications of the Firm" section; logic of project organization; adequacy of labor commitment; concurrence in the restrictions on changes in key personnel.
- 3. Work Plan 20%**  
 Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; appropriateness of resource allocation among the 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 June 19, 2024, as the date to conduct interviews. All prospective Offerors are asked to keep this date available. No other interview dates will be provided, therefore, if an Offeror is unable to attend

the interview on this date, its proposal may be eliminated from further discussion. The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.

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

At the conclusion of the evaluation process, the evaluation committee will recommend to Authority's management the Offeror whose proposal is most advantageous to the Authority.

**C. AWARD**

The Authority may 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.

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**

### **On-Call Professional Consultant Services for Measure M2 Program Management Office**

#### **Background**

In November 2006, Orange County voters, by nearly 70 percent, approved the Renewed Measure M Transportation Ordinance and Investment Plan for the Measure M2 (M2) half-cent sales tax for transportation improvements. The Transportation Investment Plan (Plan) provides a 30-year program of investments across a broad range of transportation and environmental initiatives and a governing ordinance that defines the requirements for implementing the Plan. Ordinance No. 3 (M2 Ordinance) designates the Orange County Transportation Authority (OCTA) as responsible for administering the Plan and ensuring that OCTA's contract with the voters is followed. OCTA is committed to fulfilling the promises made in M2. This means not only completing the projects described in the Plan but adhering to numerous specific requirements and high standards of quality called for identified in the M2 Ordinance. OCTA established a Program Management Office (PMO) to oversee the implementation of M2. The PMO is focused on overall program management, compliance with the M2 Ordinance, fiscal responsibility, transparency, and safeguards. The PMO serves in a decision-making capacity related to project-level issues that may have program-level impacts. Additionally, the PMO serves as a sounding board for ideas and approaches to solving project issues related to the M2 program as a whole.

#### **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 AUTHORITY to any course of action or enter into any contractual agreement on behalf of AUTHORITY. 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 AUTHORITY personnel, counsel, and management.

#### **Scope of Services**

OCTA is interested in retaining a bench of consultant(s) to provide on-call professional services to support the PMO. The CONSULTANT awarded a contract as part of the bench, may also be tasked to provide strategic advice to OCTA on matters related to the goals of the agency. Projects may vary from short research and consultations on specific questions to larger efforts such as reviewing programs for efficiency and recommendations for improvement.

The CONSULTANT may be asked to assist with the following task areas:

##### **Policy and Regulatory**

The M2 Ordinance, which defines and regulates how the M2 sales tax proceeds can be spent, was approved by the OCTA Board of Directors (Board) on July 24, 2006. OCTA, as well as local jurisdictions that receive M2 funding, must comply with the M2 Ordinance. Additionally, M2 projects and programs may need to comply with federal and/or state regulations if the respective funding is programmed. PMO may need analytical support services to evaluate and make recommendations for improvements and protocol consistency, internal and external processes,



and procedures to ensure M2 Ordinance, state, and federal compliance. This may include the review/update/development of guidelines and best practice reports.

### Risk Management

To ensure the successful delivery of the M2 program, the PMO monitors risks that may impact M2 delivery. These risks are reviewed and updated by the PMO in the M2 Next 10 Delivery Plan (Next 10 Plan), with updates included in M2 quarterly reports. The Next 10 Plan utilizes a high-level cash flow that incorporates projected revenues and expenditures, which outlines the projects and programs for all modes, mainly focusing on a ten-year delivery time frame.

Risks such market conditions, labor availability, and regulatory changes, may affect OCTA's ability to deliver M2. Staff may need assistance in reviewing M2 program risks to ensure OCTA is able to deliver on voter promises. Additionally, the PMO will generally compile project status reports on schedule and budget information to accurately answer questions on project delivery and costs or M2 accomplishments. CONSULTANT services may be needed to assist, evaluate, and analyze M2 programs and projects.

### Database Development

PMO has developed several tracking tools to assist in reporting consistency and increased transparency of the M2 program. As such, PMO may require database development services to consolidate, validate, and address the challenges posed by our expanding and intricate Excel databases. CONSULTANT services may be needed to manage and refine our existing data, rectify issues within existing databases, and potentially create a new database tailored to our specific needs. The goal is to enhance efficiency, ensure data integrity, and establish a scalable and sustainable solution for our evolving data requirements.

### Miscellaneous Services

As background, the PMO is responsible for achieving fully integrated and coordinated Measure M2 Program delivery consistent with the requirements of OCTA's constituents and stakeholders. The CONSULTANT may be asked to work with OCTA on miscellaneous tasks and services in support of the M2 program to ensure implementation of all elements of the M2 Ordinance and requirements. The CONSULTANT may be tasked with assisting in the development and/or completion of the M2 quarterly reports, M2 document center, annual M2 report, M2 Ordinance Compliance Tracking Matrix, Next 10 Delivery Plan, triennial performance assessment, and ten-year review. This may include but is not limited to assistance with creating reports, report templates, photography of M2 projects, creating/producing sign templates, digital media, and reprographics such as brochures, etc.

**EXHIBIT B: COST AND PRICE FORMS**

**PRICE SUMMARY SHEET**

**REQUEST FOR PROPOSALS (RFP) 4-2155**

All rates are “fully loaded”, i.e., includes all overhead, general costs, administrative costs and profit or published billing rates.

**Firm Name:** \_\_\_\_\_

**Key Personnel:**

Name	Classification	Job Function	Fully Burdened Hourly Rates				
			07/01/24	07/01/25	07/01/26		
			- 06/30/25	- 06/30/26	- 06/30/27		
	Project Manager						

**Other Labor Charges:**

Name	Classification	Job Function	Fully Burdened Hourly Rates				
			07/01/24	07/01/25	07/01/26		
			- 06/30/25	- 06/30/26	- 06/30/27		
	Appraiser						
	Appraisal Reviewer						
	Administrative Support						

**SCHEDULE II ----- OTHER DIRECT COSTS SCHEDULE**

Type of ODC		Unit	Rate
1.			
2.			
3.			

1. I acknowledge receipt of **RFP 4-2155** and Addenda No.(s)\_\_\_\_.
2. This offer shall remain firm for \_\_\_\_\_ days from the date of proposal.  
(Minimum of 120)

COMPANY NAME

\_\_\_\_\_

ADDRESS

\_\_\_\_\_

\_\_\_\_\_

TELEPHONE

\_\_\_\_\_

FACSIMILE #

\_\_\_\_\_

EMAIL ADDRESS

\_\_\_\_\_

SIGNATURE OF PERSON  
AUTHORIZED TO BIND OFFEROR

\_\_\_\_\_

NAME AND TITLE OF PERSON  
AUTHORIZED TO BIND OFFEROR

\_\_\_\_\_

\_\_\_\_\_

DATE SIGNED

\_\_\_\_\_

**EXHIBIT C: PROPOSED AGREEMENT**

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

7 **ARTICLE 2. AUTHORITY DESIGNEE**

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

10 **ARTICLE 3. SCOPE OF WORK**

11 A. CONSULTANT shall perform the work necessary to complete in a manner satisfactory to  
12 AUTHORITY the services set forth in Exhibit A, entitled "Scope of Work," attached to and, by this  
13 reference, incorporated in and made a part of this Agreement and as specified in the Contract Task  
14 Orders ("CTOs") issued to CONSULTANT. All services shall be provided at the times and places  
15 designated by AUTHORITY.

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

18 **Names**

**Functions**

19  
20  
21  
22  
23 C. No person named in paragraph B of this Article, or his/her successor approved by  
24 AUTHORITY, shall be removed or replaced by CONSULTANT, nor shall his/her agreed-upon function or  
25 level of commitment hereunder be changed, without the prior written consent of AUTHORITY. Should  
26 the services of any key person become no longer available to CONSULTANT, the resume and

1 qualifications of the proposed replacement shall be submitted to AUTHORITY for approval as soon as  
2 possible, but in no event later than seven (7) calendar days prior to the departure of the incumbent key  
3 person, unless CONSULTANT is not provided with such notice by the departing employee. AUTHORITY  
4 shall respond to CONSULTANT within seven (7) calendar days following receipt of these qualifications  
5 concerning acceptance of the candidate for replacement.

6 **ARTICLE 4. TERM OF AGREEMENT**

7 This Agreement shall commence upon the effective date of this Agreement, and shall continue in  
8 full force and effect through, unless earlier terminated or extended as provided in this Agreement.

9 **ARTICLE 5. CONTRACT TASK ORDERS (CTO) AND PAYMENT**

10 A. This Agreement is issued to place CONSULTANT, {INSERT OTHER FIRMS NAMES AND  
11 **AGREEMENT NOS}** on an on-call list ("ON-CALL FIRMS"). As the need for consulting services arises  
12 during the term of these Agreements, CTO's may be issued to CONSULTANT and/or other ON-CALL  
13 FIRMS at AUTHORITY's sole discretion. Each CTO will be issued on a **competitive basis** specifically  
14 define the Scope of Work, the total cost of the CTO to be paid CONSULTANT, and any other information,  
15 which may be needed to perform the services. AUTHORITY does not guarantee that CONSULTANT or  
16 any of the ON-CALL FIRMS will receive an assignment, nor that the firms will receive an equal number  
17 of assignments, nor does the AUTHORITY make any guarantee that the CTO budgeted amount will be  
18 expended.

19 B. CONSULTANT shall submit to AUTHORITY, a written technical proposal and cost estimate  
20 within 48 hours from AUTHORITY's request. CONSULTANT shall submit a final written technical  
21 proposal and cost proposal within five (5) working days from AUTHORITY's initial request. No work shall  
22 commence until a written CTO has been executed by both AUTHORITY and CONSULTANT. Failure of  
23 the CONSULTANT to perform in accordance with this provision may result in CONSULTANT forfeiture  
24 of retention monies and/or termination of this Agreement.

25 /

26 /



1 C. For CONSULTANT's full and complete performance of its obligations under this Agreement,  
2 and subject to the maximum cumulative payment obligation provisions set forth in Article 6, AUTHORITY  
3 shall pay CONSULTANT on a Time and Expense basis in accordance with the following provisions.

4 1. For each full hour of labor satisfactorily performed by CONSULTANT's personnel  
5 under this Agreement, AUTHORITY shall pay CONSULTANT at the hourly labor rates specified in Exhibit  
6 B, entitled "Price Summary Sheet," which is attached to and by this reference, incorporated in and made  
7 a part of this Agreement. These rates shall remain fixed for the term of this Agreement and are  
8 acknowledged to include CONSULTANT's direct labor costs, indirect costs and profit. Furthermore,  
9 AUTHORITY shall reimburse CONSULTANT for the exact amount of the expenses shown in Exhibit B,  
10 which are directly incurred by its personnel in the performance of work under this Agreement. The  
11 AUTHORITY will not reimburse CONSULTANT for local meals or any other expenses not approved in  
12 the attached Exhibit B.

13 2. CONSULTANT shall invoice AUTHORITY on a monthly basis for payments  
14 corresponding to the labor hours expended by CONSULTANT. Work completed shall be documented in  
15 a monthly progress report prepared by CONSULTANT, which report shall accompany each invoice  
16 submitted by CONSULTANT. CONSULTANT shall also furnish such other information as may be  
17 requested by AUTHORITY to substantiate the validity of an invoice. At its sole discretion, AUTHORITY  
18 may decline to make full payment for any work until such time as CONSULTANT has documented to  
19 AUTHORITY's satisfaction, that CONSULTANT has fully completed all work required. AUTHORITY's  
20 payment in full for any work completed shall not constitute AUTHORITY's final acceptance of  
21 CONSULTANT's work under such task; final acceptance shall occur only when AUTHORITY's release  
22 of the retention described in paragraph 3.

23 3. As partial security against CONSULTANT's failure to satisfactorily fulfill all of its  
24 obligations under this Agreement, AUTHORITY shall retain ten percent (10%) of the amount of each  
25 invoice submitted for payment by CONSULTANT. All retained funds shall be released by AUTHORITY  
26 and shall be paid to CONSULTANT within sixty (60) calendar days of payment of final invoice, unless

1 AUTHORITY elects to audit CONSULTANT's records in accordance with Article 16 of this Agreement. If  
2 AUTHORITY elects to audit, retained funds shall be paid to CONSULTANT within thirty (30) calendar  
3 days of completion of such audit in an amount reflecting any adjustment required by such audit. During  
4 the term of the Agreement, at its sole discretion, AUTHORITY reserves the right to release all or a portion  
5 of the retained amount based on CONSULTANT's satisfactory completion of certain milestones.  
6 CONSULTANT shall invoice AUTHORITY for the release of the retention in accordance with Article 5.

7 4. Invoices shall be submitted by CONSULTANT on a monthly basis and shall be  
8 submitted in duplicate to AUTHORITY's Accounts Payable office. CONSULTANT may also submit  
9 invoices electronically to AUTHORITY's Accounts Payable Department at vendorinvoices@octa.net.  
10 Each invoice shall be accompanied by the monthly progress report specified in paragraph 2 of this Article.  
11 AUTHORITY shall remit payment within thirty (30) calendar days of the receipt and approval of each  
12 invoice. Each invoice shall include the following information:

- 13 a) Agreement No. C- 4-2155; and CTO Number ;
- 14 b) Specify the work for which payment is being requested;
- 15 c) Labor (staff name, hours charged, hourly billing rate, current charges and  
16 cumulative charges) performed during the billing period;
- 17 d) Itemized expenses including support documentation incurred during the  
18 billing period;
- 19 e) Total monthly invoice (including project-to-date cumulative invoice  
20 amount)
- 21 f) Monthly Progress Report;
- 22 g) Certification signed by the CONSULTANT or his/her designated alternate  
23 that i.) The invoice is a true, complete and correct statement of  
24 reimbursable costs and progress; ii.) The backup information included  
25 with the invoice is true, complete and correct in all material respects; iii.)  
26 All payments due and owing to subcontractors and suppliers have been

made; iv.) Timely payments will be made to subcontractors and suppliers from the proceeds of the payments covered by the certification and; v.) The invoice does not include any amount which CONSULTANT intends to withhold or retain from a subcontractor or supplier unless so identified on the invoice; and

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

**ARTICLE 6. MAXIMUM OBLIGATION**

Notwithstanding any provisions of this Agreement to the contrary, AUTHORITY and CONSULTANT mutually agree that AUTHORITY's maximum cumulative payment obligation for all of the ON-CALL FIRMS under this Agreement, (including obligation for CONSULTANT's profit), shall be Four Hundred Thousand Dollars (\$ 400,000.00) which shall include all amounts payable to CONSULTANT and the ON-CALL FIRMS for subcontracts, leases, materials and costs arising from, or due to termination of, this Agreement and the ON-CALL FIRMS Agreements.

**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: Gustavo Valle

Title:

Title: Senior Contract Administrator

Phone: Phone: (714) 560 - 5670

Email: Email: gvalle@octa.net

CC: Francesca Ching, Section Manager III

Phone: (714) 560-5625

Email: fching@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 reports and obligations respecting them, such as social security, income tax withholding, unemployment compensation, workers' compensation and similar matters.

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

**ARTICLE 9. INSURANCE**

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

1. Commercial General Liability, to include Products/Completed Operations, Independent Contractors', Contractual Liability, Advertising (if applicable to Scope of Work) and Personal Injury Liability, and Property Damage with a minimum limit of \$1,000,000 per occurrence, \$2,000,000 general aggregate and \$2,000,000 Products/Completed Operations aggregate;

2. Automobile Liability Insurance to include owned, hired and non-owned autos with a

combined single limit of \$1,000,000 for each accident;

3. Workers' Compensation with limits as required by the State of California including a Waiver of Subrogation in favor of AUTHORITY, its officers, directors and employees; and

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

5. Professional Liability with minimum limits of \$1,000,000 only if the CONSULTANT is required by contract or law to be licensed or specially certified and AUTHORITY is relying on performance based on that specialty license or certification.

B. Proof of such coverage, in the form of a certificate of insurance and an insurance policy blanket additional insured endorsement, designating the AUTHORITY, its officers, directors and employees as additional insureds on general liability and automobile liability, as required by Agreement. Proof of insurance coverage must be received by AUTHORITY within ten (10) calendar days from the effective date of the Agreement and prior to commencement of any work. Such insurance shall be primary and non-contributive to any insurance or self-insurance maintained by the AUTHORITY. Furthermore, AUTHORITY reserves the right to request certified copies or review all related insurance policies, in response to a related loss.

C. CONSULTANT shall include on the face of the certificate of insurance the Agreement Number C- 4-2155 and, the Contract Administrator's Name, Gustavo Valle.

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

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

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**ARTICLE 10. ORDER OF PRECEDENCE**

Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence: (1) the CTO's issued to CONSULTANT; (2) the provisions of this Agreement, including all exhibits; (3) the provisions of RFP 4-2155; (4) CONSULTANT's proposal dated\_\_\_\_; (5) all other documents, if any, cited herein or incorporated by reference.

**ARTICLE 11. CHANGES**

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

B. CONSULTANT shall only commence work covered by an amendment after the amendment is executed by AUTHORITY.

**ARTICLE 12. DISPUTES**

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

B. Pending final decision of a dispute hereunder, CONSULTANT shall proceed diligently with the performance of this Agreement and in accordance with the decision of AUTHORITY's Director,

1 CAMM. Nothing in this Agreement, however, shall be construed as making final the decision of any  
2 AUTHORITY official or representative on a question of law, which questions shall be settled in  
3 accordance with the laws of the State of California.

4 **ARTICLE 13. TERMINATION**

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

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

20 **ARTICLE 14. INDEMNIFICATION**

21 A. CONSULTANT shall indemnify, defend and hold harmless AUTHORITY, its  
22 officers, directors, employees and agents (indemnities) from and against any and all claims (including  
23 attorneys' fees and reasonable expenses for litigation or settlement) for any loss or  
24 damages, bodily injuries, including death, damage to or loss of use of property caused by the negligent  
25 acts, omissions or willful misconduct by CONSULTANT, its officers,  
26 directors, employees, agents, subconsultants or suppliers in connection with or arising out of the

performance of this Agreement.

**ARTICLE 15. ASSIGNMENTS AND SUBCONTRACTS**

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

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

**Subcontractor Name/Addresses**

**Subcontractor Amounts**

1.

2.

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

CONSULTANT shall provide AUTHORITY, or other agents of AUTHORITY, such access to CONSULTANT's accounting books, records, payroll documents and facilities as AUTHORITY deems necessary. CONSULTANT shall maintain such books, records, data and documents in accordance with generally accepted accounting principles and shall clearly identify and make such items readily accessible to such parties during CONSULTANT's performance hereunder and for a period of four (4) years from the date of final payment by AUTHORITY. AUTHORITY's right to audit books and records directly related to this Agreement shall also extend to all first-tier subcontractors identified in ARTICLE 14 of this Agreement. CONSULTANT shall permit any of the foregoing parties to reproduce documents by any means whatsoever or to copy excerpts and transcriptions as reasonably necessary.



**ARTICLE 17. CONFLICT OF INTEREST**

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

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

**ARTICLE 18. CODE OF CONDUCT**

CONSULTANT agrees 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. CONSULTANT agrees to include these requirements in all of its subcontracts.

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

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

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

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

1 regulations promulgated thereunder.

2 **ARTICLE 21. EQUAL EMPLOYMENT OPPORTUNITY**

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

10 **ARTICLE 22. PROHIBITED INTERESTS**

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

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

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

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

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

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

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

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

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

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

**ARTICLE 25. FINISHED AND PRELIMINARY DATA**

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

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

**ARTICLE 26. CONTRACTOR PURCHASED EQUIPMENT**

A. If during the course of this Agreement, additional equipment is required, which will be paid for by the AUTHORITY, CONSULTANT must request prior written authorization from the AUTHORITY's project manager before making any purchase. As part of this purchase request, CONSULTANT shall provide a justification for the necessity of the equipment or supply and submit copies of three (3) competitive quotations. If competitive quotations are not obtained, CONSULTANT must provide the justification for the sole source.

1 B. CONSULTANT shall maintain an inventory record for each piece of equipment purchased  
2 that will be paid for by the AUTHORITY. The inventory record shall include the date acquired, total cost,  
3 serial number, model identification, and any other information or description necessary to identify said  
4 equipment or supply. A copy of the inventory record shall be submitted to the AUTHORITY upon request.

5 C. At the expiration or termination of this Agreement, CONSULTANT may keep the equipment  
6 and credit AUTHORITY in an amount equal to its fair market value. Fair market value shall be determined,  
7 at CONSULTANT's expense, on the basis of an independent appraisal. CONSULTANT may sell the  
8 equipment at the best price obtainable and credit AUTHORITY in an amount equal to the sales price. If  
9 the equipment is to be sold, then the terms and conditions of the sale must be approved in advance by  
10 AUTHORITY's project manager.

11 D. Any subconsultant agreement entered into as a result of this Agreement shall contain all  
12 provisions of this clause.

13 **ARTICLE 27. FORCE MAJEURE**

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

21 **ARTICLE 28. HEALTH AND SAFETY REQUIREMENT**

22 CONSULTANT shall comply with all the requirements set forth in Exhibit E, Level 1 Safety  
23 Specifications.

24 /

25 /

26 /

**ORANGE COUNTY TRANSPORTATION AUTHORITY**

**APPROVED AS TO FORM:**

Page 17 of 17

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

**STATUS OF PAST AND PRESENT CONTRACTS FORM**

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

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

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

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

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

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



**EXHIBIT E: 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.

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

- 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.

## LEVEL 1 HEALTH, SAFETY AND ENVIRONMENTAL SPECIFICATIONS

- 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.

## LEVEL 1 HEALTH, SAFETY AND ENVIRONMENTAL SPECIFICATIONS

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:
