

**REQUEST FOR PROPOSALS (RFP) 5-3868**

# **2025 ORANGE COUNTY STRATEGIC RAIL 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 26, 2025</b>
<b>Question Submittal Date:</b>	<b>March 7, 2025</b>
<b>Proposal Submittal Date:</b>	<b>April 1, 2025</b>
<b>Interview Date:</b>	<b>April 23, 2025</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>14</b>
<b>EXHIBIT A: SCOPE OF WORK.....</b>	<b>17</b>
<b>EXHIBIT B: COST AND PRICE FORMS .....</b>	<b>18</b>
<b>EXHIBIT C: PROPOSED AGREEMENT .....</b>	<b>19</b>
<b>EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACTS FORM .....</b>	<b>20</b>
<b>EXHIBIT E: SAFETY SPECIFICATIONS .....</b>	<b>22</b>
<b>EXHIBIT F: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS.....</b>	<b>23</b>



February 26, 2025

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

**RFP 5-3868: “2025 ORANGE COUNTY STRATEGIC RAIL PLAN”**

**TO: ALL OFFERORS**

**FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY**

The Orange County Transportation Authority (Authority) invites proposals from qualified firms to develop the 2025 Orange County Strategic Rail Plan.

The budget for this project is \$475,000 for a twenty (20)-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 April 1, 2025. 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 5-3868**” 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 5-3868, 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 - Transit  
Planning  
Consultant Services -  
Transportation Planning

The Authority has established April 23, 2025, 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, Senior Contract Administrator  
Contracts Administration and Materials Management Department  
Phone: 714.560.5767  
Email: 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 (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.

**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 email at [lmartinez1@octa.net](mailto:lmartinez1@octa.net) no later than 5:00 p.m., on March 7, 2025.
- b. Requests for clarifications, questions, and comments must be clearly labeled, "Written Questions RFP 5-3868," 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 March 12, 2025. Offerors may download responses from CAMM NET at <https://cammmnet.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 - Transit  
 Planning  
 Consultant Services -  
 Transportation Planning

Inquiries received after 5:00 p.m. on March 7, 2025 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 April 1, 2025. 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 5-3868**” 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 (20)-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 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.

**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 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. 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, Senior Contract Administrator, and must, at a minimum, contain the following:

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

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

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

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

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

Offeror to:

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

**b. Proposed Staffing and Project Organization**

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

Offeror to:

- (1) Identify key personnel proposed to perform the work in the specified 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 (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 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 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 20%**  
 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 23, 2025, 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**

### **2025 Orange County Strategic Rail Plan**

#### **Background**

The Orange County Transportation Authority (OCTA) is seeking proposals from qualified firms to develop the 2025 Orange County Strategic Rail Plan (“Plan”). The Plan will look at current rail operations and planned expansion through capital improvements made as part of the Metrolink Southern California Optimized Rail Expansion (SCORE) Program and Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency Optimization Study, in addition to future high-speed rail improvements and future service. The Plan will outline operational constraints with respect to SCORE implementation, including, but not limited to, current levels of service provided by Metrolink within Orange County and projected increases in service frequency as completion of capital improvements permits, as well as current and future levels of service provided by Amtrak’s Pacific Surfliner and freight train runs, along with planned service provided by highspeed rail; all of which will require the use of available slots based on the capacity of rail infrastructure. The Plan will evaluate the challenges of accomplishing SCORE outcomes and overall feasibility by identifying the coordination and steps necessary to achieve the projected SCORE service levels, as well as evaluate whether alternative scenarios should be considered to better fit the demand in Orange County. In instances where programs and projects intend to achieve specific service scenarios, collaboration will be essential. As the SCORE Program is implemented in Orange County, communication will be important among relevant transportation agencies, such as the Southern California Regional Rail Authority (SCRRA), which operates Metrolink service, the LOSSAN Rail Corridor Agency, which manages Amtrak’s Pacific Surfliner, the California High Speed Rail Authority (CHSRA), and the Burlington Northern Santa Fe (BNSF) Railway.

Metrolink’s SCORE Program is a \$10-plus billion capital improvement program that includes grade crossings, station and signal improvements, as well as track additions across five counties. Improvements are planned along Metrolink’s Orange County, Inland Empire-Orange County (IE-OC), and 91/Perris Valley Lines, which operate along the Orange and Olive Subdivisions, the former which also serves as the LOSSAN Rail Corridor, upon which Amtrak’s Pacific Surfliner operates. The San Bernardino Subdivision hosts the Metrolink Orange County and 91/Perris Valley Lines, Amtrak Pacific Surfliner, and freight trains. The Orange Subdivision hosts the Metrolink Orange County, IE-OC Lines, Amtrak’s Pacific Surfliner, and freight trains. The Olive Subdivision hosts the IE-OC Line and freight trains. There are also plans for high-speed rail along the San Bernardino and Orange Subdivisions. While SCORE is considered a mid-term program by the California State Rail Plan vision, its

Milestone 1A, the nearest term threshold, began in 2023 and extends to 2026, with Milestone 1B extending through 2028, and Milestones 2 and beyond leading up to 2035 with new infrastructure. As part of the Milestone 1A effort, Metrolink implemented a service schedule update in October 2024, which includes hourly service frequencies across the system. Additionally, consideration should also be given to future high-speed rail plans for the region. The Los Angeles to Anaheim project section connects Los Angeles and Orange counties from Los Angeles Union Station (LAUS) to the Anaheim Regional Transportation Intermodal Center (ARTIC) using the existing LOSSAN Rail Corridor, which is currently used by both passenger (Metrolink and Amtrak) and freight rail providers. Operation of high-speed rail trains will require the occupation of train slots within this shared corridor, along with all other passenger and freight rail services. It is crucial to understand the existing and future infrastructure capacity of slots and ensure that the various proposed rail services can fit within these parameters. The goal of this Plan is threefold: 1) determine current and future slot capacity and compare against future slot needs of the various rail operators to ensure all planned service can be accommodated; 2) evaluate whether SCORE-specific service scenarios are the most viable or appropriate for Orange County; and 3) determine what (if any) service modifications are recommended as an alternative to SCORE as currently proposed based on operational and slot constraints to better serve demand in Orange County and maximize current track and right-of-way capacity.

### **Project Description**

The Plan is a plan for integrating, enhancing, and expanding passenger rail service in Orange County as it relates to the implementation of Metrolink's SCORE Program, or a modified version to better serve demand based in Orange County. While OCTA has developed high-level long-range plans as part of OCTA's regularly updated Long-Range Transportation Plan, this Plan is a more focused, passenger rail-specific, long-term strategic plan. This Plan shall feature a number of elements to help improve rail service as SCORE projects are completed and allows for an increase in service levels across the three subdivisions that host rail service in Orange County, including:

- Identifying current Metrolink rail service levels and projected expansions to Orange County, IE-OC, and 91/Perris Valley Lines as capital improvements are made as part of Metrolink's SCORE Program.
- Working with the LOSSAN Rail Corridor Agency to incorporate projected service level increases for Amtrak's Pacific Surfliner, to expand to all day, hourly bi-directional service.

- Implementation of Metrolink's Optimized Service Schedule beginning in October 2024, which features service adjustments to accommodate hourly frequencies and clock-face (or pulse) timeframes.
- Evaluating existing infrastructure and the current slot capacity to expand passenger rail service levels with resources available today.
- Assessing the timeline of capital improvements to be made to the San Bernardino, Orange, and Olive subdivisions as part of the SCORE Program and the associated service level enhancements each provides for, along with proposed capital improvements to be made for high-speed rail.
- Evaluating operational and slot constraints as they exist today due to infrastructure limitations and how the implementation of SCORE, projects in the LOSSAN Corridor Optimization Study, and high-speed rail improvements alleviate those constraints according to the timeline of projects to be completed.
- Identifying future operational constraints as Metrolink service levels expand with respect to other existing rail service operating in Orange County, such as Amtrak's Pacific Surfliner, freight trains, and future high speed rail plans, and the feasibility of implementing planned service scenarios based on slot availability utilizing high-level, macro-modeling to support findings.
- Determining whether there are additional opportunities to enhance existing and/or planned service that have not yet been explored, such as why SCORE short-turned most trains in Irvine where OCTA's vision has been to have Laguna Niguel/MV be the layover area.
- Reviewing existing Shared Use Agreements between OCTA and the freight companies to determine if current and future number of slots are available as service frequencies increase.
- Evaluate the attainable levels of service provided on the Metrolink Orange County, IE-OC, and 91/Perris Valley Lines based on operating constraints, slot availability, and coordination required with relevant rail agencies.
- Determine if SCORE, as currently proposed, is the best service enhancement plan to serve Orange County residents based on demand and travel patterns utilizing modeling software and analyzing the implementation of SCORE.
- Propose recommendations to modify SCORE, or propose a different alternative altogether, to better serve Orange County, utilizing modeling scenarios to support findings.

CONSULTANT shall review the Metrolink SCORE Program, the LOSSAN Corridor Optimization Study, LOSSAN Corridor Quick Improvements Study, LOSSAN Strategic



Assessment Final Report, and associated service planning documents, OCTA Regional Rail Planning Inventory report, as well as CHSRA's Supplemental Alternatives Analysis (SAA), which proposes to advance the Shared Passenger Track Alternative for further consideration within the future draft environmental documents (EIR/EIS). CONSULTANT shall identify existing infrastructure and slot availability, resources, levels of service, operational constraints, and future capital improvements and planned service expansion along the Metrolink Orange County, IE-OC, and 91/Perris Valley Lines as well as Amtrak's Pacific Surfliner. CONSULTANT shall develop a Strategic Rail Plan that evaluates the feasibility of implementing SCORE specific service scenarios in Milestones 1A, 1B, and 2 with respect to coordination with other agencies operating passenger and freight rail within Orange County operating parameters. Feasibility shall include evaluation of future slot availability and the need of the various rail operators to determine whether all future planned service scenarios can be accommodated as currently proposed. CONSULTANT shall provide conclusions on the feasibility of SCORE-specific incremental service enhancements within available operational constraints as capital improvements are completed as part of the SCORE Program, as well as proposed recommended modifications to SCORE, or a different alternative altogether, that should be considered in Orange County in place of non-feasible SCORE service scenarios that would better serve residents based on demand, travel patterns, and other pertinent characteristics.

CONSULTANT shall prepare the Strategic Rail Plan document with other supporting materials. Development of the Plan shall include, but is not limited to, developing an outline, chapter narratives, providing graphics and images, and preparing materials to support key conclusions about future service level enhancements. The information presented within the Plan shall be presented in such a way that is understandable to members of the public, who are not necessarily familiar with transportation or rail planning, yet still be a valuable resource for OCTA staff. The narrative for Orange County's transportation system is always evolving; therefore, it is also important to modify the Plan development approach and messaging accordingly. The full Plan effort is a phased approach integrating existing analyses with respect to SCORE service goals at critical study points and is expected to take eighteen (18) months to complete, with an additional two (2) months to complete invoicing and project close-out activities, for a total duration of twenty (20) months. CONSULTANT shall coordinate closely with the OCTA Project Manager to determine the appropriate timing for proceeding to the next steps in the Plan.

#### **TASK 1. ADMINISTRATION AND MANAGEMENT**

CONSULTANT Project Manager shall manage and oversee all technical aspects of the Plan and ensure the timely and integrated production of all work tasks. CONSULTANT Project

Manager shall be expected to make presentations concerning the project, status, and schedule to OCTA staff, advisory committees, and other parties. CONSULTANT shall report the status of the project budget, work effort, progress, and schedule to the OCTA Project Manager on a regular basis and manage critical path activities that must be completed as planned to maintain the project schedule. Reports shall be straightforward, easy to read and understand, logically organized, and structured to provide relevant and important information. Reports shall provide the needed information to determine that the work is being accomplished as required and to facilitate monthly invoice review and approval.

Included in this task will be project meetings required to complete the Plan. CONSULTANT shall include an initial kickoff meeting with OCTA staff to discuss the approach to the project, key delivery dates, coordination with OCTA staff, and project objectives. In addition, CONSULTANT shall include one (1) meeting per month over the term of the contract to report the status of the project, work efforts, progress, and schedule to the OCTA Project Manager.

#### 1.1. Project Development Team Meetings

CONSULTANT shall be responsible for conducting and facilitating coordination of monthly meetings with a Project Development Team (PDT) that includes various divisions from within OCTA. CONSULTANT Project Manager shall confer with the OCTA Project Manager on the appropriate participants, including Metrolink and LOSSAN staff. Meetings shall take place at the OCTA offices and/or through a virtual meeting platform. The PDT meetings shall highlight specific tasks and issues which affect the orderly performance of the work. The minutes, agendas, and an action item list with responsible party(ies) identified shall be developed by CONSULTANT and distributed after review and approval by the OCTA Project Manager. Upon such approval, the minutes shall be distributed electronically by CONSULTANT to a standard list of recipients within eight (8) working days of each meeting.

#### **Responsible Party: CONSULTANT**

#### 1.2 Project Schedule & Tracking System

CONSULTANT shall develop, maintain, and manage the project schedule. The schedule shall include all activities (by work task, whether performed by the CONSULTANT or by others), start dates, activity durations, product submittal dates, relationships among work tasks (including critical path items), and float time. The schedule shall account for interface with, and review by OCTA and

other project participants. A draft schedule shall be submitted with the proposal as a critical path Gantt chart for all tasks and sub-tasks. The final schedule shall be reviewed and resubmitted to OCTA for review seven (7) days after the contract has been fully executed.

**Responsible Party: CONSULTANT**

**1.3 Payment Schedule, Monthly Progress Reports, Accounting, and Invoicing**

CONSULTANT shall submit to the OCTA Project Manager, for approval, the payment schedule which lists the milestones/deliverables to be completed, the dollar amount for each milestone/deliverable, and a schedule indicating when each milestone/deliverable shall be completed.

CONSULTANT shall submit a monthly progress report and invoice in a format to be approved by the OCTA Project Manager. The report shall be submitted the first week of each month for the preceding month. The progress narrative shall document progress from the first day of the month through the last day of the month. The monthly progress report shall be submitted both in hard copy and electronically in a format acceptable to OCTA.

Each monthly progress report shall include the following: summary; progress narrative and description of the tasks completed; project schedule describing the percentage of each task/deliverable/milestone completed; summary report of all costs incurred per task/milestone; schedule and schedule tracking narrative; list of deliverable items; management issues, including status and action items, and any corrective actions if necessary; a statement of resolution or action for resolution of identified problems that were encountered during the month; 30-day look-ahead.

**Responsible Party: CONSULTANT**

**Task 1 Deliverables**

<b>Task</b>	<b>Deliverable</b>
1.1	PDT Meetings (up to 18 total). Development of presentation materials, meeting minutes, agendas, and action item lists with responsible party identified.
1.2	Draft and Final Schedule including monthly updates.
1.3	Payment Schedule. Monthly Progress Report. Invoices with earned value report.

## **TASK 2. STRATEGIC RAIL PLAN UPDATES AND RECOMMENDATIONS**

CONSULTANT shall review the Metrolink SCORE Program and associated documents, such as the Service Growth Development Plan, outlining service goals, such as the Metrolink Strategic Business Plan and the SCORE Cost-Benefit and Operations Analysis, LOSSAN Corridor Optimization Study, OCTA Regional Rail Planning Inventory report, Shared Use Agreement between OCTA and BNSF, and CHSRA's SAA. These documents shall be used to identify and confirm existing infrastructure and slot availability, resources, levels of service, and operational constraints, as well as future capital improvements and planned service expansion with associated slot availability along the Metrolink Orange County, IE-OC, and 91/Perris Valley Lines. It should be noted that the Service Growth Development Plan will effectively replace the SCORE Cost-Benefit and Operations Analysis upon its completion.

### **2.1 Context for the 2025 Orange County Strategic Rail Plan**

CONSULTANT shall evaluate how current operational constraints and limited slot availability shall be alleviated as capital improvements are completed as part of SCORE and identify if implementing SCORE-specific service scenarios will create operational constraints not conducive for other rail service in Orange County, including Amtrak's Pacific Surfliner, freight movements, and future high speed rail plans. This includes evaluating total future slot needs based on all service enhancement plans by the various rail operators in Orange County compared against projected slot availability created by capital improvements. CONSULTANT shall conclude the feasibility of accomplishing all SCORE service level improvements on Metrolink passenger rail service within Orange County, and/or identify which scenarios will be constrained as a result of other rail service levels. Where scenarios are constrained, CONSULTANT shall determine the appropriate incremental service level enhancements within available operational constraints as capital improvements are completed as part of the SCORE Program. CONSULTANT shall explain the manner in which operational constraints will be alleviated and/or created in the future based on planned service expansion, as well as service characteristics, performance, and comparing SCORE planned service expansion with existing and planned service levels with other rail agencies. CONSULTANT shall coordinate with OCTA Planning staff on required data sources to be used. It is important to note the future plans for high-speed rail within Orange County. This will require the use of train slots on existing and future infrastructure, thus creating potential opportunity costs for future capacity within the shared corridor. As mentioned previously, the Los Angeles

to Anaheim (LA-A) project section connecting LAUS to ARTIC is the southernmost link of this section, using the existing shared LOSSAN corridor. The SAA Report released by the CHSRA in November 2023 proposed a new build alternative, the Shared Passenger Track Alternative, to be further studied within the Draft Environmental Impact Report, to be released later in 2024. The Shared Passenger Track Alternative follows the same BNSF Railway corridor alignment as the previous 2018 HSR Project Alternative but would not include the Colton Intermodal Facility, as previously proposed. This alternative would reduce HSR train operations to two trains per peak hour in each direction between LAUS and ARTIC and would allow freight operations on passenger tracks.

In addition, CONSULTANT shall review and consider the following documents that may aid in the development of Task 2:

Metrolink SCORE Program available via the Metrolink website at <a href="http://www.metrolinktrains.com/SCORE">www.metrolinktrains.com/SCORE</a>	SCORE Cost-Benefit and Operations Analysis (2021)
Metrolink Strategic Business Plan	OCTA Regional Rail Inventory Report (2023)
Next 10 Delivery Plan (2023-2032)	Shared Use Agreement between OCTA and BNSF
Service Growth Development Plan	LOSSAN Corridor Optimization Study
Los Angeles to Anaheim Project Section Alternative Analysis	Los Angeles – Anaheim Project Section Supplemental Alternatives Analysis Report – Final
LOSSAN Corridor Quick Improvements Study	LOSSAN Corridor Strategic Assessment Final Report

CONSULTANT shall develop a report synthesizing this information, including maps, photos, infographics, modeling results, and appropriate narratives. The target audience for the report shall be OCTA staff, the public, stakeholders, and elected officials.

**Responsible Party: CONSULTANT**

## **2.2 Goals, Objectives, and Framework Development**

CONSULTANT, along with PDT input, shall develop service level objectives as projects and capital improvements are implemented under the SCORE Program, with more specific statements of which capital improvements lead to which service level enhancements with associated timelines for each. This includes reviewing the LOSSAN Optimization Study, which performed such an analysis for the Orange Subdivision, and using it as a baseline with updates as necessary. For SCORE-specific service levels made challenging to implement due to operational constraints, CONSULTANT shall identify the specific operating parameters constraining service level enhancement with specific statements of why such parameters constrain service growth and to what extent. CONSULTANT shall utilize evaluation criteria and an analysis methodology that is consistent with industry standards and best practices to measure how capital improvements under SCORE will fulfill service goals and/or how those service goals will be constrained based on operational parameters of other rail service utilizing existing subdivisions within Orange County.

CONSULTANT shall utilize its operational and service analyses to make recommendations on where it makes sense to increase Metrolink service levels based on available operating parameters and infrastructure as SCORE projects are completed and allow for such enhancements. This includes service level expansion on the Metrolink Orange County, IE-OC, and 91/Perris Valley Lines. It is anticipated that the final conclusions and recommendations would need to be refined several times with input from OCTA staff and potentially input of the OCTA Board of Directors.

CONSULTANT shall conduct appropriate levels of modeling to support the identification of future operational constraints that present challenges, if any, to fulfill the implementation of SCORE-specific service levels and justify CONSULTANT's conclusions and recommendations noted above.

### **Responsible Party: CONSULTANT**

## **2.3 Metrolink Rail Corridors and Service Level Recommendations**

CONSULTANT shall review existing infrastructure, operating parameters and constraints, as well as service levels for Metrolink service along the Orange County, IE-OC, and 91/Perris Valley Lines. CONSULTANT shall also review capital improvements to be made as part of the SCORE Program that allow for

service level enhancement and system expansion once completed and analyze the feasibility of achieving SCORE-specific service goals based on operational parameters provided by SCORE improvements and existing passenger and freight rail movements in Orange County that require service and movement coordination along shared corridors. CONSULTANT shall evaluate whether SCORE, in its current proposed form, is best suited to serve Orange County residents based on demand, travel patterns, future connections within Orange County's multimodal network, and other pertinent characteristics. Where feasibility concerns, operational constraints, and opportunities left untapped are present, CONSULTANT shall propose recommendations to modify SCORE to better fit the needs of Orange County residents, or where necessary, propose a different alternative altogether. All findings shall be supported with modeling scenario results with a narrative explaining the recommendations in greater detail. CONSULTANT shall review and consider the following:

Existing Metrolink service across all three lines serving Orange County	Existing and future planned Amtrak Pacific Surfliner service
Existing and planned freight movements along shared corridors	Existing and future slot availability based on the Shared Use Agreement between OCTA and BNSF
Side-By-Side Comparison: Southern California High-Speed Rail Financial Study, Peninsula Corridor Financial Study, Central Valley Segment Financial Study	SCORE capital improvements and associated changes in corridor capacity
California High-Speed Rail latest environmental documents	Associated service planning documents

**Responsible Party: CONSULTANT**

**2.4 AMTRAK Pacific Surfliner**

CONSULTANT shall coordinate with the LOSSAN Rail Corridor Agency when analyzing the existing level of service provided by Amtrak's Pacific Surfliner and evaluating planned service restoration and/or expansion plans within the SCORE Program timeframe.

**Responsible Party: CONSULTANT**

**2.5 Freight Train Movements**

CONSULTANT shall coordinate with BNSF Railway and Union Pacific Railroad to the extent feasible when analyzing freight train movements within Orange County and identifying planned increases in freight movements. CONSULTANT shall also analyze the existing levels of service provided for via slots as outlined in the Shared Use Agreement between OCTA and BNSF, and determine how much, if at all, slots will either increase as a result of SCORE project completion and/or the number of slots required in order to accommodate passenger and freight rail service enhancements based on infrastructure capacity.

**Responsible Party: CONSULTANT**

**2.6 Future High Speed Rail Service**

CONSULTANT shall analyze current and future high speed rail service plans, including, but not limited to service level, corridor usage, and planned station platform reconfiguration and determine the operational impacts, if any, on Metrolink service in Orange County.

**Responsible Party: CONSULTANT**

**2.7 Operations Comparative Analysis**

Once the current and future operating parameters and constraints are identified to a sufficient level of detail, CONSULTANT shall conduct a comparative evaluation of current and future planned levels of service for all passenger and freight rail movements within Orange County and determine how completion on SCORE projects allows for service growth within the confines of current and future planned infrastructure capacity that does not impede passenger and freight movements beyond Metrolink service level enhancements.

**Responsible Party: CONSULTANT**

**2.8 Conclusions and Recommendations for the 2025 Orange County Strategic Rail Plan**

CONSULTANT shall draw from information gleaned during Task 2 to develop conclusions on the feasibility of SCORE-specific service level enhancements along the Metrolink Orange County, IE-OC, and 91/Perris Valley Lines. CONSULTANT shall evaluate whether all SCORE-specific service level



scenarios and growth will be feasible, and if not, provide a narrative for the operational constraints restricting each scenario impacted by infrastructure and service limitations. CONSULTANT shall use this information to make recommendations on which SCORE-specific levels of service enhancements are feasible and provide a timeframe for implementation based on SCORE project completion and capacity.

**Responsible Party: CONSULTANT**

## Task 2 Deliverables

Task	Deliverable
2.1	Evaluation of current service levels, operating capacity, slot availability, and improvements to be made as part of SCORE Program implementation.
2.2	Development of service level objectives as projects and capital improvements are implemented under the SCORE Program and associated operational parameters and/or constraints.
2.3	Analysis of the feasibility of achieving SCORE-specific service goals based on operational parameters provided by SCORE, LOSSAN, and CHSRA improvements, as well as existing passenger and freight rail movements in Orange County that require service and movement coordination along shared corridors.
2.4	Identification of existing and planned service levels for Amtrak's Pacific Surfliner.
2.5	Identification of existing and planned freight movements along shared corridors.
2.6	Identification of future high speed rail service and its integration into the existing rail network as the SCORE Program is implemented.
2.7	Comparative evaluation of current slot availability and future slot need and allocations based on planned levels of service for all passenger and freight rail movements within Orange County.
2.8	Determine how completion of SCORE projects allow for service growth within the confines of current and future planned infrastructure capacity that does not impede passenger and freight movements beyond Metrolink service level enhancements.
2.9	Recommendations on which SCORE-specific levels of service enhancements are feasible and provide a timeframe for implementation based on SCORE project completion and capacity. Where feasibility concerns, operational constraints, and opportunities left untapped are present, CONSULTANT shall propose recommendations to modify SCORE to better fit the needs of Orange County residents, or where necessary, propose a different alternative altogether.

### **TASK 3. EXECUTIVE SUMMARY, DRAFT, AND FINAL REPORT**

CONSULTANT shall summarize the project in a report that documents assumptions, next steps, and any unresolved issues to be addressed in future planning studies. The report shall serve as a roadmap for strategic rail planning efforts over the next 20-30 years.

#### **3.1 Report Preparation**

CONSULTANT shall document the conclusions, findings, and recommendations from the previous tasks in a 2025 Orange County Strategic Rail Plan, along with an Executive Summary, and an Action Plan and Recommended Next Steps that facilitates future rail planning decisions. In addition, key section of the Plan shall include the following:

- Role of rail in Orange County
- The need for strategic rail planning
- Passenger and freight rail providers in Orange County
- Network
  - Orange County Existing Rail Network
    - Geographic service area and passenger rail service level currently provided
    - Operational capacity
  - Current ridership trends
- SCORE Program
  - Network vision
    - Horizon years and progress towards implementation
  - Proposed capital improvements in Orange County
    - Added capacity as a result of project completion
  - Future ridership trends based on SCORE projections and service levels
  - Determination of whether SCORE, in its current form, is best suited to serve Orange County residents
- Plan Implementation
  - Network phasing based on projected SCORE-completed milestones
  - Coordination required with other passenger and freight rail providers
  - Where feasibility concerns, operational constraints, and opportunities left untapped are present, CONSULTANT shall

propose recommendations to modify SCORE to better fit the needs of Orange County residents, or where necessary, propose a different alternative altogether.

- Appropriate modeling exercises that support results and recommendations

The audience for the final Plan will be OCTA staff, elected officials, the public, and stakeholders. The report should use photos, infographics, and maps. CONSULTANT should provide examples of their graphical report capabilities as part of their proposal.

The Draft Plan shall be distributed for review and comment to OCTA staff for a two (2) week review period before drafting the final Plan and disseminating to the PDT for review and comment.

**Responsible Party: CONSULTANT**

### 3.2 Final Plan

CONSULTANT shall provide a 2025 Orange County Strategic Rail Plan, along with an Executive Summary, Action Plan and Next Steps, a comment matrix which tracks comments received by PDT and stakeholder parties and documents how each comment was addressed. The 2025 Orange County Strategic Rail Plan Final Report shall be distributed in the following formats:

- Ten (10) hard copies
- Electronic files
- Electronic copies of all project files
  - GIS files
  - All other files in original formats

The Final Plan shall be distributed for review and comment to OCTA staff and will allow for a one (1) week review period before disseminating to the PDT for final review and comment.

**Responsible Party: CONSULTANT**

### Task 3 Deliverables

Task	Deliverable
3.1	Draft 2025 Orange County Strategic Rail Plan
3.2	Final 2025 Orange County Strategic Rail Plan

**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) 5-3868**

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

Effective for twenty (20) months through December 31, 2026.

**Description**

**Firm-Fixed Price**

Task 1: Administration and Management

\$ \_\_\_\_\_

Task 2: Strategic Rail Plan Updates and Recommendations

\$ \_\_\_\_\_

Task 3: Executive Summary, Draft, and Final Report

\$ \_\_\_\_\_

**Total Firm-Fixed Price**

**\$ \_\_\_\_\_**

The undersigned, upon acceptance, agrees to provide the service in accordance with the terms, conditions, and requirements as contained in RFP 5-3868 and the supporting documents for all prices proposed.

1. I acknowledge receipt of RFP 5-3868 and Addenda No.(s) \_\_\_\_\_

2. This offer shall remain firm for \_\_\_\_\_ days from the date of proposal  
(Minimum 120)

COMPANY NAME

\_\_\_\_\_

ADDRESS

\_\_\_\_\_

\_\_\_\_\_

TELEPHONE

\_\_\_\_\_

EMAIL ADDRESS

\_\_\_\_\_

SIGNATURE OF PERSON  
AUTHORIZED TO BIND OFFEROR

\_\_\_\_\_

NAME AND TITLE OF PERSON  
AUTHORIZED TO BIND OFFEROR

\_\_\_\_\_

\_\_\_\_\_

DATE SIGNED

\_\_\_\_\_

**EXHIBIT C: PROPOSED AGREEMENT**

**PROPOSED AGREEMENT NO. C-5-3868****BETWEEN****ORANGE COUNTY TRANSPORTATION AUTHORITY****AND**

**THIS AGREEMENT** is effective this \_\_\_\_ day of \_\_\_\_\_, 2025 ("Effective Date"), by and between the Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584, a public corporation of the State of California (hereinafter referred to as "AUTHORITY"), and , , , , (hereinafter referred to as "CONSULTANT").

**WITNESSETH:**

**WHEREAS**, AUTHORITY requires assistance from CONSULTANT to develop the 2025 Orange County Strategic Rail Plan; and

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

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

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

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

**ARTICLE 1. COMPLETE AGREEMENT**

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

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



**EXHIBIT C**

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.

**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.

**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.

**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

**EXHIBIT C**

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

**ARTICLE 4. TERM OF AGREEMENT**

This Agreement shall commence upon execution by both parties, and shall continue in full force and effect through December 31, 2026, unless earlier terminated or extended as provided in this Agreement.

**ARTICLE 5. PAYMENT**

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

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

<u>Tasks</u>	<u>Description</u>	<u>Firm-Fixed Price</u>
1	Administration and Management	\$ .00
2	Strategic Rail Plan Updates and Recommendations	\$ .00
3	Executive Summary, Draft and Final Report	<u>\$ .00</u>
<b>TOTAL FIRM-FIXED PRICE PAYMENT</b>		<b><u>\$ .00</u></b>

C. CONSULTANT shall invoice AUTHORITY on a monthly basis for payments corresponding to the work actually completed by CONSULTANT. Percentage of work completed shall be documented in a monthly progress report prepared by CONSULTANT, which shall accompany each invoice submitted by CONSULTANT. CONSULTANT shall also furnish such other information as may be requested by AUTHORITY to substantiate the validity of an invoice. At its sole discretion, AUTHORITY may decline to make full payment for any task listed in paragraph B of this Article until such time as CONSULTANT has

## EXHIBIT C

1 documented to AUTHORITY's satisfaction, that CONSULTANT has fully completed all work required  
2 under the task. AUTHORITY's payment in full for any task completed shall not constitute AUTHORITY's  
3 final acceptance of CONSULTANT's work under such task; final acceptance shall occur only when  
4 AUTHORITY's release of the retention described in paragraph D.

5 D. As partial security against CONSULTANT's failure to satisfactorily fulfill all of its obligations  
6 under this Agreement, AUTHORITY shall retain ten percent (10%) of the amount of each invoice  
7 submitted for payment by CONSULTANT. All retained funds shall be released by AUTHORITY and shall  
8 be paid to CONSULTANT within sixty (60) calendar days of payment of final invoice, unless AUTHORITY  
9 elects to audit CONSULTANT's records in accordance with Article 16 of this Agreement. If AUTHORITY  
10 elects to audit, retained funds shall be paid to CONSULTANT within thirty (30) calendar days of  
11 completion of such audit in an amount reflecting any adjustment required by such audit. During the term  
12 of the Agreement, at its sole discretion, AUTHORITY reserves the right to release all or a portion of the  
13 retained amount based on CONSULTANT's satisfactory completion of certain milestones.  
14 CONSULTANT shall invoice AUTHORITY for the release of the retention in accordance with Article 5.

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

- 21 1. Agreement No. C-5-3868;
- 22 2. Specify the task number for which payment is being requested;
- 23 3. The time period covered by the invoice;
- 24 4. Total monthly invoice (including project-to-date cumulative invoice amount); and  
25 retention;
- 26 5. Monthly Progress Report;

**EXHIBIT C**

6. Certification signed by the CONSULTANT or his/her designated alternate that a) The invoice is a true, complete and correct statement of reimbursable costs and progress; b) The backup information included with the invoice is true, complete and correct in all material respects; c) All payments due and owing to subcontractors and suppliers have been made; d) Timely payments will be made to subcontractors and suppliers from the proceeds of the payments covered by the certification and; e) 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.

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

**ARTICLE 6. MAXIMUM OBLIGATION**

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

**ARTICLE 7. NOTICES**

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

To CONSULTANT:

To AUTHORITY:

Orange County Transportation Authority

550 South Main Street

P.O. Box 14184

Orange, CA 92863-1584

ATTENTION:

ATTENTION: Luis Martinez

## EXHIBIT C

1 Title: Title: Senior Contract Administrator  
2 Phone: Phone: (714) 560 - 5767  
3 Email: Email: lmartinez1@octa.net

**ARTICLE 8. INDEPENDENT CONTRACTOR**

5 A. CONSULTANT's relationship to AUTHORITY in the performance of this Agreement is that of  
6 an independent contractor. CONSULTANT's personnel performing services under this Agreement shall  
7 at all times be under CONSULTANT's exclusive direction and control and shall be employees of  
8 CONSULTANT and not employees of AUTHORITY. CONSULTANT shall pay all wages, salaries and  
9 other amounts due its employees in connection with this Agreement and shall be responsible for all  
10 reports and obligations respecting them, such as social security, income tax withholding, unemployment  
11 compensation, workers' compensation and similar matters.

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

**ARTICLE 9. INSURANCE**

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

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

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

26 3. Workers' Compensation with limits as required by the State of California including

## EXHIBIT C

1 a Waiver of Subrogation in favor of AUTHORITY, its officers, directors and employees; and

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

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

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

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

18 E. CONSULTANT shall submit required insurance certificates to AUTHORITY's insurance  
19 tracking contractor, InsureTrack. CONSULTANT shall respond directly to InsureTrack's request for  
20 updated insurance certificates and other insurance-related matters by email to [octa@instracking.com](mailto:octa@instracking.com).

21 F. CONSULTANT shall include on the face of the certificate of insurance, the following  
22 information:

23 1. The Agreement Number C-5-3868 and, the Senior Contract Administrator's  
24 Name, Luis Martinez

25 2. For Certificate Holder: The Orange County Transportation Authority, its officers,  
26 directors, employers and agents, c/o InsureTrack, P.O. Box 60840 Las Vegas, NV 89160.

**ARTICLE 10. ORDER OF PRECEDENCE**

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

(1) the provisions of this Agreement, including all exhibits; (2) the provisions of RFP 5-3868; (3) CONSULTANT's proposal dated \_\_\_\_\_; (4) all other documents, if any, cited herein or incorporated by reference.

**ARTICLE 11. CHANGES**

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, 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, 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.

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

**ARTICLE 13. TERMINATION**

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

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

**ARTICLE 14. INDEMNIFICATION**

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

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**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.

<b><u>Subcontractor Name/Addresses</u></b>	<b><u>Subcontractor Amounts</u></b>
	\$ _____ .00
	\$ _____ .00

**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 15 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.

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**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 AUTHORITY; CONSULTANT's objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or CONSULTANT has an unfair competitive advantage. CONSULTANT is obligated to fully disclose to AUTHORITY in writing Conflict of Interest issues as soon as they are known to 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 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 AUTHORITY's Clerk of the Board disclosing all required financial interests.

**ARTICLE 18. CODE OF CONDUCT**

CONSULTANT agrees to comply with 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.

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**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 regulations promulgated thereunder.

**ARTICLE 21. EQUAL EMPLOYMENT OPPORTUNITY**

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

**ARTICLE 22. PROHIBITED INTERESTS**

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

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

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

B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings, descriptions, and all other written information submitted to CONSULTANT in connection with the performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any purposes other than the performance under this Agreement, nor be disclosed to an entity not connected

**EXHIBIT C**

1 with the performance of the project. CONSULTANT shall comply with AUTHORITY's policies regarding  
2 such material. Nothing furnished to CONSULTANT, which is otherwise known to CONSULTANT or is or  
3 becomes generally known to the related industry shall be deemed confidential. CONSULTANT shall not  
4 use AUTHORITY's name, photographs of the project, or any other publicity pertaining to the project in  
5 any professional publication, magazine, trade paper, newspaper, seminar or other medium without the  
6 express written consent of AUTHORITY.

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

**ARTICLE 24. PATENT AND COPYRIGHT INFRINGEMENT**

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

25 B. CONSULTANT shall have sole control of the defense of any such claim or suit and all  
26 negotiations for settlement thereof. CONSULTANT shall not be obligated to indemnify AUTHORITY

## EXHIBIT C

1 under any settlement made without CONSULTANT's consent or in the event AUTHORITY fails to  
2 cooperate fully in the defense of any suit or claim, provided, however, that said defense shall be at  
3 CONSULTANT's expense. If the use or sale of said item is enjoined as a result of such suit or claim,  
4 CONSULTANT, at no expense to AUTHORITY, shall obtain for AUTHORITY the right to use and sell  
5 said item, or shall substitute an equivalent item acceptable to AUTHORITY and extend this patent and  
6 copyright indemnity thereto.

**ARTICLE 25. FINISHED AND PRELIMINARY DATA**

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

16 B. It is expressly understood that any title to preliminary technical data is not passed to  
17 AUTHORITY but is retained by CONSULTANT. Preliminary data includes roughs, visualizations,  
18 software design documents, layouts and comprehensives prepared by CONSULTANT solely for the  
19 purpose of demonstrating an idea or message for AUTHORITY's acceptance before approval is given  
20 for preparation of finished artwork. Preliminary data title and right thereto shall be made available to  
21 AUTHORITY if CONSULTANT causes AUTHORITY to exercise Article 13, and a price shall be  
22 negotiated for all preliminary data.

**ARTICLE 26. HEALTH AND SAFETY REQUIREMENT**

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

26 /

**ARTICLE 27. LIMITATION ON GOVERNMENTAL DECISIONS**

CONSULTANT shall not make, participate in making, or use its position to influence any governmental decisions as defined by the Political Reform Act, Government Code section 8100 et seq., and the implementing regulations in Title 2 of the California Code of Regulations section 18110 et seq. CONSULTANT's personnel performing services under this Agreement shall not 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.

**ARTICLE 28. FORCE MAJEURE**

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

**IN WITNESS WHEREOF**, the parties hereto have caused this Agreement No. C-5-3868 to be executed as of the date of the last signature below.

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EXHIBIT C

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 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.
- 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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