

Solicitation 04A4147

**A&E Cultural Resource Legacy Records Eval&Mgmt
Transp. Enhancemnt Svs. Statewide**

Bid designation: Public

State of California

Bid 04A4147
A&E Cultural Resource Legacy Records Eval&Mgmt Transp.
Enhancemnt Svs. Statewide

Bid Number **04A4147**
Bid Title **A&E Cultural Resource Legacy Records Eval&Mgmt Transp. Enhancemnt Svs. Statewide**

Bid Start Date **Dec 6, 2012 9:41:10 AM PST**
Bid End Date **Jan 7, 2013 3:00:00 PM PST**

Bid Contact **Jennifer Noakes**
 916-227-3216
 jennifer_noakes@dot.ca.gov

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Description

04A4147

This Request for Qualification (RFQ) requires the submittal of an electronic PDF file of the Statement of Qualifications (SOQ). Please refer to the RFQ for instructions.

Caltrans is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of an Agreement for Cultural Resource Legacy Records Eval&Mgmt Transp. Enhancemnt Svs. On-Call Statewide basis.

Budget range amount \$1,040,000 - \$1,690,000.

Review Scope of Work for license requirements.

2% DBE participation required for this Agreement.

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**STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION**

**REQUEST FOR QUALIFICATIONS NOTICE
NUMBER 04A4147**

Read carefully as the following revision has been made to this document on 11/21/12:

This Request for Qualifications (RFQ) has been identified as a pilot project that requires the submittal of an electronic PDF file of the Statement of Qualifications (SOQ) in addition to the paper copies as stated in section II “Submission of Statements of Qualifications (SOQ),” part B “SOQ Package Submittal Instructions.” You will be required to email the Contract Analyst, Jennifer Noakes, at Jennifer_Noakes@dot.ca.gov for instructions to submit the SOQ electronically.

Note: Submit all questions concerning this Request for Qualifications (RFQ) in writing via BidSync. You may also reach the analyst, Jennifer Noakes by email at Jennifer_Noakes@dot.ca.gov or by telephone at (916) 227 - 3216. Consultants contacting the District or Division directly seeking information about this RFQ may jeopardize the integrity of the selection process and risk possible disqualification.

Proposers are advised that Caltrans has established a federally mandated overall annual DBE goal comprising both race neutral and race conscious elements to ensure equal participation of DBE groups specified in 49 CFR 26.5. In compliance with 49 CFR 26, Caltrans set a contract goal for DBEs participating in this solicitation expressed as a percentage of the total dollar value of the resultant Agreement. The DBE participation goal for this solicitation is two percent (2%). See section I.F. in this RFQ for requirements.

I. GENERAL INFORMATION

- A. Caltrans is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of a contract for A&E On-Call Cultural Resource Legacy Records Evaluation and Management Transportation Enhancement Services-Statewide. In submitting your Statement of

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Qualifications (SOQ), you shall comply with the instructions found herein. In addition to those programs that are specified in this solicitation, prospective consultants are encouraged to consider programs that are available, such as those for the use of small businesses, disadvantaged businesses, disabled veteran businesses, and other businesses covered by State and Federal programs.

- B. The estimated contract amount is \$ 1,040,000 - \$1,690,000.
- C. The estimated contract term is two (2) years.
- D. Interviews will be held in Oakland, CA on January 22 and/or January 23, 2013. Confirmation letters will be sent to those firms short-listed.
- E. Negotiations will be held with the top-ranked firm in Oakland, CA during the week of February 4, 2013.
- F. Disadvantaged Business Enterprise Program
 - 1. This solicitation and resultant Agreement is financed in whole or in part with federal funds and therefore subject to Title 49, Code of Federal Regulations, Part 26 (49 CFR 26) entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." In compliance with 49 CFR 26, Caltrans set an overall annual DBE goal comprising both race neutral and race conscious elements. To ensure equal participation for Disadvantaged Business Enterprise (DBE) groups specified in 49 CFR 26.5, Caltrans specifies a contract goal for DBE participation. The required goal for DBE participation in this solicitation is not less than 2 percent.
 - 2. To ensure applicable participation of the specified DBEs as defined in 49 CFR 26.5, this solicitation's goal applies to all certified DBEs. Only certified DBE participation will count toward the contract goal for this solicitation. DBE participation will count toward Caltrans' federally mandated overall annual DBE goal. In order to ascertain whether its overall annual DBE goal is being achieved, Caltrans tracks DBE participation on all federal-aid contracts.
 - 3. It is the proposer's responsibility to verify that the DBE firm is certified as a DBE by the specified SOQ submittal due date and time. For a list of DBEs certified by the California United Certification Program (CUCP), go to:
http://www.dot.ca.gov/hq/bep/find_certified.htm.

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4. See "Statement of Qualifications Submittal Instructions and General Contract Process Information" for detailed information and references to the required forms. Required forms will be made a part of the Agreement. Failure to meet the DBE goal or Good Faith Effort requirements and provide required DBE participation at due date and time of SOQ submittal may result in the SOQ submittal being rejected as non-responsive.
- G. Federal and/or State prevailing wage rates may apply. This requirement, if applicable, will be specified in the draft Agreement.
- H. Caltrans does not guarantee, either expressly or by implication, that any work or services will be required under any contract issued as a result of this RFQ.
- I. A Pre-award or Post-award Audit will be performed on any contract issued as a result of this RFQ.
- J. Contract boilerplate can be obtained at <http://caltrans-opac.ca.gov/aeinfo.htm>

II. SCOPE OF WORK/DELIVERABLES

The work to be performed for this RFQ is described in the Scope of Work/Deliverables and is hereby incorporated as Attachment 1.

III. SUBMISSION OF STATEMENTS OF QUALIFICATIONS (SOQs)

- A. **IMPORTANT:** Download "Statement of Qualifications Submittal Instructions and General Contract Process Information" from <http://Caltrans-opac.ca.gov/aeinfo.htm>. Failure to follow these instructions may result in rejection of your SOQs.
- B. SOQ Package Submittal Instructions

Read instructions below carefully. You will be required to submit SOQ packages to Sacramento and District 4 (see items 1 and 3 below for required number of copies), as well as an electronic file to Sacramento. See paragraph B.5.

1. Three (3) copies of the SOQ containing all the indicated information shall be submitted. Fax copies will not be allowed. SOQs will be accepted until **3:00 p.m. on January 7, 2013**, and must be directed to:

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State of California
Department of Transportation
Administration
Division of Procurement and Contracts, MS 65
1727 30th Street
Sacramento, CA 95816-7006
Attention: Jennifer Noakes
Telephone: (916) 227 – 3216

2. If your SOQ package is hand-delivered, you must date and time stamp it immediately upon arrival. The date/time stamp machine is located in the lobby of the first floor to the right of the security guard station at the address noted above. Date/stamp one label for each SOQ package/box submitted. Ask the security guard to call the Division of Procurement and Contracts' reception desk at (916) 227-6000 to have your SOQ package picked up by Contracts' staff.
3. In addition, five (5) copies of the SOQ containing all indicated information shall be submitted to District 4. FAX copies will not be allowed. SOQs will be accepted until **3:00 p.m. on January 7, 2013**, and must be directed to:

State of California
Department of Transportation
D4/Program Project Mgmt/CSU
111 Grand Ave.
Oakland, CA 94612
Mailroom / Attn: Kulwant Singh MS#7B
Telephone: (510) 286 – 4957

4. The SOQs must be submitted in a sealed package labeled as follows:
 - RFQ Number 04A4147
 - Submittal deadline January 7, 2013
 - "DO NOT OPEN"

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5. In addition to the SOQ's requested in this section III "Submission of Statements of Qualifications," an electronic submission of a single PDF file of the SOQ is required. The electronic submittal will be accepted until **3:00 p.m. on January 7, 2013.**

You will be required to email the Contract Analyst, Jennifer Noakes, at Jennifer.Noakes@dot.ca for instructions to submit the SOQ electronically.

The file name shall include the contract number, consultant name (max. 25 characters) separated by an underscore (_), ending with the ".pdf" extension.

Example A: 50A0694_JohnDoeConsulting.pdf

Example B: 50A0694_aaa1234engineer.pdf

6. SOQ submittals will be considered non-responsive if all copies, including electronic submittal, are not received in the specified location(s) by the date and time specified in this RFQ.

C. Request for RFQ Copies and/or Bidders' List

1. Copies of this RFQ and/or Bidders' List may be obtained at https://www.bidsync.com/DPX?by=key&ac=powersearch&posting=1&p=&changeregion=&changeorg=&srchoid_override=&headoid=307818&sort=title&srchid=&clearsearch=&search=&title=td®ion=%2Fca&srchoid=307818&srchgroup=2771&cat=-1&cat_1=-1&cat_2=-1&pastbids=
2. Bidders list will be posted on BidSync at least once during the solicitation process. Caltrans advises that prospective consultants periodically check BidSync for modifications to solicitation documents. Caltrans is not responsible for a prospective consultant's misunderstanding of the solicitation or nonresponsive submittal due to failure to check BidSync for updates or addenda to solicitation documents and/or other information regarding the solicitations. Failure to periodically check these websites will be at the consultant's sole risk.

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SCOPE OF WORK/DELIVERABLES

Cultural Resource Legacy Records Evaluation and Management Transportation Enhancement (TE)

Introduction

Under state and federal environmental laws, Caltrans is required to take into account the effects of its highway projects upon archaeological and built-environment properties. These efforts are documented through various records such as compliance and technical reports, letter and memoranda correspondence and agreement documents. Caltrans staff review existing cultural resource records to understand previous findings that inform upon the current level of effort that will be necessary to comply with appropriate laws. These previous records are in multiple formats, largely hard copy records covering the 1970s through the 2000s, which makes for time consuming research. This Cultural Resource Legacy Records Evaluation and Management Transportation Enhancement Project (Project) is designed to address this problem. The consultant will evaluate, organize and convert historical cultural resource "legacy" records from various Districts into an existing single modern organizational structure, the Caltrans Cultural Resources Database (CCRD). The CCRD is an organizational structure utilized Statewide but separately maintained by each District. The consultant will prepare a final comprehensive report that will include the information from each District as well as from a Statewide perspective.

Qualifications

All work will be performed by staff who meet or exceed the Professionally Qualified Staff (PQS) standard for Co-Principal Investigator (Standards found at http://www.dot.ca.gov/ser/vol2/PA_04-EH.pdf Attachment 1). Work shall be supervised by staff who meet the Principal Investigator for Prehistoric Archaeology standard. Consultant staff shall have demonstrated experience in completing California Department of Parks and Recreation (DPR) 523 series forms and familiarity with the CCRD.

Records accessed during this Project are considered confidential and public access to such information is restricted by law (Section 304 of the National Historic Preservation Act and its implementing regulations at 36 CFR 800.11(c); Section 9(a) of the Archeological Resources Protection Act; Executive Order 13007; Section 6254.10 of the California State Government Code; and California Senate Bill 922: Public records, Native American cultural places).

Scope

This Project is Statewide in scope, comprising review of records housed in 10 of the 12 districts throughout the state.

The consultant's PQS will evaluate Caltrans cultural resource records within each District and group them into the three main categories previously established in the CCRD: *Projects*, *Resources* and *Documents*. The PQS will then organize the records as described below. An estimate of the number of records by type and District are provided in Table 1.

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1. CCRD Projects

Each CCRD project represents a collection of records from a single Caltrans highway project or undertaking. For each CCRD project, the PQS will record the administrative information such as the highway project name, Expenditure Authorization (EA), date initiated, postmile locations, and investigations associated with the highway project. CCRD projects average five to eight cultural resources investigations. The PQS will organize investigations by type and analyze them for information relevant to Caltrans cultural resources management. Relevant information recorded for inclusion in the final deliverable will include: investigation name, investigation type, Caltrans project manager, consultant (if applicable) and consultant person of contact (POC) as well as technical notes on the investigation, citation information (if applicable) and cultural resource recording events (if applicable).

The PQS will be responsible for converting all appropriate project records (as defined by the Caltrans Task Order Manager) into Portable Document Format (.pdf) files, organizing them into the appropriate Investigation Types and including them in the final deliverable.

Investigation Types include:

- Request for studies.
- Correspondence from the State Historic Preservation Officer (SHPO), Federal Highway Administration (FHWA), Cultural Studies Office (CSO), Native American groups, historical societies and Internal correspondence in the form of emails or memos.
- Official memos such as screening, review and revalidation memos.
- Reports: Historic Property Survey Reports (HPSR), Archaeological Survey Reports (ASR), Historical Resources Evaluation Reports (HRER), Historical Architectural Survey Reports (HASR), Historical Resources Compliance Reports (HRCR), Historic American Buildings Surveys/Historic American Engineering Records (HABS/HAER), Environmental Sensitive Area (ESA) Action Plans, Treatment/Data Recovery Plans, Extended Phase I Proposals and Reports, Phase II (Archaeological Evaluation) Proposals and Reports, Phase III (Data Recovery) Reports.
- Any addenda.
- Findings and Agreement Documents: Finding of Effect (FOE) Memorandum of Agreement (MOA), and Programmatic Agreements (PA).

2. CCRD Resources

Resource entries represent a single cultural resource, such as an archaeological site or architectural property. However, each resource may have been subject to multiple recording events, such as newly recorded, updated, evaluated, subjected to data recovery or simply visited.

The PQS will organize recording events by resource and analyze them for information relevant to Caltrans cultural resources management. Relevant information recorded for inclusion in the final deliverable will include: information regarding the National Register eligibility status, date recorded, a summary description and miscellaneous comments or notes about what happened to the resource during the investigation.

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The PQS will be responsible for converting all appropriate Resource Recording Event records (as defined by the Caltrans Task Order Manager) into .pdf files and organizing them into the final deliverable. Each resource will be entered as a .pdf and into ArcGIS as a shapefile. Once they are both entered the consultant PQS will link them together so that the resources are accessible from both interfaces.

3. CCRD Documents

Documents record bibliographic citations relevant to specific resources or investigations, whether or not they were collected as part of a Caltrans highway project.

The PQS will organize Documents by County, Route, and Postmile, then analyze them for information relevant to Caltrans cultural resources management. Relevant information recorded for inclusion in the final deliverable will include (as applicable): Information Center (IC) numbers; report numbers; National Archaeology Database (NADB) numbers; bibliographic citation information including authorship, date, title, publisher, series title and editor; Caltrans document type; physical location of hard copy at Caltrans; postmile data; and associated resources.

When Documents are associated with investigations, the consultant will be responsible for linking the two together in the final deliverable.

The PQS will be responsible for converting all appropriate Document files (as defined by the Caltrans Task Order Manager) into .pdf files and organizing them in the final deliverable.

Procedures

The consultant will visit each District to analyze, organize, convert, and enter existing files into the CCRD structure for the final deliverable. For security and continued access by the District, files will not be allowed to leave the District and must be converted to .pdf at each District office. If determined to be more efficient, final analysis of the .pdf versions may be completed remotely at the consultant's office. Each District shall prioritize, organize and prepare files for review and conversion in advance of scheduled visits. The consultant PQS will have access to a workstation in each district to analyze, organize and convert files. A Data Steward from each District will be identified to coordinate analysis and conversion of files at that location.

The consultant will be responsible for providing scanners to use in each district. Scanners must be capable of handling large (at least 11"x17") and odd size paper, scan in color, and have the ability to scan a large volume of documents quickly.

Detailed cost, scope and schedule for the work to be conducted in each District will be presented in a Task Order developed under the Contract. Caltrans District 4, as the lead for this Project, will execute a primary Task Order to work with the consultant to develop a Project plan and to initiate Task Orders detailing the scope of work to be conducted within each District. Total duration to complete the Project is anticipated at 18 months and not to exceed 24 months.

Table 1 below provides a range of the number of CCRD projects, resources and documents from each District estimated to be analyzed and organized into the final deliverable.

The Final Report shall include all of the information from each District in a format compatible with the CCRD. The report shall include analysis of the information from each District, as well as from a

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Statewide perspective, to aid Caltrans in assessing reasonably foreseeable and cumulative effects of its program on cultural resources. Maps shall be included in the Final Report to illustrate identified patterns, trends and other pertinent information and information gaps.

Total Contract award is not to exceed \$1,300,000.

Caltrans staff responsible for the Project with Project Leads in bold:

Kathryn Rose

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Table 1: Project Deliverables

District	Deliverables	
	Approx. #	Type
District 1 Eureka, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents
District 2 Redding, CA	150-300	Projects
	800-1500	Resources
	300-700.	Documents
District 3 Marysville, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents
District 4 Oakland, CA	300-600	Projects
	1600-3000	Resources
	600-1400	Documents
District 5 San Luis Obispo, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents
District 6 Fresno, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents
District 7 Los Angeles, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents
District 9 Bishop, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents
District 10 Stockton, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents
District 11 San Diego, CA	150-300	Projects
	800-1500	Resources
	300-700	Documents

Question and Answers for Bid #04A4147 - A&E Cultural Resource Legacy Records Eval&Mgmt Transp. Enhancemnt Svs. Statewide

OVERALL BID QUESTIONS

**There are no questions associated with this bid. If you would like to submit a question,
please click on the "Create New Question" button below.**