



**ASSOCIATION of
GOVERNMENTS**

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REQUEST FOR PROPOSAL NO. 12-001-B04

COMPASS BLUEPRINT DEMONSTRATION PROJECT

VENTURA COUNTY – OLD TOWN SATICOY AREA PLAN

I. SUMMARY

The Southern California Association of Governments (SCAG) is soliciting proposals in response to Request for Proposal (RFP) No. 12-001-B04, Compass Blueprint – Ventura County – Old Town Saticoy Area Plan.

In June 2004, SCAG's Regional Council unanimously approved the Compass Blueprint Growth Vision and Implementation Framework to guide regional planning policy through the integration of land use planning and transportation investment decision-making.

The Compass Blueprint Demonstration Projects are intended to provide SCAG member jurisdictions the resources to implement these regional policies at the local level. These Demonstration Projects have included transit-oriented development (TOD) districts, main street redevelopment concept plans, local growth visioning, market feasibility analysis, pedestrian-friendly design standards, sustainable planning, public involvement strategies, zoning code revisions and other services. A focus of the current round of projects is the coordination with the region's Senate Bill 375 and Sustainable Communities Strategy (SCS) development efforts.

Each jurisdiction selected for a Demonstration Project will receive a customized program of consultant assistance. Consultants will "work for" the local governments, on locally-directed projects and SCAG will be responsible for consultant costs and consultant contract management.

II. RFP ATTACHMENTS

The RFP is comprised of the following eight (8) parts presented herein as Attachments:

1. Proposal Information, Organization, and Content
2. Scope of Work
3. Proposal Evaluation Form
4. Interview Evaluation Form
5. Line Item Budget (Cost Proposal)
6. Debarment and Suspension Certification
7. SCAG Conflict of Interest Form
8. Disadvantaged Business Enterprise (DBE)

III. **PROPOSAL SUBMISSION**

One (1) electronic PDF copy on CD-ROM (**file cannot exceed 10MB, and must be one complete document, without multiple parts**), and one (1) original hard copy (**clearly marked/stamped as such**) shall be received by SCAG's receptionist by **10:30 a.m. PST** (time to be determined by SCAG's time clock) on **December 5, 2011** and directed to:

Lori J. Tapp, C.P.M.
Contracts Administrator
Southern California Association of Governments
818 W. 7th Street, 12th Floor
Los Angeles, CA 90017-3435
(213) 236-1957
tapp@scag.ca.gov

The RFP number must be clearly marked on the outside of the package, including all outer packaging (DHL, FedEx, UPS, etc).

All submissions are considered a matter of public record.

Your proposal must be received at SCAG by the deadline specified above. Also, faxed proposals will not be accepted. Any proposal received after the deadline will be rejected.

Note: "proposer," "consultant," "contractor," and "firm" may be used interchangeably throughout this document.

IV. **QUESTIONS AND ANSWERS**

The deadline to submit questions is **November 18, 2011, 4:00 p.m. (PST)**. Questions must be submitted in writing to the attention of:

Lori J. Tapp, C.P.M., Contracts Administrator
tapp@scag.ca.gov

Answers to the questions will be posted on SCAG's solicitation management system under the corresponding RFP typically no later than three (3) working days after the deadline to submit questions.

V. **CONTRACT TYPE**

Contract Type: Cost Plus Fixed Fee

Consultants must propose in United States currency and shall be paid with the same.

Funding for this project is contingent upon availability of funds at the time of contract award.

VI. **PERIOD OF PERFORMANCE**

The maximum period of performance for this contract is 12 months.

VII. PROJECTED TIMELINE (Subject to Change)

	<u>DATE</u>	<u>TIME</u>
RFP Released	November 7, 2011	
Deadline to Submit Questions	November 18, 2011	4:00 p.m.
Posting of Answers to Questions	November 22, 2011	4:00 p.m.
Proposal Due Date	December 5, 2011	10:30 a.m.
Proposal Evaluations	Week of December 12, 2011	
Consultant Interviews	Week of December 19, 2011	
Final Selection	January 2012	
Contract Execution	February 2012	

VIII. SELECTION PROCESS

- Proposals will be ranked in accordance with the criteria described in Attachments 3 and Attachment 4.
- Proposers may be invited for an interview.

Note - during the selection process and until a contract is fully executed, you are prohibited from discussing the project with project applicants, or city staff members.

IX. SCAG RIGHTS

1. SCAG reserves the right to:
 - A. Disqualify any and all proposals that are not submitted in accordance with the required format described in this RFP;
 - B. Reject any and all proposals submitted;
 - C. Request additional information;
 - D. Award all or part of the work contemplated in this RFP;
 - E. Remedy errors in the RFP;
 - F. Cancel the entire RFP;
 - G. Issue subsequent RFP;
 - H. Approve or reject the use of a particular subcontractor/supplier;
 - I. Negotiate with any, all or none of the proposers. If SCAG is unable to negotiate final contract terms and conditions that are acceptable to SCAG, SCAG reserves the right to award the contract to another proposer;
 - J. Accept other than the lowest priced proposal;
 - K. Award a contract without interviews, discussions or negotiations;
 - L. Award a contract to one or more proposers;
 - M. Only award a contract or any portion thereof to a firm that possesses a valid business license. Firms must possess the licenses by the RFP due date. SCAG must be provided with a copy of this license, if not provided previously; and
 - N. Only award a contract or any portion thereof to a firm that passes references checks.
2. All proposers should be aware of the Insurance Requirements for Contract Award. The Certificate of Insurance must be provided by the successful proposer prior to contract award. A contract may not be awarded if insurance requirements are not met. The insurance requirements may be viewed on SCAG's website at: <http://scag.ca.gov/business/> under Section 41 of SCAG's Contract Template.

3. SCAG does not reimburse proposers for the cost of proposal preparation, even in the event of RFP cancellation.
4. Ring binders may not be accepted. Comb binding is preferred.
5. Communication between the proposer and any member of the Proposal Review Committee during the selection process is prohibited, except when and in the manner expressly authorized in this Request for Proposal. Violation of this restriction is grounds for disqualification.
6. SCAG shall award the contract for this RFP to the firm that it deems to have provided the best value to SCAG or the firm SCAG deems to be the best qualified for contract award (or both).
7. Every proposal submitted is considered a firm offer that must be valid for a minimum of ninety (90) calendar days.
8. If applicable, SCAG prefers that software developed, under SCAG's contract, not incorporate proprietary and/or third party software components. This does not preclude the development of deliverables which interface with commonly-available off-the-shelf software. However, contractors must determine in advance whether SCAG already has, or is willing to procure, appropriate licenses for any proprietary and/or third party software that would be required. Contractors must also provide the impacts of any enhancements and upgrades. SCAG will require delivery of documentation and source code for all electronic intellectual property developed under a SCAG contract prior to releasing final payment to the contractor.

X. NOTIFICATION OF RIGHT TO PROTEST CONTRACT AWARD

Proposers have the right to protest the contract award in compliance with SCAG's Policy on Contract Award Protests, which can be viewed online at SCAG internet home page www.scag.ca.gov under "Doing Business with SCAG." A written protest must be filed with SCAG's Executive Director, or his designee within five (5) working days after posting of the Notice of Intent to Award. SCAG will not accept any verbal protests. The protest must be a detailed, written statement of the protest grounds and reference the RFP number and name of the designated Contracts Administrator. The protest must be submitted to SCAG's Executive Director or his designee via both certified mail and fax using the following address and fax number:

Executive Director
Southern California Association of Governments
818 W. 7th Street, 12th Floor
Los Angeles, CA 90017-3435
Fax: (213) 236-1825

The contract award is held up when SCAG's Executive Director receives the protest on time. The contract may not be awarded until the protest is either withdrawn or SCAG's Executive Director has rendered a decision.

PROPOSAL INFORMATION, ORGANIZATION, AND CONTENT

All proposals shall contain, at a minimum, the following information:

1. TITLE PAGE

The following must be provided on the title page:

- RFP Number
- Title of the Project
- Name and Address of Firm
- Phone/Fax of Firm
- Prime Contact Person
- Email Address of the Prime Contact Person
- Signature of the Individual Authorized/Obligated to Commit the Firm to this Project

2. TABLE OF CONTENTS

A clear identification of the materials by section and page numbers.

3. TECHNICAL APPROACH

- A statement and discussion of the project objectives, concerns, and key issues.
- The technical approach for performing the tasks must include a detailed Scope of Work along with the process for executing the requirements and objectives of the project.
- A discussion of the difficulties expected or anticipated in performing the tasks, along with a discussion of how the consultant proposes to overcome or mitigate against those difficulties.
- A detailed schedule for completion of the work, including performance and delivery schedules indicating phases or segments of the project, milestones, and significant events.
- A statement of the extent to which the consultant's proposed approach and Scope of Work will meet or exceed the stated objectives discussed in this RFP. Furthermore, a discussion of how the consultant would modify the project, and/or schedule to better meet these objectives.

4. LINE ITEM BUDGET (COST PROPOSAL)

- Proposals must include a Line Item Budget in the format and detail shown in Attachment 5 (in United States currency). The same detailed budget is required of each subconsultant.

5. PROFILE OF FIRM

- A statement indicating if the firm is local or national and a summary of representative experience relevant to the work described in the Scope of Work for this RFP.
- The location and telephone number of the office from which the work is to be done.
- Identification of the individuals who will perform the work, including officers, project manager and key staff. State the time commitment and include resumes for key individuals.

6. **REFERENCES**

- Provide a list of at least three references, including the names of contact persons within the firms. References should not include any SCAG staff or SCAG Regional Council Members.

7. **REQUIRED FORMS**

- Line Item Budget (Attachment 5).
- The Debarment and Suspension Certification (Attachment 6) **must be fully completed by all parties to the proposal (prime and all subconsultants).**
- The SCAG Conflict of Interest Form (Attachment 7) must be fully completed by all parties to the proposal whose portion of the overall work is valued at \$25,000 or more. All persons or firms seeking contracts valued at \$25,000 or more must complete and submit this SCAG Conflict of Interest Form along with the proposal. This requirement also applies to all proposed subconsultants whose portion of the overall work is valued at \$25,000 or more.
- A “Bidder’s List of Subconsultants (DBE and Non-DBE) – Part I” (Attachment 8A) and a “Bidder’s List of Subconsultants (DBE and Non-DBE) – Part II” (Attachment 8B) must be completed by the proposer. Attachment 8C must be signed and dated by the selected consultant at the time of contract execution.
- The selected consultant will be required to complete a Federal Form W-9 which may also be obtained on-line at www.scag.ca.gov under “Doing Business with SCAG.”

8. **SCAG STANDARD CONSULTANT AGREEMENT**

The successful consultant will be required to sign SCAG’s standard consultant agreement in order to receive the contract award. **Proposer must identify in the proposal itself any concerns or objections to any of the contract terms and conditions in SCAG’s consultant agreement.** Review SCAG’s Terms and conditions published in SCAG’s website. Consultant shall propose alternative language for consideration. If SCAG is unable to negotiate final contract Terms and Conditions that are acceptable to SCAG, SCAG reserves the right to award the contract to another proposer. The contract template may be viewed on SCAG’s website at: <http://scag.ca.gov/business/>

CONTRACT LANGUAGE IS SUBJECT TO CHANGE BY SCAG PRIOR TO CONTRACT EXECUTION

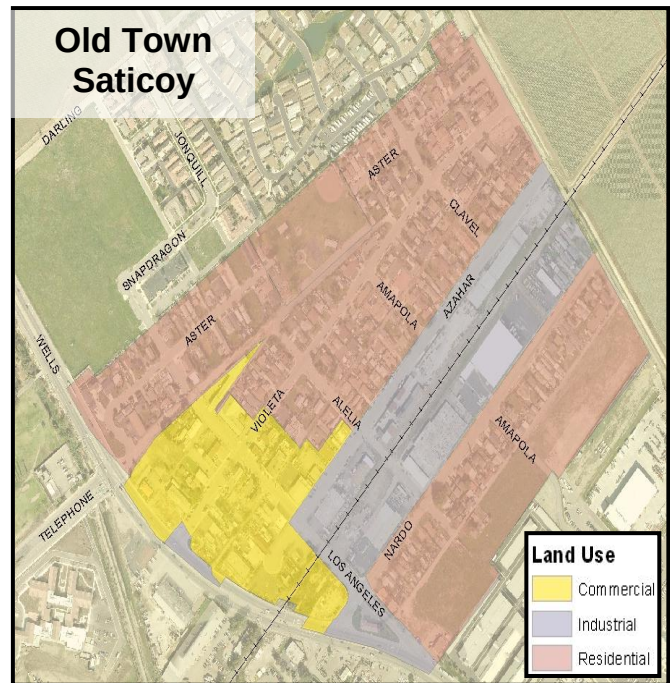
VENTURA COUNTY – OLD TOWN SATICOY AREA PLAN

SATICOY COMMUNITY CONTEXT

Description of the Saticoy Community

Saticoy is a community within unincorporated Ventura County, located south of State Highway 126 within the Sphere of Influence of the City of Ventura. Founded in the late 1800s in an area previously inhabited by the Chumash people, the town was anchored for many decades by a rail depot at the corner of Alelia Avenue and Azahar Street, which provided a key connection between Ventura's produce markets and the rest of the region. Although the rail depot remains in place today as a private building supply retailer, the closure of the depot shifted the focus of the area away from the rail line and outside of Saticoy.

Saticoy has about 1,200 residents, the large majority of whom (80 percent) are Hispanic or Latino. Many of these residents are part of families that have lived in the community for generations, fostering a close-knit community and strong sense of neighborhood identity. Contributing to this identity are several significant historic buildings that remain in the area, including the Farmers & Merchants Bank, Walnut Growers Association Warehouse, Saticoy Bean Warehouse, and the Saticoy Rail Depot.



Challenge

Today many of the buildings in Old Town Saticoy have fallen into disrepair, and the area lacks the economic vitality of its past. Vacant lots and empty buildings dot the community. Wide streets smother the area with asphalt and provide little in the way of landscaping. Connections between Old Town Saticoy and the surrounding neighborhoods are broken by Los Angeles Avenue to the west and State Highway 126 to the north, with poor interconnectivity between many arterial streets in the area.

While vehicle ownership rates within the community are relatively low and many residents get around on foot, safe pedestrian infrastructure is lacking. Few roadways provide sidewalks or bicycle lanes, and street furniture, lighting and other amenities are scarce. Transit service is also limited, with only one route serving the community. Additionally, the railroad tracks physically divide the Saticoy community, further disrupting mobility.

Low household incomes combined with a general housing shortage in the area make housing availability and affordability a concern for the community, although home ownership rates in the community are relatively high (nearly half of the residents live in owner-occupied homes). In addition, residents cite concerns over limited job opportunities within the neighborhood. A strict segregation between residential and commercial uses prevents the growth of small-scale businesses within the area.

Opportunity

Despite these challenges, Old Town Saticoy has many important assets that make it ideally suited for development as a commercial and civic center. Creating land use patterns that place important amenities such as local markets, churches, and residences within a short distance of one another is one of the most difficult aspects of “smart growth.” However, the existing, compact development in Saticoy already offers the potential for residents to meet many of their daily needs within their own community.

The area includes many key public facilities, such as the Jose Flores Community Center and Ventura County Saticoy Branch Library, as well as Saticoy Park, site of a popular Boys & Girls Club. The historic Saticoy Depot, while currently under private ownership and used for building material sales, is a prime location for a future transit hub, and is identified in the current City of Ventura Community Plan for Saticoy as a potential location for a transit-oriented development project. Perhaps most importantly, Old Town Saticoy residents have deep, multi-generational roots that instill a sense of pride and commitment to their neighborhood.

A strategic update to the Saticoy Area Plan will help to vitalize the potential of the community, provide greater housing opportunities and incentives for further economic development, sustain or improve levels of alternative transportation use, encourage compact, mixed-use development, and provide a balanced mix of jobs and affordable housing opportunities within the Old Town Saticoy area. Old Town Saticoy could serve as a model for increasing prosperity while keeping private vehicle travel and greenhouse gas emissions in check.

WORK TASKS AND DELIVERABLES

Task 1: Community Design Charette

A goal of the strategic Saticoy Area Plan Update is to create policies and transportation improvements, ordinances, standards and design guidelines that reflect the vision and identity of the people within the Saticoy community.

- The consultant will conduct a multi-day community design charette to gather input from the community on mixed-use, circulation and community design strategies and standards. This charette will use a variety of techniques to engage the public and allow them to contribute their ideas to the overall vision for the community.
- County staff will prepare a stakeholders list but it will be up to the consultant to determine when and how these stakeholders will be involved in the charette process.
- A high percentage of Saticoy residents are Spanish speakers, so the consultant will be expected to provide all materials and forums in a bilingual format.
- The consultant shall make an effort to include input from the Mixteco-Indigena community, farmworkers, handicapped, cyclists, and transit users.

Task 1 Deliverable: The consultant will submit an illustrated (in hard copy and electronic copy) summary of the charette results.

Task 2: Circulation Analysis

A goal of the strategic Saticoy Area Plan update is to allow for the creation of a transportation network

that provides safe, efficient circulation throughout Old Town Saticoy for all transportation modes.

- The consultant will conduct a circulation analysis to observe transportation patterns in the area and identify transportation barriers and safety constraints and recommend improvements to the transportation network.
- Utilizing the consultant's expertise and input from Task 1, the consultant will propose specific improvements to the pedestrian, bicycle and transit network to encourage the use of alternative transportation modes and increase user safety.
- The analysis will include a cost estimate and recommended phasing plan for circulation improvements.
- The analysis will propose potential funding mechanisms to pay for the recommended changes, including development of a Saticoy Transportation Improvement Mitigation Fee and/or creation of a Saticoy Redevelopment Agency that could utilize tax increment financing to fund identified improvements. The analysis may include other funding mechanisms where practical.

Task 2 Deliverable: The consultant will submit a written report summarizing transportation findings and recommendations, including a mapped circulation plan, cost estimate for recommended transportation improvements, a recommended phasing plan and an analysis of potential funding mechanisms.

Task 3: Mixed-Use Designation/Zoning Assessment

Allowing a mix of uses within a single neighborhood increases access to essential goods and services, encourages compact development and makes neighborhoods interesting and exciting places to explore. Mixed-use development can also provide additional opportunities for affordable housing, a key to achieving a jobs/housing balance. In addition mixed-use zoning increases the investment value of Old Town Saticoy's commercial properties by allowing additional uses in commercial zones.

- Using input from Task 1, the consultant will prepare an analysis and map depicting and describing the areas most suitable for mixed-use zoning.
- The consultant will evaluate the County's existing Community Business District Overlay Zone and provide specific recommendations for amending this zone or adding a new Saticoy Mixed-Use Zone along with appropriate standards.
- The consultant will recommend guidelines and standards associated with mixed use development that will be suitable for incorporation into the Saticoy Area Plan.

Task 3 Deliverable: The consultant will submit a report detailing recommended zoning ordinance modifications and recommended Area Plan revisions and a map depicting the most suitable areas for mixed-use zoning with the consultant's rationale for selecting these areas for rezoning.

Task 4: Design Guidelines

A well-designed community creates pleasant, welcoming spaces for both residents and visitors. Good urban design fosters economic activity and promotes neighborhood pride, and is an essential component of the strategic update to the Saticoy Area Plan.

- Using the consultant's expertise and input from Task 1, the consultant will prepare illustrated design guidelines for the Saticoy community.
- The Design Guidelines will specifically address mixed-use development, but may also address other aspects of community design as needed based upon input from Task 1.

Task 4 Deliverable: The Consultant will submit illustrated design guidelines.

Additional Requirements

- All written materials, illustrations, and maps will be submitted in paper and electronic format in a manner that can be easily reproduced, and revised as needed by the County.
- The consultant will present the results of the charrette, proposed circulation improvements and proposed design guidelines to City and County staff for review and comment. After addressing staff comments, the consultant will present the results at a public meeting of the Saticoy Community Council.
- The consultant will be expected to coordinate with both the City and County staff and consider the City-adopted Community Plan and Development Code and the County-adopted Saticoy Area Plan and Non-Coastal Zoning Ordinance in the consultant's analysis and recommendations.
- The consultant's proposal will be expected to include a schedule for completion of all deliverables. Charrette should be held within 60 days of contract execution and project should be complete within six months. A shorter timeline is preferred.

PROPOSAL EVALUATION FORM**RFP No. 12-001-B04**Demonstration Project: Old Town Saticoy Area PlanProject/Partner Jurisdiction Ventura County

Consultant Name: _____

Evaluation Criteria	Max. Possible Points	Points Earned	Comments
<u>TECHNICAL APPROACH</u> • Tasks & approach clearly described • Creative/innovative approach • Project intent has been met	30		
<u>CONSULTANT FIRMS:</u> <u>Prime Consultant:</u> • Familiar with regional & local issues • Experience with similar project of the same size and scope <u>Sub-Consultants (if any):</u> • Each sub provides unique service(s) to the team • Subs are fully capable of performing their tasks	30		
<u>PROJECT MANAGEMENT</u> • Qualifications of key individuals • Time commitment of key individuals	20		
<u>PROJECT COST</u> • Realistic cost for services to be performed	20		
<u>REFERENCES</u> • Similar projects completed on time and within budget	Pass/ Fail		
<u>TOTAL</u>	100		

Name of Evaluator (print): _____ Agency: _____

Signature of Evaluator: _____ Date: _____

INTERVIEW EVALUATION FORM**RFP No. 12-001-B04**Demonstration Project: Old Town Saticoy Area PlanProject/Partner Jurisdiction Ventura County

Consultant Name: _____

Evaluation Criteria	Max. Possible Points	Points Earned	Comments
<u>TECHNICAL APPROACH</u> • Tasks & approach clearly described • Creative/innovative approach • Project intent has been met	30		
<u>CONSULTANT FIRMS:</u> <u>Prime Consultant:</u> • Familiar with regional & local issues • Experience with similar project of the same size and scope <u>Sub-Consultants (if any):</u> • Each sub provides unique service(s) to the team • Subs are fully capable of performing their tasks	30		
<u>PROJECT MANAGEMENT</u> • Qualifications of key individuals • Time commitment of key individuals	20		
<u>PROJECT COST</u> • Realistic cost for services to be performed	20		
<u>REFERENCES</u> • Similar projects completed on time and within budget	Pass/ Fail		
<u>TOTAL</u>	100		

Name of Evaluator (print): _____ Agency: _____

Signature of Evaluator: _____ Date: _____

LINE ITEM BUDGET (Cost Proposal) INSTRUCTIONS

1. SCAG uses the Line Item Budget to assess the fairness and reasonableness of a proposer's costs. Once SCAG awards a contract, the negotiated Line Item Budget serves as the basis for reimbursing the proposer (includes Cost Plus as well as Fixed Price contracts).
2. **All proposers must submit a Line Item Budget using the exact format shown on the following page, or may risk having their proposal disqualified.** Further, a Line Item Budget must be submitted for each subconsultant regardless of dollar value of the subcontract. The Line Item Budget (Attachment 5) template may be downloaded from SCAG's website at:
<http://www.scag.ca.gov/business/index.htm>.

Disclaimer – Each proposer is responsible for all mathematical calculations and information provided on the Line Item Budget template.

3. Many items that may be normal business costs and tax deductible may not be allowable under Federal and State contract rules (e.g., dues, advertising, contributions, bad debts, interest expense, meals, and entertainment). For a complete listing, see 48CFR 18.36 and OMB-87.

All costs must be allowable and consistent with Federal cost principles under OMB Circular A-87. Please be aware that the cost-plus-a-percentage-of-cost bid method, where the proposer's profit is a percentage of the reimbursed costs on a project, is not allowed under Federal rules. Also,

contingency fees are not allowed.

4. Cost Structure

A. Direct Labor:

- Direct labor, overhead, and fringe benefits must be shown as separate dollar amounts (United States currency) in the Line Item Budget.
- Identify Key Personnel by both name and title (e.g., Mary Smith, Sr. Planner). Place an asterisk (*) next to the name(s) of any Key Personnel. Other professional or support/administrative staff may be identified by title only.
- **A separate Line Item Budget must be provided for each SCAG Fiscal Year (July – June) for any project crossing over multiple Fiscal Years.** The labor rate quoted for each position in the Line Item Budget must be the rate that is expected to be received during the applicable SCAG fiscal year. Expected merit or cost-of-living increases must be incorporated into the quoted rate. Proposers must provide the maximum rate for each position for proposal evaluation purposes, but if SCAG awards a Cost Plus Fixed Fee contract, SCAG will only pay the selected consultant the actual rate paid to the person in a position, and the rates must be traceable to and supported by payroll records.

Note: For Firm Fixed Priced (FFP) contracts, SCAG uses the labor and overhead rates quoted in the proposer's Line Item Budget to evaluate the proposed price for each task and cumulatively. Once SCAG has negotiated a final Line Item Budget, during the life of the contract, SCAG intends to pay the selected consultant upon completion of each task (unless otherwise agreed to), regardless of the actual cost to complete the task, provided the cost is allowable and allocable, and complies with federal rules and regulations.

- B. Over head:
 - The overhead rate quoted must be the rate that is expected for each Fiscal Year during the life of the contract. Prior to contract award, proposer must substantiate the rate if SCAG requests it.
 - C. Fixed Fee:
 - Fee/Profit is calculated on Direct Labor, Overhead and Fringe Benefits only, not on Subcontractors/Subconsultants.
 - D. Other Direct Costs (ODCs)
 - ODCs must be fully substantiated prior to contract award. If the contract is subject to a pre-award audit, SCAG will review support for ODCs similar to that done for Direct Labor, Overhead, and Fringe Benefits. If SCAG awards a Cost Plus Fixed Fee contract, during the life of the contract, SCAG will require back-up documentation with the monthly invoices to substantiate ODCs.
 - All travel costs must be reasonable, and are limited to those rates stated under California's State Department of Personnel Administration rules, (subject to change) posted at:
<http://www.dot.ca.gov/hq/asc/travel/ch12/1consultant.htm>
5. Contracts less than \$250,000 may require a pre-award audit; those at \$250,000 or more will require a pre-award audit.

LINE ITEM BUDGET

Consultant: ABC Company
1234 Main Street, Suite 100
Los Angeles, CA 90000
(213) 555-5555

Title of RFP: _____

RFP Number: _____

(a) Cost Categories	(b) Maximum Hourly Rate	(c) Task 1		(d) Task 2		(e) Task 3		(f) Task 4		(g) Task 5		(h) Task 6		(i) Task 7		(j) Task 8		(k) Task 9		(l) Task 10		(m) Grand Total (All Tasks)	
		TBD		TBD		TBD		TBD		TBD		TBD		TBD		TBD		TBD		TBD		TBD	
		Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount	Hours	Amount
<u>Direct Labor Classification(s):</u>																							\$0
A. Person, Sr. Planner	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
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	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
Subtotal - Direct Labor		0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
<u>Overhead & Fringe (inc. G&A):</u>																							\$0
			\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0
			\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Subtotal - Overhead & Fringe (inc G&A):			\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0
<u>Fixed Fee</u>																							\$0
			\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Subtotal - Fixed Fee:			\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0
<u>Other Direct Costs (ODCs)</u>																							\$0
Travel	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
Printing – Directly Chargeable Only	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
Other	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
Other	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
Subconsultant(s)*																							\$0
	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
	\$ -		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0	0	\$0
Subtotal - ODCs:			\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Grand Total		0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0

* if you anticipate the use of subconsultants, use a copy of this template to identify subconsultant cost detail by task in a similar fashion and input final figures under each subconsultant (Hours & Amount by tasks involved)

TITLE 49, CODE OF FEDERAL REGULATIONS, PART 29 DEBARMENT AND SUSPENSION CERTIFICATION

RFP No. 12-001-B04

- 1) All persons or firms, including subconsultants, must complete this certification and certify, under penalty of perjury, that, except as noted below, he/she or any person associated therewith in the capacity of owner, partner, director, officer, or manager:
 - a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
 - b) Have not, within the three (3) year period preceding this certification, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of Federal or state antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed in subparagraph (1)(b) of this certification; and
 - d) Have not, within the three (3) year period preceding this certification, had one or more public transactions (Federal, state, and local) terminated for cause or default.
- 2) If such persons or firms later become aware of any information contradicting the statements of paragraph (1), they will promptly provide that information to SCAG.

If there are any exceptions to this certification, insert the exceptions in the following space.

Exceptions will not necessarily result in denial of award, but will be considered in determining proposer/bidder responsibility. For any exception noted above, indicate below to whom it applies, initiating agency, and dates of actions.

Name of Firm

Signature (original signature required)

Date

SCAG CONFLICT OF INTEREST FORM

RFP No. 12-001-B04

SECTION I: INSTRUCTIONS

All persons or firms seeking Federal funded contracts must complete and submit a SCAG Conflict of Interest Form along with the proposal. This requirement also applies to any proposed subconsultant(s). Failure to comply with this requirement may cause your proposal to be declared non-responsive.

In order to answer the questions contained in this form, please review SCAG's Conflict of Interest Policy, the list of SCAG employees, and the list of SCAG's Regional Council members. All three documents can be viewed online at www.scag.ca.gov. The SCAG Conflict of Interest Policy is located under "Doing Business with SCAG," whereas the SCAG staff and Regional Council members lists can be found under "About SCAG."

Any questions regarding the information required to be disclosed in this form should be directed to Justine Block, SCAG Deputy Legal Counsel.

Name of Firm: _____

Name of Preparer: _____

Project Title: _____

RFP Number: _____ **Date Submitted:** _____

SECTION II: QUESTIONS

- During the last twelve (12) months, has your firm provided a source of income to employees of SCAG or members of the SCAG Regional Council, or have any employees or Regional Council members held any investment (including real property) in your firm?

☐ **YES** ☐ **NO**

If "yes," please list the names of those SCAG employees and/or SCAG Regional Council members and the nature of the financial interest:

Name	Nature of Financial Interest
_____	_____
_____	_____
_____	_____
_____	_____

2. Have you or any members of your firm been an employee of SCAG or served as a member of the SCAG Regional Council within the last twelve (12) months?

☐ YES ☐ NO

If “yes,” please list name, position, and dates of service:

Name	Position	Dates of Service
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. Are you or any managers, partners, or officers of your firm related by blood or marriage/domestic partnership to an employee of SCAG or member of the SCAG Regional Council that is considering your proposal?

☐ YES ☐ NO

If “yes,” please list name and the nature of the relationship:

Name	Relationship
_____	_____
_____	_____
_____	_____
_____	_____

4. Does an employee of SCAG or a member of the SCAG Regional Council hold a position at your firm as a director, officer, partner, trustee, employee, or any position of management?

☐ YES ☐ NO

If “yes,” please list name and the nature of the relationship:

Name	Relationship
_____	_____
_____	_____
_____	_____
_____	_____

5. Have you or any managers, partners, or officers of your firm ever given (directly or indirectly), or offered to give on behalf of another or through another person, campaign contributions or gifts to any current employee of SCAG or member of the SCAG Regional Council (including contributions to a political committee created by or on behalf of a member/candidate)?

☐ **YES** ☐ **NO**

If "yes," please list name, date gift or contribution was given/offered, and dollar value:

Name	Date	Dollar Value
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SECTION III: VALIDATION STATEMENT

This Validation Statement must be completed and signed by at least one General Partner, Owner, Principal, or Officer authorized to legally commit the proposer.

DECLARATION

I, (printed full name) _____, (Social Security Number; optional) _____ hereby declare that I am the (position or title) _____ of (firm name) _____, and that I am duly authorized to execute this Validation Statement on behalf of this entity. I hereby state that this SCAG Conflict of Interest Form dated _____ is correct and current as submitted. I acknowledge that any false, deceptive, or fraudulent statements on this Validation Statement will result in rejection of my contract proposal.

Signature of Person Certifying for Proposer
(original signature required)

Date

NOTICE

A material false statement, omission, or fraudulent inducement made in connection with this SCAG Conflict of Interest Form is sufficient cause for rejection of the contract proposal or revocation of a prior contract award.

DISADVANTAGED BUSINESS ENTERPRISE (DBE) INFORMATION**RFP No. 12-001-B04**

The requirements of 49 Code of Federal Regulations (CFR) Part 26 applies to this RFP.

DBEs and other small businesses are strongly encouraged to participate in the performance of Agreements financed in whole or in part with federal funds (See 49 CFR 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs”). The Consultant should ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.

DBE DEFINITION

A DBE is a-for-profit “small business concern” that is at least 51 percent owned and controlled by one or more socially and economically disadvantaged individuals. One or more such individuals must also control the management and daily business operations. These individuals must be citizens (or lawfully admitted permanent residents) of the United States and (1) any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis, or (2) who are either Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, women, or any other group found to be socially and economically disadvantaged by the Small Business Administration.

DBE PARTICIPATION AND GENERAL INFORMATION

It is the proposer’s responsibility to be fully informed regarding their requirements of 49 CFR, Part 26. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP)
- B. A certified DBE may participate as a prime consultant, subconsultant, or as a vendor of material or supplies.
- C. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55; that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing, and supervising the work.
- D. A prime consultant who is a certified DBE is eligible to claim all of the work in the Agreement toward the DBE participation except that portion of the work to be performed by non-DBE subconsultant.

PROPOSER’S/BIDDER’S LIST OF SUBCONSULTANTS (DBE AND NON-DBE)

The proposer shall submit the attached “Proposer’s List of Subconsultants (DBE and non-DBE) – Part I” form, Attachment 8A, with the proposal listing all subconsultants participating in the performance of this project.

Additionally, the proposer shall submit the attached “Proposer’s List of Subconsultants (DBE and non-DBE) – Part II” form, Attachment 8B, with the proposal listing all subconsultants who provided a quote/bid to the proposer, but were not selected to participate as a subconsultant in the performance of this project.

SUBMISSION OF DBE INFORMATION

A “Local Agency Proposer-DBE Information Form” will be included in the Agreement documents to be executed by the successful proposer/bidder. The purpose of the form is to collect data required under 49 CFR 26. Even if no DBE participation will be recorded, the successful proposer must execute and return the form.

DBE SOURCES

Consultants interested in locating DBE subconsultants may refer to the following source:

Statewide DBE Database of the CUCP (California Unified Certification Program):

<http://www.californiaucp.com/>

Click on “Directory”

Also, the following agency may be contacted for assistance in locating DBE firms in California:

Caltrans Office of Certification

1-866-810-6346

DBE CERTIFICATION

The DBE firm must hold a current California Unified Certification Program (CUCP) DBE certification at the time of proposal submission. DBE certifications outside of California will not be accepted. Firms that are DBE certified outside of California may apply for a CUCP DBE certification by contacting one of the certifying agencies listed at: <http://californiaucp.org/>

BIDDER'S LIST OF SUBCONSULTANTS (DBE AND NON-DBE) – PART I

The proposer shall list all subconsultants (both DBE and non-DBE) in accordance with Title 49, Section 26.11 of the Code of Federal Regulations. The listing is required in addition to listing DBE subconsultants elsewhere in the proposal. Photocopy this form for additional firms.

Firm Name/ Address/ City, State, ZIP	Contact/ Phone/ FAX	Annual Gross Receipts	Description of Portion of Work to be Performed	SCAG Use Only (Certified DBE?)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)

BIDDER'S LIST OF SUBCONSULTANTS (DBE AND NON-DBE) – PART II

The proposer shall list all subconsultants who provided a quote or bid but were not selected by the proposer to participate as a subconsultant on this project. This is required for compliance with Title 49, Section 26 of the Code of Federal Regulations. Photocopy this form for additional firms.

Firm Name/ Address/ City, State, ZIP	Contact/ Phone/ FAX	Annual Gross Receipts	Description of Portion of Work to be Performed	SCAG Use Only (Certified DBE?)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)
Firm Name/ Address/ City, State, ZIP	Contact/ Phone/ FAX	Annual Gross Receipts	Description of Portion of Work to be Performed	SCAG Use Only (Certified DBE?)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)
Firm Name/ Address/ City, State, ZIP	Contact/ Phone/ FAX	Annual Gross Receipts	Description of Portion of Work to be Performed	SCAG Use Only (Certified DBE?)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)
Firm Name/ Address/ City, State, ZIP	Contact/ Phone/ FAX	Annual Gross Receipts	Description of Portion of Work to be Performed	SCAG Use Only (Certified DBE?)
		☐ < \$1 million		☐ YES
		☐ < \$5 million		☐ NO
		☐ < \$10 million		<i>If YES list DBE #</i>
		☐ < \$15 million		
		☐ > \$15 million		Age of Firm (Yrs.)

INSTRUCTIONS – LOCAL AGENCY PROPOSER DBE INFORMATION (CONSULTANT CONTRACTS)

SUCCESSFUL PROPOSER:

Attachment 8C must be signed and dated by the successful proposer at contract execution.

The form requires specific information regarding the consultant or other contract: Local Agency, Location, Project Description, Total Contract Amount, Proposal Date, and successful Proposer's Name.

The form has a column for the Work Item Number and Description or Services to be Subcontracted to DBEs. The prime consultant shall indicate all work to be performed by DBEs including, if the prime consultant is a DBE, work performed by its own forces, if a DBE. The DBE shall provide a certification number to the prime consultant. Enter DBE prime consultant's and subconsultant's certification number. The form has a column for the Names of DBE certified contractors to perform the work (must be certified on or before the proposals are due and include DBE address and phone number).

Enter the Total Claimed DBE Participation dollar amount of items of work in the total DBE Dollar Amount column. (If 100% of item is not to be performed by the DBE, describe exact portion of time to be performed by the DBE). Go to http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_p/p10consult.pdf and see "Notice to Proposers Disadvantaged Business Enterprise Information," (Exhibit 10-I) to determine how to count the participation of DBE firms.

Local agencies (SCAG) should complete the Contract Number, Federal-aid Project Number, Federal Share, and Contract Award fields and verify that all information is complete and accurate before signing and sending a copy of the form to the District Local Assistance Engineer within 15 days of contract execution. Failure to submit a completed and accurate form within the 15-day time period may result in the deobligation of funds on this project.

District DBE Coordinator should verify that all information is complete and accurate. Once the information has been verified, the **District Local Assistance Engineer** signs and dates the form.

Local Agency Proposer DBE Information (Consultant Contracts)

LOCAL AGENCY: _____		LOCATION: _____		
PROJECT DESCRIPTION: _____				
TOTAL CONTRACT AMOUNT (\$) _____				
PROPOSER'S NAME: _____				

WORK ITEM NO. (Task No.)	DESCRIPTION OF SERVICES TO BE SUBCONTRACTED (or contracted if the proposer is a DBE)	DBE CERTIFICATION NUMBER AND EXPIRATION DATE	NAME OF DBEs (Must be certified at the time proposals are due – include DBE address and phone number)	DOLLAR AMOUNT OF EACH DBE

For Local Agency (SCAG) to Complete: Local Agency Contract Number: _____ Federal-Aid Project Number: _____ Federal Share: _____ Contract Award: _____ Local Agency certifies that the DBE certifications have been verified and all information is complete and accurate. _____ _____ _____ Print Name Signature Date Local Agency Representative (Area Code) Telephone No. _____	Total Claimed DBE Participation \$ _____ _____ %
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For Caltrans Review: _____ _____ _____ Print Name Signature Date Caltrans District Local Assistance Engineer	_____ Signature of Proposer _____ Date (Area Code) Tel. No. _____ Person to Contact (Please Type or Print)
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FOR SCAG USE:

Distribution: (1) Copy – Fax immediately to the Caltrans District Local Assistance Engineer (DLAE) upon execution. FAX No. (213) 897-2999
 (2) Copy – Include in award package to Caltrans District Local Assistance
 (3) Original – Local Agency files