



**ASSOCIATION of
GOVERNMENTS**

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REQUEST FOR PROPOSAL NO. 10-039-C1

REGIONAL PERFORMANCE ASSESSMENT

RELEASE DATE – DECEMBER 29, 2009

I. SUMMARY

The Southern California Association of Governments (SCAG) is soliciting proposals in response to Request for Proposal (RFP) No. 10-039-C1, Regional Performance Assessment.

SCAG is seeking a consultant to develop the framework for a new Regional Performance Assessment report, with guidance and input from the CEHD committee, and will assist with data collection/automation efforts.

The RFP is comprised of the following nine (9) parts presented herein as Attachments:

1. Proposal Information, Organization, and Content
2. Scope of Work
3. Proposal Evaluation Form
4. Interview Evaluation Form
5. Contract Budget Explanatory Information
6. Debarment and Suspension Certification
7. SCAG Conflict of Interest Form
8. Disadvantaged Business Enterprise (DBE)
9. Vendor Information (Attachment 9)

II. PROPOSAL SUBMISSION

One (1) complete electronic PDF copy on CD-ROM (file cannot exceed 10MB), one (1) original hard copy (clearly marked/stamped as such), and six (6) hard copies shall be received by SCAG's receptionist by 3:00 p.m. PST (time to be determined by SCAG's time clock) on January 25, 2010 and directed to:

Sandee Scott, Senior Contracts Administrator
Southern California Association of Governments
818 W. 7th Street, 12th Floor
Los Angeles, CA 90017-3435
Email: scotts@scag.ca.gov

All submissions are considered a matter of public record.

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

Note: Proposer, Consultant, Contractor, and Firm may be used interchangeably throughout this document.

III. QUESTIONS AND ANSWERS

The deadline to submit questions is January 11, 2010. Questions must be submitted in writing to the attention of:

Sandee Scott, Senior Contracts Administrator
Email: scotts@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.

IV. CONTRACT TYPE

Contract Type: Firm Fixed Price

Note: Our intent is to process payments on a monthly basis, upon completion of each Task. However, proposers may propose a payment schedule for SCAG's consideration.

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

V. PERIOD OF PERFORMANCE

The period of performance shall be from the date of the Notice to Proceed through June 30, 2010.

VI. PROJECTED TIMELINE (Subject to Change)

	<u>DATE</u>	<u>TIME</u>
RFP Released	December 29, 2009	
Deadline to Submit Questions	January 11, 2010	4:00 p.m.
Posting of Answers to Questions	January 14, 2010	4:00 p.m.
RFP Due Date	January 25, 2010	3:00 p.m.
Proposal Evaluations	January 28, 2010	
Consultant Interviews	February 3, 2010	
Final Selection	February 2010	
Contract Execution/NTP	February 2010	

VII. 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.

VIII. 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 an offeror that possesses a valid business license. Offerors must possess the licenses by the RFP due date. SCAG must be provided with a copy of this license, if not provided previously.
 - N. Only award a contract or any portion thereof to an offeror 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. Debriefings will not be provided by SCAG.
6. 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.

7. 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).
8. Every proposal submitted is considered a firm offer that must be valid for a minimum of ninety (90) calendar days.
9. 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.

IX. 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 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 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. FEE STRUCTURE

- Proposals must include a Line Item Budget in the format and detail shown in Attachment 5. The same detailed budget is required of each subconsultant whose portion of the work is \$25,000 or more.

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.
- All proposers should ensure that they have completed and submitted Attachment 9).
- The selected consultant will be required 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

Regional Performance Assessment RFP No. 10-039-C1

Background

From 1998 to 2007, the Southern California Association of Governments (SCAG) published an annual State of the Region report which served the following objectives:

1. Tracked and assessed the performance of Southern California in comparison to other metropolitan regions in the nation.
2. Disseminated information on the region's performance to assist public officials, business and community leaders in developing appropriate strategies to improve our communities.
3. Informed and educated community residents on how our region is performing.

The report's intended audience consisted of:

- Elected officials at local, state and federal levels
- Business and community leaders
- Key agency staff including local government chief administrative officers and planning directors
- Other key stakeholders and partners in regional planning
- Community groups and residents

Guidance was provided by the Benchmarks Task Force, a task force under the Community, Economic and Human Development (CEHD) committee, which consisted of elected officials and issue expert representatives in the region.

Purpose

The consultant will develop the framework for a new Regional Performance Assessment report, with guidance and input from the CEHD committee, and will assist with data collection/automation efforts.

Objectives

1. Definition of Regional Performance Assessment Report

With input from SCAG's Community, Economic and Human Development (CEHD) committee and working in conjunction with SCAG staff, develop an approach, theme, structure, and assessment metrics for a Regional Performance Assessment report (currently known as the State of the Region).

This report would be released during Fiscal Year 2010/2011. Report analysis and writing would not commence until the beginning of Fiscal Year 2010/2011¹.

¹ Any consultant assistance with this effort would be awarded from a separate RFP, which would be issued later in Fiscal Year 2009/2010. Being selected for this RFP does not preclude the consultant from being selected for future Regional Performance Assessment work.

2. Data Collection and Automation

Assist SCAG staff with identifying and obtaining data, as needed. Consultant would also develop a process and tool for updating data in future Regional Performance Assessment report efforts.

Scope of Work**1. Kick-off meeting**

- a. Receive update from SCAG staff regarding current state of Regional Performance Assessment effort
- b. Review workplan and schedule

2. Participate in CEHD committee meetings

- a. Attend monthly CEHD committee meetings to gather input from committee
- b. Assist SCAG staff in providing updates to the committee

3. Develop Regional Performance Assessment report approach, theme, structure and assessment metrics

- a. Utilizing input from CEHD, finalize a report approach and theme, which is expected to include the following:
 - i. Approach for assessing past performance
 - ii. Degree of forward-looking orientation
 - iii. General theme or area(s) of focus in report
- b. Work with SCAG staff to determine structure/organization of the overall report
- c. Examine assessment metrics used in the 2007 State of the Region Report and assess which metrics should be utilized going forward, given changes to the approach, theme and structure.
 - i. Some of the assessment metrics may include surveying the general public, in conjunction with one or more third parties
 - ii. SCAG staff would require assistance in developing a survey instrument
- d. Develop new assessment metrics for the next Regional Performance Assessment report, as needed, as well as a roadmap of metrics to be incorporated in future reports
- e. Develop grading methodology for assessment metrics, including consideration of Regional Comprehensive Plan goals

4. Assist with data identification and automation efforts

- a. Identify data required in Regional Performance Assessment report.
- b. Develop an Excel tool and accompanying processes for updating data and associated charts/graphs in future Regional Performance Assessment reports. This tool may also be used for other SCAG planning and data functions.
- c. Provide guidance to SCAG staff for any difficult to obtain data. For example, identifying new sources of data unknown to SCAG or leveraging contacts to expedite delivery of data.

Deliverables and Schedule

All deliverables must be completed by the end of Fiscal Year 2009/2010 (June 30, 2010). Expected deliverables and estimated timing by Scope of Work item is as follows:

Scope of Work Item	Description	Schedule
1	Kick-off meeting	Late February/Early March 2010
2	Attend monthly CEHD meetings and assist SCAG staff with preparing updates to the committee	Monthly from March through June 2010
3	- Based on input from CEHD, a memo outlining recommended report approach, theme, structure, assessment metrics, and metric grading methodology - Completed survey instrument	- Anticipated before or by May 2010 - Anticipated before or by May 2010
4	- A memo outlining data requirements and process for obtaining/updating data - An Excel tool for updating data and associated charts/graphs in future Regional Performance Assessment reports, along with any necessary assistance in obtaining data	- May 2010 - June 2010

In addition, a final memo that summarizes the consultant's work effort needs to be submitted to SCAG in June 2010.

PROPOSAL EVALUATION FORM

RFP No. 10-039-C1

Consultant Name: _____

Evaluation Criteria	Max. Possible Points	Points Earned	Comments
Technical Approach • Tasks & approach clearly described • Creative/innovative approach • Project intent has been met	30		
Firm's, Project Manager's/Key Staff's Qualifications • Firm's demonstrated knowledge and competence in the tasks identified in the Scope of Work. • Organizational capacity for accomplishing all tasks specified in the Scope of Work within the identified time and budget constraint. • Demonstrated quality and length of experience of the Project Manager/key staff • Familiar with regional & local issues • Capability to reallocate resources as needed to meet project schedule • Experience with similar project of the same size and scope	20		
Cost Proposed	30		
Project Management • Logical & realistic timing of each task • Total time allocated for each task is realistic • Time commitment of key individuals	20		
References • Related to performing Scope of Work	Pass/ Fail		
TOTAL:	100		

Name of Evaluator (print): _____ Agency: _____

Signature of Evaluator: _____ Date: _____

INTERVIEW EVALUATION FORM

RFP No. 10-039-C1

Consultant Name: _____

Evaluation Criteria	Max. Possible Points	Points Earned	Comments
Technical Approach • Tasks & approach clearly described • Creative/innovative approach • Project intent has been met	30		
Firm's, Project Manager's/Key Staff's Qualifications • Firm's demonstrated knowledge and competence in the tasks identified in the Scope of Work. • Organizational capacity for accomplishing all tasks specified in the Scope of Work within the identified time and budget constraint. • Demonstrated quality and length of experience of the Project Manager/key staff • Familiar with regional & local issues • Capability to reallocate resources as needed to meet project schedule • Experience with similar project of the same size and scope	20		
Cost Proposed	30		
Project Management • Logical & realistic timing of each task • Total time allocated for each task is realistic • Time commitment of key individuals	20		
References • Related to performing Scope of Work	Pass/ Fail		
TOTAL:	100		

Name of Evaluator (print): _____ Agency: _____

Signature of Evaluator: _____ Date: _____

CONTRACT BUDGET EXPLANATORY INFORMATION

The Line Item Budget on the following page reflects the most common format used to present budget or compensation information in contracts for planning services. SCAG also uses the Line Item Budget document for Firm Fixed Price Contracts, but only to evaluate the consultant's proposed price.

All consultant (and subconsultant) 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 consultant's profit is a percentage of the reimbursed costs on a project, is not allowed under Federal rules.

In reviewing the sample line item budget, the following should be considered:

- Under direct labor, it is preferable to identify professional staff by both name and position.
- Direct labor and fringe benefits must be shown as separate dollar amounts.
- Contingency fees are not allowed.
- **Firm Fixed Priced (FFP) contracts** SCAG uses the **labor and overhead rates quoted** in the consultant's Line Item Budget, only to evaluate the consultant's proposed price for each task and cumulatively. During the life of the contract, once SCAG has negotiated a final Line Item Budget, SCAG's intends to pay the selected consultant upon completion of each task, regardless of the consultant's actual cost to complete the task.

Any travel costs must be reasonable and are limited to those rates paid in accordance with the Consultants/Contractors Travel Policy under California's State Department of Personnel Administration rules posted at: <http://www.dot.ca.gov/hq/asc/travel/ch12/1consultant.htm>

All consultants must prepare and submit a Line Item Budget using the exact format shown on the following page, or may risk having their proposal disqualified. Furthermore, any subconsultant whose portion of the work is \$25,000 or more must also prepare and submit their own Line Item Budget as part of the proposal.

The Line Item Budget (Attachment 5) template may be downloaded from SCAG's website at: <http://www.scag.ca.gov/business/index.htm>.

Disclaimer:

Proposer is responsible for all mathematical calculations and information provided on the Line Item Budget.

LINE ITEM BUDGET

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

Title of RFP: _____

RFP Number: _____

Cost Categories	Maximum Hourly Rate	Task 1		Task 2		Task 3		Task 4		Task 5		Task 6		Task 7		Task 8		Task 9		Task 10		Grand Total (All Tasks)	
		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
	\$ -		\$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		\$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
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
<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. 10-039-C1

- 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. 10-039-C1

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. 10-039-C1

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 "General Information"

Click on "[CUCP Statewide DBE 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 six certifying agencies listed below.

For DBEs located within the southern California region, certification must be from one of the following agencies:

- | | |
|--|---|
| 1. Department of Transportation (Caltrans) | http://www.dot.ca.gov/ |
| 2. City of Los Angeles | http://www.lacity.org/bca/ |
| 3. Metropolitan Transportation Authority (Metro) | www.metro.net |
| 4. Orange County Transportation Authority (OCTA) | www.octa.net |
| 5. City of San Diego | www.sandiego.gov |
| 6. San Diego County Regional Airport Authority | www.san.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.)
		☐ < \$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.)
		☐ < \$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.)



Main Office

818 West Seventh Street

12th Floor

Los Angeles, California

90017-3435

Phone (213) 236-1800

Fax (213) 236-1825

www.scag.ca.gov**SECTION 1. GENERAL CONTACT INFORMATION**

Primary Contact _____

Title _____

Telephone No. _____

Fax No. _____

E-mail Address _____

Company Website Address _____

SECTION 2. REMITTANCE ADDRESS (IF DIFFERENT FROM FORM W-9)

Company Name _____

Address _____

City _____

State _____

Zip Code _____

Telephone No. _____

Fax No. _____

SECTION 3 BIDDERS' LIST INFORMATION (REQUIRED)

Is your firm a Disadvantaged Business Enterprise (DBE)?

☐ Yes☐ No

As defined in Title 49 Part 26.11 of the Code of Federal Regulations, complete the required information below regardless of whether your firm is a DBE or non-DBE:

Age of Firm: _____

Annual Gross Receipts (select one):

☐ Less than \$1 Million☐ \$5 Million – \$10 Million☐ \$15 Million – \$17.4 Million☐ \$1 Million – \$ 5 Million☐ \$10 Million – \$15 Million☐ \$17.4 Million +

A COPY OF THE FIRMS DBE CERTIFICATION MUST BE PROVIDED TO QUALIFY AS A DBE.

For vendors located within the Southern California region, certification must be from one of the agencies listed below.

If you believe you qualify as a DBE but are not certified, you may want to contact one of the following agencies to initiate the certification process:

DEPT. OF TRANSPORTATION (CALTRANS)**DBE Certification Unit**

Phone: (866) 810-6346 Fax: (916) 324-1862

<http://www.dot.ca.gov/>**CITY OF LOS ANGELES****Office of Contract Compliance**

Phone: (213) 847-6480 Fax: (213) 847-5566

<http://www.lacity.org/bca/>**CITY OF SAN DIEGO****Equal Opportunity Contracting**

Phone: (619) 533-4492 Fax: (619) 533-4474

www.sandiego.gov**ORANGE COUNTY TRANSPORTATION AUTHORITY (OCTA)****Small Business Programs**

Phone: (714) 560-5620 Fax: (714) 560-5792

www.octa.net**LOS ANGELES COUNTY****METROPOLITAN TRANSPORTATION AUTHORITY (METRO)****Small Business Diversity and Labor Compliance**

Phone: (213) 922-2600 Fax: (213) 922-7660

www.metro.net**SAN DIEGO COUNTY REGIONAL AIRPORT AUTHORITY****Small Business Development**

Phone: (619) 400-2569 Fax: (619) 400-2566

www.san.org

SECTION 4. COMMODITY CODE

Check all boxes of the commodity codes that apply to your company's particular areas of expertise.

General Goods & Services								
✓	NIGP	DESCRIPTION	✓	NIGP	DESCRIPTION	✓	NIGP	DESCRIPTION
☐	60001	Painters	☐	60204	Telecommunications	☐	60720	Paper, Fine
☐	60007	Electrical	☐	60233	Appliances	☐	60730	Trophies & Awards
☐	60008	Plumbing	☐	60400	Audio Visual Equipment	☐	60863	Temporary Staffing
☐	60009	Small General Contractors	☐	60401	Audio Visual Supplies	☐	60875	Registrations (Training/Seminars)
☐	60016	Security Systems	☐	60402	Video Equipment	☐	61000	Office Supplies
☐	60017	H V A C Contractors	☐	60545	Moving & Storage	☐	90640	Graphic Design Services
☐	60030	Sound Systems & Electronics	☐	60637	Lease – Equipment	☐	90640.1	Image Setting
☐	60102	Postage & Courier Services	☐	60637.1	Lease – Building	☐	90640.2	Premium/Promotional Items
☐	60102.1	Postage Machines	☐	60638	Maintenance Agreement	☐	96600	Printing & Related Services
☐	60104	Memberships(Professional)	☐	60640	Copiers/Mimeo/Dupl.	☐	96115	Catering & Concessions
☐	60105	Subscriptions (Periodicals)	☐	60670	Furniture – Office	☐	96115.1	Coffee & Tea Services
☐	60200	Computer Hardware	☐	60700	Typewriters & Supplies	☐	96115.2	Bottled Water
☐	60201	Computer Software	☐	60701	Office Machines	☐	96618	Copying/Reproduction Services
☐	60202	Computer Supplies	☐	60702	Office Machine Supplies	☐	91528	Mailing Services & Electronic Info.
☐	60203	Computer Services	☐	60710	Stationary Supplies	☐		
☐	Other							

Professional/Consulting Services

✓	NIGP	DESCRIPTION	✓	NIGP	DESCRIPTION	✓	NIGP	DESCRIPTION
☐	60012	Architects, Engineer	☐	91840	Employee Benefits Consulting	☐	91892.1	Growth Visioning Planning
☐	90868	Project Management	☐	91843	Environmental Consulting	☐	91893	Security/Safety Consulting
☐	91804	Accounting/Auditing/Budgeting	☐	91846	Feasibility Studies	☐	91894	Traffic Consulting
☐	91804.1	Organizational, Financial, & Performance Audits/Project Management Services	☐	91849	Finance/Economic Consulting	☐	91895	Telecommunications Consulting
☐	91806	Administrative Consulting	☐	91858	Government Consulting	☐	91896	Transportation Planning Consulting
☐	91806.1	Administrative Services	☐	91858.1	Government Relations	☐	91896.1	Highway Corridor Analysis
☐	91812	Modeling-Analytical Studies & Surveys	☐	91858.2	Institutional Analysis	☐	91896.2	Rail Planning & Analysis
☐	91812.1	Survey and Data Collection	☐	91863	Housing Consulting	☐	91896.3	Transit & Non-motorized Planning & Analysis
☐	91812.2	Travel Demand Model Improvement	☐	91865	Human Relations Consulting	☐	91896.4	Transportation Management & Coordination
☐	91812.3	Geographic Information System	☐	91866	Human Resources Consulting	☐	91896.5	Truck Lane Analysis/Goods Movement
☐	91812.4	Software Support for Studies & Surveys	☐	91866.1	Executive Search	☐	91896.6	Transportation Financing
☐	91812.5	Regional Data Systems	☐	91866.2	Insurance Broker Services	☐	91896.7	Transportation & Economic Development
☐	91817	Aviation Consulting	☐	91874	Legal Consulting	☐	91896.8	Transportation Investment Analysis
☐	91826	Communications: Public Relations Consulting	☐	91874.1	Legislative Services	☐	91896.9	Transportation Modeling Support
☐	91828	Computer Hardware Consulting	☐	91874.2	Alternative Dispute Resolution	☐	91897	Gas, Water, Electric Consulting
☐	91828.1	Computer Service Center	☐	91875	Management Consulting	☐	91897.1	Air Quality Planning & Modeling
☐	91829	Computer Software Consulting	☐	91875.1	Organization & Staff Development	☐	91897.2	Water Supply Analysis
☐	91829.1	Information Systems	☐	91876	Marketing Consulting	☐	96175	Translation Services
☐	91829.2	Unix Systems Support	☐	91876.1	Social Economic Impact Analysis	☐	91892	Urban Planning Consulting
☐	91829.3	Macintosh Computer Technical Support	☐	91876.2	Social Justice/Equity Analysis			
☐	91837	Economy Analysis Consulting	☐	91879	Minority & Small Business Consulting			
☐	91838	Education & Training Consulting	☐	91883	Organizational Development Consulting			
☐	Other		☐	91885	Personnel/Employment Consulting			

SECTION 5. FORM SUBMISSION

Include this form in your proposal