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GOVERNMENTS**
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REQUEST FOR PROPOSAL NO. 09-011
**User-based Microanalysis, State Route 1 (SR1), Pacific Coast Highway
(PCH) Corridor**
I. SUMMARY

The Southern California Association of Governments (SCAG) is soliciting proposals in response to the Request for Proposal (RFP) No. 09-011, User-based Microanalysis, State Route 1, Pacific Coast Highway (PCH) Corridor. Pacific Coast Highway Corridor is one of the principal corridors serving employment sites and activity centers in the South Bay Subregion. Traffic congestion in the corridor is increasingly severe during commute hours, and significant congestion is experienced by travelers even during off-peak periods. Consultant services are sought to assemble in one place existing data on characteristics and performance and the various management practices along the corridor; survey a community of PCH drivers for their observations about corridor conditions and impediments; and combine and analyze the various data sets in order to produce a Corridor Improvement Plan that will include a list of any short range, low cost improvements that appear feasible while also anticipating tomorrow's congestion that might arise out of a more mixed-mode future.

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

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) (Attachments 8, 8A and 8B)
9. Form W-9 and Attachment to Form W-9

II. PROPOSAL SUBMISSION

One (1) original hard copy (clearly marked as "Original") and eight (8) hard copies (marked as "Copy") shall be received by SCAG by 1:00 p.m. (Pacific and as per SCAG Receptionist's clock) on September 30, 2008 and directed to:

Ms. Ranjini Zucker, CPA, MBA
Senior Contracts Administrator
Southern California Association of Governments
818 W. 7th Street, 12th Floor
Los Angeles, CA 90017-3435
Email: zucker@scag.ca.gov

All submissions are considered a matter of public record.

Your proposal must be received at SCAG by the deadline and in the format specified. Faxed proposal submittals will not be considered. Proposals received after the deadline will be rejected.

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

III. QUESTIONS AND ANSWERS

The deadline to submit questions is **September 8, 2008**. Questions must be submitted via email, with the following clearly identified on the Subject Line of the email **“QUESTIONS: User-based Microanalysis, State Route 1.”** to the email address below:

Email: zucker@scag.ca.gov

Ranjini Zucker, Senior Contracts Administrator

Answers to the questions received will be posted on SCAG’s solicitation management system under the corresponding RFP, typically no later than five (5) business days, after the deadline to submit questions.

IV. BUDGET PARAMETERS

Budget Range: \$100,000

Contract Type: Cost plus fixed fee

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

Proposals exceeding the maximum budget specified in this RFP will not be considered.

V. PERIOD OF PERFORMANCE

Maximum period of performance is eight (8) months. The effective start date shall be the date of the Notice to Proceed (NTP) communication. The project shall end on or before June 30, 2009.

VI. PROJECTED TIMELINE (the last 4 dates identified below are tentative dates)

RFP Release	August 28, 2008	5.00 p.m.
Deadline to Submit Questions	September 8, 2008	5.00 p.m.
Posting of Answers to Questions	September 11, 2008	3.00 p.m.
Proposal Due Date	September 30, 2008	1.00 p.m.
Proposal Evaluation	October 1, 2008	
Consultant Interview	October 14, 2008	
Contract Award Notice	October 26, 2008	

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

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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.

VIII. 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 Deputy Director 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 Deputy Director via both certified mail and fax using the following address and fax number:

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

The contract award will be put on hold when SCAG's Deputy Director receives the protest within the time limit. The contract may not be awarded until the protest is either withdrawn or SCAG's Deputy Director has rendered a decision.

IX. CONTACT INFORMATION

Any questions regarding this RFP may be directed to:

Ms. Ranjini Zucker, Senior Contracts Administrator
Phone: (213) 236-1887
Fax: (213) 236-1825
Email: zucker@scag.ca.gov

PROPOSAL INFORMATION, ORGANIZATION AND CONTENT

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

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
- Primary Contact Person
- Email of the Primary Contact Person
- Signature of the Individual Authorized/Obligated to Commit the Firm to this Project

TABLE OF CONTENTS

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

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 covered in this RFP. Furthermore, a discussion of how the consultant would modify the project, schedule, and/or cost to better meet these objectives without exceeding the stated budget amount.

FEE STRUCTURE/FINANCIAL FORM

- Proposals must include a line item budget in the format and detail shown in Attachment 5. A similar detailed budget is required of each subconsultant whose portion of the work is \$25,000 or more.
- Proposals must include a budget summary by task.

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.

REFERENCES

- Provide a list of at least three (3) references, including the names of contact persons within the firms. References should not include any SCAG staff or SCAG Regional Council Members.

REQUIRED FORMS

- 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 a Form W-9 and Attachment to Form W-9 (Attachment 9). Form W-9 may also be obtained on-line at www.scag.ca.gov under “Doing Business with SCAG.” The form is mandatory for the prime consultant.

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 their proposal any concerns or objections they would have with any of the contract terms and conditions if selected for contract award.** 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.

SCOPE OF WORK

Request for Proposal Number 09-011

Developing a Corridor Improvement Plan for a Segment of State Route 1 (Pacific Coast Highway) in the South Bay Taking into Account the User's Perspective

Problem Statement

State Route 1 (Pacific Coast Highway/Sepulveda Blvd.) is one of the principal corridors serving employment sites and activity centers in the South Bay subregion of Los Angeles County. Management of the corridor, with approximately 15 miles from Imperial Highway in El Segundo to the I-110 in Harbor City, is fragmented among 7 local governments. Caltrans and the LACMTA play roles in addition to those of the local jurisdictions.

The user community is equally fragmented among employees going to and from work (often stopping one or more times along the way for reasons not related to work), consumers shopping and seeking services, residents headed out of the South Bay, visitors from elsewhere headed for South Bay beaches and other recreation areas, and so forth. Users are also fragmented by mode. Most drive in single occupant vehicles, but there are also carpoolers, bus riders, motorcyclists, bicyclists, and even a few pedestrians. In the future, the corridor will surely need to accommodate more of a mix than has existed in the past.

Meanwhile, traffic congestion in the corridor is perceived as being increasingly severe during commute hours,¹ and significant congestion is experienced by travelers even during off-peak periods. Located as it is in the midst of densely populated, built-out communities, major capacity expansion of SR1 seems unlikely from financial, environmental and community impact perspectives. Operational improvements, such as the Caltrans' signal synchronization program, can be expected to reduce but not eliminate congestion.

Little is known about how management practices vary along the corridor (e.g., on-street parking policies, speed limits, left turn pockets, bike lanes, etc.). In the past, the corridor has been studied in segments by various agencies using traditional tools and data sources. The corridor should be studied as a single transportation artery in order to make progress toward developing an integrated operational strategy with appropriate corridor management practices.

Previous studies have not included observations from people who actually drive the corridor. For this study SBCCOG and SCAG are particularly interested in the user's experience in the corridor and what short term, relatively low cost solutions might be identified from analyzing the incidents or patterns that the user identifies.

In summary, this project is seeking a consultant to:

- **assemble in one place existing data on characteristics and performance and the various management practices along the corridor;**

¹ Although the current economic slowdown combined with recent signal synchronization improvements may have slowed the trend, at least temporarily.

- **survey a community of PCH drivers for their observations about corridor conditions and impediments; and**
- **Combine and analyze the various data sets in order to produce a Corridor Improvement Plan that will include a list of any short range, low cost improvements that appear feasible while also anticipating tomorrow's congestion that might arise out of a more mixed-mode future.**

Approach

Congestion in the corridor is caused by a number of factors:

- Corridor and intersection capacity – which can't be expanded in most locations
- Traffic volumes and throughput – which can be affected by factors that range from new development to current employer and retailer parking policies and work schedules
- Street management practices – such as parking policies, signal coordination, and pockets for turning that might vary along the corridor and cause periodic bottlenecks.
- Multi-modal demands – the extent to which cars, buses, cycles and other vehicles share the same right of way
- Miscellaneous recurring and non-recurring impediments: temporary lane blockages due to freight deliveries; conflicts with through traffic due to ingress/egress patterns at shopping malls, hospitals and other major activity centers; temporary lane closures due to subsurface public utility and telecommunications work in the public right-of-way; and incidents and accidents.

In order to determine a new strategy for reducing congestion, the consultant will collect and analyze three types of data:

- Primary data generated by and about employees who use some segment of PCH on their journey to work. These data will primarily be generated by a survey that the consultant will design in partnership with the SBCCOG and the El Segundo Employers Association.
- Current management practices (such as on-street parking policies, speed limits, left or right turn pockets, pedestrian cross walks, bike lanes, number of traffic lanes, etc).and relevant physical characteristics (such as street and lane width) as they vary along the corridor.
- Existing secondary data sets that have been assembled by the various government agencies that develop plans for the corridor. They will include data from: individual cities which collect periodic traffic counts; Caltrans which recently developed a signal synchronization program; the EIRs from recent developments; and other sources (e.g., SCAG, LACMTA) who may possess relevant information. Planned and budgeted roadway improvements should also be identified as well as relevant employer data such as Rule 2202 Average Vehicle Rider ship surveys.

GIS should be used to integrate and analyze the various data sets.

Data Collection and Analysis

In order to make the survey component of the data collection feasible within the budget and schedule, only the employees that can be reached through the El Segundo Employers Association (ESEA) will be survey candidates. This also means that other data will need to be collected only for the segments of PCH that are used by those employees.

The first step in data collection should be working with ESEA to assemble the employee residential locations of as many of the member-employers as possible. Based on this, the total number of likely PCH users can be identified and their percentage of total employees calculated. At some point south along the corridor even those who live adjacent to PCH are likely to take the I-405 freeway instead of PCH as the freeway provides direct access to the I-105 which has an off-ramp that serves the El Segundo employment center served by the ESEA.

A working assumption is that Crenshaw Boulevard could be considered the southern boundary for commuting along PCH to El Segundo until actual data suggest otherwise. This means that the boundaries for collecting information on corridor characteristics, management practices and performance data should initially be Imperial Highway on the north to no farther than Crenshaw Boulevard on the south.

The consultant will need to identify, with the assistance of SCAG and the SBCCOG, all the sources of relevant secondary data. This data collection and assembly task is relatively routine for experienced transportation consultants. Proposing consultants may wish to include a preliminary list of such sources in their proposal to demonstrate their familiarity with the corridor and sub-region.

What is not routine is collecting observations on the corridor's characteristics and conditions from the people who actually use it. The consultant will work with ESEA and the SBCCOG to develop the survey and the plan for its distribution and collection.

The working assumption is that employees who use the corridor will be solicited to volunteer to complete a survey about their commute to work including such factors as their typical trip route, stops coming and going to work, time in transit as well as their residential origin. These surveys would also specifically include driver-observations about the precise nature and location of traffic problems they encountered during the study period. Survey participants would include drive-alone commuters, carpool/vanpools, public transit users and cyclists. If deemed feasible, at least some participants could be asked to keep trip diaries for a limited period (one or two weeks) to provide even more fine-grained insight as to traffic operations in the corridor.

The survey data will be analyzed and combined with the other data that characterize the corridor into a program of recommended improvements and programs for better managing traffic flow along PCH.

While it is uncertain as to the number of employees who might constitute the survey "population," it seems probable that at least 10,000 employees use the corridor on a daily basis to get to work. The goal would be to identify perhaps 2,000 employees who are willing (and motivated!) to participate. Propser's consultant should estimate the number of completed surveys that can be collected within the time and budget constraints.

Project Deliverables

The consultant will deliver the various data sets, a GIS map displaying geographic data, an analysis of the findings and a Corridor Improvement Plan that will include a list of any short range, low cost improvements that appear feasible while also anticipating tomorrow's congestion that might arise out of a more mixed-mode future.

The final GIS and its various data layers will also be delivered in a format that can be used by the

SBCCOG to maintain and revise the initial Corridor Improvement Strategy.

Scope of Work

Task 1 Project Management

Develop a project management plan for the effort. This task shall identify milestones, decision points, critical deliverables, and schedules for review of critical deliverables including meetings with the South Bay cities through which PCH runs. This task includes conducting a kick-off meeting with SBCCOG to address these and other issues such as data collection. Monthly presentations to a SBCCOG Working Group will be required. In addition, meetings with employers associations to report on status may be required.

Task 1 Deliverables:

- Memorandum summarizing decisions reached, project management plan, resource allocation plan, schedule, and list of stakeholders.
- Regular progress reports in writing and to the at least one SBCCOG Working Group.

Task 2 Recruit Employers

Work with the ESEA and SBCCOG to develop a presentation that will explain the study to target employers and recruit them to participate. Deliver the presentation at one or more meetings as determined by ESEA.

Task 2 Deliverable:

- Memorandum summarizing employer recruitment

Task 3 Develop Zip Code Map of Employees' Residences

Providing residential zip codes of their employees to the consultant will be the first step for participating employers. This will allow the consultant to analyze the distribution of employees' residential origins and identify how many and what percentage likely use a segment of PCH for the journey to work, at least some of the time. The consultant should use this distribution to re-evaluate the southern boundary of the study area.

Task 3 Deliverables:

- Map of employee residential origins
- Memorandum analyzing pattern of employees' residential origins.

Task 4 Assemble Existing Data on Corridor Characteristics and Performance

Identify, with the assistance of SCAG and the SBCCOG, the sources of relevant secondary data. The

sources will include individual cities which collect periodic traffic counts, Caltrans which recently developed a signal synchronization program, the EIRs from recent developments, and other agencies with relevant information. The boundaries of the study area are Imperial Blvd. in the north and Crenshaw Boulevard in the south unless the southern boundary is changed in Task 3.

Task 4 Deliverables:

- A variety of data sets
- A map displaying the relevant locational data.

Task 5 Compile Corridor Management Practices

Compile the existing management practices and policies from the corridor-cities, Caltrans and other agencies.

Task 5 Deliverable

- Memorandum on corridor management practices.
- A map displaying the relevant locational data.

Task 6: Design Survey

Develop two survey instruments in collaboration with ESEA and SBCCOG.

- The first survey instrument will ask participants to provide information on their observations as to their typical trip route, stops coming and going to work, time in transit as well as their residential origin and work place destination. Information with respect to the extent and nature of “trip-chaining” is also desired; i.e. other activities visited by commuters on their way to work. These surveys would also specifically include driver-observations about the precise nature and location of traffic problems they encountered during the study period. Survey participants would include drive-alone commuters, carpool/vanpools, and public transit users.
- In addition, it is hoped that at least some participants will keep trip diaries for a limited period (one or two weeks) to provide even more fine-grained insight as to traffic operations in the corridor. The idea here is to see the corridor as the users see it. As an example, is traffic routinely backed up in City X because delivery vans block through lanes due to lack of off-street or curbside parking? Consultant will develop a trip diary for this purpose.

It is important that proposing consultants offer their insights and ideas as to how to make these survey instruments as useful as possible while still being as easy as possible for participants to complete.

Task 6 Deliverable

- Survey instruments including trip diary.

Task 7 Develop Employee Recruitment & Survey Distribution-Collection Plans

Work with ESEA and SBCCOG to develop a plan for recruiting employees to participate and for distributing and collecting the survey. Recruitment may vary between employers: For example, some may publish a newsletter while others may prefer email for outreach. Distribution might be accomplished by sending a hard copy of the survey to each participant's home or by directing them to use an online system. Survey collection will vary with the distribution means.

If reaching the target of 2,000 completed surveys proves difficult, the El Segundo Employers Association (ESEA) has indicated its willingness to consider providing an incentive to participation by offering "prizes" for participation that would be awarded to a limited number of participants on a lottery basis. Such prizes could be cash or in-kind goods or services, perhaps contributed by merchants in the corridor. Proposing consultants should offer their thoughts on the potential effectiveness of this approach and best way to pursue it should it become necessary. If 2,000 completed surveys are unrealistic, proposing-consultants should estimate the number of completed surveys that can be collected within the time and budget constraints.

Task 7 Deliverable

- Plans for recruiting employees and distributing-collecting the surveys

Task 8 Distribute and Collect Surveys

Distribute and collect the surveys according to the adopted plans. A second round of survey distribution may become necessary if the return rate is inadequate.

Task 8 Deliverable

- Memorandum summarizing the number of surveys distributed and collected, and difficulties encountered.

Task 9 Tabulate & Analyze Data

Once survey data have been collected, responses should be tabulated and analyzed. The survey data and the information from Tasks 4 and 5 should be combined and interpreted. Creating GIS layers for comparison may be the best way to integrate the various data sets.

Consultant should analyze the effectiveness of the user-observations and whether this approach provided a useful perspective. Consultant should present the findings of this task to the SBCCOG at the either a working group or Board meeting.

Task 9 deliverables:

- Tabulated survey data
- Memorandum analyzing survey data, describing what was learned, and assessing the effectiveness of user observations for developing a Corridor Improvement Plan.
- GIS layers containing all data collected
- Memorandum analyzing and interpreting all information collected.
- Presentation to the LCWG

Task 10 Draft Corridor Improvement Plan

Synthesize the results of Task 9 into a Draft Corridor Improvement Plan. Proposing-consultants should describe the level of detail that will be feasible within the time and budget constraints. Low cost, short range implementation steps will be especially important. Long run options should also be discussed.

Consultant will meet with a SBCCOG Working Group to review and discuss the Plan.

Task 10 deliverable:

- Draft Corridor Improvement Plan
- Presentation to the SBCCOG.

Task 11 Final Corridor Improvement Plan

Based on input received during Task 10, the Consultant will develop a Final Corridor Improvement Plan as defined in the consultant's proposal.

Task 11 deliverables:

- Final Corridor Improvement Plan
- Document of the process and approach with lessons learned
- Newsletter articles as needed and final report in web base format.

Schedule

Proposing consultants should provide a detailed schedule for completing the tasks listed above.

Note: all work must be completed by June 30, 2009.

Consultant Budget

The budget for this project cannot exceed \$100,000.

PROPOSAL EVALUATION FORM

RFP No. 09-011

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		
CONSULTANT FIRMS: <u>Prime Consultant:</u> - 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 <u>Sub-Consultant(s):</u> - Each sub provides unique service(s) to the team - Subs are fully capable of performing their tasks	25		
PROJECT MANAGEMENT - Reasonable total number & distribution of hours - Qualifications of key individuals - Time commitment of key individuals	20		
PROJECT COST - Realistic cost for services to be performed - Allocation of cost to tasks & activities	15		
REASONABLENESS OF SCHEDULE - Total time allocated for each task is realistic - Logical & realistic timing of each task - Overall schedule consistent with SCAG's scope of work.	10		
REFERENCES Similar projects completed on time and within budget	Pass/ Fail		
TOTAL:	100		

Name of Evaluator (print): _____ Agency: _____

Signature of Evaluator: _____ Date: _____

INTERVIEW EVALUATION FORM

RFP No. 09-011

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		
CONSULTANT FIRMS: <u>Prime Consultant:</u> • 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 <u>Sub-Consultant(s):</u> • Each sub provides unique service(s) to the team • Subs are fully capable of performing their tasks	25		
PROJECT MANAGEMENT • Reasonable total number & distribution of hours • Qualifications of key individuals • Time commitment of key individuals	20		
PROJECT COST • Realistic cost for services to be performed • Allocation of cost to tasks & activities	15		
REASONABLENESS OF SCHEDULE • Total time allocated for each task is realistic • Logical & realistic timing of each task • Overall schedule consistent with SCAG's scope of work.	10		
REFERENCES • Similar projects completed on time and within budget	Pass/ Fail		
TOTAL:	100		

Name of Evaluator _____ Agency: _____

Signature of Evaluator: _____ Date: _____

CONTRACT BUDGET EXPLANATORY INFORMATION

The sample line item budget on the following page reflects the most common format used to present budget or compensation information in contracts for planning services. Under this format, the consultant is compensated for costs, plus given a fixed fee.

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.
- **The labor rate quoted for each position must be the highest rate that is expected to receive during the life of the contract. Expected merit or cost-of-living increases must be incorporated into the quoted rate. Similarly, the overhead rate quoted must be the highest rate that is expected to receive during the life of the contract.**

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.

Consultant: ABC Company
1234 Main Street, Suite 100
Los Angeles, CA xxxxx-xxxx

RFP No. 08-XXX

Project: Title of Project

DIRECT LABOR

<u>Direct Labor Category (specify)</u>	<u>Hours</u>	<u>Maximum Hourly Rate¹</u>	<u>Totals</u>
Principal	50	\$80.00	\$4,000.00
Project Manager	275	\$70.00	\$19,250.00
Sr. Engineer	200	\$65.00	\$13,000.00
Engineer	100	\$60.00	\$6,000.00
Sr. Planner	50	\$55.00	\$2,750.00
Planner	30	\$50.00	\$1,500.00
Technician	50	\$40.00	\$2,000.00
Clerical support (directly chargeable only)	50	\$30.00	\$1,500.00
SUBTOTAL – DIRECT LABOR	805		\$50,000.00

¹Direct Labor rates invoiced must be traceable to current payroll records. Provide name(s) of the Key Personnel. Provide maximum rate for the position when proposing but only the actual rate paid to the person in position shall be invoiced and traceable to payroll record.

OVERHEAD AND FRINGE BENEFITS²

Direct Labor Overhead (as determined from company records) 80%	\$ 40,000
Fringe Benefits (as determined from company records) 30%	\$ 15,000
SUBTOTAL – OVERHEAD AND FRINGE BENEFITS	\$ 55,000

²Many items that are normal business practice costs and tax deductible are not allowable under Federal and State contract rules (e.g., dues, advertising, contributions, bad debts, interest expense, meals, and entertainment). For a complete listing, see 48 CFR 18.36 and OMB-87.

TOTAL DIRECT LABOR, OVERHEAD, AND FRINGE BENEFITS **\$105,000**

FIXED FEE³ (rate should be consistent with other billings for similar services) **\$10,500**

³Fixed Fee is calculated on Direct Labor, Overhead and Fringe Benefits only, not on Subcontractors/Subconsultants. The maximum mark-up on fee is 10% (for the prime).

SUBCONSULTANT(S)⁴

<u>Subconsultant</u>	<u>Hours</u>	<u>Rate</u>	<u>Amount</u>
ABC Engineers	1,000	\$30.00/hr.	\$ 30,000
Overhead and Fringe (50%)			\$ 15,000
Subtotal			\$ 45,000
Fixed Fee (10 %)			\$ 4,500
Total ABC Engineers			\$ 49,500
W. Water, Environmental Consultant	100	\$36.00/hr.	\$ 3,600
SUBTOTAL – SUBCONSULTANT(S)	1,100		\$ 53,100

⁴All subconsultants whose portion of the total contract is valued at \$25,000 or more must break out their costs above in the same format as has been done for ABC Engineers. The maximum mark-up on fee is 10% (any sub-consultant).

OTHER DIRECT COSTS (ODCs)⁵

Travel	\$ 200
Print Material	\$ 75
Other - specify	\$ 0
SUBTOTAL – OTHER DIRECT COSTS	\$ 275

⁵ODCs must be fully documented and included with invoices during the contract period of performance. If contract is subject to a pre-award audit, support for these ODCs will be reviewed similar to that done for Direct Labor, Overhead, and Fringe Benefits.

TOTAL CONTRACT COST⁶ **\$169,375**

⁶Contracts less than \$250,000 MAY require a pre-award audit; those at \$250,000 or more WILL require a pre-award audit.

This Sample invoice format below **must be followed** whenever an invoice is submitted.

XYZ Company		Purchase Order #: 4500000XXXX			
Contract		09-XXX-C1			
Work Element		09-XXX.SCGC12.3			
LINE ITEM		Total Project Budget	Current Month Amount	Cumulative Billings-to-Date	Balance (Over)/Under
XYZ Company Services					
Direct Labor					
Principal/ Joe Smith (Key Personnel)		176,749.00	107,416.25	173,999.25	2,749.75
Sr Engineer/ Jack Smith		60,345.00	41,805.00	60,345.00	0.00
Total Direct Labor		237,094.00	149,221.25	234,344.25	2,749.75
Direct Overhead & Fringe @ 20%		47,418.80	29,844.25	46,868.85	549.95
Total DL,OH, FB		284,512.80	179,065.50	281,213.10	3,299.70
Fixed Fee-10%		22,699.96	12,485.20	22,699.96	0.00
Total DL,OH, FB,Fixed Fee		307,212.76	191,550.70	303,913.06	3,299.70
TOTAL - XYZ Company Services		307,213.56	191,550.70	303,913.06	3,299.70
 Sub consultant 1 - ABC Co.					
Direct Labor Principal - John Doe		19,519.75	3,090.00	5,598.75	13,921.00
Fringe & Overhead @ 60%		11,712.25	1,854.00	3,359.25	8,353.00
Total DL,OH & FB		31,232.00	4,944.00	8,958.00	22,274.00
Fixed Fee-10%		3,123.00	494.40	895.80	2,227.20
Total DL,OH, FB, Fixed Fee		34,354.48	5,438.40	9,853.80	24,500.68
ODC		645.36	110.60	145.96	499.40
SUBTOTAL - ABC CO.		34,999.84	5,549.00	9,999.76	25,000.08
 Sub consultant 2 - DEF Co.					
Direct Labor					
Sr. Engineer/ John Smith		47,275.00	34,131.00	46,283.00	992.00
Fringe & Overhead @ 10%		4,727.20	3,413.10	4,628.30	98.90
Total DL,OH & FB		52,002.20	37,543.90	50,911.30	1,090.90
Fixed Fee-10%		5,199.72	3,753.69	5,088.97	110.75
Total DL,OH, FB, Fixed Fee		57,201.92	41,297.59	55,999.67	1,202.25
ODC		-	-	-	0.00
SUBTOTAL - DEF Co.		57,201.92	41,298.51	56,001.51	1,200.41
 Sub consultant 3 - GHI Co.					
Sr. Analyst/ John Smith		42,315.00	25,668.00	41,323.00	992.00
Fringe & Overhead @ 10%		4,231.20	2,566.80	4,132.30	98.90
Total DL,OH & FB		46,546.20	28,235.00	45,455.30	1,090.90
Fixed Fee-10%		4,654.12	2,823.00	4,544.09	110.03
Total DL,OH, FB, Fixed Fee		51,200.32	31,058.00	49,999.39	1,200.93
ODC		-	-	-	0.00
SUBTOTAL - GHI Co.		51,200.32	31,058.28	49,999.67	1,200.65
 Sub consultant 4					
Dr. A. Smith (Key Personnel)		10,200.00	7,425.00	9,000.00	1,200.00
 Sub consultant 5					
David Doe (Key Personnel)		25,200.00	13,420.00	24,000.00	1,200.00
ODC - XYZ Co		13,983.64	2,049.43	6,381.11	7,602.53
TOTAL CONTRACT AMOUNT		499,999.28	292,350.92	459,295.11	40,703.37

For all Subconsultants with budget above \$25,000 must be accounted separately but in the same format shown for XYZ Company Services

TITLE 49, CODE OF FEDERAL REGULATIONS, PART 29

DEBARMENT AND SUSPENSION CERTIFICATION

RFP No. 09-011

- 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. 09-011

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. 09-011**

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 |

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

Form W-9
(Rev. October 2007)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give form to the
requester. Do not
send to the IRS.

Print or type
See Specific Instructions on page 2.

Name (as shown on your income tax return)

Business name, if different from above

Check appropriate box: ☐ Individual/Sole proprietor ☐ Corporation ☐ Partnership
☐ Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶
☐ Other (see instructions) ▶

☐ Exempt
payee

Address (number, street, and apt. or suite no.)

Requester's name and address (optional)

City, state, and ZIP code

List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number

OR

Employer identification number

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

**Sign
Here**

Signature of
U.S. person ▶

Date ▶

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
 2. The United States or any of its agencies or instrumentalities,
 3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
 4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
 5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
 7. A foreign central bank of issue,
 8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
 9. A futures commission merchant registered with the Commodity Futures Trading Commission,
 10. A real estate investment trust,
 11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
 12. A common trust fund operated by a bank under section 584(a),
 13. A financial institution,
 14. A middleman known in the investment community as a nominee or custodian, or
 15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 7 ²

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, and payments for services paid by a federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting www.irs.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt payees, see *Exempt Payee* on page 2.

Signature requirements. Complete the certification as indicated in 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ³
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ³
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
For this type of account:	Give name and EIN of:
6. Disregarded entity not owned by an individual	The owner
7. A valid trust, estate, or pension trust	Legal entity ⁴
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or "DBA" name on the second name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

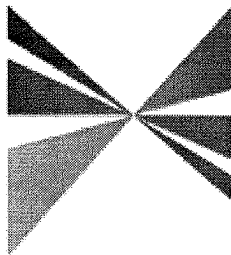
If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS personal property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.consumer.gov/idtheft or 1-877-IDTHEFT(438-4338).

Visit the IRS website at www.irs.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.



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

-9

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

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
☐	91817.1	Aviation Consulting	☐	91874.1	Legislative Services	☐	91896.9	Transportation Modeling Support
☐	91826	Communications: Public Relations Consulting	☐	91874.2	Alternative Dispute Resolution	☐	91897	Gas, Water, Electric Consulting
☐	91828	Computer Hardware Consulting	☐	91875	Management Consulting	☐	91897.1	Air Quality Planning & Modeling
☐	91828.1	Computer Service Center	☐	91875.1	Organization & Staff Development	☐	91897.2	Water Supply Analysis
☐	91829	Computer Software Consulting	☐	91876	Marketing Consulting	☐	96175	Translation Services
☐	91829.1	Information Systems	☐	91876.1	Social Economic Impact Analysis	☐	91892	Urban Planning Consulting
☐	91829.2	Unix Systems Support	☐	91876.2	Social Justice/Equity Analysis			
☐	91829.3	Macintosh Computer Technical Support	☐	91879	Minority & Small Business Consulting			
☐	91837	Economy Analysis Consulting	☐	91883	Organizational Development Consulting			
☐	91838	Education & Training Consulting	☐	91885	Personnel/Employment Consulting			
☐	Other							

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

SECTION 5. FORM SUBMISSION

Include this form in your proposal