

DRAFT REQUEST FOR PROPOSALS (RFP) 3-2328

**SOUTH COAST RAIL INFRASTRUCTURE
FEASIBILITY STUDY AND ALTERNATIVE
CONCEPTS ANALYSIS**



**ORANGE COUNTY TRANSPORTATION AUTHORITY
550 South Main Street
P.O. Box 14184
Orange, CA 92863-1584
(714) 560-6282**

Key RFP Dates

Issue Date:	March 13, 2023
Pre-Proposal Conference Date:	March 21, 2023
Question Submittal Date:	March 24, 2023
Proposal Submittal Date:	April 10, 2023
Interview Date:	May 15, 2023

FEDERAL TRANSIT ADMINISTRATION FUNDED PROJECT

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NOTICE OF REQUEST FOR PROPOSALS

(RFP): 3-2328: “SOUTH COAST RAIL INFRASTRUCTURE FEASIBILITY STUDY/ALTERNATIVE CONCEPTS ANALYSIS”

TO: ALL OFFERORS

FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY

The Orange County Transportation Authority (Authority) invites proposals from qualified consultants to conduct a study that will focus on the approximately seven-mile stretch of railroad corridor in south coastal Orange County.

Proposals must be received in the Authority’s office at or before 2:00 p.m. on April 10, 2023.

Please note that by submitting a Proposal, Offeror certifies that it is not subject to any Ukraine/Russia-related economic sanctions imposed by the State of California or the United States Government including, but not limited to, Presidential Executive Order Nos. 13660, 13661, 13662, 13685, and 14065. Any individual or entity that is the subject of any Ukraine/Russia-related economic sanction is not eligible to submit a Proposal. In submitting a Proposal, all Offerors agree to comply with all economic sanctions imposed by the State or U.S. Government.

The Authority has set a 14% Disadvantaged Business Enterprise (DBE) participation goal for this project.

Proposals delivered in person or by a means other than the U.S. Postal Service shall be submitted to the following:

**Orange County Transportation Authority
Contracts Administration and Materials Management
600 South Main Street, (Lobby Receptionist)
Orange, California 92868
Attention: Megan Bornman, Senior Contract Administrator**

Proposals delivered using the U.S. Postal Service shall be addressed as follows:

**Orange County Transportation Authority
Contracts Administration and Materials Management**

**P.O. Box 14184
Orange, California 92863-1584
Attention: Megan Bornman, Senior Contract Administrator**

Proposals and amendments to proposals received after the date and time specified above will be returned to the Offerors unopened.

Note: The Authority utilizes a third-party delivery service therefore, Offerors should anticipate a 48-hour delay in delivery of proposals mailed to the P.O. Box listed above. Proposals are considered received once time-stamped at the Authority's physical address.

Firms interested in obtaining a copy of this Request for Proposals (RFP) may do so by downloading the RFP from CAMM NET at <https://cammnet.octa.net>.

All firms interested in doing business with the Authority are required to register their business on-line at CAMM NET. The website can be found at <https://cammnet.octa.net>. From the site menu click on CAMM NET to register.

To receive all further information regarding this RFP 3-2328, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

<u>Category:</u>	<u>Commodity:</u>
Professional Consulting	Consultant Services - General
	Consultant Services - Transit
	Planning
	Consultant Services -
	Transportation Planning
	Feasibility Studies (Consulting)
Professional Services	Engineering - General
	Impact Studies, Environmental
	Land Development and
	Planning - Architectural
	Land Surveying
	Railroad; Rapid Transit;
	Monorail - Architectural

A pre-proposal conference will be held via teleconference on March 21, 2023, at 10:00 a.m. Prospective Offerors may join or call-in using the following credentials:

- [Microsoft Teams Link](#)
- OR Call-in Number: 916-550-9867
- Conference ID: 825 987 322#

An on-site/in-person conference will not be held. A copy of the presentation slides and pre-proposal conference registration sheet(s) will be issued via addendum prior to the date of the pre-proposal conference. All prospective Offerors are encouraged to attend the pre-proposal conference.

The Authority has established May 15, 2023, as the date to conduct interviews. All prospective Offerors will be asked to keep this date available.

Offerors are encouraged to subcontract with small businesses to the maximum extent possible.

All Offerors will be required to comply with all applicable equal opportunity laws and regulations.

The award of this contract is subject to receipt of federal, state and/or local funds adequate to carry out the provisions of the proposed agreement including the identified Scope of Work.

SECTION I: INSTRUCTIONS TO OFFERORS

SECTION I. INSTRUCTIONS TO OFFERORS**A. PRE-PROPOSAL CONFERENCE**

A pre-proposal conference will be held via teleconference on March 21, 2023, at 10:00 a.m. Prospective Offerors may join or call-in using the following credentials:

- [Microsoft Teams Link](#)
- OR Call-in Number: 916-550-9867
- Conference ID: 825 987 322#

An on-site/in-person conference will not be held. A copy of the presentation slides and pre-proposal conference registration sheet(s) will be issued via addendum prior to the date of the pre-proposal conference. All prospective Offerors are encouraged to attend the pre-proposal conference.

B. EXAMINATION OF PROPOSAL DOCUMENTS

By submitting a proposal, Offeror represents that it has thoroughly examined and become familiar with the work required under this RFP and that it is capable of performing quality work to achieve the Authority's objectives.

C. ADDENDA

The Authority reserves the right to revise the RFP documents. Any Authority changes to the requirements will be made by written addendum to this RFP. Any written addenda issued pertaining to this RFP shall be incorporated into the terms and conditions of any resulting Agreement. The Authority will not be bound to any modifications to or deviations from the requirements set forth in this RFP as the result of oral instructions. Offerors shall acknowledge receipt of addenda in their proposals. Failure to acknowledge receipt of Addenda may cause the proposal to be deemed non-responsive to this RFP and be rejected.

D. AUTHORITY CONTACT

All communication and/or contacts with AUTHORITY staff regarding this RFP are to be directed to the following Contract Administrator:

Megan Bornman, Senior Contract Administrator
Contracts Administration and Materials Management Department
600 South Main Street
P.O. Box 14184
Orange, CA 92863-1584
Phone: 714.560. 5064, Fax: 714.560.5792
Email: mbornman@octa.net

Commencing on the date of the issuance of this RFP and continuing until award

of the contract or cancellation of this RFP, no Offeror, subcontractor, lobbyist or agent hired by the Offeror shall have any contact or communications regarding this RFP with any Authority's staff; member of the evaluation committee for this RFP; or any contractor or consultant involved with the procurement, other than the Contract Administrator named above or unless expressly permitted by this RFP. Contact includes face-to-face, telephone, electronic mail (e-mail) or formal written communication. Any Offeror, subcontractor, lobbyist or agent hired by the Offeror that engages in such prohibited communications may result in disqualification of the Offeror at the sole discretion of the Authority.

E. CLARIFICATIONS

1. Examination of Documents

Should an Offeror require clarifications of this RFP, the Offeror shall notify the Authority in writing in accordance with Section D.2. below. Should it be found that the point in question is not clearly and fully set forth, the Authority will issue a written addendum clarifying the matter which will be sent to all firms registered on CAMM NET under the commodity codes specified in this RFP.

2. Submitting Requests

- a. All questions, including questions that could not be specifically answered at the pre-proposal conference must be put in writing and received via e-mail at mbornman@octa.net no later than 5:00 p.m., on March 24, 2023.
- b. Requests for clarifications, questions and comments must be clearly labeled, "Written Questions RFP 3-2328" in the subject line of the e-mail. The Authority is not responsible for failure to respond to a request that has not been labeled as such.

3. Authority Responses

Responses from the Authority will be posted on CAMM NET, no later than March 30, 2023. Offerors may download responses from CAMM NET at <https://cammnet.octa.net>, or request responses be sent via email.

To receive email notification of Authority responses when they are posted on CAMM NET, firms and subconsultants must be registered on CAMM NET with at least one of the following commodity codes for this solicitation selected as part of the vendor's on-line registration profile:

Category:
Professional Consulting

Commodity:
Consultant Services - General
Consultant Services - Transit
Planning

Professional Services

Consultant Services -
Transportation Planning
Feasibility Studies (Consulting)
Engineering - General
Impact Studies, Environmental
Land Development and
Planning - Architectural
Land Surveying
Railroad; Rapid Transit;
Monorail - Architectural

Inquiries received after 5:00 p.m. on March 24, 2023, will not be responded to.

F. SUBMISSION OF PROPOSALS

1. Date and Time

Proposals must be received in the Authority's office at or before 2:00 p.m. on April 10, 2023.

Proposals received after the above-specified date and time will be returned to Offerors unopened.

2. Address

Proposals delivered in person or by a means other than the U.S. Postal Service shall be submitted to the following:

**Orange County Transportation Authority
Contracts Administration and Materials Management (CAMM)
600 South Main Street, (Lobby Receptionist)
Orange, California 92868
Attention: Megan Bornman, Senior Contract Administrator**

Or proposals delivered using the U.S. Postal Services shall be addressed as follows:

**Orange County Transportation Authority
Contracts Administration and Materials Management (CAMM)
P.O. Box 14184
Orange, California 92863-1584
Attention: Megan Bornman, Senior Contract Administrator**

Note: The Authority utilizes a third-party delivery service therefore, Offerors should anticipate a 48-hour delay in delivery of proposals mailed to the P.O. Box listed above. Proposals are considered received once time-stamped at the Authority's physical address.

3. Identification of Proposals

Offeror shall submit one (1) original hard copy of its proposal in a sealed package, addressed as shown above in F.2. The outer envelope must show the Offeror's name and address and clearly marked as follows:

(RFP 3-2328 and "South Coast Rail Infrastructure Feasibility Study and Alternative Concepts Analysis").

In addition to the above, Offerors shall also include one (1) electronic copy of their entire RFP submittal package in "PDF" format, on a CD, DVD, or flash drive.

4. Acceptance of Proposals

- a. The Authority reserves the right to accept or reject any and all proposals, or any item or part thereof, or to waive any informalities or irregularities in proposals.
- b. The Authority reserves the right to withdraw or cancel this RFP at any time without prior notice and the Authority makes no representations that any contract will be awarded to any Offeror responding to this RFP.
- c. The Authority reserves the right to postpone proposal openings for its own convenience.
- d. Submitted proposals are not to be copyrighted.

G. PRE-CONTRACTUAL EXPENSES

The Authority shall not, in any event, be liable for any pre-contractual expenses incurred by Offeror in the preparation of its proposal. Offeror shall not include any such expenses as part of its proposal.

Pre-contractual expenses are defined as expenses incurred by Offeror in:

- 1. Preparing its proposal in response to this RFP;
- 2. Submitting that proposal to the Authority;
- 3. Negotiating with the Authority any matter related to this proposal; or
- 4. Any other expenses incurred by Offeror prior to date of award, if any, of the Agreement.

H. JOINT OFFERS

Where two or more firms desire to submit a single proposal in response to this RFP, they should do so on a prime-subcontractor basis rather than as a joint venture. The Authority intends to contract with a single firm and not with multiple firms doing business as a joint venture.

I. TAXES

Offerors' proposals are subject to State and Local sales taxes. However, the Authority is exempt from the payment of Federal Excise and Transportation Taxes. Offeror is responsible for payment of all taxes for any goods, services, processes and operations incidental to or involved in the contract.

J. PROTEST PROCEDURES

The Authority has on file a set of written protest procedures applicable to this solicitation that may be obtained by contacting the Contract Administrator responsible for this procurement. Any protests filed by an Offeror in connection with this RFP must be submitted in accordance with the Authority's written procedures.

K. CONTRACT TYPE

It is anticipated that the Agreement resulting from this solicitation, if awarded, will be a firm-fixed price contract specifying firm-fixed prices for individual tasks specified in the Scope of Work, included in this RFP as Exhibit A.

L. CONFLICT OF INTEREST

All Offerors responding to this RFP must avoid organizational conflicts of interest which would restrict full and open competition in this procurement. An organizational conflict of interest means that due to other activities, relationships or contracts, an Offeror is unable, or potentially unable to render impartial assistance or advice to the Authority; an Offeror's objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or an Offeror has an unfair competitive advantage. Conflict of Interest issues must be fully disclosed in the Offeror's proposal.

All Offerors must disclose in their proposal and immediately throughout the course of the evaluation process if they have hired or retained an advocate to lobby Authority staff or the Board of Directors on their behalf.

Offerors hired to perform services for the Authority are prohibited from concurrently acting as an advocate for another firm who is competing for a contract with the Authority, either as a prime or subcontractor.

M. CODE OF CONDUCT

All Offerors agree to comply with the Authority's Code of Conduct as it relates to Third-Party contracts which is hereby referenced and by this reference is incorporated herein. All Offerors agree to include these requirements in all of its subcontracts.

N. DEBARMENT & SUSPENSION:**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS – PRIMARY PARTICIPANT AND LOWER-TIER PARTICIPANTS**

Unless otherwise permitted by law, any person or firm that is debarred, suspended, or voluntarily excluded, as defined in the Federal Transit Administration (FTA) Circular 2015.1, dated April 28, 1989, may not take part in any federally funded transaction, either as a participant or a principal, during the period of debarment, suspension, or voluntary exclusion. Accordingly, the Authority, acting on behalf of the district, may not enter into any transaction with such debarred, suspended, or voluntarily excluded persons or firms during such period.

A process has been established by 2 CFR Part 180, as adopted and supplemented by 2 CFR Part 1200 as a means to ensure that debarred, suspended, or voluntarily excluded persons or firms do not participate in Federally assisted projects. A person or firm that is unable to provide a positive certification as required by the solicitation must submit a complete explanation attached to the certification. FTA will consider the certification and any accompanying explanation in determining whether or not to provide assistance for the project. Failure to furnish a certification or an explanation may disqualify that person or firm from participating in the project.

O. DISADVANTAGED BUSINESS ENTERPRISE

In conformance with Title 49 CFR Part 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs," the Authority has established a fourteen percent (14%) Disadvantaged Business Enterprise (DBE) participation goal for the services required in this solicitation.

P. OWNERSHIP OF RECORDS/PUBLIC RECORDS ACT

All proposals and documents submitted in response to this RFP shall become the property of the Authority and a matter of public record pursuant to the California Public Records Act, Government Code sections 6250 et seq. (the "Act"). Offerors should familiarize themselves with the provisions of the Act requiring disclosure of public information. Offerors are discouraged from marking their proposal documents as "confidential" or "proprietary."

If a Proposal does include "confidential" or "proprietary" markings and the Authority receives a request pursuant to the Act, the Authority will endeavor (but cannot guarantee) to notify the Offeror of such a request. In order to protect any information submitted within a Proposal, the Offeror must pursue, at its sole cost and expense, any and all appropriate legal action necessary to maintain the confidentiality of such information. The Authority generally does not consider pricing information, subcontractor lists, or key personnel, including resumes, as being exempt from disclosure under the Act. In no event shall the Authority or any of its officers, directors, employees, agents, representatives, or consultants be liable to a Offeror for the disclosure of any materials or information submitted in response to the RFP or by failing to notify a Offeror of a request seeking its Proposal. The Authority reserves the right to make an independent decision to disclose records and material.

Notwithstanding the above, all information regarding proposal responses will be held as confidential until such time as the evaluation has been completed; an award has been made by the Board of Directors or Authority Staff, as appropriate; and the contract has been fully negotiated.

Q. STATEMENT OF ECONOMIC INTERESTS

The awarded Offeror (including designated employees and subconsultants) may be required to file Statements of Economic Interests (Form 700) in accordance with the Political Reform Act (Government Code section 81000 et seq.). This applies to individuals who make, participate in making, or act in a staff capacity for making governmental decisions. The AUTHORITY determines which individuals are required to file a Form 700, and if such determination is made, the individuals must file Form 700s with the AUTHORITY's Clerk of the Board no later than 30 days after the execution of the Agreement, annually thereafter for the duration of the Agreement, and within 30 days of termination of the Agreement.

SECTION II: PROPOSAL CONTENT

SECTION II. PROPOSAL CONTENT

A. PROPOSAL FORMAT AND CONTENT

1. Format

Proposals should be typed with a standard 12-point font, double-spaced and submitted on 8 1/2" x 11" size paper, using a single method of fastening. Charts and schedules may be included in 11"x17" format. Proposals should not include any unnecessarily elaborate or promotional materials. Proposals should not exceed fifty (50) pages in length, excluding any appendices, cover letters, resumes, or forms.

2. Letter of Transmittal

The Letter of Transmittal shall be addressed to Megan Bornman, Senior Contract Administrator and must, at a minimum, contain the following:

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

3. Technical Proposal

- a. Qualifications, Related Experience and References of Offeror

This section of the proposal should establish the ability of Offeror to satisfactorily perform the required work by reasons of: experience in

performing work of a similar nature; demonstrated competence in the services to be provided; strength and stability of the firm; staffing capability; work load; record of meeting schedules on similar projects; and supportive client references.

Offeror to:

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

b. Proposed Staffing and Project Organization

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

Offeror to:

- (1) Identify key personnel proposed to perform the work in the specified tasks and include major areas of subcontract work. Include the person's name, current location, proposed position for this project, current assignment, level of commitment to that assignment, availability for this assignment and how long each person has been with the firm.
- (2) Furnish brief resumes (not more than two [2] pages each) for the proposed Project Manager and other key personnel that includes education, experience, and applicable professional credentials.
- (3) Indicate adequacy of labor resources utilizing a table projecting the labor-resource allocation to the project by individual task.
- (4) Include a project organization chart, which clearly delineates communication/reporting relationships among the project staff.
- (5) Include a statement that key personnel will be available to the extent proposed for the duration of the project acknowledging that no person designated as "key" to the project shall be removed or replaced without the prior written concurrence of the Authority.

c. Work Plan

Offeror should provide a narrative, which addresses the Scope of Work, and shows Offeror's understanding of Authority's needs and requirements.

Offeror to:

- (1) Describe the approach to completing the tasks specified in the Scope of Work. The approach to the work plan shall be of such detail to demonstrate the Offeror's ability to accomplish the project objectives and overall schedule.
- (2) Outline sequentially the activities that would be undertaken in completing the tasks and specify who would perform them.
- (3) Furnish a project schedule for completing the tasks in terms of elapsed weeks.
- (4) Identify methods that Offeror will use to ensure quality control as well as budget and schedule control for the project.

- (5) Identify any special issues or problems that are likely to be encountered in this project and how the Offeror would propose to address them.
- (6) Offeror is encouraged to propose enhancements or procedural or technical innovations to the Scope of Work that do not materially deviate from the objectives or required content of the project.

d. Exceptions/Deviations

State any technical and/or contractual exceptions and/or deviations from the requirements of this RFP, including the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit B), using the form entitled "Proposal Exceptions and/or Deviations" included in this RFP. This Proposal Exceptions and/or Deviations form must be included in the original proposal submitted by the Offeror. If no technical or contractual exceptions and/or deviations are submitted as part of the original proposal, Offerors are deemed to have accepted the Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit B). Offerors will not be allowed to submit the Proposal Exceptions and/or Deviations form or any technical and/or contractual exceptions after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

All exceptions and/or deviations will be reviewed by the Authority and will be assigned a "pass" or "fail" status. Exceptions and deviations that "pass" do not mean that the Authority has accepted the change but that it is a potential negotiable issue. Exceptions and deviations that receive a "fail" status means that the requested change is not something that the Authority would consider a potential negotiable issue. Offerors that receive a "fail" status on their exceptions and/or deviations will be notified by the Authority and will be allowed to retract the exception and/or deviation and continue in the evaluation process. Any exceptions and/or deviation that receive a "fail" status and the Offeror cannot or does not retract the requested change may result in the firm being eliminated from further evaluation.

4. Cost and Price Proposal

Offerors are asked to submit only the technical qualifications as requested in the RFP. No cost proposal or work hours are to be included in this phase of the RFP process. Upon completion of the initial evaluations and interviews, if conducted, the highest ranked Offeror will be asked to submit a detailed cost proposal and negotiations will commence based on both the cost and technical proposals.

5. Appendices

Information considered by Offeror to be pertinent to this project and which has not been specifically solicited in any of the aforementioned sections may be placed in a separate appendix section. Offerors are cautioned, however, that this does not constitute an invitation to submit large amounts of extraneous materials. Appendices should be relevant and brief.

B. FORMS

1. Campaign Contribution Disclosure Form

In conformance with the statutory requirements of the State of California Government Code Section 84308, part of the Political Reform Act and Title 2, California Code of Regulations 18438 through 18438.8, regarding campaign contributions to members of appointed Board of Directors, Offeror is required to complete and sign the Campaign Contribution Disclosure Form provided in this RFP and submit as part of the proposal.

This form **must** be completed regardless of whether a campaign contribution has been made or not and regardless of the amount of the contribution.

The prime contractor, subconsultants, lobbyists and agents are required to report all campaign contributions made from the proposal submittal date up to and until the Board of Directors makes a selection.

Offeror is required to submit only **one** copy of the completed form(s) as part of its proposal and it must be included in only the **original** proposal.

2. Status of Past and Present Contracts Form

Offeror shall complete and sign the form entitled "Status of Past and Present Contracts" provided in this RFP and submit as part of its proposal. Offeror shall identify the status of past and present contracts where the firm has either provided services as a prime vendor or a subcontractor during the past five (5) years in which the contract has been the subject of or may be involved in litigation with the contracting authority. This includes, but is not

limited to, claims, settlement agreements, arbitrations, administrative proceedings, and investigations arising out of the contract. Offeror shall have an ongoing obligation to update the Authority with any changes to the identified contracts and any new litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations that arise subsequent to the submission of Offeror's proposal.

A separate form must be completed for each identified contract. Each form must be signed by the Offeror confirming that the information provided is true and accurate. Offeror is required to submit one copy of the completed form(s) as part of its proposals and it should be included in only the original proposal.

3. Disadvantaged Business Enterprise Program and Forms

In conformance with Title 49 CFR Part 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs," offerors must complete the following forms:

- DBE Participation Commitment Form
- Letter of Acknowledgement and Commitment (required from each proposed DBE firm listed on the DBE Participation Commitment Form)
- DBE Information – Good Faith Efforts (if sufficient participation to meet the DBE goal has not been proposed on the "DBE Participation Commitment Form")
- Bidders List

4. Certification of Restrictions on Lobbying

This form requires the Offeror to certify compliance with the lobbying requirements of 31 U.S.C. Section 1352 and the applicable regulations under 49 CFR part 19 and 20. (Required if the bid is equal or greater than \$100,000). The offeror is required to submit the Certification of Restrictions on Lobbying Form" and "Disclosure of Lobbying Activities Form", in order for the offeror's proposal to be responsive and to be considered for evaluation.

5. Disclosure of Lobbying Activities

This form requires the Offeror to disclose lobbying activities pursuant to the requirements of 31 U.S.C. Section 1352. If Offeror does not have any reportable activities to disclose, they shall check the box entitled "No Reportable Activities" on the attached Standard Form-LLL "Disclosure of Lobbying Activities" and complete Section 16 of the form in order for the offeror's proposal to be responsive and to be considered for evaluation. The certifying official shall sign and date the form, print his/her name, title and telephone number.

6. Safety Specifications

Offerors shall comply with Safety Specifications Level 1 as included in this RFP as Exhibit G, during the term of the awarded Agreement.

7. Proposal Exceptions and/or Deviations Form

Offerors shall complete the form entitled "Proposal Exceptions and/or Deviations" provided in this RFP and submit it as part of the original proposal. For each exception and/or deviation, a new form should be used, identifying the exception and/or deviation and the rationale for requesting the change. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed nor considered by the Authority.

SECTION III: EVALUATION AND AWARD

SECTION III. EVALUATION AND AWARD

A. EVALUATION CRITERIA

The Authority will evaluate the offers received based on the following criteria:

1. **Qualifications of the Firm** **20%**

 Technical experience in performing work of a closely similar nature; experience working with public agencies; strength and stability of the firm; strength, stability, experience and technical competence of subcontractors; assessment by client references.

2. **Staffing and Project Organization** **40%**

 Qualifications of project staff, particularly key personnel and especially the Project Manager; key personnel's level of involvement in performing related work cited in "Qualifications of the Firm" section; logic of project organization; adequacy of labor commitment; concurrence in the restrictions on changes in key personnel.

3. **Work Plan** **40%**

 Depth of Offeror's understanding of Authority's requirements and overall quality of work plan; logic, clarity and specificity of work plan; appropriateness of resource allocation among the tasks; reasonableness of proposed schedule; utility of suggested technical or procedural innovations.

B. EVALUATION PROCEDURE

An evaluation committee will be appointed to review all proposals received for this RFP. The committee is comprised of Authority staff and may include outside personnel. The committee members will evaluate the written proposals using criteria identified in Section III A. A list of top ranked proposals, firms within a competitive range, will be developed based upon the totals of each committee members' score for each proposal.

During the evaluation period, the Authority may interview some or all of the proposing firms. The Authority has established May 15, 2023, as the date to conduct interviews. All prospective Offerors are asked to keep this date available. No other interview dates will be provided, therefore, if an Offeror is unable to attend the interview on this date, its proposal may be eliminated from further discussion. The interview may consist of a short presentation by the Offeror after which the evaluation committee will ask questions related to the firm's proposal and qualifications.

At the conclusion of the evaluation process, the evaluation committee will recommend to the Transit Committee, the Offeror with the highest final ranking or a short list of top ranked firms within the competitive range whose proposal(s) is most advantageous to the Authority. The Board Committee will review the evaluation committee's recommendation and forward its recommendation to the Board of Directors for final action.

C. AWARD

The Authority's Board of Directors will consider the selection of the firm(s) recommended by the Board Committee.

The Authority may also negotiate contract terms with the selected Offeror prior to award, and expressly reserves the right to negotiate with several Offerors simultaneously and, thereafter, to award a contract to the Offeror offering the most favorable terms to the Authority.

Offeror acknowledges that the Authority's Board of Directors reserves the right to award this contract in its sole and absolute discretion to any Offeror to this RFP regardless of the evaluation committee's recommendation or recommendation of a Board Committee.

The Authority reserves the right to award its total requirements to one Offeror or to apportion those requirements among several Offerors as the Authority may deem to be in its best interest. In addition, negotiations may or may not be conducted with Offerors; therefore, the proposal submitted should contain Offeror's most favorable terms and conditions, since the selection and award may be made without discussion with any Offeror.

The selected Offeror will be required to submit to the Authority's Accounting department a current IRS W-9 form prior to commencing work.

D. NOTIFICATION OF AWARD AND DEBRIEFING

Offerors who submit a proposal in response to this RFP shall be notified via CAMM NET of the contract award. Such notification shall be made within three (3) business days of the date the contract is awarded.

Offerors who were not awarded the contract may obtain a debriefing concerning the strengths and weaknesses of their proposal. Unsuccessful Offerors, who wish to be debriefed, must request the debriefing in writing or electronic mail and the Authority must receive it within three (3) business days of notification of the contract award.

EXHIBIT A: SCOPE OF WORK

**Scope of Work
South Coast Rail Infrastructure Feasibility Study/
Alternative Concepts Analysis**

Background

The Orange County Transportation Authority (OCTA) owns the Orange Rail Subdivision in South Orange County located between San Clemente and Fullerton. OCTA is seeking proposals from qualified consultants to conduct an approximately 24-month study to develop concepts to address rail infrastructure protection and/or improvements on the approximately seven-mile stretch of railroad corridor in south coastal Orange County from approximately milepost (MP) 200 to MP 207. The study area includes the cities of Dana Point, San Clemente, and unincorporated portions of the counties of Orange and San Diego. As defined by the United States Department of Defense, the rail line between Los Angeles and San Diego is designated as a Strategic Rail Corridor Network, which consists of key railroad lines most important to national defense. The study area should generally include approximately 500 feet to the east and west of the existing Los Angeles – San Diego – San Luis Obispo (LOSSAN) Railroad Corridor and would likely extend beyond these limits for potential longer-term considerations. This study will take into consideration federal, state, and local sustainability planning efforts and elements of these plans should be incorporated, as appropriate. In addition, a geotechnical literature review and a Preliminary Geotechnical Report shall be conducted to assess the geological conditions of the study area as well as anticipated environmental studies that may be needed to assess various alternative concepts under consideration.

The analysis should assume that the rail infrastructure would, in general, remain on the existing alignment for the seven-mile stretch of the study area until long-term solutions can be studied and implemented. Although the long-term disposition of the railroad line will be considered, the focus will be on the short and medium-term. Evaluation criteria will be developed to establish a framework to vet and develop a set of viable alternative concepts (AC) along with the associated design geometric concepts that will address coastal rail protection.

Over the past several years, storm surges, combined with several other environmental factors including drastic sea level rise and bluff erosion caused by climate change, have damaged the LOSSAN Rail Corridor and adjacent infrastructure. This has resulted in increased required maintenance and emergency repair measures to stabilize the infrastructures. The emergency repairs have also led to substantial service disruptions and delays. This feasibility study will support the development of partnerships and assist in directing priorities for future rail planning efforts, including potential project-level preliminary engineering and environmental analysis.

This effort will include the following:

- Literature review of previous studies (including geotechnical studies) that may be used to inform options to address the issues in the study area;
- Conduct a preliminary geotechnical study of the study area;

- Identify potential conceptual engineering solutions to the challenges along the coast;
- Inventory of other public infrastructure;
- Develop a set of evaluation criteria to consider the feasibility of a range of reasonable ACs that may be viable solutions;
- Develop general consensus on a set of viable solutions;
- Develop conceptual plans and profiles on the set of viable solutions including corridor alignments;
- Identify entities and individuals who would be best suited to lead those efforts; and
- Study recommendations/next steps

Limitations On Governmental Decisions

Nothing contained in this scope of work permits CONSULTANT's personnel to authorize or direct any actions, votes, appoint any person, obligate, or commit OCTA to any course of action or enter into any contractual agreement on behalf of OCTA. In addition, CONSULTANT's personnel shall not provide information, an opinion, or a recommendation for the purpose of affecting a decision without significant intervening substantive review by OCTA personnel, counsel, and management.

Purpose and Goals of the Study

OCTA is seeking proposals from qualified CONSULTANT firms to perform the following tasks:

- Identify and develop the study's purpose and need to help guide short-term and medium-term decision making.
- Assess existing and future risks, issues, and challenges with the maintenance and operation of rail services along the existing LOSSAN rail corridor in South Orange County.
- Given the above risks, issues and challenges: assess and identify short- (0 to 10 years) and medium-term (11 to 30 years) solutions to address a seven-mile segment of the LOSSAN rail corridor. A menu of potential infrastructure improvements would be considered as part of this study.
- Identify and engage key stakeholders at the appropriate federal, state, and local level. These should include, but not be limited to, government agencies, community organizations, environmental groups and homeowners' associations, as appropriate.
- Establish a Project Development Team, Stakeholder Working Group and Policy Working Group.
- Develop partnerships to collaboratively identify potential considerations, to advance and implement short- and medium-term solutions for the LOSSAN Corridor in South Orange County.
- Assess and compare potential project alternatives for compliance with the local jurisdiction's City policies and on-going Local Coastal Plan efforts (including, but not limited to: San Clemente's and Dana Point's General Plans, Sea Level Rise

- Vulnerability Assessment, Nature Based Coastal Resiliency Project Feasibility Study, Bicycle & Pedestrian Master Plan, etc.).
- Prepare a preliminary geotechnical report that will help to guide the assessment of the ACs.
 - Analyze and include as part of this analysis past and current beach sand profiles.
 - Assess and report on impacts to local resources, facilities and utilities for the cities of Dana Point and San Clemente such as the Sewer Main & Storm Drains, Public Beach Trail, Crossings Quiet Zone/PAWS System, Public Beach Access Points/Crossings, San Clemente Pier Improvements, and Lifeguard Building & Emergency Services, etc.
 - Assess recreational impacts such as effects of surfing and swimming resources.
 - Identify up to six (6) ACs and develop strategies for the LOSSAN Corridor within the study area. Note, the process would start off with a larger number of ACs (6 to 8) which would then be reduced to a more manageable number. Additionally, this should include a “no build” alternative.
 - Conduct a preliminary environmental analysis on the initial set of ACs and refine them, once the ACs have been reduced to smaller number (up to 6).
 - Identify the core elements for an emergency maintenance and operation deployment plan.
 - Develop an action plan for the short- and medium-term improvements as well as a framework and action plan for the long-term improvements. Identify follow-up activities and recommend coordination with existing projects along the LOSSAN corridor, as appropriate.

Task 1: Project Administration

This task includes the project management services including requirements for meetings, schedules, cost control, quality management, progress reports, invoicing, and administration of all CONSULTANT work. The CONSULTANT shall prepare and submit an initial schedule within five days upon contract approval by all parties. Upon approval by OCTA, the schedule will become the project baseline schedule.

The CONSULTANT shall prepare and submit monthly progress reports to the OCTA Project Manager including updates on key milestones, project schedule, and percent complete detail for each task. The project progress and schedule updates shall be reported as earned value (percent complete) against the baseline schedule. The report will also describe anticipated activities to be undertaken in the next reporting period, and any new or changed activities, challenges or risks that may affect schedule, scope, and budget. The CONSULTANT may participate in public outreach activities, which will be the subject of a separate contract. Please note, the review process for deliverables will generally consist of at least two rounds of reviews. The first round will consist of OCTA, LOSSAN, and Metrolink reviewing the materials and then the CONSULTANT shall address the comments and provide an updated version to the larger Project Development Team (PDT), Stakeholder Working Group (SWG), and Policy Working Group (PWG) [see Task 3 for the PDT, SWG, PWG members].

Deliverables (PDFs only of each):

- Project master schedule (e-mailed at least quarterly to the OCTA Project Manager).
- Monthly progress reports and invoices.
- Attendance at monthly update meetings (up to 24) with the OCTA Project Manager including preparation of agendas and meeting minutes. Virtual attendance may be considered.
- Graphics and presentation aids required for meetings.
- Participation in public outreach activities.

Task 2: Data Collection

For this task, the CONSULTANT shall build on and review any existing and current commuter, intercity, high-speed, and freight rail planning, engineering, relevant agreements/documents, and local/regional infrastructure projects/studies that may have an influence in the study area. These plans/studies may include, but are not limited to, state intercity rail plans; state, regional, and freight plans and policy direction; California High Speed Rail documents, regional transportation plans (i.e., Southern California Association of Governments and San Diego Association of Governments); Metrolink's Southern California Optimized Rail Expansion documents; LOSSAN rail corridor plans; North County Transit District documents (e.g., Pathing Study); Burlington Northern Santa Fe (BNSF) documents; coastal resilience plans/studies; regional/local projects/plans (i.e., sediment supply, etc.); and any other plans and/or infrastructure projects that may affect this subdivision. Where appropriate, the CONSULTANT shall identify the milepost/location of the study limits of the aforementioned agency efforts.

As part of the inventory and summaries, the CONSULTANT shall prepare a technical memo describing each plan's relevancy to the study area. The technical memo shall note differences between the plans, including plan-to-plan potential conflicts, as well as areas of consistency. In addition, the technical memo shall also include a recommended timeline for the other agencies' and entities' implementation efforts, including infrastructure improvements, etc.

Deliverables:

- Draft technical memo and final technical memo incorporating OCTA's, LOSSAN's, and Metrolink's, and PDT, SWG, and PWG comments (MS Word file format) including supporting maps and graphics.
- All digital data will also be delivered in original file formats (e.g., .xlsx, .docx, .pptx, etc.).

Task 3: Stakeholder Engagement

The CONSULTANT shall prepare and implement a stakeholder engagement plan in conjunction with OCTA. In coordination with the OCTA Project Manager, the CONSULTANT shall recommend PDT and SWG members and establish the PWG.

It is anticipated that a separate public outreach contract would need to be procured to provide additional support for this effort. The public outreach consultant will develop an

outreach plan to gather public information into the study process. As part of the primary duties of this CONSULTANT team, technical assistance shall be provided to the outreach consultant. As part of the stakeholder engagement plan, the CONSULTANT shall briefly describe the purpose of the PDT, SWG, and PWG and develop objectives for each group.

The CONSULTANT shall interview key agencies that may be affected by this study. The CONSULTANT shall develop the interview questions in consultation with the OCTA Project Manager.

The PDT members may include staff or representatives from, but are not limited to:

- OCTA, Metrolink, LOSSAN/Amtrak, Caltrans, BNSF, Union Pacific, and the cities of San Juan Capistrano, San Clemente, and Dana Point, County of Orange (including Orange County Board of Supervisor – District 5, Orange County Parks and Orange County Flood Control District), San Diego County, etc.

The SWG members would include PDT members with additional members from:

- Federal agencies: United States Army Corps of Engineers, United States Fish and Wildlife Service, Federal Railroad Administration (FRA), Federal Transit Administration, Surface Transportation Board, United States Marine Corps, etc.
- State agencies: California State Parks, California Coastal Commission (CCC), California Department of Fish and Wildlife, San Diego Regional Water Quality Control Board, State Lands Commission, etc.
- Non-governmental organizations: homeowners associations, environmental organizations, community-based organizations, etc.

The PWG would consist of elected officials representing jurisdictions within or adjacent to the project study area. OCTA will provide a list of PWG group members upon commencement of the study.

The CONSULTANT shall also recommend individuals to interview as part of a panel of experts as it relates to coastal infrastructure protection. These experts may include, academia, geologists, seismologists, oceanographers, coastal resilience/climate change experts, nonprofit organizations, etc.

Deliverables:

- Up to 6 interviews with key federal, state, regional, and railroad stakeholders including preparation of agenda and minutes for each meeting (MS Word file format).
- Participation in up to 16 Project Development Team meetings (combination of in-person and virtual) including preparation of agenda and minutes for each meeting (MS Word file format).
- Participation in up to 8 Stakeholder Working Group meetings (combination of in person and virtual) including preparation of agenda and minutes for each meeting (MS Word file format).

- Participation in up to 5 Policy Working Group meetings (combination of in-person and virtual) including preparation of agenda and minutes for each meeting (MS Word file format).
- Draft technical memo and final technical memo summarizing the key issues and outcomes of the above-mentioned meetings including supporting maps and graphics and incorporating OCTA's, LOSSAN's, and Metrolink's, and PDT, SWG, and PWG comments (MS Word file format). Where appropriate, CONSULTANT shall respond to comments in a response to comments matrix.
- Draft PowerPoint presentation and final PowerPoint presentation incorporating OCTA's, LOSSAN's, and Metrolink's comments (in PowerPoint file format) including supporting maps and graphics.
- All digital data will also be delivered in original file formats (e.g., .xlsx, .docx, .pptx, etc.).
- As appropriate, presentations to local city councils for progress updates and presentation of final recommendations.

Task 4a: Geotechnical Literature Review

The CONSULTANT shall conduct a literature review of previous geotechnical investigations prepared by others in the vicinity of the study area. This exercise will help to guide the process and scope for the Preliminary Geotechnical Report.

Purpose:

The purpose of the Geotechnical Literature Review is to ascertain the scope of the Preliminary Geotechnical Report (Task 4b) and guide the feasibility considerations of improvements under consideration. The effort shall include an inventory and assessment of previous geotechnical investigations prepared by others that will help with data gaps. These previous investigations should include those prepared by state, local, and regional agencies, academia, and private entities.

Approach:

The CONSULTANT shall summarize the literature used in researching the geotechnical conditions for this study. The literature may be geologic and/or topographic maps, aerial photographs, previously completed geotechnical reports for this or adjacent projects, reports for the overall geology of the region, or others. The CONSULTANT should consider including pertinent maps as part of this literature search effort. The report should describe the investigation method(s), such as walk-through or aerial site reconnaissance, which may have been conducted for this report. OCTA, LOSSAN, and Metrolink, and the PDT, SWG, and PWG shall be afforded the opportunity to review and provide comments on the draft and final reports.

Deliverables:

- Draft Geotechnical Literature Review Report
- Final Geotechnical Literature Review Report

Task 4b: Preliminary Geotechnical Report

Building on the findings of the Geotechnical Literature Review, the CONSULTANT shall prepare a Preliminary Geotechnical Report to assess the site conditions along the seven-mile study area. This document will help guide decisions on the feasibility and viability of various ACs that are under consideration. The site investigations for this study should have the objective of providing specific information on subsurface soil, rock, and water conditions.

The Preliminary Geotechnical Report should address, at a minimum, the following essential information:

- Summary of all subsurface exploration data, including subsurface soil profile, exploration logs, laboratory or in situ test results, and ground water information;
- Interpretation and analysis of the subsurface data;
- Specific engineering recommendations for design consideration;
- Discussion of conditions for solution of anticipated problems; and
- Recommended geotechnical special provisions.

To the extent feasible, the Preliminary Geotechnical Report should consider representative subsurface investigation. The specific number, depth, spacing, and character of borings, sampling, and testing to be made in an individual exploration program would be dependent upon site conditions. The CONSULTANT shall work with the OCTA Project Manager to determine the candidate sites and comply with applicable requirements (i.e., right of entry permits, CCC, Regional Water Quality Control Board, etc.).

Purpose:

The purpose of the Preliminary Geotechnical Report is to help guide the viability of potential solutions to address coastal rail protection. The effort shall build on the inventory and assessment of previous geotechnical investigations through the Geotechnical Literature Review. It will identify data gaps and determine if any conditions have changed that would deem certain improvement concepts or strategies infeasible.

Approach:

The CONSULTANT shall prepare a Preliminary Geotechnical Report (Report) utilizing information from the Geotechnical Literature Review process and follow best practices. The Report should include geologic and/or topographic maps, aerial photographs, information on previously completed geotechnical reports for this or adjacent sites, reports for the overall geology of the region, or others. The Report should describe the investigation method(s), such as walk-through or aerial site reconnaissance, which may have been conducted for this report.

The Report should reference the Preliminary Geotechnical Literature review and any conclusion(s) drawn from that exercise. The Caltrans District Preliminary Geotechnical Report guidance and Federal Highway Administration geotechnical checklist should be used as a tool for this effort. OCTA, LOSSAN, and Metrolink, and the PDT, SWG, PWG

shall be afforded the opportunity to review and provide comments on the draft and final reports.

Optional Task: where data gaps exist through seven-mile study area, the CONSULTANT shall identify and recommend to the OCTA Project Manager up to 12 potential boring sites to ascertain geotechnical data. These sites should be representative of the soils type(s) within each geographic subarea. Candidate boring sites identified shall occur on **public** rights-of-way. The OCTA Project Manager will determine if it is appropriate to proceed with this work.

Deliverables:

- Draft Preliminary Geotechnical Report
- Final Preliminary Geotechnical Report with Executive Summary

Task 5a: Develop Purpose and Need Statement and Evaluation Criteria

The CONSULTANT shall develop a purpose and need statement to address the short- and medium-term solutions. The goal will be to protect the railroad in place for the foreseeable future (up to 30 years out).

Based on the analysis and results of the previous tasks, the CONSULTANT shall develop Evaluation Criteria for assessing the ACs and design geometric concepts to address short- and medium-term rail infrastructure solutions.

Purpose:

The CONSULTANT shall develop a purpose and need statement to address the short- and medium-term solutions in protecting the railroad in its general existing alignment. The purpose and need statement is the foundation for this first phase of the study used to address coastal erosion, sea-level rise, and climate change that have affected the railroad along the coast.

In addition, the CONSULTANT shall prepare Evaluation Criteria to establish a framework to vet and develop a set of viable ACs along with the associated design geometric concepts that will address coastal rail protection.

Approach:

The study context should develop the basis for protecting the railroad in its current alignment while continuing to allow mobility and freight movement, as well as maintaining the strategic military considerations. In developing the purpose and need statement for the feasibility study and anticipated outcomes, the following factors should be considered:

- What are the key environmental and human factors leading to the coastal erosion of the rail corridor in south Orange County including the cities of Dana Point and San Clemente?
 - What are the factors affecting coastal erosion (i.e., beach erosion and shoreline retreat, coastal armoring, sea level rise, etc.)?
 - Who is impacted and how (i.e., regional/interregional passenger rail travel, freight, federal government, state, county and city beaches, private property, etc.)?

- What planning and engineering efforts have been conducted in the past related to improving the resilience of the LOSSAN rail corridor in south Orange County?
 - What are the outcomes from these efforts?
 - How were the community, regulators, and key stakeholders engaged in these efforts?
- What are other potential short- and medium-term solutions to improve the corridor infrastructure in south Orange County that have not been considered?
 - Identify the metrics to assess when and how operations should be modified as a result of natural hazards.
 - Develop near-term emergency maintenance and operations procedures.

The CONSULTANT shall develop Evaluation Criteria that will be used to evaluate the feasibility of the ACs. In addition to factors discussed above, the criteria should, at a minimum, consider the following:

1. Rail corridor impacts: How would the AC impact the railroad for passenger and freight railroad service? Can the ACs be implemented with limited detrimental impacts to railroad operations?
2. Right-of-Way Constraints and Public Assets: Can an AC be implemented to avoid major right-of-way impacts including costly utility relocation and property impacts? Can the ACs be implemented within the general existing railroad right-of-way? Are there opportunities to consider providing protection/mitigation for the railroad on the coastal (west) side? Are there any constraints with other known utilities, infrastructure, and/or public assets with the AC that may have an influence on the OCTA railroad right-of-way?
3. Implementation Impacts: Does implementation of the AC affect the surrounding communities? Does the AC improve or degrade operations of the railroad? Would the AC create residual construction impacts affecting freight railroad operation? Would the proposed ACs result in a shorter or longer implementation duration?
4. Environmental Impacts: Would the AC result in potentially significant environmental impacts? How would the project AC impact the beach and adjacent private properties? How would the AC be impacted by existing geologic constraints? How would the AC affect the quality of coastal ecology and recreational opportunities for residents and visitors alike?
5. Design Standards: Can the AC be built to the Southern California Regional Rail Authority (SCRRA) standards with minimal exceptions, or meet regulatory railroad requirements?
6. Cost Constraints: Is the cost of the AC consistent with potential local, state, and federal funding available to the region? Cost includes the capital construction, right-of-way, utilities, and project development costs.
7. Planned Projects: Would the AC be compatible with proposed projects adjacent to the railroad? Are there opportunities to partner with other agencies/entities to implement complementary infrastructure improvements?

8. Schedule: How long would the proposed ACs take to implement, both during project delivery and construction?

Deliverables:

- Purpose and need statement to address the short- and medium-term solutions.
- Evaluation Criteria used to assess ACs and geometric concepts.

Task 5b: Develop Alternative Concepts and Geometric Concepts, and Cost Estimates

Based on the analysis and results of previous tasks, along with the Evaluation Criteria (Task 5a), the CONSULTANT shall develop ACs and geometric concepts to address short- and medium-term solutions. Order of magnitude cost estimate should be developed for each AC. It should be assumed that the rail infrastructure would, in general, remain on the existing alignment for the seven-mile stretch of the study area. Right-of-way, utility, and other public asset constraints in the study area that may have an influence on the OCTA railroad right-of-way shall be identified on a map or schematic.

The conceptual design drawings shall be developed in U.S. customary system of units to establish constructability, determine non-standard design features, and establish realistic cost estimates. Conceptual profiles shall be prepared at an appropriate scale to highlight significant design issues and determine constructability. The conceptual design drawings shall be supplemented by cross-sections at appropriate intervals. Order of magnitude cost estimates shall be based on units from typical sections, plans, estimated profiles, and include railroad and structure cost elements, right-of-way, preliminary environmental mitigation considerations, utility relocation, supplemental work, and contingencies.

Purpose:

The purpose of this analysis is to vet and develop a set of viable ACs, the associated design geometric concepts, and the cost estimate that will address coastal rail protection. In conjunction with the previous analysis, the CONSULTANT shall take into consideration stakeholders and experts input to develop a set of feasible ACs and geometric concepts.

Approach:

The CONSULTANT shall develop ACs, geometric concepts, and cost estimates based on the Evaluation Criteria. The analysis shall recommend concepts that consider current and future railroad conditions, that incorporate documented geometric and environmental limitations, and that consolidate input by the PDT/SWG and experts in the field. While many ACs will be evaluated, the CONSULTANT shall recommend between six (6) and eight (8) ACs, including strategies and design variations for further evaluation and refinement in the following task.

The range of ACs (strategies) shall include but not be limited to:

- No action alternative (rail line remains in exact alignment)
- Existing and future maintenance efforts/cost
- Rail protection measures (i.e., sand replenishment, etc.)

- Reinforcement of existing railroad generally within current alignment

For each of the ACs, the CONSULTANT shall develop conceptual cost estimate (qualitative analysis) to help ascertain the feasibility of each AC.

Using the Caltrans Preliminary Environmental Analysis Report (PEAR) format (formal PEAR approval would not be required), the CONSULTANT shall identify potential environmental and community constraints in a brief technical memo and GIS maps, enabling the development of design concepts that would avoid or minimize environmental impacts. This process is expected to be refined in the next task and is used to determine the environmental studies to be undertaken during a subsequent phase of the project. The design concepts should also include a qualitative analysis of advantages to various design options (i.e., prefabricated structure which could minimize community, construction duration, traffic impacts, construction impacts, etc.).

Deliverables:

- Conceptual design analysis presenting layouts including typical cross-sections.
- Draft and final environmental and community constraints/benefits technical memos.
- Draft and final technical memos presenting the geometric and design alternative analysis including results of design and right-of-way constraints and operational impacts.
- All electronic data produced and supporting this task shall be provided on electronic media in formats consistent with OCTA software programs.

Task 6: Refine Alternative Concepts and Geometric Concepts, and Cost Estimates

The CONSULTANT shall reduce the ACs developed under Task 5b and refine the associated cost estimates. The reduction of the ACs would take into consideration input by the PDT/SWG and others, as appropriate. The conceptual design drawings shall be developed as overlays on aerial photographs. Work shall include refinement of conceptual drawings and cost estimates and development of preliminary right-of-way requirements for the recommended improvements. Conceptual right-of-way costs should include a preliminary estimate of impacted properties consisting of a tabular summary of impacted properties by type and any other right-of-way cost including utilities. It is anticipated the refinement process would yield up to six (6) ACs for future consideration and project implementation efforts.

The CONSULTANT shall revisit the PEAR memo to reflect updates to the refined set of ACs and to determine if any of the anticipated environmental studies to be undertaken in the future have changed.

Work completed under this task, as well as preceding tasks, shall be presented in both a draft and a final memo. The draft memo shall be submitted to the PDT for review and comment. Pertinent comments must be addressed in preparation of the final report.

Deliverables:

- Draft and final typical sections, plans, and profiles for the geometric and design concepts.
- Draft and final order of magnitude cost estimates for the geometric and design concepts.
- Draft and final technical memos presenting the refined design concepts and cost estimates.
- Updated environmental and community constraints technical memos, as appropriate.
- Draft and final PowerPoint presentations presenting the design concepts and cost estimates.
- Preparation of supporting materials (e.g., display boards, handouts, etc.) for PDT presentations, as appropriate.
- Presentations, reports, and technical memorandum shall also be provided in electronic form (MS Office 2016 or newer format).
- All electronic data produced shall be provided on electronic media in formats consistent with OCTA software programs.

Task 7a: Draft and Final Feasibility Study Reports

For this task, the CONSULTANT shall prepare draft and final reports summarizing the work efforts from the previous tasks as well as developing a set of findings and recommendations. This effort will include a succinct executive summary with maps and graphics that convey pertinent technical and policy information.

As part of the draft and final reports, the CONSULTANT shall include the Evaluation Criteria, the initial and refined set of ACs, advantages/disadvantages of each AC, order of magnitude cost range for each AC, implementation timeframe for the refined ACs, potential entities that could lead each AC, and potential funding partners.

At a minimum, the Feasibility Study Report should include the following components:

1. EXECUTIVE SUMMARY
2. INTRODUCTION
3. BACKGROUND
 - a. Railroad History
 - b. Existing Conditions
 - c. Stakeholder Input
4. PURPOSE AND NEED
5. RAIL CORRIDOR AND SYSTEM COORDINATION
 - a. Federal and State Transportation Systems
 - b. State Planning
 - c. Regional Planning
 - d. Local Planning
6. GEOTECHNICAL CONDITIONS
7. SCREENING AND EVALUATION APPROACH
 - a. Evaluation Criteria

- b. Measurement of Evaluation Criteria
- c. Evaluation Framework
8. ALTERNATIVE CONCEPTS (ACs)
 - a. No-Build Alternative
 - b. Build Alternatives Concepts
 - c. Alternative Concept Plan Development
 - d. Stakeholder Input
9. EVALUATION OF ALTERNATIVE CONCEPTS
 - a. Limitation and Challenges
 - b. Passenger/Freight Rail Service
 - c. Right-of-Way Constraints
 - d. Order of Magnitude Cost Ranges
 - e. Environmental Considerations
10. SCREENING EVALUATION RESULTS
 - a. Advantages/Disadvantages
 - b. Range of Feasible ACs
 - c. Implementation Timelines
 - d. Potential Lead Entity(ies)
 - e. Funding Sources
11. SUMMARY AND RECOMMENDATIONS

Deliverables:

- Draft final report and final report incorporating OCTA's, LOSSAN's, and Metrolink's, and PDT, SWG, and PWG comments (in MS Word file format).
- Draft PowerPoint presentation and final PowerPoint presentation incorporating OCTA's, LOSSAN's, and Metrolink's, and PDT, SWG, and PWG comments (in PowerPoint file format).
- All digital data will be delivered in .pdf and original file formats (e.g., .xlsx, .docx, .pptx, etc.).
- Summary fact sheet highlighting findings and recommendations.
- Action Plan for short- and medium-term solutions addressing:
 - Programmatic emergency operations and maintenance plan
 - Types of solutions/strategies
 - Parties involved
 - Lead agency
 - Cost range
 - Funding opportunities

Task 7b: Long-term Solutions Framework

Building on the earlier data collection task, the CONSULTANT shall identify some high-level long-term (30+ year-horizon) solutions for the railroad which would involve rail line relocation. The CONSULTANT shall identify potential options/solutions (based on literature review of previous efforts by the FRA, California High Speed Rail Authority, and Caltrans), estimated timeframe for implementation, parties involved, lead agency, and order of magnitude cost estimate. The CONSULTANT should identify the type of multi-

agency and stakeholder partnerships that would be needed to address long-term issues with the rail corridor. This task is intended to be a brief technical memorandum.

The scope of the literature review would entail the following parameters:

- Identify FRA PEIR/EIS segments between San Juan Capistrano and San Onofre State Beach
- Identify potential lead agencies for each alternative (in the segments above)
- Identify order of magnitude cost for each alternative

Deliverables:

- Technical memorandum summarizing the above components.
- Action Plan for long-term solutions addressing:
 - Types of solutions/strategies
 - Parties involved
 - Lead agency
 - Cost range
 - Funding opportunities

DRAFT

EXHIBIT B: PROPOSED AGREEMENT

1 **PROPOSED AGREEMENT NO. C-3-2328**

2 **BETWEEN**

3 **ORANGE COUNTY TRANSPORTATION AUTHORITY**

4 **AND**

5
6 **THIS AGREEMENT** is effective as of this ____ day of _____, 20__
7 (“Effective Date”), by and between the Orange County Transportation Authority, 550 South Main Street,
8 P.O. Box 14184, Orange, CA 92863-1584, a public corporation of the State of California (hereinafter
9 referred to as "AUTHORITY"), , , , (hereinafter referred to as "CONSULTANT").

10 **WITNESSETH:**

11 **WHEREAS**, AUTHORITY requires assistance from CONSULTANT to conduct the south coast
12 rail infrastructure feasibility study and alternative concepts analysis ; and

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

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

16 **WHEREAS**, CONSULTANT wishes to perform these services;

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

19 **ARTICLE 1. COMPLETE AGREEMENT**

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

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B. AUTHORITY's failure to insist in any one or more instances upon CONSULTANT's performance of any terms or conditions of this Agreement shall not be construed as a waiver or relinquishment of AUTHORITY's right to such performance or to future performance of such terms or conditions and CONSULTANT's obligation in respect thereto shall continue in full force and effect. Changes to any portion of this Agreement shall not be binding upon AUTHORITY except when specifically confirmed in writing by an authorized representative of AUTHORITY by way of a written amendment to this Agreement and issued in accordance with the provisions of this Agreement.

ARTICLE 2. AUTHORITY DESIGNEE

The Chief Executive Officer of AUTHORITY, or designee, shall have the authority to act for and exercise any of the rights of AUTHORITY as set forth in this Agreement.

ARTICLE 3. SCOPE OF WORK

A. CONSULTANT shall perform the work necessary to complete in a manner satisfactory to AUTHORITY the services set forth in Exhibit A, entitled "Scope of Work," attached to and, by this reference, incorporated in and made a part of this Agreement. All services shall be provided at the times and places designated by AUTHORITY.

B. CONSULTANT shall provide the personnel listed below to perform the above-specified services, which persons are hereby designated as key personnel under this Agreement.

<u>Names</u>	<u>Functions</u>

C. No person named in paragraph B of this Article, or his/her successor approved by AUTHORITY, shall be removed or replaced by CONSULTANT, nor shall his/her agreed-upon function or level of commitment hereunder be changed, without the prior written consent of AUTHORITY.

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D. Should the services of any key person become no longer available to CONSULTANT, the resume and qualifications of the proposed replacement shall be submitted to AUTHORITY for approval as soon as possible, but in no event later than seven (7) calendar days prior to the departure of the incumbent key person, unless CONSULTANT is not provided with prior notice by the departing employee. AUTHORITY shall respond to CONSULTANT within seven (7) calendar days following receipt of these qualifications concerning acceptance of the candidate for replacement.

ARTICLE 4. TERM OF AGREEMENT

This Agreement shall commence upon the effective date of this Agreement, and shall continue in full force and effect through _____, unless earlier terminated or extended as provided in this Agreement.

ARTICLE 5. PAYMENT

A. For CONSULTANT's full and complete performance of its obligations under this Agreement, and subject to the maximum cumulative payment obligation provisions set forth in Article 7, AUTHORITY shall pay CONSULTANT on a firm fixed price basis in accordance with the following provisions.

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

<u>Task</u>	<u>Description</u>	<u>Firm Fixed Price</u>
1	Project Administration	.00
2	Data Collection	.00
3	Stakeholder Engagement	.00
4a	Geotechnical Literature Review	.00
4b	Preliminary Geotechnical Report	.00
5a	Develop Purpose and Need Statement & Evaluation Criteria	.00

1	5b	Develop Alternative Concepts, Geometric Concepts and Cost Estimates	.00
2	6	Refine Alternative Concepts, Geometric Concepts and Cost Estimates	.00
3	7a	Draft and Final Feasibility Study Reports	.00
4	7b	Long-Term Solutions Framework	<u>.00</u>
5	TOTAL FIRM FIXED PRICE PAYMENT		<u>.00</u>

6 C. CONSULTANT shall invoice AUTHORITY on a monthly basis for payments corresponding
7 to the work actually completed by CONSULTANT. Percentage of work completed shall be documented
8 in a monthly progress report prepared by CONSULTANT, which shall accompany each invoice
9 submitted by CONSULTANT. CONSULTANT shall also furnish such other information as may be
10 requested by AUTHORITY to substantiate the validity of an invoice. At its sole discretion, AUTHORITY
11 may decline to make full payment for any task listed in paragraph B of this Article until such time as
12 CONSULTANT has documented to AUTHORITY's satisfaction, that CONSULTANT has fully
13 completed all work required under the task. AUTHORITY's payment in full for any task completed shall
14 not constitute AUTHORITY's final acceptance of CONSULTANT's work under such task; final
15 acceptance shall occur only when AUTHORITY's release of the retention described in paragraph D.

16 D. As partial security against CONSULTANT's failure to satisfactorily fulfill all of its obligations
17 under this Agreement, AUTHORITY shall retain ten percent (10%) of the amount of each invoice
18 submitted for payment by CONSULTANT. All retained funds shall be released by AUTHORITY and
19 shall be paid to CONSULTANT within sixty (60) days of payment of final invoice, unless AUTHORITY
20 elects to audit CONSULTANT's records in accordance with Article 17 of this Agreement. If
21 AUTHORITY elects to audit, retained funds shall be paid to CONSULTANT within thirty (30) calendar
22 days of completion of such audit in an amount reflecting any adjustment required by such audit.
23 CONSULTANT agrees to release subcontractor retention within thirty (30) calendar days after the
24 subconsultants work is satisfactory completed. These prompt payment provisions are required to be
25 incorporated in all subcontract agreements issued by CONSULTANT. During the term of the
26 Agreement, at its sole discretion, AUTHORITY reserves the right to release all or a portion of the

1 retained amount based on CONSULTANT's satisfactory completion of certain milestones.
2 CONSULTANT shall invoice AUTHORITY for the release of the retention in accordance with Article 5.

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

- 9 1. Agreement No. C-3-2328;
- 10 2. Specify the task number for which payment is being requested;
- 11 3. The time period covered by the invoice;
- 12 4. Total monthly invoice (including project-to-date cumulative invoice amount) and
13 retention;
- 14 5. Monthly Progress Report;
- 15 6. Weekly certified payroll for personnel subject to prevailing wage requirements, if
16 applicable;
- 17 7. Certification signed by the CONSULTANT or his/her designated alternate that a)
18 The invoice is a true, complete and correct statement of reimbursable costs and progress; b) The
19 backup information included with the invoice is true, complete and correct in all material respects; c) All
20 payments due and owing to subcontractors and suppliers have been made; d) Timely payments will be
21 made to subcontractors and suppliers from the proceeds of the payments covered by the certification
22 and; e) The invoice does not include any amount which CONSULTANT intends to withhold or retain
23 from a subcontractor or supplier unless so identified on the invoice;
- 24 8. Any other information as agreed or requested by AUTHORITY to substantiate the
25 validity of an invoice.

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1 **ARTICLE 6. PROMPT PAYMENT CLAUSE**

2 A. AUTHORITY has adopted a prompt payment provision on all U.S. DOT-assisted contracts
3 to facilitate timely payment to all subconsultants in accordance with regulatory mandates. The
4 provisions of this Article apply to both DBE and non-DBE subconsultants. Pursuant to Title 49 of the
5 Code of Federal Regulations (CFR) Part 26.29:

6 B. "CONSULTANT or subconsultant agrees to pay each subconsultant under this Agreement
7 for satisfactory performance of its Agreement no later than fifteen (15) days from the receipt of each
8 progress payment CONSULTANT receives from AUTHORITY on account of the work performed by the
9 subconsultant. CONSULTANT agrees further to return retainage payments to each subconsultant
10 within fifteen (15) days after receiving payment for work satisfactorily completed and accepted including
11 incremental acceptances of portions of the Agreement work by AUTHORITY. Any delay or
12 postponement of payment from the above referenced time frame may take place only for good cause
13 and with AUTHORITY's prior written approval." CONSULTANT shall incorporate this clause verbatim,
14 set forth above, in all subcontract, broker, vendor, supplier, purchase order or other source agreements
15 issued to both DBE and non-DBE firms. In the event that there is a dispute over all or any portion of the
16 amount due on a progress payment from CONSULTANT or subconsultant to a subconsultant,
17 CONSULTANT or subconsultant may withhold no more than 150 percent of the disputed amount.

18 C. Any violation of these provisions shall subject the violating CONSULTANT to the penalties,
19 sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions
20 Code and Section 3321 of the California Civil Code. This requirement shall not be construed to limit or
21 impair any contractual, administrative or judicial remedies otherwise available to CONSULTANT or
22 subconsultant in the event of a dispute involving late payment or nonpayment by CONSULTANT;
23 deficient subcontract performance or noncompliance by a subconsultant.

24 D. Failure to comply with these provisions without prior written approval from AUTHORITY will
25 constitute noncompliance, which shall result in the application of appropriate administrative sanctions to
26 the licensee, including, but not limited to, a penalty payable to the subconsultant, of two percent (2%) of

1 the invoice amount due per month, for every month that full payment is not made.

2 **ARTICLE 7. MAXIMUM OBLIGATION**

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

8 **ARTICLE 8. NOTICES**

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

13 To CONSULTANT:

To AUTHORITY:

Orange County Transportation Authority
550 South Main Street
P.O. Box 14184
Orange, CA 92863-1584

18 ATTENTION:

ATTENTION: Megan Bornman

19 Title:

Title: Senior Contract Administrator

21 Phone:

Phone: (714) 560 – 5064

22 Email:

Email: mbornman@octa.net

Cc: Dan Phu

Title: Program Manager

Phone: (714) 560-5907

Email: dphu@octa.net

1 **ARTICLE 9. INDEPENDENT CONTRACTOR**

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

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

13 **ARTICLE 10. INSURANCE**

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

17 1. Commercial General Liability, to include Products/Completed Operations,
18 Independent Contractors', Contractual Liability, Advertising (if applicable to Scope of Work) and
19 Personal Injury Liability, and Property Damage with a minimum limit of \$1,000,000 per occurrence,
20 \$2,000,000 general aggregate and \$2,000,000 Products/Completed Operations aggregate;

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

23 3. Workers' Compensation with limits as required by the State of California including a
24 Waiver of Subrogation in favor of AUTHORITY, its officers, directors and employees; and

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

1 5. Professional Liability with minimum limits of \$1,000,000 only if the CONSULTANT is
2 required by contract or law to be licensed or specially certified and AUTHORITY is relying on
3 performance based on that specialty license or certification.

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

12 C. CONSULTANT shall include on the face of the certificate of insurance the Agreement
13 Number C-3-2328 and, the Contract Administrator's Name, Megan Bornman.

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

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

20 **ARTICLE 11. ORDER OF PRECEDENCE**

21 Conflicting provisions hereof, if any, shall prevail in the following descending order of
22 precedence: (1) the provisions of this Agreement, including all exhibits; (2) the provisions of RFP , (3)
23 CONSULTANT's initial cost proposal dated; and (4) all other documents, if any, cited herein or
24 incorporated by reference.

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1 **ARTICLE 12. CHANGES**

2 A. By written notice or order, AUTHORITY may, from time to time, order work suspension
3 and/or make changes in the general scope of this Agreement, including, but not limited to, the services
4 furnished to AUTHORITY by CONSULTANT as described in the Scope of Work. If any such work
5 suspension or change causes an increase or decrease in the price of this Agreement or in the time
6 required for its performance, CONSULTANT shall promptly notify AUTHORITY thereof and assert its
7 claim for adjustment within ten (10) calendar days after the change or work suspension is ordered, and
8 an equitable adjustment shall be negotiated. However, nothing in this clause shall excuse
9 CONSULTANT from proceeding immediately with the Agreement as changed.

10 B. CONSULTANT shall only commence work covered by an amendment after the amendment
11 is executed by AUTHORITY.

12 **ARTICLE 13. DISPUTES**

13 A. Except as otherwise provided in this Agreement, when a dispute arises between
14 CONSULTANT and AUTHORITY, the project managers shall meet to resolve the issue. If project
15 managers do not reach a resolution, the dispute will be decided by AUTHORITY's Director of Contracts
16 Administration and Materials Management (CAMM), who shall reduce the decision to writing and mail
17 or otherwise furnish a copy thereof to CONSULTANT. The decision of the Director, CAMM, shall be the
18 final and conclusive administrative decision.

19 B. Pending final decision of a dispute hereunder, CONSULTANT shall proceed diligently with
20 the performance of this Agreement and in accordance with the decision of AUTHORITY's Director,
21 CAMM. Nothing in this Agreement, however, shall be construed as making final the decision of any
22 AUTHORITY official or representative on a question of law, which questions shall be settled in
23 accordance with the laws of the State of California.

24 **ARTICLE 14. TERMINATION**

25 A. AUTHORITY may terminate this Agreement for its convenience at any time, in whole or
26 part, by giving CONSULTANT written notice thereof. Upon termination, AUTHORITY shall pay

1 CONSULTANT its allowable costs incurred to date of that portion terminated. Said termination shall be
2 construed in accordance with the provisions of CFR Title 48, Chapter 1, Part 49, of the Federal
3 Acquisition Regulation (FAR) and specific subparts and other provisions thereof applicable to
4 termination for convenience. If AUTHORITY sees fit to terminate this Agreement for convenience, said
5 notice shall be given to CONSULTANT in accordance with the provisions of the FAR referenced above
6 and Article 8, herein. Upon receipt of said notification, CONSULTANT agrees to comply with all
7 applicable provisions of the FAR pertaining to termination for convenience.

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

18 **ARTICLE 15. INDEMNIFICATION**

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

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B. Notwithstanding the foregoing, to the extent that CONSULTANT’S duty to indemnify arises out of a claim to which Civil Code section 2782.8 would apply, CONSULTANT shall indemnify and defend the Indemnitees to the maximum extent permitted by Civil Code section 2782.8.

ARTICLE 16. ASSIGNMENTS AND SUBCONTRACTS

A. Neither this Agreement nor any interest herein nor claim hereunder may be assigned by CONSULTANT either voluntarily or by operation of law, nor may all or any part of this Agreement be subcontracted by CONSULTANT, without the prior written consent of AUTHORITY. Consent by AUTHORITY shall not be deemed to relieve CONSULTANT of its obligations to comply fully with all terms and conditions of this Agreement.

B. AUTHORITY hereby consents to CONSULTANT's subcontracting portions of the Scope of Work to the parties identified below for the functions described below. CONSULTANT shall include in the subcontract agreement the stipulation that CONSULTANT, not AUTHORITY, is solely responsible for payment to the subcontractor for the amounts owing and that the subcontractor shall have no claim, and shall take no action, against AUTHORITY, its officers, directors, employees or sureties for nonpayment by CONSULTANT.

<u>Subcontractor Name/Addresses</u>	<u>Subcontractor Amounts</u>
	.00
	.00

ARTICLE 17. ACCESS TO RECORDS AND REPORTS

CONSULTANT shall provide AUTHORITY, the U.S. Department of Transportation (DOT), the Comptroller General of the United States, or other agents of AUTHORITY, such access to CONSULTANT's accounting books, records, payroll documents and facilities of the CONSULTANT which are directly pertinent to this Agreement for the purposes of examining, auditing and inspecting all accounting books, records, work data, documents and activities related hereto. CONSULTANT shall maintain such books, records; data and documents in accordance with generally accepted accounting principles and shall clearly identify and make such items readily accessible to such parties during

1 CONSULTANT's performance hereunder and for a period of four (4) years from the date of final
2 payment by AUTHORITY. AUTHORITY's right to audit books and records directly related to this
3 Agreement shall also extend to all first-tier subcontractors identified in Article 16 of this Agreement.
4 CONSULTANT shall permit any of the foregoing parties to reproduce documents by any means
5 whatsoever or to copy excerpts and transcriptions as reasonably necessary.

6 **ARTICLE 18. CONFLICT OF INTEREST**

7 A. CONSULTANT agrees to avoid organizational conflicts of interest. An organizational
8 conflict of interest means that due to other activities, relationships or contracts, the CONSULTANT is
9 unable, or potentially unable to render impartial assistance or advice to the Authority; CONSULTANT's
10 objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or
11 the CONSULTANT has an unfair competitive advantage. CONSULTANT is obligated to fully disclose
12 to the AUTHORITY in writing Conflict of Interest issues as soon as they are known to the
13 CONSULTANT. CONSULTANT is obligated to fully disclose to the AUTHORITY in writing Conflict of
14 Interest issues as soon as they are known to the CONSULTANT. All disclosures must be submitted in
15 writing to AUTHORITY pursuant to the Notice provision herein. This disclosure requirement is for the
16 entire term of this Agreement.

17 B. If the AUTHORITY determines that CONSULTANT, its employees, or subconsultants are
18 subject to disclosure requirements under the Political Reform Act (Government Code section 81000 et
19 seq.), CONSULTANT and its required employees and subconsultants shall complete and file
20 Statements of Economic Interest (Form 700) with the AUTHORITY's Clerk of the Board disclosing all
21 required financial interests.

22 **ARTICLE 19. CODE OF CONDUCT**

23 CONSULTANT agrees to comply with the AUTHORITY's Code of Conduct as it relates to
24 Third-Party contracts, which is hereby referenced and by this reference is incorporated herein.
25 CONSULTANT agrees to include these requirements in all of its subcontracts.

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1 **ARTICLE 20. PROHIBITION ON PROVIDING ADVOCACY SERVICES**

2 CONSULTANT and all subconsultants performing work under this Agreement, shall be
3 prohibited from concurrently representing or lobbying for any other party competing for a contract
4 with AUTHORITY, either as a prime consultant or subconsultant. Failure to refrain from such
5 representation may result in termination of this Agreement.

6 **ARTICLE 21. FEDERAL, STATE AND LOCAL LAWS**

7 CONSULTANT warrants that in the performance of this Agreement, it shall comply with all
8 applicable federal, state and local laws, statutes and ordinances and all lawful orders, rules and
9 regulations promulgated thereunder.

10 **ARTICLE 22. EQUAL EMPLOYMENT OPPORTUNITY**

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

18 **ARTICLE 23. CIVIL RIGHTS ASSURANCE**

19 During the performance of this Agreement, CONSULTANT, for itself, its assignees and
20 successors in interest agree as follows:

21 A. Compliance with Regulations: CONSULTANT shall comply with the Regulations relative to
22 nondiscrimination in federally assisted programs of the Department of Transportation (hereinafter,
23 "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time,
24 (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a
25 part of this Agreement.

26 /

1 B. Nondiscrimination: CONSULTANT, with regard to the work performed by it during the
2 Agreement, shall not discriminate on the grounds of race, color, or national origin in the selection and
3 retention of subcontractors, including procurements of materials and leases of equipment. The
4 CONSULTANT shall not participate either directly or indirectly in the discrimination prohibited by
5 Section 21.5 of the Regulations, including employment practices when the Agreement covers a
6 program set forth in Appendix B of the Regulations.

7 C. Solicitations for Subcontracts, Including Procurement of Materials and Equipment: In all
8 solicitations either by competitive bidding or negotiation made by the CONSULTANT for work to be
9 performed under a subcontract, including procurements of materials or leases of equipment, each
10 potential subcontractor or supplier shall be notified by the CONSULTANT of the CONSULTANT's
11 obligations under this Agreement and the Regulations relative to nondiscrimination on the grounds of
12 race, color, or national origin.

13 D. Information and Reports: CONSULTANT shall provide all information and reports required
14 by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records,
15 accounts, other sources of information and its facilities as may be determined by the AUTHORITY to be
16 pertinent to ascertain compliance with such Regulations, orders and instructions. Where any
17 information required of a CONSULTANT is in the exclusive possession of another who fails or refuses
18 to furnish this information the CONSULTANT shall so certify to the AUTHORITY as appropriate, and
19 shall set forth what efforts it has made to obtain the information.

20 E. Sanctions for Noncompliance: In the event of the CONSULTANT's noncompliance with
21 nondiscrimination provisions of this Agreement, the AUTHORITY shall impose Agreement sanctions as
22 it may determine to be appropriate, including, but not limited to:

23 1. Withholding of payments to the CONSULTANT under the Agreement until the
24 CONSULTANT complies; and/or

25 2. Cancellation, termination, or suspension of the Agreement, in whole or in part.

26 F. Title VI of the Civil Rights Act: In determining the types of property or services to acquire, no

1 person in the United States shall, on the grounds of race, color, or national origin, be excluded from
2 participation in, be denied the benefits of, or otherwise be subjected to discrimination under any
3 program or activity receiving Federal financial assistance in violation of Title VI of the Civil Rights Act of
4 1964, as amended, 42 U.S.C. Sections 2000d et seq. and DOT regulations, "Nondiscrimination in
5 Federally Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil
6 Rights Act of 1964," 49 CFR Part 21. In addition, FTA Circular 4702.1, "Title VI and Title VI-Dependent
7 Guidelines for FTA Recipients," 05-13-07, provides FTA guidance and instructions for implementing
8 DOT's Title VI regulations.

9 G. The Americans with Disabilities Act of 1990, as amended (ADA), 42 U.S.C. Sections 12101
10 et seq., prohibits discrimination against qualified individuals with disabilities in all programs, activities,
11 and services of public entities, as well as imposes specific requirements on public and private providers
12 of transportation.

13 H. DISADVANTAGED BUSINESS ENTERPRISE (DBE): shall not discriminate on the
14 basis of race, color, national origin, or sex in the performance of this Contract. The CONSULTANT
15 shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of U.S. DOT-
16 assisted contracts. Failure by the CONSULTANT to carry out these requirements is a material breach
17 of this Agreement, which may result in the termination of this Agreement or such other remedy as the
18 AUTHORITY deems appropriate, which may include, but is not limited to:

- 19 (1) Withholding monthly progress payments;
- 20 (2) Assessing sanctions;
- 21 (3) Liquidated damages; and/or
- 22 (4) Disqualifying the CONSULTANT from future proposing as non-responsible.

23 I. Incorporation of Provisions: CONSULTANT shall include the provisions of paragraphs (A)
24 through (H) in every subcontract, including procurements of materials and leases of equipment, unless
25 exempt by the Regulations, or directives issued pursuant thereto. The CONSULTANT shall take such
26 action with respect to any subcontract or procurement as the AUTHORITY may direct as a means of

1 enforcing such provisions including sanctions for noncompliance. Provided, however, that in the event
2 a CONSULTANT becomes involved in, or is threatened with, litigation with a subcontractor or supplier
3 as a result of such direction, the CONSULTANT may request the AUTHORITY to enter into such
4 litigation to protect the interests of the AUTHORITY, and, in addition, the CONSULTANT may request
5 the United States to enter into such litigation to protect the interests of the United States.

6 **ARTICLE 24. RACE-CONSCIOUS DBE CONTRACT PROVISIONS FOR DOT-ASSISTED**
7 **CONSULTANT CONTRACTS**

8 A. In conformance with Title 49 CFR Part 26, "Participation by Disadvantaged Business
9 Enterprises in Department of Transportation Financial Assistance Programs," AUTHORITY has
10 established a 14 percent Disadvantaged Business Enterprise (DBE) participation goal for the services
11 required in this Agreement.

12 B. At the time of contract execution, the CONSULTANT committed to utilize one or more
13 Disadvantaged Business Enterprise (DBE) Firms in the performance of this DOT-assisted contract.
14 CONSULTANT agrees to enter into agreements with the DBE subconsultants listed on Attachment A-1
15 "DBE Participation Commitment" and ensure they perform work and/or supply materials in accordance
16 with original commitments. No changes to CONSULTANT's DBE commitment shall be made until
17 proper review and approval by AUTHORITY is rendered in writing.

18 C. CONSULTANT must take appropriate actions to ensure that it will satisfy good faith efforts
19 to attain the DBE goal and/or the DBE commitment made at award (whichever is higher), when change
20 orders or other modifications alter the dollar amount of the Agreement or the distribution of work.
21 CONSULTANT must apply and report its DBE goal commitment against the total current Agreement
22 value, including any change orders and/or amendments.

23 D. If there is a DBE goal and/or DBE commitment on the Agreement, CONSULTANT must
24 complete and submit within the specified timelines, DBE documentation electronically through the
25 AUTHORITY-approved electronic reporting system (ECAT).

26 /

1 E. CONSULTANT shall comply with all the requirements set forth in Attachment A titled,
2 "DISADVANTAGED BUSINESS ENTERPRISE (DBE) CONTRACT PROVISIONS FOR U.S. DOT-
3 ASSISTED CONTRACTS", which is attached to and, by this reference, incorporated in and made a part
4 of this Agreement.

5 **ARTICLE 25. PROHIBITED INTERESTS**

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

9 B. No member of or delegate to, the Congress of the United States shall have any interest,
10 direct or indirect, in this Agreement or to the benefits thereof.

11 **ARTICLE 26. OWNERSHIP OF REPORTS AND DOCUMENTS**

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

17 B. All ideas, memoranda, specifications, plans, manufacturing, procedures, drawings,
18 descriptions, and all other written information submitted to CONSULTANT in connection with the
19 performance of this Agreement shall not, without prior written approval of AUTHORITY, be used for any
20 purposes other than the performance under this Agreement, nor be disclosed to an entity not connected
21 with the performance of the project. CONSULTANT shall comply with AUTHORITY's policies regarding
22 such material. Nothing furnished to CONSULTANT, which is otherwise known to CONSULTANT or is
23 or becomes generally known to the related industry shall be deemed confidential. CONSULTANT shall
24 not use AUTHORITY's name, photographs of the project, or any other publicity pertaining to the project
25 in any professional publication, magazine, trade paper, newspaper, seminar or other medium without
26 the express written consent of AUTHORITY.

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

6 **ARTICLE 27. PATENT AND COPYRIGHT INFRINGEMENT**

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

19 B. CONSULTANT shall have sole control of the defense of any such claim or suit and all
20 negotiations for settlement thereof. CONSULTANT shall not be obligated to indemnify AUTHORITY
21 under any settlement made without CONSULTANT's consent or in the event AUTHORITY fails to
22 cooperate fully in the defense of any suit or claim, provided, however, that said defense shall be at
23 CONSULTANT's expense. If the use or sale of said item is enjoined as a result of such suit or claim,
24 CONSULTANT, at no expense to AUTHORITY, shall obtain for AUTHORITY the right to use and sell
25 said item, or shall substitute an equivalent item acceptable to AUTHORITY and extend this patent and
26 copyright indemnity thereto.

1 **ARTICLE 28. FINISHED AND PRELIMINARY DATA**

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

10 B. It is expressly understood that any title to preliminary technical data is not passed to
11 AUTHORITY but is retained by CONSULTANT. Preliminary data includes roughs, visualizations,
12 software design documents, layouts and comprehensives prepared by CONSULTANT solely for the
13 purpose of demonstrating an idea or message for AUTHORITY's acceptance before approval is given
14 for preparation of finished artwork. Preliminary data title and right thereto shall be made available to
15 AUTHORITY if CONSULTANT causes AUTHORITY to exercise Article 12, and a price shall be
16 negotiated for all preliminary data.

17 **ARTICLE 29. DESIGN WITHIN FUNDING LIMITATIONS**

18 A. In order to ensure the accuracy of the construction budget for the benefit of the public works
19 bidders and AUTHORITY's budget process, CONSULTANT shall accomplish the design services
20 required under this Agreement so as to permit the award of a contract, for the construction of the
21 facilities designed at a price that does not exceed the estimated construction contract price as set forth
22 by AUTHORITY. When bids or proposals for the construction contract are received that exceed the
23 estimated price, CONSULTANT shall perform such redesign and other services as are necessary to
24 permit contract award within the funding limitation. These additional services shall be performed at no
25 increase in the price for which the services were specified. However, CONSULTANT shall not be
26 required to perform such additional services at no cost to AUTHORITY if the unfavorable bids or

1 proposals are the result of conditions beyond its reasonable control.

2 B. CONSULTANT will promptly advise AUTHORITY if it finds that the project being designed
3 will exceed or is likely to exceed the funding limitations and it is unable to design a usable facility within
4 these limitations. Upon receipt of such information, AUTHORITY will review CONSULTANT's revised
5 estimate of construction cost. AUTHORITY may, if it determines that the estimated construction
6 contract price is so low that award of a construction contract not in excess of such estimate is
7 improbable, authorize a change in scope or materials as required to reduce the estimated construction
8 cost to an amount within the estimated construction contract price set forth by AUTHORITY, or
9 AUTHORITY may adjust such estimated construction contract price. When bids or proposals are not
10 solicited or are unreasonably delayed, AUTHORITY shall prepare an estimate of constructing the
11 design submitted and such estimate shall be used in lieu of bids or proposals to determine compliance
12 within the funding limitation.

13 **ARTICLE 30. REQUIREMENTS FOR REGISTRATION OF DESIGNERS**

14 All design and engineering work furnished by CONSULTANT shall be performed by or under
15 the supervision of persons licensed to practice architecture, engineering or surveying (as applicable) in
16 the State of California, by personnel who are careful, skilled, experienced and competent in their
17 respective trades or professions, who are professionally qualified to perform the work in accordance
18 with the contract documents and who shall assume professional responsibility for the accuracy and
19 completeness of the design documents and construction documents prepared or checked by them.

20 **ARTICLE 31. COVENANT AGAINST CONTINGENT FEES**

21 CONSULTANT warrants, by execution of this Agreement, that he/she has not employed or
22 retained any company or person, other than a bona fide employee working for the consultant; to solicit
23 or secure this Agreement; and that he/she has not paid or agreed to pay any company or person other
24 than a bona fide employee, any fee,

25 commission, percentage, brokerage fee, gift or any other consideration, contingent upon or resulting
26 from the award, or formation of this Agreement. For breach or violation of this warranty, the

1 AUTHORITY shall have the right to annul this Agreement without liability, or at its discretion; to deduct
2 from the Agreement price or consideration, or otherwise recover the full amount of such fee,
3 commission, percentage, brokerage fee, gift, or contingent fee.

4 **ARTICLE 32. LOBBYING**

5 CONSULTANTS who apply or bid for an award of \$100,000 or more shall file the certification
6 required by 49 CFR part 20, "New Restrictions on Lobbying". Each tier certifies to the above that it will
7 not or has not used Federal appropriated funds to pay any person or organization for influencing or
8 attempting to influence an officer or employee of any agency, a member of Congress, officer or
9 employee of Congress, or an employee of a member of Congress in connection with obtaining any
10 Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the
11 name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on
12 its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31
13 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the recipient.

14 **ARTICLE 33. HEALTH AND SAFETY REQUIREMENTS**

15 CONSULTANT shall comply with all the requirements set forth in Exhibit B, titled "Level 1
16 SAFETY SPECIFICATIONS." As used therein, "Contractor" shall mean "Consultant," and
17 "Subcontractor" shall mean "Sub-consultant."

18 **ARTICLE 34. CONTRACTOR PURCHASED EQUIPMENT**

19 A. If during the course of this Agreement, additional equipment is required, which will be paid
20 for by the AUTHORITY, CONSULTANT must request prior written authorization from the
21 AUTHORITY's project manager before making any purchase. As part of this purchase request,
22 CONSULTANT shall provide a justification for the necessity of the equipment or supply and submit
23 copies of three (3) competitive quotations. If competitive quotations are not obtained, CONSULTANT
24 must provide the justification for the sole source.

25 B. CONSULTANT shall maintain an inventory record for each piece of equipment purchased
26 that will be paid for by the AUTHORITY. The inventory record shall include the date acquired, total cost,

1 serial number, model identification, and any other information or description necessary to identify said
2 equipment or supply. A copy of the inventory record shall be submitted to the AUTHORITY upon
3 request.

4 C. At the expiration or termination of this Agreement, CONSULTANT may keep the equipment
5 and credit AUTHORITY in an amount equal to its fair market value. Fair market value shall be
6 determined, at CONSULTANT's expense, on the basis of an independent appraisal. CONSULTANT
7 may sell the equipment at the best price obtainable and credit AUTHORITY in an amount equal to the
8 sales price. If the equipment is to be sold, then the terms and conditions of the sale must be approved
9 in advance by AUTHORITY's project manager.

10 D. Any subconsultant agreement entered into as a result of this Agreement shall contain all
11 provisions of this clause.

12 **ARTICLE 35. PRIVACY ACT**

13 CONSULTANT shall comply with, and assures the compliance of its employees with, the
14 information restrictions and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. §552a.
15 Among other things, CONSULTANT agrees to obtain the express consent of the Federal Government
16 before the CONSULTANT or its employees operate a system of records on behalf of the Federal
17 Government. CONSULTANT understands that the requirements of the Privacy Act, including the civil
18 and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to
19 comply with the terms of the Privacy Act may result in termination of the underlying Agreement.

20 **ARTICLE 36. INCORPORATION OF FTA TERMS**

21 All contractual provisions required by Department of Transportation (DOT), whether or not
22 expressly set forth in this document, as set forth in Federal Transit Administration (FTA) Circular
23 4220.1F, as amended, are hereby incorporated by reference. Anything to the contrary herein
24 notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other
25 provisions contained in this Agreement. CONSULTANT shall not perform any act, fail to perform any
26 act, or refuse to comply with any requests, which would cause AUTHORITY to be in violation of the

1 FTA terms and conditions.

2 **ARTICLE 37. FEDERAL CHANGES**

3 CONSULTANT shall at all times comply with all applicable FTA regulations, policies, procedures
4 and directives, including without limitation those listed directly or by reference in the agreement
5 between the AUTHORITY and FTA, as they may be amended or promulgated from time to time during
6 this Agreement. CONSULTANT's failure to comply shall constitute a material breach of contract.

7 **ARTICLE 38. NO FEDERAL GOVERNMENT OBLIGATION TO THIRD PARTIES**

8 AUTHORITY and CONSULTANT acknowledge and agree that, notwithstanding any
9 concurrence by the Federal Government in or approval of the solicitation or award of the underlying
10 Agreement, absent the express written consent by the Federal Government, the Federal Government is
11 not a party to this Agreement and shall not be subject to any obligations or liabilities to the
12 AUTHORITY, CONSULTANT, or any other party (whether or not a party to this Agreement) pertaining
13 to any matter resulting from the underlying Agreement. CONSULTANT agrees to include these
14 requirements in all of its subcontracts.

15 **ARTICLE 39. PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS AND**
16 **RELATED ACTS**

17 A. CONSULTANT acknowledges that the provisions of the Program Fraud Civil Remedies Act
18 of 1986, as amended, 31 U.S.C. §§3801 et seq. and U.S. DOT regulations, "Program Fraud Civil
19 Remedies," 49 C.F.R. Part 31, apply to its actions pertaining to this project. Accordingly, by signing this
20 Agreement, CONSULTANT certifies or affirms the truthfulness and accuracy of any statement it has
21 made, it makes, it may make, or causes to be made, pertaining to the underlying Agreement of the FTA
22 assisted project for which this Agreement's work is being performed. CONSULTANT also
23 acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement,
24 submission, or certification, the Federal Government reserves the right to impose penalties of the
25 Program Fraud Civil Remedies Act of 1986 on the CONSULTANT to the extent the Federal
26 Government deems appropriate.

1 B. CONSULTANT also acknowledges that if it makes, or causes to be made, a false, fictitious,
2 or fraudulent claim, statement, submission, or certification to the Federal Government under an
3 agreement connected with a project that is financed in whole or part with Federal assistance awarded
4 by FTA under the authority of 49 U.S.C. §5307 et seq., the Government reserves the right to impose
5 the penalties of 18 U.S.C. §1001 and 49 U.S.C. §5307(n) (1) et seq. on the CONSULTANT, to the
6 extent the Federal Government deems appropriate. CONSULTANT agrees to include this requirement
7 in all of its subcontracts.

8 **ARTICLE 40. RECYCLED PRODUCTS**

9 CONSULTANT shall comply with all the requirements of Section 6002 of the Resource
10 Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the
11 regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the
12 procurement of the items designated in subpart B of 40 CFR Part 247. CONSULTANT agrees to
13 include this requirement in all of its subcontracts.

14 **ARTICLE 41. ENERGY CONSERVATION REQUIREMENTS**

15 CONSULTANT shall comply with mandatory standards and policies relating to energy
16 efficiency, which are contained in the state energy conservation plan issued in compliance with the
17 Energy Policy Conservation Act.

18 **ARTICLE 42. CLEAN AIR**

19 CONSULTANT shall comply with all applicable standards, orders or regulations issued pursuant
20 to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 et seq. CONSULTANT shall report each violation
21 to AUTHORITY, who will in turn, report each violation as required to assure notification to FTA and the
22 appropriate EPA Regional Office. CONSULTANT agrees to include this requirement in all of its
23 subcontracts.

24 **ARTICLE 43. CLEAN WATER REQUIREMENTS**

25 CONSULTANT shall comply with all applicable standards, orders or regulations issued pursuant
26 to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq. CONSULTANT shall

1 report each violation to AUTHORITY and understands and agrees that the AUTHORITY who will in
2 turn, report each violation as required to assure notification to FTA and appropriate EPA Regional
3 Office. CONSULTANT agrees to include this requirement in all of its subcontracts.

4 **ARTICLE 44. FLY AMERICA REQUIREMENT**

5 CONSULTANT agrees to comply with 49 U.S.C. 40118 (the "Fly America" Act) in accordance
6 with the General Services Administration's regulations at 41 CFR Part 301-10, which provide that
7 recipients and sub recipients of Federal funds and their contractors are required to use U.S. Flag air
8 carriers for the U.S. Government-financed international air travel and transportation of their personal
9 effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter
10 of necessity, as defined by the Fly America Act. CONSULTANT shall submit, if a foreign air carrier was
11 used, an appropriate certification or memorandum adequately explaining why service by a U.S. carrier
12 was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a
13 certificate of compliance with the Fly America requirements. CONSULTANT agrees to include the
14 requirements of this section in all subcontracts that may involve international air transportation.

15 **ARTICLE 45. DEBARMENT AND SUSPENSION**

16 CONSULTANT shall not do business with a subcontractor or other participant who is debarred,
17 suspended or otherwise disqualified. CONSULTANT shall comply with 2 CFR Part 180, as adopted and
18 supplemented by 2 CFR Part 1200. CONSULTANT shall include these requirements in any lower tier
19 covered transaction it enters into.

20 **ARTICLE 46. PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS**
21 **AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT**

22 A. Definitions. As used in this Article:

23 1. "Backhaul" means intermediate links between the core network, or backbone
24 network, and the smallsubnetworks at the edge of the network (e.g., connecting cell phones/towers to
25 the core telephone network). Backhaul can be wireless (e.g., microwave) or wired (e.g., fiber optic,
26 coaxial cable, Ethernet).

1 2. "Covered foreign country" means The People's Republic of China.

2 3. "Covered telecommunications equipment or services" means:

3 a) Telecommunications equipment produced by Huawei Technologies
4 Company or ZTE Corporation (or any subsidiary or affiliate of such
5 entities);

6 b) For the purpose of public safety, security of Government facilities,
7 physical security surveillance of critical infrastructure, and other national
8 security purposes, video surveillance and telecommunications
9 equipment produced by Hytera Communications Corporation, Hangzhou
10 Hikvision Digital Technology Company, or Dahua Technology Company
11 (or any subsidiary or affiliate of such entities);

12 c) Telecommunications or video surveillance services provided by such
13 entities or using such equipment; or

14 d) Telecommunications or video surveillance equipment or services
15 produced or provided by an entity that the Secretary of Defense, in
16 consultation with the Director of National Intelligence or the Director of
17 the Federal Bureau of Investigation, reasonably believes to be an entity
18 owned or controlled by, or otherwise connected to, the government of
19 a covered foreign country.

20 4. "Critical technology" means:

21 a) Defense articles or defense services included on the United States
22 Munitions List set forth in the International Traffic in Arms Regulations
23 under 22 C.F.R. subchapter M of chapter I;

24 b) Items included on the Commerce Control List set forth in Supplement
25 No. 1 to part 774 of the Export Administration Regulations under 15
26 C.F.R. subchapter C of chapter VII, and controlled

- 1 1. Pursuant to multilateral regimes, including for reasons relating to national
2 security, chemical and biological weapons proliferation, nuclear
3 nonproliferation, or missile technology; or
4 2. For reasons relating to regional stability or surreptitious listening;
5 c) Specially designed and prepared nuclear equipment, parts and
6 components, materials, software, and technology covered by 10 C.F.R.
7 Part 810 (relating to assistance to foreign atomic energy activities);
8 d) Nuclear facilities, equipment, and material covered by 10 C.F.R. Part
9 110 (relating to export and import of nuclear equipment and material);
10 e) Select agents and toxins covered by 7 CFR Part 331, 9 C.F.R. Part 121,
11 or 42 C.F.R. Part 73; or
12 f) Emerging and foundational technologies controlled pursuant to section
13 1758 of the ExportControl Reform Act of 2018 (50 U.S.C. §4817).

14 5. "Interconnection arrangements" means arrangements governing the physical
15 connection of two or more networks to allow the use of another's network to hand off traffic where it
16 is ultimately delivered (e.g., connection of a customer of telephone provider A to a customer of
17 telephone company B) or sharing data and other information resources.

18 6. "Reasonable inquiry" means an inquiry designed to uncover any information in
19 the entity's possession about the identity of the producer or provider of covered telecommunications
20 equipment or services used by the entity that excludes the need to include an internal or third-
21 party audit.

22 7. "Roaming" means cellular communications services (e.g., voice, video, data)
23 received from a visited network when unable to connect to the facilities of the home network either
24 because signal coverage is too weak or because traffic is too high.

25 8. "Substantial or essential component" means any component necessary for the
26 proper function or performance of a piece of equipment, system, or service.

1 B. Prohibition

2 1. Section 889(a)(l)(A) of the John S. McCain National Defense Authorization Act for
3 Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of a federal executive agency, on or after
4 August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or
5 obtain, any equipment, system, or service that uses covered telecommunications equipment or
6 services as a substantial or essential component of any system, or as critical technology as part of
7 any system. CONSULTANT is prohibited from providing to AUTHORITY or the Federal Government
8 any equipment, system, or service that uses covered telecommunications equipment or services
9 as a substantial or essential component of any system, or as critical technology as part of any
10 system, unless an exception at paragraph (C) of this Article applies or the covered
11 telecommunication equipment or services are covered by a waiver described in FAR §4.2104.

12 2. Section 889(a)(l)(B) of the John S. McCain National Defense Authorization Act for
13 Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of a federal executive agency on or after
14 August 13, 2020, from entering into a contract, or extending or renewing a contract, with an entity
15 that uses any equipment, system, or service that uses covered telecommunications equipment or
16 services as a substantial or essential component of any system, or as critical technology as part of
17 any system, unless an exception at paragraph (C) of this Article applies or the covered
18 telecommunication equipment or services are covered by a waiver described in FAR section 4.2104.
19 This prohibition applies to the use of covered telecommunications equipment or services, regardless
20 of whether that use is in performance of work under a federally-funded contract.

21 C. Exceptions. This Article does not prohibit CONSULTANT from providing:

22 1. A service that connects to the facilities of a third-party, such as backhaul, roaming,
23 or interconnection arrangements; or

24 2. Telecommunications equipment that cannot route or redirect user data traffic or
25 permit visibility into any user data or packets that such equipment transmits or otherwise handles.

26 D. Reporting Requirement

1 1. In the event CONSULTANT identifies covered telecommunications equipment or
2 services used as a substantial or essential component of any system, or as critical technology as part
3 of any system, during Agreement performance, or CONSULTANT is notified of such by a
4 subcontractor at any tier or by any other source, CONSULTANT shall report the information in
5 paragraph (d)(2) of this Article to the Chief Executive Officer of AUTHORITY, or designee, unless
6 elsewhere in this Agreement are established procedures for reporting the information; in the case
7 of the Department of Defense, CONSULTANT shall report to the website at <https://dibnet.dod.mil>.
8 For indefinite delivery contracts, CONSULTANT shall report to the Chief Executive Officer of
9 AUTHORITY, or designee, for the indefinite delivery contract and the Chief Executive Officer of
10 AUTHORITY, or designee, for any affected order or, in the case of the Department of Defense,
11 identify both the indefinite delivery contract and any affected orders in the report provided at
12 <https://dibnet.dod.mil>.

13 2. CONSULTANT shall report the following information pursuant to paragraph (D)(1)
14 of this Article:

15 a) Within one (1) business day from the date of such identification or
16 notification: the contract number; the order number(s), if applicable;
17 supplier name; supplier unique entity identifier (if known); supplier
18 Commercial and Government Entity (CAGE) code (if known); brand;
19 model number (original equipment manufacturer number, manufacturer
20 part number, or wholesaler number); item description; and any readily
21 available information about mitigation actions undertaken or
22 recommended.

23 b) Within ten (10) business days of submitting the information in
24 paragraph (D)(2)(i) of this Article: any further available information
25 about mitigation actions undertaken or recommended. In addition,
26 CONSULTANT shall describe the efforts it undertook to prevent use or

1 submission of covered telecommunications equipment or services, and
2 any additional efforts that will be incorporated to prevent future use or
3 submission of covered telecommunications equipment or services.

4 E. Subcontracts. CONSULTANT shall insert the substance of this Article, including this
5 paragraph (E) and excluding paragraph (B)(2), in all subcontracts and other contractual instruments,
6 including subcontracts for the acquisition of commercial products or commercial services.

7 **ARTICLE 47. NOTICE TO AUTHORITY AND FTA OF INFORMATION RELATED TO**
8 **FRAUD, WASTE, ABUSE, OR OTHER LEGAL MATTERS**

9 CONSULTANT shall report to AUTHORITY and FTA any current or prospective legal matter
10 that may affect the Federal Government, including a major dispute, default, breach, litigation, or naming
11 the Federal Government as a party to litigation, or a legal disagreement in any forum for any reason.
12 Matters that may affect the Federal Government include, but are not limited to, the Federal
13 Government's interest in the federal award, any underlying agreements, or the Federal Government's
14 administration or enforcement of federal laws, regulations, and requirements. In addition,
15 CONSULTANT shall promptly notify AUTHORITY, FTA, and the U.S. DOT Inspector General of any
16 knowledge of potential fraud, waste, or abuse occurring on the Project. This includes knowledge that
17 any person or entity, including CONSULTANT, has or may have submitted a false claim under the
18 False Claims Act, 31 U.S.C. § 3729, et seq., or has or may have committed a criminal or civil violation
19 of law pertaining to such matters as fraud, conflict of interest, bid rigging, misappropriation or
20 embezzlement, bribery, gratuity, or similar misconduct involving federal assistance. "Knowledge," as
21 used in this Article, includes, but is not limited to, knowledge of a criminal or civil investigation by a
22 federal, state, or local law enforcement or other investigative agency; a criminal indictment or civil
23 complaint; or probable cause that could support a criminal indictment, or any other credible information
24 in the possession of the CONSULTANT. CONSULTANT agrees to include these requirements in all
25 subcontracts at any tier.

26 /

1 **ARTICLE 48. LIMITATION ON GOVERNMENTAL DECISIONS**

2 CONSULTANT shall not make, participate in making, or use its position to influence any
3 governmental decisions as defined by the Political Reform Act, Government Code section 8100 et seq.,
4 and the implementing regulations in Title 2 of the California Code of Regulations section 18110 et seq.
5 CONSULTANT's personnel performing services under this Agreement shall not authorize or direct any
6 actions, votes, appoint any person, obligate, or commit AUTHORITY to any course of action or enter
7 into any contractual agreement on behalf of AUTHORITY. In addition, CONSULTANT's personnel shall
8 not provide information, an opinion, or a recommendation for the purpose of affecting a decision without
9 significant intervening substantive review by AUTHORITY personnel, counsel, and management.

10 **ARTICLE 49. FORCE MAJEURE**

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

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IN WITNESS WHEREOF, the parties hereto have caused this Agreement No. C-3-2328 to be executed as of the date of the last signature below.

CONSULTANT

ORANGE COUNTY TRANSPORTATION AUTHORITY

By: _____

By: _____

Darrell E. Johnson
Chief Executive Officer

APPROVED AS TO FORM:

By: _____

James M. Donich
General Counsel

APPROVED:

By: _____

Kia Mortazavi
Executive Director, Planning

DISADVANTAGED BUSINESS ENTERPRISE (DBE) CONTRACT PROVISIONS FOR U.S. DOT-ASSISTED CONTRACTS

I. DBE Participation

It is the CONSULTANT'S responsibility to be fully informed regarding the requirements of 49 CFR, Part 26 and AUTHORITY's DBE program developed pursuant to these regulations.

CONSULTANT must complete and submit, within the specified timelines, the required DBE documentation in Section IV. of this Attachment, through the AUTHORITY's electronic reporting system (ECAT). CONSULTANT's submitted "DBE Participation Commitment Form," executed subcontracts and/or purchase orders, as well as on-going DBE documentation will be utilized to monitor CONSULTANT's DBE commitment. Unless otherwise directed and/or approved in writing by AUTHORITY prior, CONSULTANT must not effectuate any changes to its DBE participation commitment.

CONSULTANT must complete and submit all required DBE documentation to effectively capture DBE utilization on AUTHORITY's U.S. DOT-assisted contracts whether achieved race neutrally or race consciously. No changes to CONSULTANT'S DBE commitment shall be made until proper review and approval by AUTHORITY is rendered in writing.

To ensure full compliance with the requirements of 49 CFR, Part 26 and AUTHORITY's DBE Program, CONSULTANT must:

- A. Take appropriate actions to ensure that it will satisfy good faith efforts to meet the DBE agreement goal and continue to meet the DBE commitment made at award, when change orders or other modifications alter the dollar amount of the Agreement or the distribution of work. CONSULTANT must apply and report its DBE goal commitment against the total Agreement value, including any change orders and/or amendments.

II. DBE Policy and Applicability

In accordance with federal financial assistance agreements with the U.S. Department of Transportation ("U.S. DOT"), AUTHORITY has adopted a Disadvantaged Business Enterprise ("DBE") Policy and Program in conformance with Title 49 CFR, Part 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs".

The project is subject to these stipulated regulations and AUTHORITY's DBE Program. To ensure that AUTHORITY achieves its overall DBE Program goals and objectives, AUTHORITY encourages the participation of DBEs as defined in 49 CFR, Part 26, in the performance of agreements financed in whole or in part with U.S. DOT funds. Pursuant to the intent of these Regulations, it is also the policy of AUTHORITY to:

Fulfill the spirit and intent of the DBE Program regulations published under U.S. DOT Title 49 CFR, Part 26, by ensuring that DBEs have an equitable opportunity to compete for and participate in AUTHORITY's U.S. DOT-assisted contracts and subcontracts. AUTHORITY is firmly committed to the DBE Program objectives, which are designed to:

- A. Ensure non-discrimination in the award and administration of AUTHORITY's U.S. DOT-assisted contracts;
- B. Create a level playing field by which DBE's can fairly compete for AUTHORITY's U.S. DOT-assisted contracts;
- C. Ensure that AUTHORITY's DBE Program and Overall Goals are narrowly tailored in accordance with applicable law;
- D. Ensure that only firms that fully meet 49 CFR, Part 26 eligibility standards are permitted to participate as DBE's in the AUTHORITY's DBE Program;
- E. Help remove barriers which impede the participation of DBE's in AUTHORITY's U.S. DOT-assisted contracts;
- F. Promote the use of DBE's in all types of U.S. DOT-assisted contracts and procurement activities conducted by AUTHORITY;
- G. Provide training and other assistance through our resource partners to address capital, bonding, and insurance needs;
- H. Assist in the development of DBE firms that can compete successfully in the marketplace outside of the DBE Program; and
- I. Establish and provide opportunities for DBEs by providing flexibility in the implementation of AUTHORITY's DBE Program.

CONSULTANT must not discriminate on the basis of race, color, national origin, or sex in the award and performance of subconsultant. Any terms used in this section that are defined in 49 CFR, Part 26, or elsewhere in the Regulations, must have the meaning set forth in the Regulations. In the event of any conflicts or inconsistencies between the Regulations and AUTHORITY's DBE Program with respect to U.S. DOT-assisted contracts, the Regulations must prevail.

III. AUTHORITY's DBE Policy Implementation Directives

Pursuant to the provisions associated with Title 49 CFR, Part 26, the Disadvantaged Business Enterprise ("DBE") Program exists to ensure participation, equitable competition, and

assistance to participants in the U.S. DOT DBE program. Accordingly, based on the AUTHORITY's analysis of its past utilization data, coupled with Overall Goal Methodology findings and examination of similar Recipient's disparity studies, AUTHORITY's DBE Program is implemented utilizing both race-conscious and race-neutral means. When a contract-specific DBE goal is assigned to a project, meeting the contract-specific goal by committing to utilize DBEs, or documenting a bona fide good faith effort to do so, is a condition of award.

A. Definitions

The following definitions apply to the terms used in these provisions:

1. **"Disadvantaged Business Enterprise (DBE)"** means a small business concern:
(a) which is at least fifty-one percent (51%) owned by one or more socially and economically disadvantaged individuals or, in the case of any publicly-owned business, at least fifty-one percent (51%) of the stock of which is owned by one or more socially and economically disadvantaged individuals; and (b) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.
2. **"Small Business Concern"** means a small business as defined pursuant to Section 3 of the Small Business Act and Small Business Administration (SBA) regulations implementing it (13 CFR Part 121) that also does not exceed the cap on average annual gross receipts specified in §26.65(b).
3. **"Socially and Economically Disadvantaged Individuals"** means any individual who is a citizens (or lawfully admitted permanent resident) of the United States and who has been subjected to racial or ethnic prejudice or cultural bias within American society because of his or her identity as a member of groups and without regard to his or her individual qualities. The social disadvantage must stem from circumstances beyond the individual's control.
 - a) Any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis. An individual must demonstrate that he or she has held himself or herself out, as a member of a designated group if you require it.
 - b) Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:
 - i. "Black Americans," which includes persons having origins in any of the Black racial groups of Africa";
 - ii. "Hispanic Americans," which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race";

- iii. "Native Americans," which includes persons who are enrolled members of a federally or State recognized Indian tribe, Alaskan Natives, or Native Hawaiians";
 - iv. "Asian-Pacific Americans," which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), Republic of the Northern Marianas Islands, Samoa, Macao, Fiji, Tonga, Kirbati, Tuvalu, Nauru, Federated States of Micronesia, or Hong Kong";
 - v. "Subcontinent Asian Americans," which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;,"
 - vi. Women; and
 - vii. Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.
- c) Being born in a particular country does not, standing alone, mean that a person is necessarily a member of one of the groups listed in this definition.
4. **"Owned and Controlled"** means a business: (a) which is at least 51 percent owned by one or more "Socially and Economically Disadvantaged Individuals" or, in the case of a publicly-owned business, at least 51 percent of the stock of which is owned by one or more "Socially and Economically Disadvantaged Individuals"; and (b) whose management and daily business operations are controlled by one or more such individuals.
5. **"Manufacturer"** means a firm that operates or maintains a factory or establishment that produces on the premises the materials or supplies obtained by the CONSULTANT.
6. **"Regular Dealer"** means a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials or supplies required for the performance of the Agreement are bought, kept in stock, and regularly sold to the public in the usual course of business. The firm must engage in, as its principal business, and in its own name, the purchase and sale of the product in question. A regular dealer in such bulk items as steel, cement, gravel, stone and petroleum products need not keep such products in stock if it owns or operates distribution equipment.
7. **"Fraud"** includes a firm that does not meet the eligibility criteria of being a certified DBE and attempts to participate in a U.S. DOT-assisted program as a DBE on the basis of false, fraudulent, or deceitful statements or representations, or under circumstances indicating a serious lack of business integrity or honesty.

AUTHORITY may take enforcement action under 49 CFR, Part 31, Program Fraud and Civil Remedies, against any participant in the DBE program whose conduct is subject to such action under 49 CFR, Part 31. AUTHORITY may refer cases of identified fraud to the Department of Justice, for prosecution under 18 U.S.C. 1001, or any other applicable provisions of law. Any person who makes a false or fraudulent statement in connection with participation of a DBE in any U.S. DOT-assisted program or otherwise, violates applicable Federal statutes.

8. ***“Other Socially and Economically Disadvantaged Individuals”*** means those individuals who are citizens of the United States (or lawfully admitted permanent residents), and who, on a case-by-case basis, are determined by Small Business Administration or AUTHORITY to meet the social and economic disadvantage criteria described below.

B. “Social Disadvantage”

1. The individual's social disadvantage must stem from his/her color, national origin, gender, physical handicap, long-term residence in an environment isolated from the mainstream of American society, or other similar cause beyond the individual's control.
2. The individual must demonstrate that he/she has personally suffered social disadvantage.
3. The individual's social disadvantage must be rooted in treatment which he/she has experienced in American society, not in other countries.
4. The individual's social disadvantage must be chronic, longstanding and substantial; not fleeting or insignificant.
5. The individual's social disadvantage must have negatively affected his/her entry into and/or advancement in the business world.
6. A determination of social disadvantage must be made before proceeding to make a determination of economic disadvantage.

C. “Economic Disadvantage”

1. The individual's ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities, as compared to others in the same line of business and competitive market area that are not socially disadvantaged.
2. The following criteria will be considered when determining the degree of diminished

credit and capital opportunities of a person claiming social and economic disadvantage:

With respect to the individual:

- availability of financing
- bonding capability
- availability of outside equity capital
- available markets

With respect to the individual and the business concern:

- personal and business assets
- personal and business net worth
- personal and business income and profits

IV. Submission of DBE Information and Ongoing Reporting Requirements (Post-Award)

CONSULTANT must complete and submit within the specified timelines, the following DBE and Non-DBE documentation, electronically through the submission process detailed below:

Form/Electronic Submittal	Frequency of Submission	Process for Submission:
Monthly DBE Attainment and Subconsultant Prompt Payment Verification Report	Monthly by the 10 th of each month	Enter data and submit via ECAT to AUTHORITY
DBE Subcontract Agreements	Within ten (10) days of prime contract award, or with Request to Add for DBE firms added post-award	Upload Subcontract to Subconsultant profile and submit via ECAT to AUTHORITY
Request to Add Subconsultant	As needed (see instructions below)	Enter data and submit via ECAT to AUTHORITY
DBE Commitment Change Request(s)	As needed (see instructions below)	Enter data and submit via ECAT to AUTHORITY
On-Going Good Faith Efforts (GFE) Post-Award	As needed (see instructions below)	Upload GFE attachment and submit via ECAT to AUTHORITY
Final Report-Utilization of Disadvantaged Business Enterprises (DBE) and First-Tier Subconsultants	Within thirty (30) days from the date of project completion.	Enter data and submit via ECAT to AUTHORITY
Disadvantaged Business Enterprises (DBE) Certification Status Change	Within thirty (30) days from the date of project completion.	Enter data and submit via ECAT to AUTHORITY

A penalty of ten dollars (\$10) per day, per Form/Electronic submittal will be implemented for late submission of any of the above.

A. Monthly DBE Attainment and Subconsultant Prompt Payment Verification Data Submission

This submission serves to ensure CONSULTANT's DBE commitments are attained, properly reported, and credited in accordance with DBE crediting provisions based on the capacity the DBE performs the scope of work/service.

This submission further serves to monitor prompt payment to both DBE and non-DBE firms, and collect DBE utilization data as required under 49 CFR, Part 26.

CONSULTANT is required to enter data directly into ECAT and submit by the 10th of each month until completion of the Agreement. CONSULTANT's first submission is due following the first month of Agreement activity. Even if no DBE participation will be reported within a period, CONSULTANT must complete and submit Monthly by the required timelines.

If there is not a DBE goal and no DBE commitment has been made by CONSULTANT, CONSULTANT is required to enter data directly into ECAT and submit by bi-annually on April 10th and October 10th of each year. Additionally, upon completion of the contract, a final report must be submitted and marked final.

Data required for submission includes the amount(s) received by CONSULTANT from AUTHORITY and the amount(s) paid to lower-tier subconsultants during the Month. CONSULTANT to submit pertinent payment details for any firm (DBE and Non-DBE) to whom they have reported a payment within the reporting period. CONSULTANT is advised not to report the participation of DBE(s) toward the CONSULTANT's DBE attainment until the amount being claimed has been paid to the DBE.

Pertinent payment details include:

- Invoice Number
- Invoice Amount
- Payment Amount
- Invoice Date
- Check Number
- Date of Payment
- Corresponding Prime Invoice (associated to subconsultants' invoice)
- Retention
- Disputed or Withheld invoice amounts

If DBE trucking credit is being claimed, CONSULTANT must electronically report through ECAT the amount paid to DBE trucking companies and their lower-tier firms (including owner operators for the leasing of trucks). Pertinent payment details required for submission will include truck number, owner's name, California Highway Patrol CA number, and if applicable, the DBE certification number of the owner of the truck for all trucks paid during that month. If

the DBE leases trucks from a non DBE, CONSULTANT may count only the fee or commission the DBE receives as a result of the lease arrangement.

Firms will receive a notification from ECAT when a payment is reported to them and will be required to log-in to ECAT to verify the payment information provided by CONSULTANT. A reported payment to a lower-tier DBE firm will not be credited towards the DBE goal until the DBE firm has validated the payment through ECAT. All payments reported by CONSULTANT must be validated by affected firm, prior to the 10th of each month following the reporting period.

Electronic submission of the Monthly DBE Commitment and Attainment Summary and Subconsultant Prompt Pay Verification Data includes a certification under penalty of perjury of the prompt payment assurance statement of compliance, providing assurance that timely payments have been issued to all subconsultants in accordance with regulatory mandates and as required by 49 CFR Part 26.29.

B. DBE Subcontract Agreements

CONSULTANT must electronically submit to AUTHORITY via ECAT, copies of executed subcontracts and/or purchase orders (PO) for all DBE firms participating on the contract within ten (10) working days of award. CONSULTANT must immediately notify AUTHORITY in writing, of any problems it may have in obtaining the subcontract agreements from listed DBE firms within the specified time.

C. Additional DBE Firms

In the event CONSULTANT identifies additional DBE subconsultants not previously identified by CONSULTANT for DBE participation under the Agreement, CONSULTANT must notify AUTHORITY by filling out and submitting a "Request to Add," through ECAT. This will enable AUTHORITY to verify the firm's eligibility, capacity, CUF and scope of work. Proposed firms will not be applied towards CONSULTANT'S DBE participation until approved by AUTHORITY.

CONSULTANT must also submit, for each DBE identified after contract execution, a written confirmation from the DBE acknowledging that it is participating in the contract for a specific value, including the corresponding scope of work (a subcontract agreement can serve in lieu of the written confirmation). This supporting documentation is a required upload by ECAT when submitting a Request to Add.

D. DBE Commitment Change Request(s), DBE Substitution, Termination and Increasing or Decreasing Commitment Values

CONSULTANT shall utilize the specific DBEs listed to perform the work and supply the materials for which each is listed unless the CONSULTANT obtains AUTHORITY's written consent. CONSULTANT shall not terminate, decrease or substitute a listed DBE for convenience and perform work originally designated for a DBE with its own work force or those of an affiliate, a non-DBE firm, another DBE firm or obtain materials from other sources without

prior written authorization from AUTHORITY. CONSULTANT shall not be entitled to any payment for work or materials unless it is performed or supplied by the listed DBE on the DBE Participation Commitment form, unless the DBE is terminated in accordance with this section and is approved by AUTHORITY. This includes partial terminations.

CONSULTANT shall provide written notification to AUTHORITY in a timely manner of any changes to its anticipated DBE participation. This notice should be provided prior to the commencement of that portion of the work.

AUTHORITY shall only provide written consent to a request to use other forces or sources of materials if CONSULTANT has good cause to terminate or decrease its DBE commitment to a DBE firm. For the purposes of this section good cause includes any of the following justifications:

1. Listed DBE fails or refuses to execute a written contract based on the requirements of the project.
2. Listed DBE firm fails or refuses to perform the work of its subcontract in a way consistent with normal industry standards. Provided, however, that good cause does not exist if the failure or refusal of the DBE subconsultant to perform its work on the subcontract results from the bad faith or discriminatory action of CONSULTANT.
3. Listed DBE firm fails or refuses to meet the CONSULTANT's reasonable, nondiscriminatory bond requirements.
4. Listed DBE becomes bankrupt or insolvent or exhibits credit unworthiness.
5. Listed DBE firm is ineligible to work on public works projects because of suspension and debarment proceedings pursuant 2 CFR Parts 180, 215 and 1,200 or applicable state law.
6. AUTHORITY has determined that the listed DBE firm is not a responsible firm.
7. Listed DBE firm voluntarily withdraws from the project and provides written notice of its withdrawal.
8. Listed DBE is ineligible to receive credit for the type of work required.
9. Listed DBE owner dies or becomes disabled resulting in the inability of the DBE to perform the work on the Contract.
10. Other documented good cause that the Authority determines compels the termination (inclusive of decreases to commitment values and substitutions) of a DBE firm.

To submit a request to substitute, decrease or terminate a DBE subconsultant commitment, CONSULTANT is required to submit a DBE Commitment Change Request through ECAT. The DBE Commitment Change Request includes options to increase, decrease, substitute or terminate a DBE commitment.

If decrease, substitute or terminate is selected, CONSULTANT must give notice in writing to the DBE, with a copy to AUTHORITY, of its intent to decrease, substitute and/or terminate, and

provide justification, allowing the DBE five (5) days to respond to CONSULTANT of the reasons, if any, why it objects to the proposed termination of its contract and why AUTHORITY should not approve CONSULTANT's request. The following documentation will be required by ECAT when submitting the DBE Commitment Change Request.

1. One or more of the good cause justifications listed above.
2. Notices from CONSULTANT to the DBE regarding the request.
3. Responses from the DBEs to CONSULTANT regarding the request.
4. Any documentation necessary to validate the good cause justification.
5. Proof of DBE certification of proposed firm (if requesting to substitute).
6. Written confirmation of work and amount signed by proposed firm (if requesting to substitute).

In the event of an approved DBE substitution, termination, or failure of a DBE to complete its work on the contract for any reason, the DBE must be substituted with another DBE or adequate good faith efforts must be documented by CONSULTANT within five (5) days, to the extent needed to meet the contract-specific DBE goal. Note: The five (5) day period may be extended for an additional five (5) days if necessary, at the request of the CONSULTANT. The substitute DBE must be certified as a DBE within the appropriate NAICS categories at the time of request for substitution.

CONSULTANT shall not be entitled to any payment for work or materials unless it is performed or supplied by the listed DBE, unless the DBE is terminated in accordance with this section and is approved by AUTHORITY in writing. This includes partial terminations.

Should CONSULTANT elect to submit a good faith effort documentation in lieu of proposing additional DBE participation, AUTHORITY will review the documentation and provide a determination through ECAT to CONSULTANT stating whether or not good faith efforts have been adequately demonstrated.

The substitute DBE cannot work on the Agreement until its work eligibility has been confirmed by AUTHORITY.

E. On-Going Good Faith Efforts Post-Award

During the term of the Agreement, CONSULTANT shall continue to make a Good Faith Effort (GFE) to ensure that DBEs have an opportunity to successfully perform in the Agreement, and that the CONSULTANT meets the DBE contract goal. These efforts shall include, but shall not be limited to, the following:

- a. Negotiating in good faith to attempt to finalize and execute a subconsultant agreement with the DBEs committed to;
- b. Continuing to provide assistance to DBE firms in obtaining bonding, lines of credit, etc.

- c. Notifying a DBE in writing of any potential problem and attempting to resolve the problem prior to formally requesting AUTHORITY approval to substitute the DBE.
- d. Paying all firms (DBEs and non-DBEs) in a timely manner, as listed in the Agreement specifications;
- e. Alerting AUTHORITY in a timely manner of any problems anticipated in attaining the DBE participation committed to in the proposal;
- f. If a DBE substitution is necessary, making a Good Faith Effort to replace the DBE with another DBE, subject to the approval of AUTHORITY.

Should CONSULTANT's DBE commitment fall below the DBE contract goal, submittal of good faith effort documentation will be required on a monthly basis until the goal has been met through executed DBE contract agreements. Documentation should include but is not limited to:

- a. Conducting market research to identify and solicit DBE firms that have the capability to perform the work on the Agreement. All reasonable and available means should be utilized. This may include attendance at matchmaking meetings and events, advertising, written notices or emails to all DBEs listed in the State's directory of transportation firms that specialize in the areas of work desired and which are located in the area or surrounding areas of the project.
- b. CONSULTANT should solicit this interest as early in the process as practicable to allow the DBEs to respond to the solicitation and submit a timely proposal. CONSULTANT should determine with certainty if the DBEs are interested by taking appropriate steps to follow up on initial solicitations.
- c. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out Agreement work items into economically feasible units (for example, smaller tasks or quantities) to facilitate DBE participation, even when CONSULTANT might otherwise prefer to perform these work items with its own forces. This may include, where possible, establishing flexible timeframes for performance.
- d. Effectively using the services of available minority/women community organizations; minority/women consultant groups; local, State, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

F. Final Report-Utilization of Disadvantaged Business Enterprises

Upon completion of the project, CONSULTANT must electronically designate their last Monthly DBE Attainment and Subconsultant Prompt Payment Verification Report as final and submit to

the Authority utilizing ECAT within thirty (30) days from the date of project completion. The amount of ten-thousand dollars (\$10,000) will be withheld from payment until a satisfactory form is submitted.

G. Disadvantaged Business Enterprises Certification Status Change

If a DBE subconsultant is decertified during the life of the project, the decertified subconsultant must notify the CONSULTANT in writing with the date of decertification and last date of work on the project while still certified. Within ten (10) days of receipt of decertification documentation, CONSULTANT must electronically furnish the written documentation to AUTHORITY via ECAT. Upon completion of the project, "Disadvantaged Business Enterprises Certification Status Change" must be signed and certified correct by the CONSULTANT indicating each DBE's existing certification status utilizing ECAT.

If there are no changes, CONSULTANT indicates "No Changes." The signed and certified form must be furnished to AUTHORITY within thirty (30) days from the date of project completion.

Failure to submit any of the required submittals above and their support documentation within the specified timeline shall result in a penalty of ten dollars (\$10) per day, per submittal document.

AUTHORITY requires CONSULTANT to maintain records and documents of payments to lower-tiers, including DBEs, for a period of four (4) years from the date of final payment by AUTHORITY, unless otherwise provided by applicable record retention requirements for CONSULTANT'S agreement, whichever is longer. These records will be made available for inspection upon request in accordance with Article 21 entitled "Access to Records and Reports", of this Agreement. This reporting requirement extends to all lower-tiers, both DBE and non-DBE.

AUTHORITY reserves the right, at its sole discretion, to demonstrate responsiveness to requirements of CFR 49 Part 26.37 by posting CONSULTANT payment data to a website, database, or other place accessible to subconsultants to assist them in determining when they should expect to receive payment.

V. DBE Eligibility and Commercially Useful Function Standards

A DBE must be certified at the time of proposal submission:

1. A DBE must be a small business firm defined pursuant to 13 CFR Part 121 and be certified through the California Unified Certification Program ("CUCP") at the time of proposal submission. A listing of DBEs certified by the CUCP is available the link to the CUCP web site, which can be accessed at:
<https://ucp.dot.ca.gov/licenseForm.htm>

2. A DBE may participate as a prime CONSULTANT, subconsultant, joint venture partner, vendor of material or supplies, or as a trucking company.
3. A DBE joint venture partner must be responsible for specific contract items of work, or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own work forces. The DBE joint venture partner must share in the capital contribution, control, management, risks, and profits of the joint venture commensurate with its ownership interest.
4. The use of joint-checks for DBE firms must be approved by AUTHORITY prior to execution, and a joint-check agreement must accompany the request to AUTHORITY.
5. A DBE must perform a commercially useful function in accordance with 49 CFR Part 26.55 (i.e. 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). A DBE should perform at least thirty percent (30%) of the total cost of its contract with its own workforce to presume it is performing a commercially useful function.

VI. DBE Crediting Provisions

- A. When a DBE is proposed to participate in the Agreement, at any tier, only the value of the work proposed to be performed by the DBE with its own work force may be counted towards DBE participation. If CONSULTANT is a DBE joint venture participant, only the DBE proportionate interest in the joint venture must be counted.
 1. If a DBE intends to subcontract part of the work of its subcontract to a lower-tier subconsultant, the value of the subcontracted work may be counted toward DBE participation only if the subconsultant is a certified DBE and performs the work with their own forces. Services subcontracted to a non-DBE firm may not be credited toward the CONSULTANT's DBE attainment.
 2. CONSULTANT is to calculate and credit participation by eligible DBE vendors of equipment, materials, and supplies toward DBE attainment as follows:
 - a) Sixty percent (60%) of expenditures for equipment, materials, and supplies required under the Agreement obtained from a regular dealer; or
 - b) One hundred percent (100%) of expenditures for equipment, materials, and supplies required under the Agreement obtained from a DBE manufacturer.
 3. The following types of fees or commissions paid to DBE subconsultants, Brokers,

and Packagers may be credited toward CONSULTANT'S DBE attainment, provided that the fee or commission is reasonable and not excessive, as compared with fees or commissions customarily allowed for similar work including:

- a) Fees and commissions charged for providing bona fide professional or technical services, or procurement of essential personnel, facilities, equipment, materials, or supplies required in the performance of the Agreement;
 - b) Fees charged for delivery of material and supplies (excluding the cost of materials or supplies themselves), when the licensed hauler, trucker, or delivery service is not also the manufacturer of, or a regular dealer in, the material and supplies;
 - c) Fees and commissions charged for providing any insurance specifically required in the performance of the Agreement.
4. If the CONSULTANT listed a non-certified, 1st tier subconsultant to perform work on this Agreement, and the non-certified subconsultant subcontracts a part of its work or purchases materials and/or supplies from a lower tier DBE certified subconsultant or Vendor, the value of work performed by the lower tier DBE firm's own forces can be counted toward DBE participation on the Agreement. If a DBE CONSULTANT performs the installation of purchased materials and supplies, they are eligible for full credit of the cost of the materials.
5. CONSULTANT is advised not to report the participation of DBE(s) toward the CONSULTANT'S DBE attainment until the amount being claimed has been paid to the DBE.

VII. DBE "Frauds" and "Fronts"

Only legitimate DBEs are eligible to participate as DBEs in the AUTHORITY's U.S. DOT-assisted contracts. CONSULTANT is cautioned against knowingly and willfully using "fronts." The use of "fronts" and "pass through" subcontracts to non-disadvantaged firms constitute criminal violations. Further, any indication of fraud, waste, abuse, or mismanagement of Federal funds should be immediately reported to the Office of Inspector General, U.S. Department of Transportation at the toll-free hotline: (800) 424-9071; by email at hotline@oig.dot.gov, or by mail to the following: DOT Inspector General, 1200 New Jersey Ave SE, West Bldg 7th Floor, Washington, DC 20590.

VIII. Dispute Resolution

All contracts in excess of five-hundred thousand dollars (\$500,000) shall contain provisions or conditions which will allow for dispute resolution remedies in instances where CONSULTANTs violate or breach DBE Program requirements, inclusive but not limited to, prompt payment and provide for such sanctions and penalties as may be appropriate.

CONSULTANT shall incorporate this Section into each subcontract related to work arising under this Agreement and shall not incorporate by reference.

CONSULTANT and subconsultant agree to notify AUTHORITY within five (5) business days of any prompt payment and/or DBE Program disputes which cannot be settled by discussions between the parties involved.

CONSULTANT and subconsultant further agree to proceed through informal meetings, mediation, or any combination thereof as further detailed below. Dispute submittals shall include the method(s) of dispute resolution selected, terms, timeframes, and a detailed summary of assistance being requested (as applicable).

I. INFORMAL MEETINGS:

AUTHORITY is available to assist CONSULTANT with coordination of informal meeting requests to assist in the resolution of disputes between CONSULTANT and subconsultant. AUTHORITY's DBELO or a designated DBE support representative will conduct the informal meetings with parties in dispute. Representatives from CONSULTANT and subconsultant for the purpose of dispute resolution, must include individuals authorized to bind each interested party. All parties must agree to the procedure.

II. Mediation

The parties to a contract may agree to endeavor to settle a dispute through informal mediation under independent third-party organizations. AUTHORITY's DBELO and her designated support staff is considered an independent third party. Submission to informal mediation is voluntary; it is not binding and offers advisory opinions.

Performance During Dispute: Unless otherwise directed by AUTHORITY, CONSULTANT and its sub tiers shall continue performance under the Agreement while matters in dispute are being resolved.

Flow Down Requirements: The dispute resolution provisions flow down to all tiers.

These provisions shall not apply to disputes between CONSULTANT and AUTHORITY. These provisions do not alter in any way or waive compliance with other provisions in the Agreement.

IX. Administrative Remedies and Enforcement

CONSULTANT must fully comply with the DBE contract requirements, including the Authority's DBE Program and Title 49 CFR, Part 26 "Participation of Disadvantaged Businesses in Department of Transportation Financial Assistance Programs," and ensure that all

subconsultant, regardless of tier, are also fully compliant. Failure by CONSULTANT to carry out these requirements is a material breach of this Agreement, which may result in the termination of this Agreement, or such other remedy as AUTHORITY deems appropriate, which may include, but is not limited to:

1. Withholding monthly progress payments;
2. Assessing sanctions;
3. Liquidated damages; and/or
4. Disqualifying CONSULTANT from future proposing as non-responsible.

In instances of identified non-compliance, a Cure Notice will be issued to CONSULTANT identifying the DBE non-compliance matter(s) and specifying the required course of action for remedy.

CONSULTANT will be given ten (10) working days from the date of the Cure Notice to remedy or to: (1) File a written appeal accompanied with supporting documentation; and/or (2) Request a hearing with AUTHORITY to reconsider AUTHORITY's DBE determination.

Failure to respond within the ten (10) working day period will constitute a waiver of CONSULTANT'S right to appeal. If CONSULTANT files an appeal, AUTHORITY, must issue a written determination and/or set a hearing date within ten (10) working days of receipt of the written appeal, as applicable. A final Determination will be issued within ten (10) working days after the hearing, as applicable.

If after review of CONSULTANT'S appeal, AUTHORITY decides to uphold the decision to impose DBE administrative remedies on CONSULTANT, the written determination must state the specific remedy(ies) to be imposed.

Failure to comply with the Cure Notice and/or to remedy the identified DBE non-compliance matter(s) is a material breach of the Agreement and is subject to administrative remedies including withholding at a minimum of two percent (2%) of the invoice amount due per month for every month that the identified non-compliance matter(s) is not remedied. Upon satisfactory compliance, AUTHORITY will release all withholdings.

In addition to administrative remedies defined in this section, AUTHORITY is not precluded from invoking other contractual and/or legal remedies available under federal, state or local laws.

EXHIBIT C: CAMPAIGN CONTRIBUTION DISCLOSURE FORM

CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Information Sheet

ORANGE COUNTY TRANSPORTATION AUTHORITY

The attached Campaign Contribution Disclosure Form must be completed by applicants for, or persons who are the subject of, any proceeding involving a license, permit, or other entitlement for use pending before the Board of Directors of the OCTA or any of its affiliated agencies. (Please see next page for definitions of these terms.)

IMPORTANT NOTICE

Basic Provisions of Government Code Section 84308

- A. If you are an applicant for, or the subject of, any proceeding involving a license, permit, or other entitlement for use, you are prohibited from making a campaign contribution of more than \$250 to any board member or his or her alternate. This prohibition begins on the date your application is filed or the proceeding is otherwise initiated, and the prohibition ends three months after a final decision is rendered by the Board of Directors. In addition, no board member or alternate may solicit or accept a campaign contribution of more than \$250 from you during this period.
- B. These prohibitions also apply to your agents, and, if you are a closely held corporation, to your majority shareholder as well. These prohibitions also apply to your subcontractor(s), joint venturer(s), and partner(s) in this proceeding. Also included are parent companies and subsidiary companies directed and controlled by you, and political action committees directed and controlled by you.
- C. You must file the attached disclosure form and disclose whether you or your agent(s) have in the aggregate contributed more than \$250 to any board member or his or her alternate during the 12-month period preceding the filing of the application or the initiation of the proceeding.
- D. If you or your agent have in the aggregate contributed more than \$250 to any individual board member or his/or her alternate during the 12 months preceding the decision on the application or proceeding, that board member or alternate must disqualify himself or herself from the decision. However, disqualification is not required if the board member or alternate returns the campaign contribution within 30 days from the time the director knows, or should have known, about both the contribution and the fact that you are a party in the proceeding. The Campaign Contribution Disclosure Form should be completed and filed with your proposal, or with the first written document you file or submit after the proceeding commences.

1. A proceeding involving "a license, permit, or other entitlement for use" includes all business, professional, trade and land use licenses and permits, and all other entitlements for use, including all entitlements for land use, all contracts (other than competitively bid, labor or personal employment contracts), and all franchises.
2. Your "agent" is someone who represents you in connection with a proceeding involving a license, permit or other entitlement for use. If an individual acting as an agent is also acting in his or her capacity as an employee or member of a law, architectural, engineering, consulting firm, or similar business entity, both the business entity and the individual are "agents."
3. To determine whether a campaign contribution of more than \$250 has been made by you, campaign contributions made by you within the preceding 12 months must be aggregated with those made by your agent within the preceding 12 months or the period of the agency, whichever is shorter. Contributions made by your majority shareholder (if a closely held corporation), your subcontractor(s), your joint venturer(s), and your partner(s) in this proceeding must also be included as part of the aggregation. Campaign contributions made to different directors or their alternates are not aggregated.
4. A list of the members and alternates of the Board of Directors is attached.

This notice summarizes the major requirements of Government Code Section 84308 of the Political Reform Act and California Code of Regulations, Title 2 Sections 18438-18438.8.

ORANGE COUNTY TRANSPORTATION AUTHORITY
CAMPAIGN CONTRIBUTION DISCLOSURE FORM

RFP Number: _____ RFP Title: _____

Was a campaign contribution made to any OCTA Board Member within the preceding 12 months, regardless of dollar amount of the contribution by either the proposing firm, proposed subconsultants and/or agent/lobbyist? Yes _____ No _____

If no, please sign and date below.

If yes, please provide the following information:

Prime Contractor Firm Name: _____

Contributor or Contributor Firm's Name: _____

Contributor or Contributor Firm's Address: _____

Is Contributor:

- The Prime Contractor Yes____ No ____
- Subconsultant Yes____ No ____
- Agent/Lobbyist hired by Prime to represent the Prime in this RFP Yes____ No ____

Note: Under the State of California Government Code section 84308 and California Code of Regulations, Title 2, Section 18438, campaign contributions made by the Prime Contractor and the Prime Contractor's agent/lobbyist who is representing the Prime Contractor in this RFP must be aggregated together to determine the total campaign contribution made by the Prime Contractor.

Identify the Board Member(s) to whom you, your subconsultants, and/or agent/lobbyist made campaign contributions, the name of the contributor, the dates of contribution(s) in the preceding 12 months and dollar amount of the contribution. Each date must include the exact month, day, and year of the contribution.

Name of Board Member: _____

Name of Contributor: _____

Date(s) of Contribution(s): _____

Amount(s): _____

Name of Board Member: _____

Name of Contributor: _____

Date(s) of Contribution(s): _____

Amount(s): _____

Date: _____

Signature of Contributor

Print Firm Name

Print Name of Contributor

**ORANGE COUNTY TRANSPORTATION AUTHORITY
AND AFFILIATED AGENCIES**

Board of Directors

Gene Hernandez, Chairman
Tam Nguyen, Vice Chairman
Doug Chaffee, Director
Jose Diaz, Director
Andrew Do, Director
Jon Dumitru, Director
Jamey Federico, Director
Katrina Foley, Director
Brian Goodell, Director
Patrick Harper, Director
Michael Hennessey, Director
Steve Jones, Director
Fred Jung, Director
Farrah N. Khan, Director
Jessie Lopez, Director
Vicente Sarmiento, Director
Donald P. Wagner, Director

EXHIBIT D: STATUS OF PAST AND PRESENT CONTRACTS

STATUS OF PAST AND PRESENT CONTRACTS FORM

On the form provided below, Offeror/Bidder shall list the status of past and present contracts where the firm has either provided services as a prime vendor or a subcontractor during the past five (5) years in which the contract has been the subject of or may be involved in litigation with the contracting authority. This includes, but is not limited to, claims, settlement agreements, arbitrations, administrative proceedings, and investigations arising out of the contract.

A separate form must be completed for each contract. Offeror/Bidder shall provide an accurate contact name and telephone number for each contract and indicate the term of the contract and the original contract value. Offeror/Bidder shall also provide a brief summary and the current status of the litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations. If the contract was terminated, list the reason for termination.

Offeror/Bidder shall have an ongoing obligation to update the Authority with any changes to the identified contracts and any new litigation, claims, settlement agreements, arbitrations, administrative proceedings, or investigations that arise subsequent to the submission of the bid. Each form must be signed by an officer of the Offeror/Bidder confirming that the information provided is true and accurate.

Project city/agency/other:	
Contact Name:	Phone:
Project Award Date:	Original Contract Value:
Term of Contract:	
(1) Litigation, claims, settlements, arbitrations, or investigations associated with contract:	
(2) Summary and Status of contract:	
(3) Summary and Status of action identified in (1):	
(4) Reason for termination, if applicable:	

By signing this Form entitled "Status of Past and Present Contracts," I am affirming that all of the information provided is true and accurate.

Name

Signature

Title

Date

EXHIBIT E: DISADVANTAGED BUSINESS ENTERPRISE PROGRAM
REQUIREMENTS AND FORMS

**DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM
REQUIREMENTS**

1.0 DBE Goal

To assist offerors in ascertaining DBE availability based on the specific items of work associated with this procurement, the Authority has determined that DBEs are ready, willing and able to compete for subcontracting opportunities on this project. The DBE Goal for this contract is 14%.

2.0 DBE Policy and Applicability

In accordance with federal financial assistance agreements with the U.S. Department of Transportation (“U.S. DOT”), the Orange County Transportation Authority (“Authority”) has adopted a Disadvantaged Business Enterprise (“DBE”) Policy and Program, in conformance with Title 49 CFR Part 26, “Participation by Disadvantaged Business Enterprises in Department of Transportation Programs.” The contract is subject to the following stipulated regulations. Pursuant to the intent of these Regulations, it is the policy of the Authority to fulfill the spirit and intent of the DBE Program regulations published under U.S. DOT Title 49 CFR, Part 26, by ensuring that DBEs have an equitable opportunity to compete for and participate in Authority’s U.S. DOT-assisted contracts and subcontracts. The Authority is firmly committed to its DBE Program objectives, which are designed to:

- 2.1 Ensure non-discrimination in the award and administration of Authority’s U.S. DOT-assisted contracts.
- 2.2 Create a level playing field on which DBEs can compete fairly for the Authority’s U.S. DOT-assisted contracts.
- 2.3 Ensure that the DBE Program and Overall Goal are narrowly tailored in accordance with applicable law.
- 2.4 Ensure that only firms that meet 49 CFR, Part 26 eligibility standards are permitted to participate as DBEs in the Authority’s DBE program.
- 2.5 Help remove barriers which impede the participation of DBEs in the Authority’s U.S. DOT-assisted contracts.
- 2.6 Promote the use of DBEs in all types of U.S. DOT-assisted agreements and procurement activities conducted by the Authority.

- 2.7 Provide training and other assistance through our resource partners to address capital, bonding and insurance needs.
- 2.8 Assist in the development of DBE firms that can compete successfully in the marketplace outside the DBE Program; and
- 2.9 Establish and provide opportunities for DBEs by providing flexibility in the implementation of the Authority's DBE Program.

Offerors shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.

Any terms used in this section that are defined in 49 CFR Part 26, or elsewhere in the Regulations, shall have the meaning set forth in the Regulations. In the event of any conflicts or inconsistencies between the Regulations and the Authority's DBE Program with respect to U.S. DOT-assisted contracts, the Regulations shall prevail.

Race-Neutral/Race-Conscious DBE Program Measures

The Authority will utilize both race-neutral and race-conscious means to meet its overall DBE Program goal.

Race-neutral measures include, but are not limited to, conducting outreach, training, providing other resource assistance and assessing proposal delivery schedules to ensure that DBEs interested in proposing for U.S. DOT-assisted solicitations are provided Additional Authority Race-Neutral measures include ensuring that DBEs and other small business are afforded ample opportunity to participate in the Authority's U.S. DOT-assisted solicitations by unbundling large contracts to make them more accessible to small businesses and requiring or encouraging prime consultants to subcontract portions of work that they might, otherwise, perform with their own work forces. Race-neutral participation also includes any time a DBE obtains a Prime Contract through customary competitive procurement procedures or is awarded a subcontract on a prime contract that does not carry a DBE goal.

In conjunction with the race-neutral measures listed above, the Authority will implement race-conscious measures through the use of contract goals and good faith efforts. When a contract-specific goal is assigned to a project, offerors must demonstrate responsiveness by committing to meet the DBE goal or documenting a bona fide good faith effort to do so, as a condition of award. Contract-specific goals are specifically targeted at DBEs certified through the California Unified Certification Program ("CUCP").

3.0 Definitions

The following definitions apply to the terms as used in these provisions:

- 3.1 **"Disadvantaged Business Enterprise (DBE)"** means a for-profit small business concern: (a) which is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock of which is owned by one or more such individuals; and (b) whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.
- 3.2 **"Small Business Concern"** means a small business as defined pursuant to Section 3 of the Small Business Act and Small Business Administration (SBA) regulations implementing it (13 CFR Part 121) that also does not exceed the cap on average annual gross receipts specified in §26.65(b).
- 3.3 **"Socially and Economically Disadvantaged Individuals"** means any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who has been subjected to racial or ethnic prejudice or cultural bias within American society because of his or her identity as a member of a group and without regard to his or her individual qualities. The social disadvantage must stem from circumstances beyond the individual's control.
- 3.3.1 Any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis. An individual must demonstrate that he or she has held himself or herself out, as a member of a designated group if you require it.
- 3.3.2 Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:
- 3.3.2.1 "Black Americans," which includes persons having origins in any of the Black racial groups of Africa;
- 3.3.2.2 "Hispanic Americans," which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;
- 3.3.2.3 "Native Americans," which includes persons who are enrolled members of a federally or State recognized Indian tribe, Alaska Natives, or Native Hawaiians;

- 3.3.2.4 "Asian-Pacific Americans," which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), Republic of the Northern Marianas Islands, Samoa, Macao, Fiji, Tonga, Kirbati, Tuvalu, Nauru, Federated States of Micronesia, or Hong Kong;
 - 3.3.2.5 "Subcontinent Asian Americans," which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;
 - 3.3.2.6 Women; and
 - 3.3.2.7 Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.
- 3.3.3 Being born in a particular country does not, standing alone, mean that a person is necessarily a member of one of the groups listed in this definition.
- 3.4 **"Owned and Controlled"** means a business: (a) which is at least 51 percent owned by one or more "Socially and Economically Disadvantaged Individuals" or in the case of a publicly-owned business, at least 51 percent of the stock of which is owned by one or more "Socially and Economically Disadvantaged Individuals;" and (b) whose management and daily business operations are controlled by one or more such individuals.
- 3.5 **"Manufacturer"** means a firm that operates or maintains a factory or establishment that produces on the premises the materials or supplies obtained by the contractor.
- 3.6 **"Regular Dealer"** means a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials or supplies required for the performance of the contract are bought, kept in stock, and regularly sold to the public in the usual course of business. The firm must engage in, as its principal business, and in its own name, the purchase and sale of the product in question. A regular dealer in such bulk items as steel, cement, gravel, stone and petroleum products need not keep such products in stock if it owns or operates distribution equipment.
- 3.7 **"Fraud"** includes a firm that does not meet the eligibility criteria of being a certified DBE, and that attempts to participate in a U.S. DOT-assisted

program as a DBE on the basis of false, fraudulent, or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty. The Authority may take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, against any participant in the DBE program whose conduct is subject to such action under 49 CFR part 31. The Authority may refer cases of identified fraud to the Department of Justice, for prosecution under 18 U.S.C. 1001, or any other applicable provisions of law. Any person who makes a false or fraudulent statement in connection with participation of a DBE in any U.S. DOT-assisted program or otherwise violates applicable Federal statutes.

- 3.8** ***"Other Socially and Economically Disadvantaged Individuals"*** means those individuals who are citizens of the United States (or lawfully admitted permanent residents) and who, on a case-by-case basis, are determined by Small Business Administration or the Authority to meet the social and economic disadvantage criteria described below.

3.8.1 Social Disadvantage

- 3.8.1.1 The individual's social disadvantage must stem from his/her color, national origin, gender, physical handicap, long-term residence in an environment isolated from the mainstream of American society, or other similar cause beyond the individual's control.
- 3.8.1.2 The individual must demonstrate that he/she has personally suffered social disadvantage.
- 3.8.1.3 The individual's social disadvantage must be rooted in treatment, which he/she has experienced in American society, not in other countries.
- 3.8.1.4 The individual's social disadvantage must be chronic, longstanding and substantial; not fleeting or insignificant.
- 3.8.1.5 The individual's social disadvantage must have negatively affected his/her entry into and/or advancement in the business world.
- 3.8.1.6 A determination of social disadvantage must be made before proceeding to make a determination of economic disadvantage.

3.8.2 Economic Disadvantage

3.8.2.1 The individual's ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities, as compared to others in the same line of business and competitive market area that are not socially disadvantaged.

3.8.2.2 The following criteria will be considered when determining the degree of diminished credit and capital opportunities of a person claiming social and economic disadvantage:

With respect to the individual:

- availability of financing
- bonding capability
- availability of outside equity capital
- available markets

With respect to the individual and the business concern:

- personal and business assets
- personal and business net worth
- personal and business income and profits

4.0 DBE Proposal Submission Requirements

Offeror must complete and submit the following DBE Exhibits (forms) with their proposal:

- DBE Participation Commitment Form

Offeror must complete and submit the following DBE Exhibits (forms) to the Authority no later than 4:00 p.m. on the 2nd business day after the proposal due date:

- Letter of Acknowledgement and Commitment (required from each proposed DBE firm listed on the DBE Participation Commitment Form)

- DBE Information - Good Faith Efforts (if sufficient participation to meet the DBE goal has not been proposed on the DBE Participation Commitment Form)
- Bidders List

Required Forms	Submission
DBE Participation Commitment Form	Required at time of proposal
Letter of Acknowledgement and Commitment (required from each DBE firm listed on the DBE Participation Commitment Form)	Required no later than 4:00 p.m. on the 2 nd business day after the proposal due date
DBE Information – Good Faith Efforts	Required no later than 4:00 p.m. on the 2 nd business day after the proposal due date
Bidders List	Required no later than 4:00 p.m. on the 2 nd business day after the proposal due date

4.1 “DBE Participation Commitment Form” (Exhibit E-1) required at time of Proposal. The Offeror is to provide the following information for each DBE that will participate in the contract:

- 4.1.1 The complete name and address of each DBE who will participate in the contract;
- 4.1.2 Valid DBE Certification ID to confirm eligibility status through the CUCP, in conformance with 49 CFR Part 26;
- 4.1.3 A description of the work that each DBE will perform or provide;
- 4.1.4 The dollar amount of the work to be performed or provided by the DBE;
- 4.1.5 The dollar amount of the work eligible to be credited for each DBE towards the DBE goal (should not include lower-tier participation and should account for the type of work to be performed);
- 4.1.6 The offeror shall also submit, for each DBE to perform under this Agreement, a **Letter of Acknowledgement and Commitment (Exhibit E-2)** signed and dated from each DBE listed, acknowledging that the DBE is participating in the contract for the

specified dollar value and scope of work listed on the DBE Participation Commitment Form. The dollar amount and scope(s) in the Letter of Acknowledgement and Commitment, and the amount and scope reflected on the DBE Participation Commitment Form must match identically.

Letter(s) of Acknowledgement and Commitment must be submitted to the Authority no later than 4:00 p.m. on the 2nd business day after the proposal due date.

4.2 “DBE Information - Good Faith Efforts” (Exhibit E-3)

To be a responsible and responsive offeror, the offeror must make good faith efforts to meet the goal. The offeror can meet this requirement in two ways. (i) the offeror can meet the goal by documenting commitments for participation by DBE firms sufficient for this purpose; or (ii) the offeror can demonstrate that he/she took all necessary and reasonable steps to achieve the DBE goal or other requirement of this part, which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.

If the offeror did not meet or obtain enough DBE participation to meet the DBE goal, the offeror must complete and submit the “DBE Information – Good Faith Efforts,” form demonstrating that the offeror made adequate good faith efforts to meet the goal.

If the offeror has met the DBE goal based on the participation of DBEs listed on the offeror’s “DBE Participation Commitment Form,” it is at the offeror’s discretion (i.e. this is not mandatory) to submit “DBE Information – Good Faith Efforts,” form. However, the submission of good faith efforts documentation can protect the offeror’s eligibility for award of the contract if the Authority determines that the offeror failed to meet the goal for various reasons (e.g. a DBE firm was not certified at proposal submission or the offeror made a mathematical error). Submittal of only the “DBE Information – Good Faith Efforts,” form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made; therefore, the offeror is encouraged to attach additional information and supporting documents as necessary.

Good Faith Efforts documentation must be submitted to the Authority no later than 4:00 p.m. on the 2nd business day after the proposal due date.

For further guidance, refer to instructions on Exhibit E-2 “DBE Information – Good Faith Efforts,” form and the United States Department of Transportation’s (“U.S. DOT”) DBE Program, Appendix A of Title 49 CFR

Part 26 - "Guidance Concerning Good Faith Efforts," and the DBE Section of the Authority's Pre-Proposal Power Point.

4.3 "Bidders List" (Exhibit E-4)

The Authority is required by Regulations to create and maintain a "Bidders List," of all firms proposing or quoting on the Authority's U.S. DOT-assisted contracts for use in calculating the Authority's DBE goal(s). Offerors are required to complete and submit the requested information listed on the "Bidders List" form, for all firms (DBE[s] and non-DBE[s]) who submitted a bid, proposal or quote, including firms who were contracted by the prime offeror.

The "Bidders List" must be submitted to the Authority no later than 4:00 p.m. on the 2nd business day after the proposal due date.



DBE PARTICIPATION COMMITMENT FORM

**THIS FORM MUST BE COMPLETED AND SUBMITTED WITH THE PROPOSAL AS A
CONDITION OF DBE RESPONSIVENESS**

NOTE: Refer to instructions on the reverse side of this form.

Offeror to Complete this Section

1. RFP No.: _____

2. Project Name/Description: _____

3. Prime Offeror Name: _____

4. Contract DBE Goal %: _____

5. Offeror's Total Bid Price _____
(If applicable)

Required DBE Commitment Information

6. DBE Firm (Name and Address)	7. DBE Certification Number	8. Description of Scope of Services/Work	9. Dollar Value (\$) or Percent (%) of Participation	10. Dollar Value (\$) or Percent (%) of Eligible DBE Participation/Commitment

Note: As a condition of responsiveness, the offeror is required to submit with the Proposal a DBE Letter of Acknowledgement and Commitment signed and dated from each DBE listed in Column 6 acknowledging that the DBE is participating in the contract for the specified dollar value (\$) or percent (%) and scope of work.

The dollar and/or percentage amount and scope committed in the DBE Letter of Acknowledgement and Commitment and the dollar and/or percentage amount and scope shown on this form MUST match identically.

11. Total Dollar Value (\$) or Percent (%) of Eligible DBE Participation:

\$ _____

12. Eligible DBE Participation Represented as a Percentage (%) of Offeror's Total Proposal Price

_____ %

Offeror Assurance: The offeror certifies that information on this form is complete and accurate, that it has verified the listed DBE(s) certification status and is only crediting eligible DBE participation towards meeting the contract DBE goal.

13. Preparer's Name (Print)

14. Preparer's Signature

15. Preparer's Title

16. Date

17. Telephone No.

18. Email Address

INSTRUCTIONS - DBE Participation Commitment Form

Offeror is required to ensure all information is complete and accurate:

1. **RFP No.** - Enter the RFP Number.
2. **Project Name/Description** - Enter the name and/or description of the project.
3. **Prime Offeror Name** - Enter the offeror's firm name.
4. **Contract DBE Goal %** - Enter the contract DBE goal percentage.
5. **Offeror's Total Proposal Price** - Enter the offeror's total proposal price.
6. **DBE Firm** - Enter name and address of the proposed DBE firm. Identify all DBE firms being claimed for credit, regardless of tier.
7. **DBE Certification Number** - Enter the DBE's certification identification number. All DBEs must have a valid DBE certification at time of proposal due date.
8. **Description of Scope of Services/Work** - Enter the scope of services/work for each DBE firm listed to participate on this contract.
9. **Dollar Value (\$) or Percent (%) of Participation** - Enter the total dollar value or percent of participation for each listed DBE firm.
10. **Dollar Value (\$) or Percent (%) of Eligible DBE Participation/Commitment** - Enter the dollar value or percent of participation eligible to count towards meeting the contract DBE goal. This value should exclude work performed by lower tier subcontractors and account for the DBE's capacity based on their certification type in conformance with the DBE crediting provisions set forth in Title 49 CFR Part 26.55.
11. **Total Dollar Value (\$) of Eligible DBE Participation** - Enter the sum of all eligible participation listed in column 10.
12. **Eligible DBE Participation Represented as a Percentage (%) of Offeror's Total Price** - Enter the corresponding percentage of the total eligible DBE participation that the offeror is counting towards the offeror's DBE goal commitment (Formula: Item (11) Total Dollar Value (\$) of Eligible DBE Participation / Item (5) Offeror's Total Price = Offeror's DBE Goal Commitment Percent (%). If percent (%) is used in lieu of dollar value (\$) for Item (11), then Item (12) should equal percent listed in Item 11).
13. **Preparer's Name (Print)** - Clearly enter the name of the authorized person preparing the form on behalf of the offeror.
14. **Preparer's Signature** - Authorized person's signature.
15. **Preparer's Title** - Enter the position/title of the authorized person signing the form on behalf of the offeror.
16. **Date** - Enter the date the form is signed.
17. **Telephone No.** - Enter the area code and telephone number of the authorized person signing the form on behalf of the offeror.
18. **Email Address** - Enter the email address of the authorized person signing the form on behalf of the offeror.

NOTE: A firm is only eligible to count towards DBE participation in the NAICS codes contained within its California Unified Certification Program (CUCP) DBE Profile. Offerors are to verify that listed subconsultants contain DBE certification in the NAICS codes relevant to the scope they are being listed to perform.

DBE LETTER OF ACKNOWLEDGMENT AND COMMITMENT

1. RFP NO.: _____

2. Project Name/Description: _____

3. Proposer: _____

4. DBE Commitment Information

(A) Description of work to be performed by DBE firm (include bid item number on the DBE Participation Commitment Form as applicable):

(B) Dollar value of this work \$ _____

5. DBE ACKNOWLEDGMENT*

I acknowledge that my firm has been listed by the Proposer named above, and is committed, to perform the scope and portion of work (A and B) stated above.

DBE Firm's Name: _____

Name: _____

Signature: _____

Title: _____

Telephone: _____

*If the proposer does not receive award of the prime contract, any and all representations in this letter of Acknowledgment and Commitment shall be null and void.

This form may be used to fulfill the DBE Participation Commitment Letter requirement as stated in the RFP instructing that the "the proposer is required to submit with the proposal a DBE Letter of Acknowledgement and Commitment signed and dated from each DBE acknowledging that the DBE is participating in the contract for the specified dollar value (\$) and scope of work.

INSTRUCTIONS - DBE LETTER OF ACKNOWLEDGMENT AND COMMITMENT

Proposer is required to ensure all information is complete and accurate:

1. **RFP No.** - Enter the RFP Number.
2. **Project Name/Description** - Enter the name and/or description of the project.
3. **Proposer's Name** - Enter the proposing firm's name.
- 4A. **Description of work** - Scope of work to be performed that will be credited towards DBE participation. To include bid item number on the DBE Participation Commitment Form as applicable.
- 4B. **Dollar Value** - Enter the total dollar value of participation for the DBE firm.
5. **DBE Acknowledgement** – DBE to provide firm name, authorized person's name, signature, title, and telephone number if they have been notified that they were listed for the scope and value reflected in #4.

NOTE: If the proposer does not receive award of the prime contract, any and all representations in the letter of Acknowledgment and Commitment shall be null and void



DBE INFORMATION - GOOD FAITH EFFORTS

RFP No: _____ Proposal Due Date _____

The Orange County Transportation Authority (Authority) established a Disadvantaged Business Enterprise (DBE) goal of 14% for this contract. The information provided herein shows that a good faith effort was made by _____(Offeror).

Offeror shall submit the following information to document adequate good faith efforts to the Authority no later than 4:00 p.m. on the 2nd business day after the Authority's proposal due date, or as otherwise specified in the solicitation. Although not required, offeror should submit the following information even if the "DBE Participation Commitment Form" indicates that the offeror has met the DBE goal. This will protect the offeror's eligibility for award of the contract if Authority determines that the offeror failed to meet the goal for various reasons, e.g., a DBE firm was not certified at proposal submission, or the offeror made a mathematical error.

Submittal of only the form may not provide sufficient documentation to demonstrate that adequate good faith efforts were made.

The following good faith efforts items (A through H) shall be minimally performed prior to proposal submission. Offeror to complete the following items in sufficient detail to effectively demonstrate that good faith efforts were undertaken to meet the established DBE goal:

- A. Items of Work the Offeror Made Available to DBE Firms; a description of work items and approximate dollar amounts made available to DBE firms by the offeror, value of work items as a percentage of total contract work, breakdown of larger scopes of contract work (including those items normally performed by the offeror with its own forces) into economically feasible units to facilitate DBE participation sufficient to meet the DBE contract goal. It is the offeror's responsibility to demonstrate that sufficient work was made available to facilitate DBE participation as follows (Provide documents that sufficiently evidence the efforts detailed below):

Description of Work Item	Offeror Normally Performs (Y/N)	Unbundled from Larger Scope (Y/N) If Yes, List Scope	Amount (\$)	Percentage of Contract

- B. Solicitation Effort Documentation; the names and dates of written notices sent to certified DBEs soliciting proposals for this project and the dates and methods used to following up initial solicitations to determine with certainty whether the DBEs were interested (attach all copies of solicitation, telephone records, fax confirmations, email communications, etc.), amount of DBEs to repond, documentation to demonstrate the DBE firms were provided information about the contract (location of project, contract number, proposal due date, items of work made available and contact information) in the Request for Proposal from the offeror, the offeror solicited through all reasonable means (e.g. attendance at pre-proposal meetings, advertising and written notices) the interest of all certified DBEs who have the capability to perform the work of the contract, offeror to provide proof of aforementioned items, and DBEs in the market area for the work identified in 'Item A' as follows:

DBE Firm	Contact Name/Title	Method of Solicitation	Date of Initial Solicitation	Date of Follow-Up Solicitation	Response/ Interested in Proposing

(Note: Solicitations should occur at a minimum no later than 14 calendar days prior to the Authority's proposal due date and follow up to the solicitation should allow DBE firms reasonable time to respond). DBE firms solicited must be advised if the original proposal date has been extended.

- C. Rejected DBE Proposal Documentation; the names, addresses, phone numbers, and amount of rejected DBE firms, the reasons for the offeror's rejection of the DBE firms, the firms selected and accepted for that work (attach all copies of quotes from the firms involved inclusive of a detailed cost breakdown if opted to self-perform work) and the price (rates) difference for each DBE if the selected firms is not a DBE, include an explanation of quote(s) rejected.
- D. Publication Efforts Made to Advertise the Projects to Solicit DBE Participation; names and dates of each publication in which a request for DBE participation for this project was placed by the offeror (attach copies of advertisements or proof of publications). Publications should be placed at a minimum 14 calendar days before the Authority's proposal due date. If RFP due date is extended, offeror is to re-advertise new proposal due date.

Publications	Type of Publication (Trade/General/Minority/Focus)	Dates of Advertisement	Duration of Advertisement	Readvertisement (Proposal-Due Date Extension)

- E. Agencies, Organizations, or Groups Contacted to Provide Assistance in Contracting, Recruiting, and Using DBEs; the names of agencies, organizations or groups contacted to provide assistance in contacting, recruiting and using DBE firms (Attach copies of requests to agencies, responses received and efforts made by the offeror in response).

- F. Efforts to Provide Information About the Plans, Specifications, and Contract Requirements; efforts made to assist interested DBEs in obtaining necessary materials, or related assistance or services, offeror to provide evidence of effort.

- G. Assistance with Lines of Credit, Insurance, and/or other Services; efforts made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any technical assistance or information related to the plans, specifications and requirements for the work which was provided to DBEs, offeror to provide a list of any assistance provided to DBEs:

- H. Additional Data to Support a Demonstration of Good Faith Efforts; in determining whether a offeror made adequate good faith efforts, the Authority will take into account the performance of other offerors in meeting the DBE contract goal. Attach any additional information to support demonstration of good faith in this section:

NOTE: USE ADDITIONAL SHEETS AS NECESSARY TO DEMONSTRATE RESPONSIVENESS.



Bidders List

The Department of Transportation requires the Authority to create and maintain a "Bidders List" containing information about all firms (DBE and Non-DBE) that bid, proposal or quote on the Authority's DOT-assisted contracts, in accordance with 49 CFR Part 26.11. The "Bidders List" is intended to be a count of all firms that are participating, or attempting to participate, on DOT-assisted contracts, whether successful or unsuccessful in their attempt to obtain a contract.

The offeror is to complete all requested information for every firm who submitted a bid, proposal or quote, including the primary offeror, and submit this information to the Authority no later than 4:00 p.m. on the 2nd business day after the Authority's proposal due date, or as otherwise specified in the solicitation. The Authority will utilize this information to assist in the Authority's DBE goal-setting process.

Prime Name and Location	Type of Work/Services/Materials Provided:	Agreement Amount	Percentage of Bid Item Sub-consulted	Consultant License No.	DBE (Y/N)	Phone:	Annual Gross Receipts
	NAICS/WCC			DIR Reg Number	DBE Certification ID	E-mail:	
Prime Offeror:							<input type="checkbox"/> Less than \$1 million
Contact Name:							<input type="checkbox"/> Less than \$5 million
Address:							<input type="checkbox"/> Less than \$10 million
							<input type="checkbox"/> Less than \$15 million
							<input type="checkbox"/> More than \$15 million
							Age of Firm: _____yrs.

Subconsultant Name and Location	Type of Work/Services/Materials Provided:	Agreement Amount	Percentage of Bid Item Sub-consulted	Consultant License No.	DBE (Y/N)	Phone:	Annual Gross Receipts
	NAICS/WCC			DIR Reg Number	DBE Certification ID	E-mail:	
Firm Name:							<input type="checkbox"/> Less than \$1 million
Contact Name:							<input type="checkbox"/> Less than \$5 million
Address:							<input type="checkbox"/> Less than \$10 million
							<input type="checkbox"/> Less than \$15 million
							<input type="checkbox"/> More than \$15 million
							Age of Firm: _____yrs.

Subconsultant Name and Location	Type of Work/Services/Materials Provided:	Agreement Amount	Percentage of Bid Item Sub-consulted	Consultant License No.	DBE (Y/N)	Phone:	Annual Gross Receipts
	NAICS/WCC			DIR Reg Number	DBE Certification ID	E-mail:	
Firm Name:							<input type="checkbox"/> Less than \$1 million
Contact Name:							<input type="checkbox"/> Less than \$5 million
Address:							<input type="checkbox"/> Less than \$10 million
							<input type="checkbox"/> Less than \$15 million
							<input type="checkbox"/> More than \$15 million
							Age of Firm: _____yrs.
Firm Name:							<input type="checkbox"/> Less than \$1 million
Contact Name:							<input type="checkbox"/> Less than \$5 million
Address:							<input type="checkbox"/> Less than \$10 million
							<input type="checkbox"/> Less than \$15 million
							<input type="checkbox"/> More than \$15 million
							Age of Firm: _____yrs.
Name:							<input type="checkbox"/> Less than \$1 million
Contact Name:							<input type="checkbox"/> Less than \$5 million
Address:							<input type="checkbox"/> Less than \$10 million
							<input type="checkbox"/> Less than \$15 million
							<input type="checkbox"/> More than \$15 million
							Age of Firm: _____yrs.

NOTE: USE ADDITIONAL SHEETS AS NECESSARY TO DEMONSTRATE RESPONSIVENESS TO THE BIDDERS LIST REQUIREMENTS.

EXHIBIT F: RESTRICTIONS ON LOBBYING

CERTIFICATION
LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN
FEDERAL TRANSACTIONS

A. DEFINITIONS

1. Authority, as used in this clause, means the Orange County Transportation Authority, acting on behalf of the Orange County Transit District.
2. Covered Federal action, as used in this clause, means any of the following Federal actions:
 - a. The awarding of any Federal contract.
 - b. The making of any Federal grant.
 - c. The making of any Federal loan.
 - d. The entering into of any cooperative agreement.
 - e. The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
3. Indian tribe and tribal organization, as used in this clause, have the meaning provided in Section 450b of the Indian self-determination and Education Assistance Act (25 U.S.C. 450) and include Alaskan Natives.
4. Influencing or attempting to influence, as used in this clause, means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.
5. Local government, as used in this clause, means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.
6. Officer or employee of an agency, as used in this clause, includes the following individuals who are employed by an agency:
 - a. An individual who is appointed to a position in the Government under title 5, United States code, including a position under a temporary appointment.
 - b. A member of the uniformed services, as defined in the subsection

101(3), Title 37, United States Code.

- c. A special Government employee, as defined in Section 202, Title 18, United States Code.
 - d. An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, Title 5, United States Code, Appendix section 3.
7. Person, as used in this clause, means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit, or not for profit. This term excludes an Indian tribe, tribal organization or any other Indian organization with respect to expenditures specifically permitted by other Federal law.
 8. Reasonable compensation, as used in this clause, means with respect to a regularly employed officer or employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.
 9. Reasonable payment, as used in this clause means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.
 10. Recipient, as used in this clause, includes the CONSULTANT and all subcontractors. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.
 11. Regularly employed, as used in this clause, means, with respect to an officer or employee of a person requesting or receiving by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.
 12. State, as used in this clause, means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State regional or interstate entity having governmental duties and powers.

B. PROHIBITIONS

1. Section 1352 of Title 31, United States Code, among other things, prohibits a recipient of a Federal contract, grant, loan or cooperative agreement from using appropriated funds to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract; the making of any Federal grant; the making of any Federal loan; the entering into of any cooperative agreement; or, the modification of any Federal contract, grant, loan, or cooperative agreement.
2. The Act also requires consultant to furnish a disclosure if any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal contract, grant, loan or cooperative agreement.
3. The prohibitions of the Act do not apply under the following conditions:
 - a. Agency and legislative liaison by own employees.
 - (1) The prohibition on the use of appropriated funds, in subparagraph C.1. of this clause, does not apply in the case of payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action if the payment is for agency and legislative liaison activities not directly related to a covered Federal action.
 - (2) For purposes of paragraph C.3.a.(1) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.
 - (3) The following agency and legislative liaison activities are permitted any time where they are not related to a specific solicitation for any covered Federal action:

Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities.

Technical discussions and other activities regarding the application of adaptation of the person's products or services for

an agency's use.

- (4) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action:

Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;

Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and,

Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507, and subsequent amendments.

- (5) Only those services expressly authorized by paragraph C.3.a.(1) of this clause are permitted under this clause.

b. Professional and technical services

- (1) The prohibition on the use of appropriated funds, in subparagraph C.1. of this clause, does not apply in the case of:

A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as condition for receiving that Federal action.

Any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission or negotiation of any bid, proposal, or application or that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include contractors and trade associations.

- (2) For purposes of paragraph C.3.a.(1) of this clause, professional and technical services shall be limited to advise and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communications with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission, or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission, or negotiation of a covered Federal action.
- (3) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation and any other requirements in the actual award documents.
- (4) Only those services expressly authorized by paragraph C.3.a.(1) and (2) of this clause are permitted under this clause.
- (5) The reporting requirements of FAR 3.803(a) shall not apply with respect to payments of reasonable compensation made to regularly employed officers or employees of a person.

c. Disclosure

- (1) The consultant who requests or receives from an agency a Federal contract shall file with that agency a disclosure form OMB standard form LLL, Disclosure of Lobbying Activities, (Attachment to the bid package) if such person has made or had agreed to made any payment using non appropriated funds (to include profits from any covered Federal action), which

would be prohibited under subparagraph B.1. of this clause, if paid for with appropriated funds.

- (2) The consultant shall file a disclosure form at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the information contained in any disclosure form previously filed by such person under subparagraph II.A. of this clause. An event that materially affects the accuracy of the information reported includes:

A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or

A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or

A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.

- (3) The consultant shall require the submittal of a certification, and if required, a disclosure form by any person who requests or receives any subcontract exceeding \$100,000 under the Federal contract.
- (4) All subcontractor disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the prime consultant. The prime consultant shall submit all disclosures to the District at the end of the calendar quarter in which the disclosure form is submitted by the subcontractor. Each subcontractor certification shall be retained in the subcontract file of the awarding consultant.

d. Agreement

The consultant agrees not to make any payment prohibited by this clause.

e. Penalties

- (1) Any person who makes an expenditure prohibited under paragraph a) of this clause or who fails to file or amend the disclosure form to be filed or amended by paragraph d) of this clause shall be subject to civil penalties as provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be

applicable.

- (2) Consultants may rely without liability on the representation made by their subcontractors in the certification and disclosure forms.

f. Cost Allowability:

Nothing in this clause is to be interpreted to make allowable or reasonable any costs, which will otherwise be unallowable or unreasonable. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any other provisions.

**CERTIFICATION OF
RESTRICTIONS ON LOBBYING**

I, _____, hereby certify on behalf (name of bidder/offeror) of _____ that:
(Firm name)

1. No Federal appropriated funds have been paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds, other than Federal appropriated funds, have been paid or will be paid to any person for influencing or attempting to influence making lobbying contracts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit the attached Standard Form-LLL, "Disclosure of Lobbying Activities", in accordance with its instructions.
3. If bidder/offeror does not have any reportable activities to disclose, they shall check the box entitled "No Reportable Activities" on the attached Standard Form-LLL "Disclosure of Lobbying Activities" and complete Section 16 of the form. The certifying official shall sign and date the form, print his/her name, title and telephone number.
4. The undersigned shall require that the language of this certification be included in all subcontracts, and that all subcontractors shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The bidder/offeror, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the bidder/offeror understands and agrees that the provisions of 31 U.S.C. 3801, et seq. apply to this certification and disclosure, if any.

Executed this _____ day of _____, 202__

By _____
(Signature of authorized official)

(Title of authorized official)

NO REPORTABLE ACTIVITIES (Bidder/Offeror required to complete Section 16 below.)

DISCLOSURE OF LOBBYING ACTIVITIES
Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB 003480045

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material changes For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____	
6. Federal Department/Agency: _____	7. Federal Program Name/Description: CFDA number, if applicable: _____	
8. Federal Action Number, if known: _____	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI) _____	b. Individuals Performing Services (including address if different from No 10a) (last name, first name, MI): _____	
(attach Continuation Sheet(s) SF - LLL - A if necessary)		
11. Amount of Payment (check all that apply): \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	13. Type of Payment (check all that apply): <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other specify: _____	
12. Forum of Payment (check all that apply): <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify nature: _____ value: _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s) or Member(s) contracted for Payment indicated in Item, 11: _____ _____ _____		
(attach Continuation Sheet(s) SF-LLL-A if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No		
16. Information requested through this form is authorized by Code 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.	Signature: _____ Print name: _____ Title: _____ Telephone No: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL	

**INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBYING
ACTIVITIES**

This DISCLOSURE FORMS SHALL BE COMPLETED BY the reporting entity, whether Subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be a prime or subaward recipient. Identify the tier of the subawardee e.g., the first subawardee of the prime is the first tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee" then enter the full name, address city, state, and zip code of the prime Federal recipient. Include Congressional District.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency, name if known. For example, Department of Transportation, United State Coast Guard.
7. Enter the Federal program name for description of the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g. Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/ proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state, and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a.). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Management and Budget Paperwork Reduction Project (0348-0446), Washington, D.C. 20503.

Approved by
OMB
003480045

DISCLOSURE OF LOBBYING ACTIVITIES CONTINUATION SHEET

Reporting Entity: _____ Page _____ of _____

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EXHIBIT G: SAFETY SPECIFICATIONS

LEVEL 1 HEALTH, SAFETY AND ENVIRONMENTAL SPECIFICATIONS

PART I – GENERAL

1.1 GENERAL HEALTH, SAFETY & ENVIRONMENTAL REQUIREMENTS

- A. The Contractor, its subcontractors, suppliers, and employees have the obligation to comply with all Authority health, safety and environmental compliance department (HSEC) requirements of this safety specification, project site requirements, bus yard safety rules, as well as all federal, state, and local regulations pertaining to scope of work, contracts or agreements with the Authority. Additionally, manufacturer requirements are considered incorporated by reference as applicable to this scope of work.
- B. Observance of repeated unsafe acts or conditions, serious violation of safety standards, non-conformance of Authority health, safety and environmental compliance department (HSEC) requirements, or disregard for the intent of these safety specifications to protect people and property, by Contractor or its subcontractors may be cause for termination of scope or agreements with the Authority, at the sole discretion of the Authority.
- C. The health, safety, and environmental requirements, and references contained within this scope of work shall not be considered all-inclusive as to the hazards that might be encountered. Safe work practices shall be planned and performed, and safe conditions shall be maintained during this work scope.
- D. The Authority Project Manager shall be responsible to ensure a safety orientation is conducted of known potential hazards and emergency procedures for all Contractor personnel, subcontractors, suppliers, vendors, and new employees assigned to the project prior to commencement of the project.
- E. The Contractor shall ensure that all Contractor vehicles, including those of its subcontractors, suppliers, vendors and employees are parked in designated parking areas, and comply with traffic routes, and posted traffic signs in areas other than the employee parking lots.
- F. California Code of Regulations (CCR) Title 8 Standards are minimum requirements; each Contractor is encouraged to exceed minimum requirements. When the Contractor's safety requirements exceed statutory standards, the more stringent requirements shall be applied for the safeguard of public and employees.

1.2 REGULATORY

- A. Injury/Illness Prevention Program
The Contractor shall comply with CCR Title 8, Section with California Code of Regulations (CCR) Title 8, Section 3203. The intent and elements of the IIPP shall be implemented and enforced by the Contractor and its sub-tier contractors, suppliers, and vendors. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.

- B. Substance Abuse Prevention Program
Contractor shall comply with the Policy or Program of the Company's Substance Abuse Prevention Policy that complies with the most recent Drug Free Workplace Act. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.
- C. Heat Illness Prevention Program
Contractor shall comply with CCR Title 8, Section, Section 3395, Heat Illness Prevention. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.
- D. Hazard Communication Program
Contractor shall comply with CCR Title 8, Section 5194 Hazard Communication Standard. Prior to use on Authority property and/or project work areas Contractor shall provide the Authority Project Manager copies of SDS for all applicable chemical products used, if any. The program shall be provided to the Authority's Project Manager, upon request, within 72 hours.
 - a. All chemicals including paint, solvents, detergents and similar substances shall comply with South Coast Air Quality Management District (SCAQMD) rules 103, 1113, and 1171.
- E. Storm Water Pollution Prevention Plan
The Contractor shall protect property and water resources from fuels and similar products throughout the duration of the contract. Contractor shall comply with Storm Water Pollution Prevention Plan (SWPPP) requirements. The program or plan if required by scope shall be provided to the Authority's Project Manager, upon request, within 72 hours.

1.3 INCIDENT NOTIFICATION AND INVESTIGATION

- A. The Authority shall be promptly notified of any of the following types of incidents including but not limited to:
 - 1. Damage incidents of property (incidents involving third party, contractor or Authority property damage);
 - 2. Reportable and/or Recordable injuries (as defined by the U. S. Occupational Safety and Health Administration), a minor injury, and near miss incidents;
 - 3. Incidents impacting the environment, i.e. spills or releases on Authority projects or property.
 - 4. Outside Agency Inspections; agencies such as Cal/OSHA, DTSC, SCAQMD, State Water Resources Control Board, FTA, CPUC, EPA, USACE and similar agencies.
- B. Notifications shall be made to Authority representatives, employees and/or agents. This includes incidents occurring to contractors, vendors, visitors, or members of the public that arise from the performance of Authority contract work. An immediate

verbal notice followed by an initial written incident investigation report shall be submitted to the Authority's Project Manager within 24 hours of the incident.

- C. A final written incident investigative report shall be submitted within seven (7) calendar days and include the following information. The Current Status of anyone injured, photos of the incident area, detailed description of what happened, Photos of the existing conditions and area of the injury/incident, the contributing factors that lead to the incident occurrence, a copy of the company policy or procedure associated with the incident and evaluation of effectiveness, copy of task planning documentation, copy of the Physician's first report of injury, copy of Cal/OSHA 300 log of work related injuries and illnesses, the Cal/OSHA 301 Injury Illness Incident Report, and corrective actions initiated to prevent recurrence. This information shall be considered the minimum elements required for a comprehensive incident report provided to OCTA.
- D. A Serious Injury, Serious Incident, OSHA Recordable Injury/Illness, or a Significant Near Miss shall require a formal incident review at the discretion of the Authority's Project Manager. The incident review shall be conducted within seven (7) calendar days of the incident. This review shall require a company senior executive, company program or project manager from the Contractors' organization to participate and present the incident review as determined by the OCTA Project Manager. The serious incident presentation shall include action taken for the welfare of the injured, a status report of the injured, causation factors that lead to the incident, a root cause analysis (using 5 whys and fishbone methods), and a detailed recovery plan that identifies corrective actions to prevent a similar incident, and actions to enhance safety awareness.
1. Serious Injury: includes an injury or illness to one or more employees, occurring in a place of employment or in connection with any employment, which requires inpatient hospitalization for a period in excess of twenty-four hours for other than medical observation, or in which an employee suffers the loss of any member of the body, or suffers any serious degree of physical disfigurement. A serious injury also includes a lost workday or reassignment or restricted injury case as determined by the Physician's first report of injury or Cal/OSHA definitions.
 2. Serious Incident: includes but not limited to property damage of \$500.00 or more, an incident requiring emergency services (local fire, paramedics and ambulance response), news media or OCTA media relations response, and/or incidents involving other agencies (Cal/OSHA, EPA, AQMD, DTSC, Metrolink, FTA, FRA etc.) notification or representation.
 3. OSHA Recordable Injury / Illness: includes and injury / illness resulting in medical treatment beyond First Aid, an injury / illness which requires restricted duty, or an injury / illness resulting in days away from work.
 4. Significant Near Miss Incident: includes incidents where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.

1.4 DESIGNATED HEALTH AND SAFETY REPRESENTATIVE

- A. Upon contract award, the contractor within 10 business days shall designate a health and safety representative and provide a resume and qualifications to the Authority project manager, upon request, within 72 hours.
- B. This person shall be a competent or qualified individual as defined by the Occupational, Safety, and Health Administration (OSHA), familiar with applicable CCR Title 8 Standards (Cal/OSHA) and has the authority to affect changes in work procedures that may have associated cost, schedule and budget impacts.

1.5 PERSONAL PROTECTIVE EQUIPMENT

- A. The Contractor, its subcontractors, suppliers, and employees are required to comply with applicable personal protective equipment (PPE) requirements while performing work at any Authority project or property. Generally minimum PPE requirements include eye protection; hearing protection, head protection, class 2 or 3 safety reflective vests, and appropriate footwear.
- B. The Contractor, its subcontractors, suppliers, and employees are required to provide their own PPE, including eye, head, foot, and hand protection, safety vests, or other PPE required to perform their work safely on Authority projects or property. The Authority requires eye protection on construction projects and work areas that meet ANSI Z-87.1 Standards.

1.6 REFERENCES

- A. CCR Title 8 Standards (Cal/OSHA)
- B. FCR Including 1910 and 1926 Standards
- C. NFPA, NEC, ANSI, NIOSH Standards
- D. Construction Industry Institute (CII)
- E. OCTA Yard Safety Rules

END OF SECTION

EXHIBIT H: PROPOSAL EXCEPTIONS AND/OR DEVIATIONS

PROPOSAL EXCEPTIONS AND/OR DEVIATIONS

The following form shall be completed for each technical and/or contractual exception or deviation that is submitted by Offeror for review and consideration by Authority. The exception and/or deviation must be clearly stated along with the rationale for requesting the exception and/or deviation. If no technical or contractual exceptions or deviations are submitted as part of the original proposal, Offerors are deemed to have accepted Authority's technical requirements and contractual terms and conditions set forth in the Scope of Work (Exhibit A) and Proposed Agreement (Exhibit B). Offerors will not be allowed to submit this form or any contractual exceptions and/or deviation after the proposal submittal date identified in the RFP. Exceptions and/or deviations submitted after the proposal submittal date will not be reviewed by Authority.

Offeror: _____

RFP No.: _____ RFP Title: _____

Deviation or Exception No. : _____

Check one:

- Scope of Work (Technical) _____
- Proposed Agreement (Contractual) _____

Reference Section/Exhibit: _____ Page/Article No. _____

Complete Description of Deviation or Exception:

Rationale for Requesting Deviation or Exception:

Area Below Reserved for Authority Use Only:

_____ _____ _____
