



AGENDA

Transit Committee Meeting

Committee Members

Tim Shaw, Chairman
Al Murray, Vice Chairman
Andrew Do
Steve Jones
Miguel Pulido
Tom Tait
Gregory T. Winterbottom

Orange County Transportation Authority
Headquarters
550 South Main Street
Board Room – Conf. Room 07
Orange, California

Thursday, August 10, 2017 at 9:00 a.m.

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the OCTA Clerk of the Board, telephone (714) 560-5676, no less than two (2) business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.

Agenda descriptions are intended to give members of the public a general summary of items of business to be transacted or discussed. The posting of the recommended actions does not indicate what action will be taken. The Committee may take any action which it deems to be appropriate on the agenda item and is not limited in any way by the notice of the recommended action.

All documents relative to the items referenced in this agenda are available for public inspection at www.octa.net or through the Clerk of the Board's office at the OCTA Headquarters, 600 South Main Street, Orange, California.

Call to Order

Pledge of Allegiance

Committee Vice Chairman Murray

1. Public Comments

Special Calendar

There are no Special Calendar matters.

Consent Calendar (Items 2 through 7)

All items on the Consent Calendar are to be approved in one motion unless a Committee Member or a member of the public requests separate action or discussion on a specific item.



2. Approval of Minutes

Approval of the minutes of the Transit Committee meeting of July 13, 2017.

3. Regional Rail and Facilities Engineering Quarterly Report

Jennifer Bergener/James G. Beil

Overview

The Regional Rail and Facilities Engineering departments are responsible for the Orange County Transportation Authority's rail project development, rail capital programs, rail operations, and transit facilities engineering projects. This report provides an update on rail and facilities engineering programs through the fourth quarter (April, May, and June) of fiscal year 2016-17.

Recommendation

Receive and file as an information item.

4. Consultant Selection to Prepare the Plans, Specifications, and Estimates for Anaheim Canyon Metrolink Station Improvement Project

Lora Cross/James G. Beil

Overview

On April 10, 2017, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for consultant services to prepare the plans, specifications, and estimates for the Anaheim Canyon Metrolink Station Improvement project. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of HNTB Corporation as the firm to prepare the plans, specifications, and estimates for the Anaheim Canyon Metrolink Station Improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-1609 between the Orange County Transportation Authority and HNTB Corporation to prepare the plans, specifications, and estimates for the Anaheim Canyon Metrolink Station Improvement project.



5. Amendments to Cooperative Agreements for Federal Transit Administration Section 5316 and Section 5317 Grant Programs

Curt Burlingame/Beth McCormick

Overview

As the regional transportation planning agency for Orange County, the Orange County Transportation Authority is responsible for the allocation of funding under the Federal Transit Administration Section 5316, Job Access Reverse Commute, and Section 5317, New Freedom programs. Since 2009, the Orange County Transportation Authority Board of Directors has approved more than \$15 million in funding. Staff is seeking approval to amend the agreements with six agencies to exercise the option terms for one year and award additional grant funding.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1827 between the Orange County Transportation Authority and Abrazar, Inc., in the amount of \$5,000, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$990,105.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1830 between the Orange County Transportation Authority and Boys and Girls Clubs of Huntington Valley, in the amount of \$60,925, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$288,238.
- C. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Agreement No. C-3-1831 between the Orange County Transportation Authority and Dayle McIntosh Center for the Disabled, in the amount of \$124,000, to fund the Section 5316 grant programs through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$767,751.

5. (Continued)

- D. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1833 between the Orange County Transportation Authority and Jewish Federation and Family Services, in the amount of \$120,182, to fund the Section 5316 and Section 5317 grant programs through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$1,437,582.
- E. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1834 between the Orange County Transportation Authority and North Orange County Community College District, in the amount of \$130,000, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$653,107.
- F. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1837 between the Orange County Transportation Authority and Women Helping Women/Men2Work, in the amount of \$51,868, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$225,080.

6. Amendment to Agreement for the Purchase of Leased Coach Operator Relief Vehicles

Cliff Thorne/Beth McCormick

Overview

On May 25, 2012, the Board of Directors approved a five-year agreement with Enterprise Fleet Management to lease 30 compressed natural gas powered Honda Civic vehicles. An amendment to the existing contract is necessary to add funds to purchase the vehicles at the end of the five-year lease, which terminates on October 31, 2017.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-2-1414 between the Orange County Transportation Authority and Enterprise Fleet Management, in the amount of \$173,150, for the purchase of 25 compressed natural gas Honda Civic vehicles at the end of the five-year lease. The amendment will increase the maximum obligation of the agreement to a total contract value of \$959,264.



7. Federal Transit Administration Grant Authorization Renewal

Ric Teano/Lance M. Larson

Overview

The Orange County Transportation Authority, as a direct recipient of federal transit funding, is required to have an authorizing resolution on file with the Federal Transit Administration. A renewed resolution has been requested by the Federal Transit Administration's Region IX office, which authorizes the Chief Executive Officer, or designee, to apply for and receive federal transit funds and execute grant-related agreements.

Recommendation

Adopt Orange County Transportation Authority Resolution No. 2017-064 authorizing the Chief Executive Officer, or designee, to file applications and execute grant-related agreements with the Federal Transit Administration.

Regular Calendar

8. Approve the Use of Contractor Pre-Qualification and the Release of the Request for Pre-Qualification for the OC Streetcar Construction Project

Mary Shavaliar/James G. Beil

Overview

The Orange County Transportation Authority is proposing a pre-qualification process as a means of securing qualified contractors to provide construction services for the OC Streetcar project.

Recommendations

- A. Approve the use of a pre-qualification process for the upcoming invitation for bids for construction of the OC Streetcar project.
- B. Approve the release of the Request for Pre-Qualification 7-1882 of contractors for construction of the OC Streetcar project.



9. Low Carbon Transit Operations Program College Student Pass Pilot Program Update

Stella Lin/Lance M. Larson

Overview

On February 13, 2017, the Orange County Transportation Authority Board of Directors approved the use of state Cap-and-Trade Low Carbon Transit Operations Program funding for a fare adjustment program that would target ridership growth which may include colleges and universities.

Recommendation

Approve the use of fiscal year 2016-17 Low Carbon Transit Operations Program funds of \$900,000 for a three-year pilot pass program with Rancho Santiago Community College District.

Discussion Items

10. Chief Executive Officer's Report

11. Committee Members' Reports

12. Closed Session

There are no Closed Session items scheduled.

13. Adjournment

The next regularly scheduled meeting of this Committee will be held at **9:00 a.m. on Thursday, September 14, 2017**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.



MINUTES

Transit Committee Meeting

Committee Members Present

*Tim Shaw, Chairman
Al Murray, Vice Chairman
Andrew Do
Steve Jones
Tom Tait
Gregory T. Winterbottom*

Staff Present

*Ken Phipps, Acting Chief Executive Officer
Laurena Weinert, Clerk of the Board,
OCTA Staff and members of the General Public*

Committee Members Absent

Miguel Pulido

Call to Order

The July 13, 2017 meeting of the Transit Committee was called to order by Committee Chairman Shaw at 9:01 a.m.

Pledge of Allegiance

Director Winterbottom led in the Pledge of Allegiance

1. Public Comments

There were no public comments.

Special Calendar

There were no Special Calendar matters.

Consent Calendar (Items 2 through 3)

All items on the Consent Calendar are to be approved in one motion unless a Committee Member or a member of the public requests separate action or discussion on a specific item.

2. Approval of Minutes

A motion was made by Committee Vice Chairman Murray, seconded by Director Do, and declared passed by those present, to approve the minutes of the June 8, 2017 meeting.



MINUTES

Transit Committee Meeting

3. Federal Transportation Program Strategic Regulatory and Funding Consulting Services

A motion was made by Committee Vice Chairman Murray, seconded by Director Do, and declared passed by those present, to:

- A. Approve the selection of Cardinal Infrastructure, LLC, as the firm to provide strategic consultation to the Orange County Transportation Authority on federal transportation program development, regulatory, and funding processes.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-1700 between the Orange County Transportation Authority and Cardinal Infrastructure, LLC, in the amount of \$318,000, to provide strategic consultation to the Orange County Transportation Authority on federal transportation program development, regulatory, and funding processes, for a two-year term.

Regular Calendar

4. Fiscal Year 2017-18 Bus Service Improvement Plan

Gary Hewitt, Project Manager of Transit Planning, provided a PowerPoint presentation for this item as follows:

- Overview,
- OC Bus 360°,
- Final October 2017 Service Change,
- Draft February 2018 Service Change Plan, and
- Next Steps.

Mr. Hewitt also referenced the handout about the “Service and Fare Change Evaluation Policy” that was provided to the Committee Members.

A discussion ensued regarding:

- The budgetary impact on the recommended changes.
- Reductions based on eight boardings or less in the early morning or late evening.
- Concerns about eliminating part of Route 57 based on the City of Newport Beach’s request, not based on lower ridership.
- Route 57 and the proposed cuts from the time period 11:00 p.m. to 5:00 a.m. (10 trips) from the Newport Transit Center.



4. (Continued)

Director Do requested additional data to show justification for the City of Newport Beach's request. Director Do also requested a comparison of Route 57 in relation to other routes during the same hours.

A public comment was heard from Roy Shahbazian, Transit Advocate, who commented on Route 57. Mr. Shahbazian requested to continue to service this route especially in the areas between Costa Mesa and Newport Beach. He stated that the productivity of this segment on Route 57 is strong at 4:00 a.m. and late at night.

Mr. Shahbazian also thanked the Committee Members for the recommended bus service changes.

The Committee Members expressed concerns regarding the City of Newport Beach's request to eliminate Route 57 to the Newport Transportation Center between 11:00 p.m. and 5:00 a.m. The Committee Members requested that staff conduct a ridership survey for the proposed elimination of Route 57 to the Newport Transportation Center and adjacent area (as requested by the City of Newport Beach), provide data about the ridership, and obtain the City of Newport Beach's Council support.

Director Tait requested that the motion also be amended to obtain support from the City of Newport Beach Council for the proposed Route 57 service reductions to the Newport Transportation Center and adjacent area.

A motion was made by Committee Vice Chairman Murray, seconded by Committee Chairman Shaw, and declared passed by those present, to:

- A. Direct staff to implement a public outreach program to solicit feedback on the Draft February 2018 Service Change Proposal.
- B. Direct staff to return to the Board of Directors on September 25, 2017 with outreach findings.
- C. Exclude Route 57 modifications from the October 2017 bus service change, and seek the City of Newport Beach Council support for the proposed Route 57 service reductions to the Newport Transportation Center and adjacent area.



5. Transit Master Plan - Opportunity Corridors

Gary Hewitt, Project Manager of Transit Planning, introduced Jennifer Weiland, Consultant from Nelson Nygaard, who was available to answer questions. Mr. Hewitt provided a PowerPoint presentation for this item as follows:

- Project Schedule,
- Survey Results,
- Opportunity Corridor Evaluation,
- Transit Corridor Types Screened,
- Corridor Segments Screened,
- Corridor Screening Results,
- Freeway Bus Rapid Transit Screening Results,
- Draft Opportunity Corridors, and
- Next Steps.

A discussion ensued regarding:

- Consider connecting to the Los Angeles (LA) County line and using the same type of model system as LA.
- Bravo service being considered on Beach Boulevard (north side of Huntington Beach and Westminster).
- The level of service provided on Bravo service is a baseline for bus corridors and moving them towards bus rapid transit.
- The Orange County Transportation Authority (OCTA) being a part of the coalition, "Beach Boulevard of Cities."
- Recognition for keeping a holistic approach and predicting 2025 could be a standard for driving fewer vehicles.
- Being open minded to Uber, Lyft, and different types of mobility.

A motion was made by Committee Vice Chairman Murray, seconded by Committee Chairman Shaw, and declared passed by those present, to direct staff to finalize the Transit Opportunity Corridors based on Board of Directors and upcoming stakeholder input, and return to the Board of Directors in November 2017 with a draft Transit Master Plan.

Director Jones was not present to vote on this item.



Discussion Items

6. Chief Executive Officer's Report

Ken Phipps, Deputy Chief Executive Officer, reported on the following:

- The Angels Express Kids Ride Free campaign has begun. During July and August, kids 18 and under can ride free to all weekday home games starting 7:07 p.m.
- On Saturday, July 15, OCTA will host an event to kick off the OC Fair Express service at the Fullerton Park and Ride at 9:30 a.m. Director Winterbottom will be speaking at this event.
- On Monday, July 17, there will be nightly full and partial freeway closures on the Interstate 5 (I-5). The work is taking place at I-5 and Pacific Coast Highway interchange and will happen from 10:00 p.m. to 5:00 a.m. through Friday, July 28.
- On Wednesday, July 26, at 9:00 a.m., OCTA will host a groundbreaking ceremony with the city of Orange for the new Metrolink Parking Structure at the Orange Transportation Center.

7. Committee Members' Reports

There were no Committee Members' reports.

8. Closed Session

There were no Closed Session items scheduled.

9. Adjournment

The meeting adjourned at 9:53 a.m.

The next regularly scheduled meeting of this Committee will be held at **9:00 a.m. on Thursday, August 10, 2017**, at the Orange County Transportation Authority Headquarters, 550 South Main Street, Board Room - Conference Room 07, Orange, California.



MINUTES

Transit Committee Meeting

ATTEST

Tim Shaw
Committee Chairman

Sahara Meisenheimer
Deputy Clerk of the Board



August 10, 2017

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Regional Rail and Facilities Engineering Quarterly Report

Overview

The Regional Rail and Facilities Engineering departments are responsible for the Orange County Transportation Authority's rail project development, rail capital programs, rail operations, and transit facilities engineering projects. This report provides an update on rail and facilities engineering programs through the fourth quarter (April, May, and June) of fiscal year 2016-17.

Recommendation

Receive and file as an information item.

Background

The Regional Rail and Facilities Engineering departments (Departments) are responsible for implementing the Orange County Transportation Authority's (OCTA) railroad capital projects, including station parking enhancements and expansions, new station developments, expanded rail services, OC Streetcar, and transit facilities engineering. Additionally, the Departments are responsible for improved and expanded operations of Orange County's rail system by providing rail service that supports and matches the growth and development patterns of Orange County and the region.

Discussion

The report provides an update on the Departments' programs and the projects including rail capital, transit extensions to Metrolink, Regional Rail, and transit facilities engineering.

Rail Capital

Rail Capital projects include a wide range of projects necessary to sustain existing passenger rail service and support future increases in service. This includes new station developments, station parking expansions and enhancements, grade separations and grade crossing enhancements, and various other track and infrastructure projects.

Station Improvements

The Laguna Niguel/Mission Viejo Metrolink Station Improvements project provides Americans with Disabilities Act-(ADA) compliant access ramps that will replace the existing elevators. The station elevators were previously routinely out of service, requiring buses to transport passengers from one side of the station to the other. The elevator rooms are being converted to a restroom, a vending machine room, and storage rooms. The project scope also includes additional benches, shade structures, and relocation of Moulton Niguel Water District's 33-inch sewer line which is in conflict with the project. The construction notice to proceed (NTP) was issued on February 23, 2016. The contractor has completed the relocation of the sewer main and completed major concrete work including ADA ramps, walls, and stairs on both sides of the pedestrian underpass. Work continues with wall finishing, handrails and railings, restroom and vending machine room. ADA ramps are anticipated to open to the public by mid-August 2017 and complete construction by end of August 2017, with a final closeout in October 2017.

The Orange Transportation Center (OTC) parking structure project represents a long-standing effort between the City of Orange and OCTA to increase the parking capacity to accommodate future growth in ridership of the Metrolink system. Per a cooperative agreement between OCTA and the City of Orange, the city is the lead on the design phase, and OCTA is the lead on the construction phase of the project. OCTA has awarded a contract to Hill International to provide construction management services for the OTC project. On June 12, 2017, the OCTA Board of Directors (Board) awarded a contract to Bomel Construction, in the amount of \$18.4 million, for the construction of the project. A ground breaking ceremony was held on July 26, 2017. Completion of the OTC parking structure is anticipated to be early 2019.

The proposed Placentia Metrolink Station will be located on the BNSF Railway (BNSF) and City of Placentia-owned right-of-way (ROW). The station will include platforms, parking, a new bus stop, and passenger amenities. OCTA is the lead for design and construction of the project. Previously completed design plans are being revised to include a parking structure in lieu of surface parking. The project will also include a third track which will assist with

the efficiency and on-time performance of train operations and provide operational flexibility for both freight and passenger trains. BNSF will be the lead on the rail construction, so a construction and maintenance agreement with BNSF for the work will need to be in place before the invitation for bids (IFB) for construction can be released. The plans are anticipated to be complete and will be advertised for bid in October 2017 with an anticipated completion date of September 2019, pending the BNSF agreement is in place.

The Anaheim Canyon Metrolink Station Improvement project includes the addition of a second station track, platform, the extension of the existing platform to accommodate longer train consist, and associated passenger amenities including ticket vending machines, benches, canopies, and signage. OCTA is the lead agency on all phases of project development including construction. Preliminary engineering (30 percent plans) and California Environmental Quality Act (CEQA) clearance was obtained in January 2017 and National Environmental Policy Act (NEPA) clearance was obtained in June 2017. A request for proposal was released for final plans, specification and estimates on April 10, 2017, and final selection of the consultant will be presented to the Board in August 2017. Construction is expected to begin in June 2019 and be completed in August 2020.

The City of Fullerton is the lead agency on a project to add an elevator tower to each side of the existing railroad pedestrian bridge at the Fullerton Transportation Center and modify the restrooms to bring them into compliance with ADA. The City of Fullerton issued the construction NTP in January 2016, and renovations to the restrooms have been completed. The contractor has experienced significant delays on the elevator work due to subcontractor issues and dry utility conflicts. The City of Fullerton is now estimating the completion of the project to be September 2018.

Rail Corridor Improvements

Rail corridor improvements consist of capital and rehabilitation projects that improve the safety, operations, or reliability of the rail infrastructure. OCTA owns over 45 miles of operating railroad.

There are currently six grade separation projects along the Los Angeles – San Diego – San Luis Obispo (LOSSAN) rail corridor that have completed the project study reports or environmental clearance and are not currently advancing due to lack of funds.

The 17th Street Grade Separation project is progressing through the environmental clearance phase. The project report equivalent document was reviewed and approved by the stakeholders. The City of Santa Ana, upon review of the project documents, provided a CEQA statutory exemption determination for the project.

The Office of Historic Preservation (OHP) reviewed the Historical Property Survey Report submitted by the California Department of Transportation (Caltrans) and determined that one of the properties impacted by the project is eligible for listing in the National Register of Historical Places. Caltrans and OHP has reviewed the exhibits from the draft Finding of Effects (FOE) documentation and provided feedback that the project may have adverse effects on the eligible property. The project team is currently revising the FOE and supporting documents to address the comments and resubmit to Caltrans to clarify and support the draft conclusion of no adverse effects. If OHP agrees with the FOE's conclusion, Caltrans will complete the NEPA determination, currently projected to be eligible for Categorical Exclusion. The environmental phase is anticipated to be completed in October 2017, bringing any protracted reviews.

The Laguna Niguel to San Juan Capistrano passing siding project will add approximately 1.8 miles of new passing siding railroad track adjacent to the existing mainline track. The project will enhance operational efficiency of passenger services within the LOSSAN rail corridor. Proposed modifications to the existing Rancho Capistrano private grade crossing, associated with the addition of passing track, were discussed with all the stakeholders including the California Public Utilities Commission (CPUC). Alternatives to address concerns raised by CPUC have been developed in coordination with the stakeholders. Staff met with the CPUC to discuss concerns regarding the grade crossing and recently received concurrence to proceed with the proposed design. The project design schedule has been impacted by an additional six months extending to December 2017 and the anticipated advertisement for construction to February 2018. All advance San Diego Gas & Electric power pole relocation activities were completed in June 2017.

The San Juan Creek railroad bridge in the City of San Juan Capistrano was built in 1917. The existing 300-foot long bridge carries a single mainline track for passenger and freight rail traffic over San Juan Creek and is in need of replacement. The replacement bridge will be constructed adjacent to the existing bridge to minimize disruption of rail traffic. Additionally, the new railroad bridge will incorporate a future bikeway underpass on the south end of the track along the creek. OCTA and the Southern California Regional Rail Authority (SCRRA) are working with the County of Orange to develop a cooperative agreement to identify the roles, responsibilities, and funding to design and construct the additional bikeway underpass to enhance the county's network of trails and bikeways. SCRRA is the overall project lead, and OCTA is the leader for ROW. SCRRA has advanced the design to 60 percent completion where the cost of construction has increased by approximately \$2.5 million due to further development and refinement of the bridge structure. The associated project support costs and contingencies have also increased by \$1.6 million. The total increase is \$4.1 million making the new project budget \$38.3 million. A programming action was approved by the Board on July 10, 2017 to add the

necessary funds to the project. The draft Documented Categorical Exclusion was submitted to Federal Transit Administration (FTA) for review and concurrence in compliance with NEPA. The project received revised CEQA clearance in May 2017. The Board approved the authority to obtain the necessary ROW for the project in June 2017. The preliminary ROW acquisition schedule is anticipated to be 18 months and construction ready by the third quarter 2018.

The Control Point (CP) Fourth project is located in the City of Santa Ana between Fourth Street and Chestnut Avenue, between mile posts 175.45 and 175.80. Metrolink operations utilize Centralize Traffic Control (a train traffic control system) in which a dispatcher controls the railroad traffic through the use of signal blocks. A CP is a set of railroad signals and switches controlled by the dispatcher and authorizes a train to proceed or stop within the block of track it controls. The project includes installation of a turnout to a Union Pacific Railroad spur track along with related civil, signal, and communication modifications and improvements. The project will provide rail operational efficiencies and improve on-time performance. On June 13, 2016, the Board approved a cooperative agreement with SCRRA to define the roles and responsibilities and the funding requirements of the project. SCRRA began removal of existing spur track and installation of new track up to the new CP. Signal materials are being received at the warehouse and new signal house is expected next quarter. SCRRA is working with Union Pacific Railroad to agree on future maintenance responsibilities. A new turnout will be installed during the weekend of August 4-6, 2017. The project is expected to be complete by the second quarter of 2018.

The railroad ROW Slope Stabilization project includes eight locations within the OCTA-owned LOSSAN rail corridor that have been identified for improvements to prevent future erosion and slope instability. OCTA's consultant has provided a 90 percent design submittal. Design exceptions for areas 4B, 5B, and 6B were given preliminary approval from SCRRA, waiting for final documentation. Consultant is scheduled to provide 100 percent PS&E first week of August 2017.

Metrolink continues the implementation of positive train control (PTC) throughout the system. In September 2016, Metrolink achieved a significant milestone, becoming the first commuter railroad in the nation to receive approval of conditional PTC system certification from the Federal Railroad Administration (FRA). In December 2016, Metrolink staff submitted a response to the conditions in FRA's letter of conditional certification in hopes of achieving full PTC system certification in 2017.

Transit Extensions to Metrolink: OC Streetcar

The Transit Extensions to Metrolink Program is intended to broaden the reach of Orange County's backbone rail system to key employment, population, and activity centers. The OC Streetcar project will serve the Santa Ana Regional

Transportation Center (SARTC) through downtown Santa Ana, and the Civic Center to Harbor Boulevard in the City of Garden Grove.

90 percent design plans for the streetcar infrastructure and facilities were submitted by the designer in April and June 2017, and are under review by OCTA and the cities of Garden Grove and Santa Ana. Work is proceeding on preparation of the procurement documents for the construction IFB which is scheduled to be released in the fall 2017.

Based upon a risk assessment workshop that was held in March 2017 to finalize the project scope, schedule and budget, FTA recommended minor changes to the project cost estimate, increasing the cost by less than one half of one percent from the 30 percent design cost estimate prepared in July 2016. The updated cost estimate and funding plan were approved by the OCTA Board at the May 22, 2017 Board meeting. The Board also authorized submission of the Full Funding Grant Agreement Application to FTA at the meeting.

The funding request as well as extensive project readiness documents required for the application were submitted to FTA in late May 2017. Staff are coordinating with FTA and its consultants on the federal reviews of the documents.

Staff continued meetings with utility owners to identify conflicts and assist with the response to relocation claim letters. Additionally, negotiations continued regarding acquisition of properties required for the maintenance and storage facility and relocation assistance for the residential and commercial tenants. Staff continued to coordinate with representatives of the Orange County Flood Control District and the Army Corp of Engineers to obtain the permits required for the Santa Ana River Bridge.

In late April 2017, the CPUC approved the Project's Safety and Security Certification Plan, which outlines the detailed procedures that will be followed to obtain the critical safety and security approvals of the project. Staff continued to coordinate with CPUC to discuss the grade crossing applications.

The vehicle manufacturing and delivery procurement was extended to early July 2017 in response to a proposer request. Proposals will be reviewed and the contract award recommendations are scheduled to be presented to the Transit Committee in December 2017 and the OCTA Board in January 2018. Work commenced on development of the scope of services for the operation and maintenance service procurement which is scheduled to be released in fall 2017.

Construction agreements with the cities of Garden Grove and Santa Ana were approved by the OCTA Board and the city councils in April 2017, in addition to

the agreement with the City of Santa Ana for incorporation of streetcar elements at the SARTC.

An environmental analysis for minor design modifications was completed, and staff is coordinating with FTA to obtain approval on the Section 130(c) determination, completing the federal environmental review process. In June 2017, the State Historic Preservation Office concurred that the project could not have an adverse impact on historic properties.

The OCTA Board approved the award of a public awareness campaign contract to Katz Associates. The firm will be assisting with the development and implementation of a public awareness campaign during the pre-construction and construction phases of the project.

Rail Operations

As one of five member agencies that comprise Metrolink, OCTA participates in the design and operation of Metrolink service in Orange County. Rail Operations staff serve as the liaison with Metrolink and are involved in route and service planning, funding, and implementation. In addition to coordination of daily Metrolink operations, the team coordinates the StationLink service, special trains, promotional activities, and outreach.

- The Metrolink Angels Express service continues for the 2017 season, serving 54 weekday home games on the OC Line, including 15 Friday night games on the Inland Empire – Orange County (IEOC) Line, with an extension from Perris Valley. In July and August 2017, kids 18 and under ride free on Angels Express trains. To date, ridership is down by 24 percent, compared to the same period last year.
- Metrolink has received the first of 40 new Tier 4 clean emissions locomotives, with 11 units on site. On June 1, 2017, the FRA gave Metrolink approval to begin non-revenue testing of the new locomotives. Testing is expected to take approximately three months and is currently taking place in Orange County (Irvine).
- Mobile ticketing is completely functional and is available via the Metrolink app, with over 20 percent of Metrolink passenger's systemwide as users. Almost half of the passengers on the IEOC Line use the app exclusively, mainly because there is no transfer in Los Angeles. Metrolink plans to fully integrate transfers through Los Angeles County Metropolitan Transportation Authority (Metro) transit access pass system with the installation of optical readers by October 2017. The installation of optical readers should significantly increase the use of mobile ticketing since 44 percent of riders going to the Los Angeles Union Station transfer to Metro.

Metrolink performance data (ridership and revenue) for the fourth quarter of fiscal year (FY) 2016-17 will be made available in the annual report to the Board this fall 2017.

Rail Operations staff also represent OCTA's interests in the LOSSAN Joint Powers Authority, including the ongoing coordination and service integration efforts on the LOSSAN rail corridor.

Transit Facilities Engineering

Transit Facilities Engineering is responsible for the development and implementation of capital rehabilitation, facility modifications, and new capital projects for all OCTA transit facilities, including the five bus bases and seven park-and-ride lots. Design is underway on six projects, including minor rehabilitation of the bus dock platform at the Fullerton Park-and-Ride, facility modifications for hydrogen buses at the Santa Ana Bus Base, video surveillance system replacement at the Garden Grove and Santa Ana bus bases, bus wash building metal framing and siding repairs at the Irvine Construction Circle Bus Base, liquid hydrogen fueling station at the Santa Ana Bus Base, and preliminary engineering and environmental clearance for the proposed Transit Security Operations Center started this period.

There are three projects in the bid phase for construction, including removal of liquefied natural gas underground storage tanks at the Anaheim and Garden Grove bus bases, bus yard pavement striping and markings at the Garden Grove Bus Base, and hydrogen gas detection upgrades at the Santa Ana Bus Base for the single hydrogen bus demonstration project.

Five projects were under construction this period, including the vehicle inspection station equipment canopy at the Garden Grove Bus Base, bus wash water run-off mitigation modifications at all bus bases, construction started on two new projects including replacement of heating and ventilation units at the Garden Grove Bus Base maintenance shop, and fence repair and bus parking stall wheel stops at the Anaheim Bus Base. The bridge repair at the Laguna Beach Transportation Center was completed on May 19, 2017.

Summary

The Departments are responsible for OCTA's rail project development, rail capital improvement programs, rail operations, and transit facilities engineering projects. For the period covering the third quarter of FY 2016-17, projects generally progressed consistent with scope and schedule.

Attachment

None.

Prepared by:

A handwritten signature in black ink, appearing to read 'Jennifer Bergener', with a stylized flourish at the end.

Jennifer Bergener
Director, Rail Programs and Facilities
Engineering
(714) 560-5462

Approved by:

A handwritten signature in blue ink, appearing to read 'James G. Beil', with a stylized flourish at the end.

James G. Beil, P.E.
Executive Director, Capital Programs
(714) 560-5646

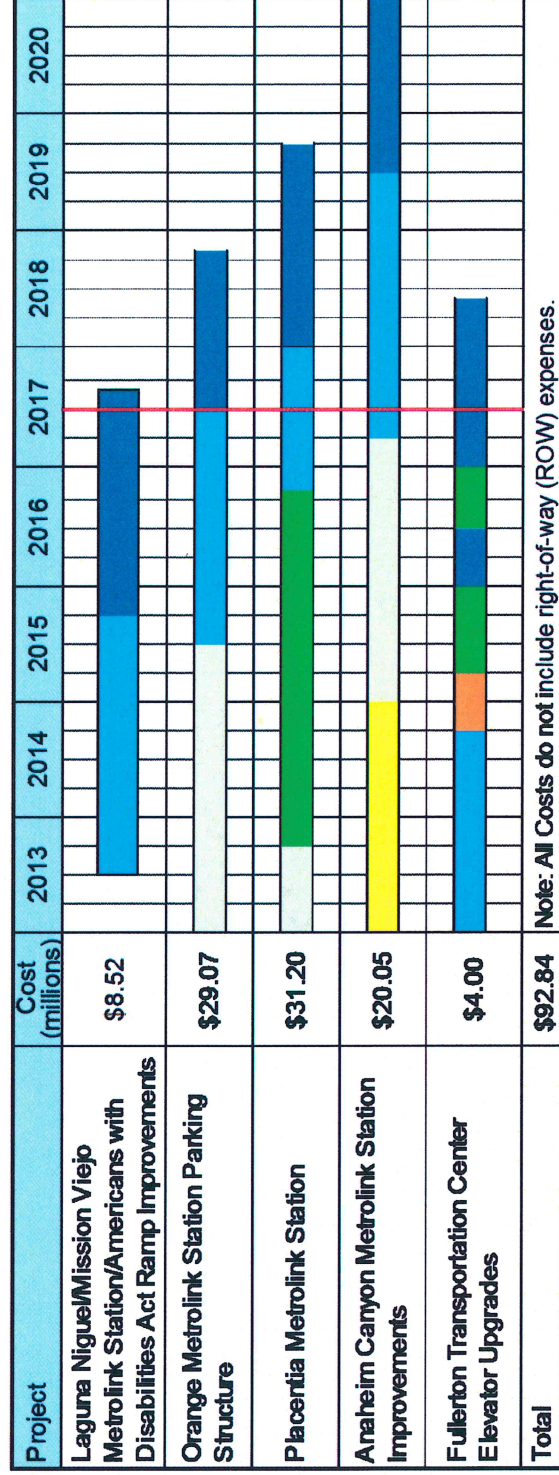
SUPPLEMENTAL

INFORMATION



Regional Rail and Facilities Engineering Quarterly Report

Station Improvements



Rail Corridor Improvements



Schedule / Cost

Project	Cost (millions)	2013	2014	2015	2016	2017	2018	2019
17th Street Grade Separation	\$ 158.32							
Laguna Niguel-San Juan Capistrano Passing Siding	\$ 30.83							
San Juan Creek Bridge Replacement	\$ 38.33							
Control Point Fourth	\$ 8.51							
Positive Train Control Program (Orange County Transportation Authority (OCTA) Share)	\$ 39.92							
Rail ROW Slope Stabilization	\$ 2.00							
Total	\$ 277.91							

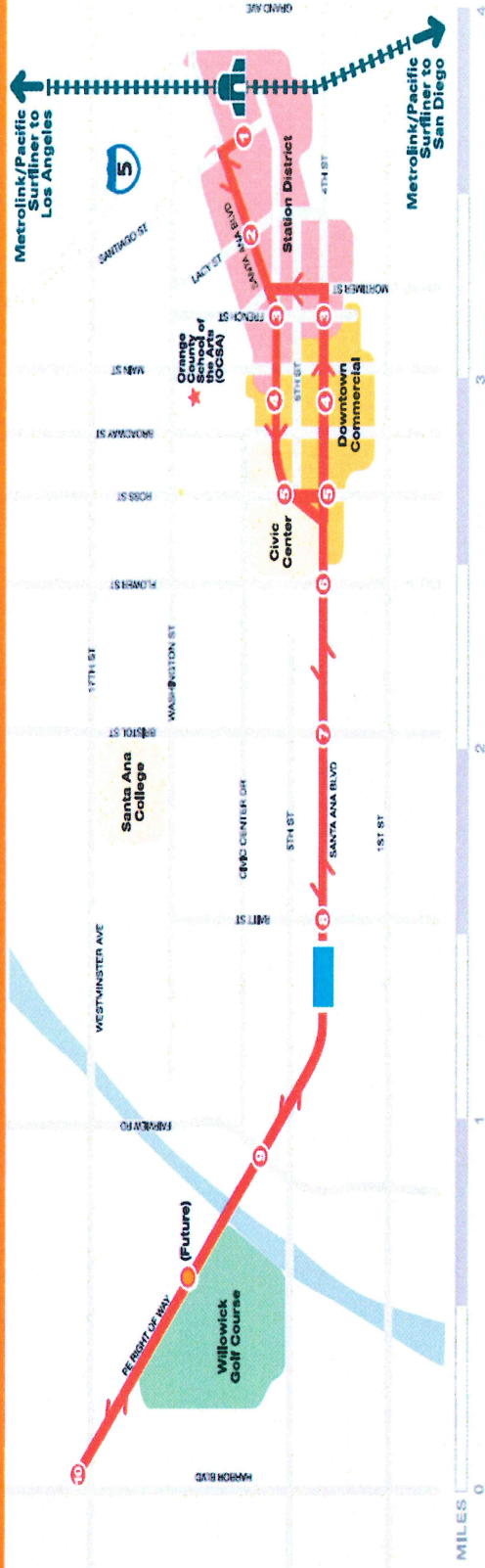
PA/ED

Final Design

Construction

Planning

Transit Extensions to Metrolink: Santa Ana/Garden Grove Fixed-Guideway



LEGEND
 Streetcar Route
 Stop
 Willowick: Potential Future Stop
 Santa Ana Regional Transportation Center
 Operations and Maintenance Facility
 LOSSAN Rail Corridor

STOPS

1 Santa Ana Regional Transportation Center
2 Lacy Street
3 French Street
4 Sycamore Street
5 Ross Street
6 Flower Street

7 Bristol Street
8 Rialto Street
9 Fairview Street
10 Harbor Boulevard

Schedule	2013	2014	2015	2016	2017	2018	2019	2020
Alternatives Analysis, state/federal environmental clearance, and conceptual engineering								
Project Development/Preliminary Engineering/Engineering*								
Construction**								

* Phases partially funded (Future programming and budget action subject to Board of Directors' approval)
 ** Pursuing federal New Starts

Rail Operations

Angels Express

- Special Metrolink service to 54 home games from March 30 to September 29, 2017.
- OCTA received a Mobile Source Air Pollution Reduction Review Committee (MSRC) grant for operation of Metrolink trains with Tier 2 clean emissions locomotives.
- Kids 18 and under ride free in July and August 2017; adult tickets are \$7 round trip.

Rail Series

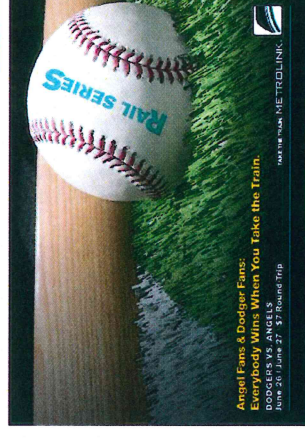
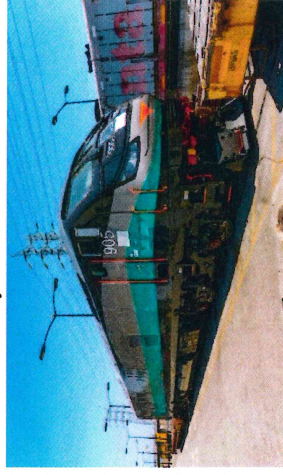
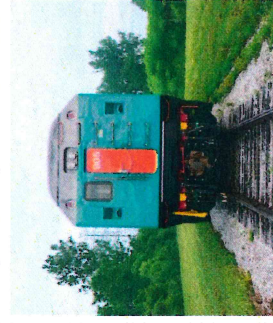
- A combination of regular and special Metrolink service on the Orange County Line for two Dodgers vs. Angels games at Dodger Stadium June 26 - 27, 2017.
- Passengers took regular service to L.A. Union Station, and transferred to the free Dodgers Express bus, and returned to Orange County on the special Metrolink train following the game.
- Ridership neared 150 each night on the return trip to Orange County.
- Special train and bus shuttle was funded by Los Angeles County Metropolitan Transportation Authority's MSRC grant.

New Sunday Service on Holidays

- Metrolink now offers a Sunday train schedule on holidays, on all lines with weekend service.
- The three lines serving Orange County operated a Sunday schedule on May 29 and July 4, 2017.

Tier 4 Locomotives

- Metrolink ordered 40 Tier 4 clean emissions locomotives and delivery has begun.
- With 11 Tier 4 units on site, testing of the new locomotives started on June 1, 2017 and will last up to three months.
- Metrolink expects to operate Tier 4 locomotives in revenue service as early as October 2017.



Facilities Engineering

Project	Cost (millions)	2016	2017	2018
Ana, GG Bases - LNG Underground Storage Tanks Removal	\$ 1.50			
Ana Base - Fence Repair and Bus Parking Stall Wheel Stops	\$ 0.07			
LBTC - Bridge Assessment and Repair	\$ 0.20			
FPNR - Bus Dock Platform Minor Rehabilitation	\$ 0.25			
GG Base - Maintenance Building HV Unit Replacement	\$ 0.29			
GG Base - Vehicle Inspection Station Equipment Canopy	\$ 0.26			
All Bases - Bus Wash Run-Off Mitigation	\$ 0.65			
SA Base - Liquid Hydrogen Fueling Station	\$ 4.77			
SA Base - Facility Modifications for Hydrogen Buses	\$ 1.13			
GG Base - Bus Yard Pavement Striping	\$ 0.07			
SA, GG Bases - Video Surveillance System	\$ 1.20			
TSOC - Preliminary Engineering and Environmental Clearance	\$ 0.92			
TOTAL	\$ 11.31			

Final Design Bid Construction

OCTA Facility Legend:

Ana	Anaheim Bus Base
FPNR	Fullerton Park-and-Ride
GG	Garden Grove Bus Base
IvCC	Irvine Construction Circle Bus Base
IvSC	Irvine Sand Canyon Bus Base
BPNR	Brea Park-and-Ride
GWTC	Golden West Transportation Center
NPTC	Newport Transportation Center
LBTC	Laguna Beach Transportation Center
SA	Santa Ana Bus Base
TSOC	Transit Security Operations Center



GG Maintenance Building
HV Unit Replacement



GG Bus Wash Water
Run-Off Mitigation



August 10, 2017

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Consultant Selection to Prepare the Plans, Specifications, and Estimates for the Anaheim Canyon Metrolink Station Improvement Project

Overview

On April 10, 2017, the Orange County Transportation Authority Board of Directors approved the release of a request for proposals for consultant services to prepare the plans, specifications, and estimates for the Anaheim Canyon Metrolink Station Improvement project. Board of Directors' approval is requested for the selection of a firm to perform the required work.

Recommendations

- A. Approve the selection of HNTB Corporation as the firm to prepare the plans, specifications, and estimates for the Anaheim Canyon Metrolink Station Improvement project.
- B. Authorize the Chief Executive Officer to negotiate and execute Agreement No. C-7-1609 between the Orange County Transportation Authority and HNTB Corporation to prepare the plans, specifications, and estimates for the Anaheim Canyon Metrolink Station Improvement project.

Discussion

The Anaheim Canyon Metrolink rail station (Station) is located on the Southern California Passenger and Freight Rail network Olive Subdivision which is owned by the Orange County Transportation Authority (OCTA). The Station is served by Metrolink's Inland Empire-Orange County Line. OCTA, the City of Anaheim (City), and the Southern California Regional Rail Authority (SCRRA) wish to make improvements at the Station that will include construction of a second main track and platform, lengthening of the existing platform, improvements to pedestrian circulation, additional ticket vending machines,

benches, and shade structures. The Station improvement project (Project) will increase the capacity of the Station to accommodate additional rail service, as well as improve reliability, on-time performance, and enhance safety.

On August 24, 2014, the OCTA Board of Directors (Board) approved Cooperative Agreement No. C-4-1714 with the City and Cooperative Agreement No. C-4-1715 with SCRRA, to define roles, responsibilities, and funding for the Project. OCTA will be the lead agency on the design and construction phase; SCRRA will provide design of the signal, and communication systems and positive train control, as well as design review and design support during construction. The City will also provide general design review.

The Project has been environmentally cleared through the California Environmental Quality Act and National Environmental Protection Act process and 30 percent plans have been completed.

Procurement Approach

This procurement was handled in accordance with OCTA's Board-approved procedures for architectural and engineering (A&E) services that conform to both federal and state laws. Proposals are evaluated and ranked in accordance with the qualifications of the firm, staffing and project organization, and work plan. As this is an A&E procurement, price is not an evaluation criterion pursuant to state and federal laws. Evaluation of the proposals was conducted on the basis of overall qualifications to develop a competitive range of offerors. The highest-ranked firm is requested to submit a cost proposal, and the final agreement will be negotiated. Should negotiations fail with the highest-ranked firm, a cost proposal will be solicited from the second-ranked firm in accordance with Board-approved procurement policies.

On April 10, 2017, the Board authorized the release of Request for Proposals (RFP) 7-1609 which was electronically issued on CAMM NET. The Project was advertised on April 10 and 17, 2017, in a newspaper of general circulation. A pre-proposal conference was held on April 19, 2017, with 13 attendees representing ten firms. Four addenda were issued to make available the pre-proposal conference registration sheets, provide responses to questions received, and handle administrative issues related to the RFP.

On May 17, 2017, five proposals were received. An evaluation committee consisting of members from the Contracts Administration and Materials Management, and Rail Programs departments, as well as external representatives from SCRRA and the City met to review the submitted proposals.

The proposals were evaluated utilizing the following evaluation criteria and weights:

- | | |
|-------------------------------------|------------|
| • Qualifications of the Firm | 25 percent |
| • Staffing and Project Organization | 40 percent |
| • Work Plan | 35 percent |

The evaluation criteria are consistent with the weightings developed for similar A&E procurements. In developing these weights, several factors were considered, giving the greatest importance to staffing and project organization of the firm, as the qualifications of the project manager and other key personnel are very important to the successful and timely delivery of the Project, and adherence to Federal Transit Administration requirements. Similarly, high importance was given to the work plan criterion to emphasize the importance of the team's understanding of the Project, its challenges, and its approach to implementing the various elements of the scope of work. The technical approach to the Project is critical to the successful performance of the Project. The final criterion, qualifications of the firm, evaluated the firm's experience in performing work of similar scope and size.

The evaluation committee reviewed all proposals based on the evaluation criteria and found two firms most qualified to perform the required services. The most qualified firms are listed below in alphabetical order:

Firm and Location

HNTB Corporation (HNTB)
Santa Ana, California

RailPros, Inc. (RailPros)
Irvine, California

On June 8, 2017, the evaluation committee interviewed the two firms. The interviews consisted of a presentation allowing each team to present its qualifications, highlight its proposal, and respond to evaluation committee questions. Each firm was asked some general questions related to its qualifications, relevant experience, project organization, and approach to the work plan. Each firm also highlighted its staffing plan, work plan, and perceived project issues. Both teams were asked general questions regarding the team's approach to the requirements of the scope of work, management of the projects, coordination with various agencies, experience with similar projects, and the team's solutions in achieving the Project's goals. The evaluation committee did

not adjust any preliminary scores as a result of the interview. HNTB remained as the top-ranked firm with the highest cumulative score.

Based on the evaluation of written proposals and information obtained during the interviews, staff recommends HNTB as the firm to prepare the plans, specifications, and estimate (PS&E) for the Project. HNTB's proposal received the highest ranking, largely due to the team's successful execution of similar projects in both scale and scope, the firm's comprehensive understanding of the Project, constraints of the Project, and presentation of realistic and credible technical solutions. The firm displayed a clear understanding of the Project requirements and presented a work plan addressing technical issues, supported by highly experienced key personnel.

Both firms submitted comprehensive proposals and conducted detailed interviews. Brief summaries of evaluation results follow.

Qualifications of the Firm

Both firms are qualified to perform the services required by the RFP. Both firms are established with recent and relevant experience.

HNTB is a full service design engineering firm with four offices and 150 employees in Southern California. HNTB has delivered numerous rail projects of similar complexity, and demonstrated a clear understanding of the Project's requirements, as well as design and operational challenges. Current experience includes the North Hollywood Burbank Airport Metrolink Station in Burbank, and the Brighton to Roxford Double-Track project in the San Fernando Valley. Both of these projects involve close coordination with the Metrolink operations department, grade crossings, road design work, and station design. HNTB also has current design experience with OCTA's Laguna Niguel/Mission Viejo to San Juan Capistrano Passing Siding project and the Kraemer Boulevard grade separation project.

RailPros is a fully integrated consulting and support service firm with four offices and over 90 employees, specializing in passenger rail and station projects. RailPros has experience in design, engineering, planning, project and program management, and construction management. RailPros has current related experience in track work and station platform experience, including the Van Nuys Center Platform project located on the Metrolink Ventura Subdivision, ACE Pomona At-Grade-Crossing, and the Irvine Third Main Track.

Staffing and Project Organization

Both firms proposed highly qualified project managers, discipline leads, key personnel, staff, and subconsultants with relevant rail and station experience.

HNTB submitted a detailed staffing plan that proposed experienced key personnel and subconsultant resources to meet the requirements of the RFP. The proposed project manager and the team have comprehensive experience with complex passenger rail projects, rail and track design, station design and improvement projects, railroad grade separation projects, and utility relocations. The team's experience in rail design projects brings valuable lessons learned to the Project. The proposed project manager has over 25 years' experience in engineering design, construction management, and program/project management primarily for commuter and light rail projects. HNTB's project team has successfully worked together on several rail projects, and has a proven track record and extensive knowledge of the Metrolink system and operating railroad in the Los Angeles basin. HNTB presented an excellent interview and provided detailed answers to questions regarding its specific approach to the Project scope, issues, alternatives, quality assurance and quality control processes, and plans to coordinate efforts with stakeholders.

RailPros proposed a very good team and key staff with strong experience in railroad development projects. The proposed project manager and team have experience with similar projects, including station, track and at-crossing grade design. RailPros' relevant projects include the Metrolink Service Expansion Program, Grade Crossing Safety Enhancement and Quiet Zone Rail-Highway Program, and the Van Nuys Station Improvements project. The RailPros team presented a very good interview and provided good responses to questions.

Work Plan

Both firms met the requirements of the RFP, and each firm effectively discussed the Project approach.

HNTB presented a comprehensive work plan, demonstrating an excellent understanding of the Project's requirements, constraints, and risks. HNTB's proposed work plan detailed quality control/quality assurance measures, an accelerated schedule, budget controls, project phasing and effects on area business, the traveling public, and pedestrian flow. The work plan identified deliverables, solutions and enhancements, alternatives, and cost-saving ideas. Project challenges included maintaining an active railroad during construction, quiet zones, Americans with Disabilities Act requirements, and gas line issues. HNTB discussed its successful use of the Bluebeam Revu software, a project tool

to coordinate design review and comments with Metrolink and stakeholders on the San Juan Capistrano Passing Siding project.

RailPros' work plan demonstrated a very good understanding of the Project and discussed the firm's approach to the challenges and presented good Project enhancements and solutions. RailPros' team discussed the station, platform, and grade crossing experience, and provided key examples and lessons learned on numerous projects. RailPros presented a good discussion of the Project schedule, Project constraints, utility coordination, and design alternative for retaining walls.

Procurement Summary

Based on the evaluation of the written proposals, firm's qualifications, work plan and information obtained from the interviews, the evaluation committee recommends the selection of HNTB as the top-ranked firm to prepare the PS&E for the Project. HNTB demonstrated excellent relevant experience and submitted a comprehensive proposal that was responsive to all the requirements of the RFP. The firm presented a strong team and demonstrated a thorough understanding of the overall Project.

Fiscal Impact

The Project is included in OCTA's Fiscal Year 2017-18 Budget, Capital Programs Division, Account 0018-7519-C5061-OJR, and is funded with Federal Formula 5307 funds.

Summary

Staff requests Board of Directors' approval for the Chief Executive Officer to negotiate and execute Agreement No. C-7-1609 with HNTB to prepare the plans, specifications, and estimates for the Anaheim Canyon Metrolink Station Improvement project.

Attachments

- A. Review of Proposals, RFP 7-1609 Consultant Services to Prepare the Plans, Specifications, and Estimates for the Anaheim Canyon Metrolink Station Improvement Project
- B. Proposal Evaluation Criteria Matrix – (Short-Listed), RFP 7-1609 Consultant Services to Prepare the Plans, Specifications, and Estimates for the Anaheim Canyon Metrolink Station Improvement Project
- C. Contract History for the Past Two Years, RFP 7-1609 Consultant Services to Prepare the Plans, Specifications, and Estimates for the Anaheim Canyon Metrolink Station Improvement Project

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Review of Proposals
RFP 7-1609 Consultant Services to Prepare the Plans, Specifications, and Estimates for the Anaheim Canyon Metrolink Station Improvement Project

Presented to Transit Committee August 10, 2017
5 proposals were received, 2 firms were short-listed, 1 firm is being recommended

Overall Ranking	Proposal Score	Firm & Location	Sub-Contractors	Evaluation Committee Comments
1	87	HNTB Corporation Santa Ana, California	Diaz Yourman & Associates FPL & Associates, Inc. Lynn Capouya, Inc. SafeProbe, Inc. Rail Surveyors & Engineers	Highest-ranked overall firm. Excellent relevant experience on numerous rail and station projects. Highly-qualified project manager, discipline leads, key and technical staff, and subconsultants. Project manager and team have extensive experience working together on recent rail, station, and grade crossing projects. Detailed team presentation and interview; concise response to interview questions. Comprehensive work plan and detailed schedule demonstrating very good project understanding. Work plan identified deliverables, enhancements, alternatives, and cost saving ideas. Work plan detailed quality control/quality assurance measures, accelerated schedule, and budget controls.
2	81	RailPros, Inc. Irvine, California	Diaz Yourman & Associates Anil Verma Associates, Inc. Towill, Inc. BA, Inc.	Experienced project manager, key personnel, and subconsultants. Project manager and team have a very good understanding of the project requirements, delivering similar projects. Project organization technically strong with qualified key, support, and subconsultant staff. Demonstrated a good understanding of the project, discussed approach to the challenges, and presented good enhancements and solutions. Very good interview, team presentation, and response to interview questions. Very good work plan that discussed the project schedule, constraints, coordination, and design alternatives.

Evaluation Panel:

Contracts Administration and Materials Management (1)
Rail Programs (2)
City of Anaheim (1)
Southern California Regional Railroad Authority (1)

Evaluation Criteria

Qualifications of Firm
Staffing and Project Organization
Work Plan

Weight Factor

25 percent
40 percent
35 percent

PROPOSAL EVALUATION CRITERIA MATRIX - (Short-Listed)

**RFP 7-1609 Consultant Services to Prepare the Plans, Specifications, and Estimates for the
Anaheim Canyon Metrolink Station Improvement Project**

Firm: HNTB Coporation						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.5	4.5	4.5	4.0	4.5	5	22.0
Staffing/Project Organization	4.0	4.5	4.0	4.5	4.5	8	34.4
Work Plan	3.5	4.5	4.5	4.5	4.5	7	30.1
Overall Score	79.0	90.0	86.0	87.5	90.0		87

Firm: RailPros, Inc.						Weights	Criteria Score
Evaluator Number	1	2	3	4	5		
Qualifications of Firm	4.5	4.0	4.0	4.0	4.0	5	20.5
Staffing/Project Organization	4.0	4.0	4.0	4.0	4.0	8	32.0
Work Plan	4.0	4.0	4.0	4.0	4.0	7	28.0
Overall Score	82.5	80.0	80.0	80.0	80.0		81

Range of scores for non-short-listed firms is 62 to 70

CONTRACT HISTORY FOR THE PAST TWO YEARS
RFP 7-1609 Consultant Services to prepare the Plans, Specifications, and Estimates for the
Anaheim Canyon Metrolink Station Improvement Project

Prime and Subconsultants	Contract No.	Description	Contract Start Date	Contract End Date	Subconsultant Amount	Total Contract Amount
HNTB Corporation						
Contract Type: Firm-Fixed Price	C-5-3337	Plans, Specifications, and Estimates for the	February 1, 2016	December 31, 2019		\$ 17,782,412
Subconsultants:		OC Streetcar Project				
Alta Planning and Design					27,276	
Auriga Corporation					108,684	
Coast Surveying					109,565	
Cornerstone Studios					261,678	
Corpro					150,824	
Diaz Yourman & Associates					646,759	
FPL and Associates					729,718	
Project Engineering Consultants					163,043	
Psomas					1,023,096	
SafeProbe, Inc.					303,994	
STV Incorporated					2,269,071	
Terry A. Hayes Associates					10,180	
Utility Specialists					134,525	
Contract Type: Firm-Fixed Price	C-4-1370	Plans, Specifications, and Estimates for the	March 25, 2015	December 31, 2018		\$ 2,197,581
Subconsultants:		Laguna Niguel-San Juan Capistrano Passing				
Arellano Associates		Siding Project			63,220	
Diaz Yourman & Associates					48,449	
Earth Mechanics, Inc.					96,501	
ICF Jones & Stokes					177,805	
Rail Surveyors & Engineers, Inc.					155,396	
SafeProbe, Inc.					33,450	
Utility Coordinating, Inc.					30,784	
Utility Specialist California, Inc.					21,162	
Paleo Solutions					5,463	
Sub Total						\$19,979,993
RailPros, Inc.						
Contract Type: N/A		No contract awarded				
Subconsultants: N/A						
Sub Total						\$0



August 10, 2017

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Amendments to Cooperative Agreements for Federal Transit Administration Section 5316 and Section 5317 Grant Programs

Overview

As the regional transportation planning agency for Orange County, the Orange County Transportation Authority is responsible for the allocation of funding under the Federal Transit Administration Section 5316, Job Access Reverse Commute, and Section 5317, New Freedom programs. Since 2009, the Orange County Transportation Authority Board of Directors has approved more than \$15 million in funding. Staff is seeking approval to amend the agreements with six agencies to exercise the option terms for one year and award additional grant funding.

Recommendations

- A. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1827 between the Orange County Transportation Authority and Abrazar, Inc., in the amount of \$5,000, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$990,105.
- B. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1830 between the Orange County Transportation Authority and Boys and Girls Clubs of Huntington Valley, in the amount of \$60,925, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$288,238.

- C. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 5 to Agreement No. C-3-1831 between the Orange County Transportation Authority and Dayle McIntosh Center for the Disabled, in the amount of \$124,000, to fund the Section 5316 grant programs through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$767,751.
- D. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1833 between the Orange County Transportation Authority and Jewish Federation and Family Services, in the amount of \$120,182, to fund the Section 5316 and Section 5317 grant programs through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$1,437,582.
- E. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1834 between the Orange County Transportation Authority and North Orange County Community College District, in the amount of \$130,000, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$653,107.
- F. Authorize the Chief Executive Officer to negotiate and execute Amendment No. 4 to Agreement No. C-3-1837 between the Orange County Transportation Authority and Women Helping Women/Men2Work, in the amount of \$51,868, to fund the Section 5316 grant program through September 30, 2018. This will increase the maximum obligation of the agreement to a total contract value of \$225,080.

Discussion

The Orange County Transportation Authority (OCTA) is responsible for the allocation of funding under the Federal Transit Administration (FTA) Section 5316 Job Access and Reverse Commute (JARC) and Section 5317 New Freedom (NF) programs. These funds were made available for programming under the 2005 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). JARC and NF program funding is available for projects designed specifically to meet the needs of seniors, persons with disabilities, and persons of low income.

Since 2009, projects funded under these grant programs have proved successful in meeting gaps identified in the OCTA Public Transit-Human Services Transportation Coordination Plan. Agencies awarded this funding are providing trips, mobility management services, workshops, and travel training, which enhance existing transportation programs and services that are critical to the populations served by this funding.

Currently, six agencies participate in the JARC and NF programs. The third option term of the current cooperative agreements with these agencies expires on September 30, 2017. Approximately \$3.6 million in unallocated funding under SAFETEA-LU is available for programming. Funding requests from current agencies are evaluated annually, and agencies may be eligible to receive one-year funding allocation until all SAFETEA-LU funding has been expended.

A total of \$491,975 in additional funding has been requested by these agencies to continue their current programs and services (Attachment A). Upon approval by the Board of Directors (Board), staff will execute amendments to the cooperative agreements with these agencies to exercise the fourth one-year option term and increase the funding amount (Attachments B through G).

Fiscal Impact

The OCTA Fiscal Year 2017-18 Budget includes funding for the FTA Section 5316 and 5317 programs. There are no fiscal impacts associated with these actions, as the expenses will be fully funded through the FTA Section 5316 and 5317 grants. The federal share for these programs is 80 percent of the total capital costs of the project and 50 percent of the total operating costs. Participating agencies are required to fulfill the local non-federal match requirement.

Summary

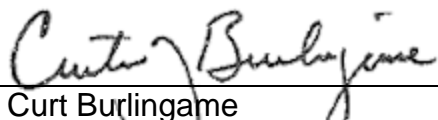
Based on the information provided, staff recommends the Board authorize the Chief Executive Officer to negotiate and execute amendments to the six cooperative agreements and authorize the award of \$491,975 in Section 5316 and 5317 funds for transportation projects and programs serving seniors, persons with disabilities, and persons of low income.

Attachments

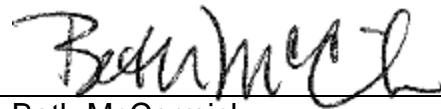
- A. Federal Transit Administration Section 5316 and 5317 Grant Programs, Federal Fiscal Year 2017-18 Funding Request Summary
- B. Abrazar, Inc., Cooperative Agreement No. C-3-1827 Fact Sheet
- C. Boys and Girls Clubs of Huntington Valley, Cooperative Agreement No. C-3-1830 Fact Sheet
- D. Dayle McIntosh Center for the Disabled, Cooperative Agreement No. C-3-1831 Fact Sheet
- E. Jewish Federation and Family Services, Cooperative Agreement No. C-3-1833 Fact Sheet
- F. North Orange County Community College District, Cooperative Agreement No. C-3-1834 Fact Sheet
- G. Women Helping Women/Men2Work, Cooperative Agreement No. C-3-1837 Fact Sheet

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**Federal Transit Administration Section 5316 and 5317 Grant Programs
Federal Fiscal Year 2017-18 Funding Request Summary**

Agency	Project Description	Funding Request
Abrazar, Inc.	Operating and mobility management program serving individuals receiving job skills training.	\$5,000
Boys and Girls Clubs of Huntington Valley	Operating program serving individuals receiving instruction and job skills training at Golden West College.	\$60,925
Dayle McIntosh Center for the Disabled	Mobility management program to provide travel training, buddy travel, and coordination of existing transportation services.	\$124,000
Jewish Federation and Family Services	Mobility management and operating program for employment services.	\$120,182
North Orange County Community College District	Mobility management classroom training and on-board travel training program for students with disabilities.	\$130,000
Women Helping Women/Men2Work	Mobility management and trip voucher program for employment services and job skills training.	\$51,868
Total		\$491,975

ABRAZAR, Inc.
Cooperative Agreement No. C-3-1827 Fact Sheet

1. September 23, 2013, Cooperative Agreement No. C-3-1827, \$611,095, approved by the Board of Directors (Board).
 - Award of Federal Transit Administration Section 5316 and 5317 grant programs.
 - Initial term effective October 1, 2013 through September 30, 2014.
2. September 22, 2014, Amendment No. 1 to Cooperative Agreement No. C-3-1827, \$254,000, approved by the Board.
 - Amendment to exercise the first option term and extend the agreement through September 30, 2015.
 - Increased the maximum obligation in the amount of \$254,000.
3. September 14, 2015, Amendment No. 2 to Cooperative Agreement No. C-3-1827, \$120,010, approved by the Board.
 - Amendment to exercise the second option term and extend the agreement through September 30, 2016.
 - Increased the maximum obligation in the amount of \$120,010.
4. September 12, 2016, Amendment No. 3 to Cooperative Agreement No. C-3-1827, approved by the Board.
 - Amendment to exercise the third option term and extend the agreement through September 30, 2017.
 - No increase in the funding amount.
5. August 14, 2017, Amendment No. 4 to Cooperative Agreement No. C-3-1827, \$5,000, pending approval by the Board.
 - Amendment to exercise the fourth option term and extend the agreement through September 30, 2018.
 - Increased the maximum obligation in the amount of \$5,000.

Total committed to ABRAZAR, Inc., Cooperative Agreement No. C-3-1827: \$990,105.

Boys and Girls Clubs of Huntington Valley
Cooperative Agreement No. C-3-1830 Fact Sheet

1. September 23, 2013, Cooperative Agreement No. C-3-1830, \$117,077, approved by the Board of Directors (Board).
 - Award of Federal Transit Administration Section 5316 grant programs.
 - Initial term effective October 1, 2013 through September 30, 2014.
2. September 22, 2014, Amendment No. 1 to Cooperative Agreement No. C-3-1830, \$55,195, approved by the Board.
 - Amendment to exercise the first option term and extend the agreement through September 30, 2015.
 - Increased the maximum obligation in the amount of \$55,195.
3. September 14, 2015, Amendment No. 2 to Cooperative Agreement No. C-3-1830, \$55,041, approved by the Board.
 - Amendment to exercise the second option term and extend the agreement through September 30, 2016.
 - Increased the maximum obligation in the amount of \$55,041.
4. September 12, 2016, Amendment No. 3 to Cooperative Agreement No. C-3-1830, approved by the Board.
 - Amendment to exercise the third option term and extend the agreement through September 30, 2017.
 - No increase in the funding amount.
5. August 14, 2017, Amendment No. 4 to Cooperative Agreement No. C-3-1830, \$60,925, pending approval by the Board.
 - Amendment to exercise the fourth option term and extend the agreement through September 30, 2018.
 - Increased the maximum obligation in the amount of \$60,925.

Total committed to Boys and Girls Clubs of Huntington Valley, Cooperative Agreement No. C-3-1830: \$288,238.

Dayle McIntosh Center for the Disabled
Cooperative Agreement No. C-3-1831 Fact Sheet

1. September 23, 2013, Cooperative Agreement No. C-3-1831, \$333,823, approved by the Board of Directors (Board).
 - Award of Federal Transit Administration Section 5316 and 5317 grant programs.
 - Initial term effective October 1, 2013 through September 30, 2014.
2. September 8, 2014, Amendment No. 1 to Cooperative Agreement No. C-3-1831, approved by Contracts Administration and Materials Management (CAMM).
 - Amendment to change agency's address.
3. October 1, 2014, Amendment No. 2 to Cooperative Agreement No. C-3-1831, approved by CAMM.
 - Amendment to exercise the first option term and extend the agreement through September 30, 2015.
 - No increase in the funding amount.
4. September 14, 2015, Amendment No. 3 to Cooperative Agreement No. C-3-1831, \$140,504, approved by the Board.
 - Amendment to exercise the second option term and extend the agreement through September 30, 2016.
 - Increased the maximum obligation in the amount of \$140,504.
5. September 12, 2016, Amendment No. 4 to Cooperative Agreement No. C-3-1831, \$169,424, approved by the Board.
 - Amendment to exercise the third option term and extend the agreement through September 30, 2017.
 - Increase the maximum obligation in the amount of \$169,424.
6. August 14, 2017, Amendment No. 5 to Cooperative Agreement No. C-3-1831, \$124,000, pending approval by the Board.
 - Amendment to exercise the fourth option term and extend the agreement through September 30, 2018.
 - Increased the maximum obligation in the amount of \$124,000.

Total committed to Dayle McIntosh Center for the Disabled, Cooperative Agreement No. C-3-1831: \$767,751.

Jewish Federation and Family Services
Cooperative Agreement No. C-3-1833 Fact Sheet

1. September 23, 2013, Cooperative Agreement No. C-3-1833, \$424,285, approved by the Board of Directors (Board).
 - Award of Federal Transit Administration Section 5316 and 5317 grant programs.
 - Initial term effective October 1, 2013 through September 30, 2014.
2. September 22, 2014, Amendment No. 1 to Cooperative Agreement No. C-3-1833, \$330,000, approved by the Board.
 - Amendment to exercise the first option term and extend the agreement through September 30, 2015.
 - Increased the maximum obligation in the amount of \$330,000.
3. September 14, 2015, Amendment No. 2 to Cooperative Agreement No. C-3-1833, \$419,115, approved by the Board.
 - Amendment to exercise the second option term and extend the agreement through September 30, 2016.
 - Increased the maximum obligation in the amount of \$419,115.
4. September 12, 2016, Amendment No. 3 to Cooperative Agreement No. C-3-1833, \$144,000, approved by the Board.
 - Amendment to exercise the third option term and extend the agreement through September 30, 2017.
 - Increase the maximum obligation in the amount of \$144,000.
5. August 14, 2017, Amendment No. 4 to Cooperative Agreement No. C-3-1833, \$120,182, pending approval by the Board.
 - Amendment to exercise the fourth option term and extend the agreement through September 30, 2018.
 - Increased the maximum obligation in the amount of \$120,182.

Total committed to Jewish Federation and Family Services, Cooperative Agreement No. C-3-1833: \$1,437,582.

North Orange County Community College District
Cooperative Agreement No. C-3-1834 Fact Sheet

1. September 23, 2013, Cooperative Agreement No. C-3-1834, \$264,059, approved by the Board of Directors (Board).
 - Award of Federal Transit Administration Section 5316 grant programs.
 - Initial term effective October 1, 2013 through September 30, 2014.
2. September 22, 2014, Amendment No. 1 to Cooperative Agreement No. C-3-1834, \$120,204, approved by the Board.
 - Amendment to exercise the first option term and extend the agreement through September 30, 2015.
 - Increased the maximum obligation in the amount of \$120,204.
3. September 14, 2015, Amendment No. 2 to Cooperative Agreement No. C-3-1834, \$138,844, approved by the Board.
 - Amendment to exercise the second option term and extend the agreement through September 30, 2016.
 - Increased the maximum obligation in the amount of \$138,844.
4. September 12, 2016, Amendment No. 3 to Cooperative Agreement No. C-3-1834, approved by the Board.
 - Amendment to exercise the third option term and extend the agreement through September 30, 2017.
 - No increase in the funding amount.
5. August 14, 2017, Amendment No. 4 to Cooperative Agreement No. C-3-1834, \$130,000, pending approval by the Board.
 - Amendment to exercise the fourth option term and extend the agreement through September 30, 2018.
 - Increased the maximum obligation in the amount of \$130,000.

Total committed to North Orange County Community College District, Cooperative Agreement No. C-3-1834: \$653,107.

Women Helping Women/Men2Work
Cooperative Agreement No. C-3-1837 Fact Sheet

1. September 23, 2013, Cooperative Agreement No. C-3-1837, \$79,843, approved by the Board of Directors (Board).
 - Award of Federal Transit Administration Section 5316 grant programs.
 - Initial term effective October 1, 2013 through September 30, 2014.
2. September 22, 2014, Amendment No. 1 to Cooperative Agreement No. C-3-1837, \$43,312, approved by the Board.
 - Amendment to exercise the first option term and extend the agreement through September 30, 2015.
 - Increased the maximum obligation in the amount of \$43,312.
3. September 14, 2015, Amendment No. 2 to Cooperative Agreement No. C-3-1837, \$50,057, approved by the Board.
 - Amendment to exercise the second option term and extend the agreement through September 30, 2016.
 - Increased the maximum obligation in the amount of \$50,057.
4. September 12, 2016, Amendment No. 3 to Cooperative Agreement No. C-3-1837, approved by the Board.
 - Amendment to exercise the third option term and extend the agreement through September 30, 2017.
 - No increase in the funding amount.
5. August 14, 2017, Amendment No. 4 to Cooperative Agreement No. C-3-1837, \$51,868, pending approval by the Board.
 - Amendment to exercise the fourth option term and extend the agreement through September 30, 2018.
 - Increased the maximum obligation in the amount of \$51,868.

Total committed to Women Helping Women/Men2Work, Cooperative Agreement No. C-3-1837: \$225,080.



August 10, 2017

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Amendment to Agreement for the Purchase of Leased Coach Operator Relief Vehicles

Overview

On May 25, 2012, the Board of Directors approved a five-year agreement with Enterprise Fleet Management to lease 30 compressed natural gas powered Honda Civic vehicles. An amendment to the existing contract is necessary to add funds to purchase the vehicles at the end of the five-year lease, which terminates on October 31, 2017.

Recommendation

Authorize the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-2-1414 between the Orange County Transportation Authority and Enterprise Fleet Management, in the amount of \$173,150, for the purchase of 25 compressed natural gas Honda Civic vehicles at the end of the five-year lease. The amendment will increase the maximum obligation of the agreement to a total contract value of \$959,264.

Discussion

The Orange County Transportation Authority (OCTA) operates and maintains a fleet of 60, 2012 compressed natural gas (CNG) Honda Civic vehicles for a variety of business purposes. Forty-seven of these vehicles are assigned to the two directly-operated bases to accommodate coach operator shift relief. The practice of meeting the bus in service for operator relief is essential to keeping bus service active, while minimizing cost and reducing revenue vehicle deadhead time and miles. Eight vehicles are used to support OCTA's guaranteed ride home program and other business purposes. The remaining five vehicles will be turned in at the end of the lease. These vehicles are no longer needed due to the changes in bus service.

A staggered procurement approach was implemented for the procurement of these vehicles. The first procurement of 30 CNG Honda Civic vehicles in fiscal year (FY) 2011-12 was a lease agreement. The second procurement transaction of 30 additional CNG Honda Civic vehicles in FY 2012-13 was a purchase agreement. The current lease with Enterprise Fleet Management (Enterprise) provides a provision to purchase the vehicles with a fixed Reduced Book Value (RBV).

Procurement Approach

On May 25, 2012, the Board of Directors (Board) approved a contract for an open-ended lease of 30 CNG Honda Civic vehicles that included the option to purchase the vehicles at the end of the lease. This procurement was originally handled in accordance with OCTA Board-approved policies and procedures for the purchase of goods and services. The original agreement was awarded on a competitive basis.

The five-year lease on these vehicles will terminate on October 31, 2017. Through a cost and price analysis, staff has determined that a buyout of the current lease is the most cost-effective option.

Staff compared the potential costs of purchasing new vehicles versus leasing a new fleet of comparable vehicles. The costs for lease and purchase scenarios were compared to the cost of buying out the lease for the current fleet. Based on the analysis, it was determined that the cost to buyout the leased vehicles was significantly less than a new lease or purchase option.

Purchase price for a used 2012 CNG Honda Civic:
 $\$11,500/\text{each} \times 25 = \$287,500$

Purchase price for Hyundai Elantra SE:
 $\$15,701/\text{each} \times 25 = \$392,525$

Estimated lease buyout for 2017 Toyota Corolla LE:
 $\$18,835/\text{each} \times 25 = \$470,875$

Lease buyout under present contract with Enterprise for CNG Honda Civic:
 $\$6,926/\text{each} \times 25 = \$173,150$

The decision to buyout 25 of the 30 leased vehicles is also operationally effective because the vehicles have relatively low average mileage (63,000 miles), are in excellent working condition, and have a significant amount of useful life remaining; therefore, a lease buyout is the most cost-effective alternative.

OCTA's Maintenance Department is also trained on repairing the CNG Honda engines and has the labor force and expertise to perform maintenance on the vehicles. Finally, the fuel system for the CNG vehicles has a 15-year warranty, which means Honda has to continue to support the CNG fuel system until the year 2027. Five of the 30 vehicles will be returned at the end of the lease.

Staff recommends the purchase of the vehicles from the lease for the fixed RBV of \$6,926 per car for a total of \$173,150.

The sales tax, in the amount of \$13,420, will be paid to the Department of Motor Vehicles when the retitling of the vehicles occurs. The sales tax is included in the adopted FY 2017-18 budget. The proposed Amendment No. 1 requests the approval to purchase the vehicles.

Fiscal Impact

The project was approved in OCTA's FY 2017-18 Budget, Transit Division, Account 2159-9025-D2113-02R, and is funded through the local transportation fund.

Summary

Staff requests Board approval for the Chief Executive Officer to negotiate and execute Amendment No. 1 to Agreement No. C-2-1414 with Enterprise Fleet Management, in the amount of \$173,150, to purchase 25 CNG powered Honda Civic vehicles at the end of the five-year lease, bringing the total contract value to \$959,264.

Attachment

- A. Enterprise Fleet Management Agreement No. C-2-1414 Fact Sheet

Prepared by:



Cliff Thorne
Department Manager, Maintenance
714-560-5975

Approved by:



Sue Zuhlke
Director of Maintenance and Motor
Services
714-560-5574



Meena Katakia
Manager, Contracts Administration
and Materials Management
714-560-5694

**Enterprise Fleet Management
Agreement No. C-2-1414 Fact Sheet**

1. May 25, 2012, Agreement No. C-2-1414, \$786,114, approved by the Board of Directors (Board).
 - Agreement issued for an open-ended lease of 30 compressed natural gas (CNG)-powered Honda Civic vehicles.
 - Term of the agreement effective October 1, 2012 through October 31, 2017.
2. August 14, 2017, Amendment No. 1 to Agreement No. C-2-1414, \$173,150, pending approval by the Board.
 - Purchase 25 CNG-powered Honda Civic vehicles.
 - Increase the maximum obligation of the agreement.

Total committed to Enterprise Fleet Management, Agreement No. C-2-1414: \$959,264.



August 10, 2017

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: Federal Transit Administration Grant Authorization Renewal

Overview

The Orange County Transportation Authority, as a direct recipient of federal transit funding, is required to have an authorizing resolution on file with the Federal Transit Administration. A renewed resolution has been requested by the Federal Transit Administration's Region IX office, which authorizes the Chief Executive Officer, or designee, to apply for and receive federal transit funds and execute grant-related agreements.

Recommendation

Adopt Orange County Transportation Authority Resolution No. 2017-064 authorizing the Chief Executive Officer, or designee, to file applications and execute grant-related agreements with the Federal Transit Administration.

Overview

The Federal Transit Administration (FTA) is one of nine modal administrations within the United States Department of Transportation. FTA receives annual funding appropriations from Congress to support transportation projects throughout the nation. Enacted in December 2015, the Fixing America's Surface Transportation (FAST) Act is the current federal authorization for transportation funding programs, which authorizes funds for federal fiscal years 2015-16 through 2019-20. Under the FAST Act, the FTA makes federal funds available to the Orange County Transportation Authority (OCTA) through four major transit funding formula programs listed below, as well as through competitive programs typically released on an annual basis.

- FTA Section 5307 Urbanized Area Formula Program
- FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities
- FTA Section 5337 State of Good Repair Program

- FTA Section 5339 Bus and Bus Facilities Program

Discussion

FTA Region IX staff has requested that OCTA renew its authorizing resolution, which authorizes the Chief Executive Officer (CEO), or designee, to apply for and execute grant agreements on behalf of OCTA. FTA has recently determined that 10 years is the maximum age of such authorization. Since OCTA's current resolution was executed in 1997, a renewed resolution is requested to maintain the agency's legal capacity to pursue and secure federal funding from FTA. OCTA Board Resolution No. 2017-064 is presented for consideration as Attachment A.

An authorizing resolution is required of all FTA grant applicants as a means of demonstrating their legal authority, and is required by several FTA guidance documents, including Circular 5010.1E, Award Management Requirements, and Circular 9030.1E, Urbanized Area Formula Program Guidance. The resolution also helps streamline the funding process and facilitates prompt responses to grant agency requests. OCTA currently has several authorizing resolutions in place, including those for the Federal Emergency Management Agency, United States Department of Homeland Security, and the California Governor's Office of Emergency Services.

Summary

OCTA is required to have an authorizing resolution on file with the FTA, which allows the CEO, or designee, to file applications and enter into grant-related agreements. FTA has requested that OCTA renew its authorizing resolution due to its age. A renewed FTA authorizing resolution is presented for consideration.

Attachment

- A. Resolution of the Orange County Transportation Authority
Federal Transit Administration Grant Authorization

Prepared by:



Ric Teano
Manager, Grants Compliance
External Affairs
(714) 560-5754

Approved by:



Lance M. Larson
Executive Director
External Affairs
(714) 560-5908

**RESOLUTION
OF THE
ORANGE COUNTY TRANSPORTATION AUTHORITY**

FEDERAL TRANSIT ADMINISTRATION GRANT AUTHORIZATION

This Resolution authorizes the filing of applications with the Federal Transit Administration, an operating administration of the United States Department of Transportation, for federal transportation assistance authorized by Chapter 53 of Title 49 of the United States Code (U.S.C.) and any other federal statutes administered by the Federal Transit Administration.

WHEREAS, the Federal Transit Administration has been authorized to provide funding to support public transportation under 49 U.S.C. Chapter 53;

WHEREAS, grants or cooperative agreements for federal financial assistance will impose certain obligations and may require the Orange County Transportation Authority to provide the non-federal share of transportation-related expenses supported with federal financial assistance;

WHEREAS, the Orange County Transportation Authority is legally authorized under Federal, state, or local law to apply for and receive federal assistance;

WHEREAS, the Orange County Transportation Authority is required to provide certain certifications and assurances to the Federal Transit Administration at least annually;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Orange County Transportation Authority:

1. That the Chief Executive Officer or designee is authorized to execute and file an application on behalf of the Orange County Transportation Authority with the Federal Transit Administration for federal assistance authorized by 49 U.S.C. Chapter 53 or any other federal statutes authorizing activities administered by the Federal Transit Administration.
2. That the Chief Executive Officer or designee is authorized to execute and file with the Federal Transit Administration the annual certifications and assurances and other documents the Federal Transit Administration requires before awarding a federal assistance grant or cooperative agreement.
3. That the Chief Executive Officer or designee is authorized to execute the grant and cooperative agreements with the Federal Transit Administration on behalf of the Orange County Transportation Authority.
4. That the Chief Executive Officer or designee is authorized to draw payments against available grant funding using the ECHO web system or other Federal Transit Administration automated application used to request payments from grant awards.

CERTIFICATION

The undersigned, acting on behalf of the Orange County Transportation Authority, certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Orange County Transportation Authority.

ADOPTED, SIGNED, AND APPROVED this _____ day of _____, 2017.

AYES:

NOES:

ABSENT:

ATTEST:

Laurena Weinert
Clerk of the Board

Michael Hennessy, Chair
Orange County Transportation Authority

OCTA Resolution No. 2017-064



August 10, 2017

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer

Subject: Approve the Use of Contractor Pre-Qualification and the Release of the Request for Pre-Qualification for the OC Streetcar Construction Project

Overview

The Orange County Transportation Authority is proposing a pre-qualification process as a means of securing qualified contractors to provide construction services for the OC Streetcar project.

Recommendations

- A. Approve the use of a pre-qualification process for the upcoming invitation for bids for construction of the OC Streetcar project
- B. Approve the release of the Request for Pre-Qualification 7-1882 of contractors for construction of the OC Streetcar project.

Background

The Orange County Transportation Authority's (OCTA) procurement policy includes a sealed bid method for procuring public works projects which allows all contractors holding general or specific licenses to bid. Award is mandated to the lowest responsive, responsible bidder. The current policy does not allow for the use of a contractor pre-qualification to establish bidder responsibility. Staff recommends the use of a pre-qualification process to secure qualified contractors and is seeking Board of Directors (Board) authorization to use a contractor pre-qualification as the first step to procure construction services for the OC Streetcar project (Project).

The Project will be a 4.15-route-mile (8.3-track-mile) modern streetcar line that will connect the Santa Ana Regional Transportation Center to Downtown Santa Ana and a new transportation hub located near the intersection of Harbor Boulevard and Westminster Avenue in the City of Garden Grove.

The Project design plans and specifications are nearing completion and the construction invitation for bid (IFB) is scheduled to be released in late October 2017. The construction effort will involve complex and specialized work for several elements, including the installation of embedded track in streets, overhead electrical power supply, and stop shelter canopies. In addition, the new bridge over the Santa Ana River will involve specialized work for installation of the deep cast-in-drilled-hole piles.

Discussion

Staff is recommending the use of a pre-qualification of contractors prior to the release of the construction IFB for the Project. Providing a pool of potential bidders that are determined to be responsible and qualified to provide the specialized work necessary for the Project will help ensure that the prime contractor awarded the construction contract has the necessary capacity and experience to undertake the construction. The use of a pre-qualification process has the potential to minimize both cost and schedule risks during construction.

The Federal Transit Administration, which is providing Project oversight and approvals and significant funding proposed through the New Starts Program, agreed as part of the Project risk assessment that pre-qualifying construction contractors reduces some of the uncertainty and risks associated with the low bid IFB process.

Pre-qualifying contractors is allowed in the procurement of construction services under the California Public Contract Code (PCC) Section 20101 (Attachment A). This section authorizes public agencies to require that each prospective bidder for a contract complete and submit a standard questionnaire and financial statement, including a complete statement of its experience in performing relevant public works projects. Pre-qualification is a preliminary stage in the bidding process. This process determines if contractors have the requisite experience, financial capacity, and resources to complete a project.

OC Streetcar Pre-Qualification Process

OCTA has developed a questionnaire which will be advertised to all registered bidders via OCTA's CAMM NET system (Attachment B). Under the pre-qualification process, prime contractors are required to complete and submit a notarized questionnaire and provide supporting materials by the date and time specified in the request for pre-qualification. The due date for submissions is prior to the construction bid due date. OCTA will apply an objective uniform system of rating, which will include a combination of pass/fail criteria and point based scoring to each of the completed questionnaires, financial statements,

Approve the Use of Contractor Pre-Qualification and the Release of the Request for Pre-Qualification for the OC Streetcar Construction Project

Page 3

and supporting materials. As required by the PCC, OCTA has developed an appeals process to allow all contractors that were unsuccessful in the pre-qualification process to seek reversal of the determination.

The pre-qualification questionnaire is divided into four categories and will be scored as follows:

	Evaluation Criteria	Maximum Points	Required Passing Score
Part I	Essential Requirements for Qualification	Pass	Pass
Part II	Section 1: History of Business and Organizational Performance	76 points	57 points
	Section 2: Safety, Prevailing Wage, and Apprenticeship	68 points	49 points
Part III	Listing of Project Experience	Complete	Complete
Part IV	Reference Checks	130 points (per project)	95 points (averages score of two projects)

Scoring of the questionnaires will be performed by OCTA staff representing the various disciplines addressed in the questionnaire. Contractors must receive a pass rating set forth in Part I and III of the pre-qualification questionnaire and attain the minimum required scores as noted above for Parts II and IV in order to be qualified. Only those contractors that are deemed qualified will be allowed to participate in the subsequent construction IFB.

Next Steps

The following are the next steps in the Project's construction process:

Activity	Proposed Completion Date
Board approval to release IFB	October 2017
Bids submittal	January 2018
Board approval to award agreement	April 2018
Issue notice to proceed for construction	July 2018

Summary

Staff requests the Board of Directors' approval to use a pre-qualification process of contractors and approve the release of request for pre-qualification of contractors for the upcoming OC Streetcar project construction bid.

**Approve the Use of Contractor Pre-Qualification and the
Release of the Request for Pre-Qualification for the
OC Streetcar Construction Project**

Page 4

Attachments

- A. California Public Contract Code Section 20101
- B. Draft Request for Pre-Qualification of Contractors 7-1882 for the
OC Streetcar Construction Project

Prepared by:



Mary Shavalier
Program Manager
(714) 560-5856



Virginia Abadessa
Director, Contracts Administration
and Materials Management
(714) 560-5623

Approved by:



James G. Beil, P.E.
Executive Director, Capital Programs
(714) 560-5646

California Public Contract Code Section 20101**PUBLIC CONTRACT CODE - PCC**

DIVISION 2. GENERAL PROVISIONS [1100 - 22355] (*Division 2 enacted by Stats. 1981, Ch. 306.*)

PART 3. CONTRACTING BY LOCAL AGENCIES [20100 - 22178] (*Part 3 added by Stats. 1982, Ch. 465, Sec. 11.*)

CHAPTER 1. Local Agency Public Construction Act [20100 - 20929] (*Chapter 1 added by Stats. 1982, Ch. 465, Sec. 11.*)

ARTICLE 1. Title [20100 - 20103.7] (*Heading of Article 1 amended by Stats. 1984, Ch. 1128, Sec. 5.*)

20101. (a) Except as provided in Section 20111.5, a public entity subject to this part may require that each prospective bidder for a contract complete and submit to the entity a standardized questionnaire and financial statement in a form specified by the entity, including a complete statement of the prospective bidder's experience in performing public works. The standardized questionnaire may not require prospective bidders to disclose any violations of Chapter 1 (commencing with Section 1720) of Part 7 of Division 2 of the Labor Code committed prior to January 1, 1998, if a violation was based on a subcontractor's failure to comply with these provisions and the bidder had no knowledge of the subcontractor's violations. The Department of Industrial Relations, in collaboration with affected agencies and interested parties, shall develop model guidelines for rating bidders, and draft the standardized questionnaire, that may be used by public entities for the purposes of this part. The Department of Industrial Relations, in developing the standardized questionnaire, shall consult with affected public agencies, cities and counties, the construction industry, the surety industry, and other interested parties. The questionnaire and financial statement shall be verified under oath by the bidder in the manner in which civil pleadings in civil actions are verified. The questionnaires and financial statements shall not be public records and shall not be open to public inspection; however, records of the names of contractors applying for prequalification status shall be public records subject to disclosure under Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the Government Code.

(b) Any public entity requiring prospective bidders to complete and submit questionnaires and financial statements, as described in subdivision (a), shall adopt and apply a uniform system of rating bidders on the basis of the completed questionnaires and financial statements, in order to determine both the minimum requirements permitted for qualification to bid, and the type and size of the contracts upon which each bidder shall be deemed qualified to bid. The uniform system of rating prospective bidders shall be based on objective criteria.

(c) A public entity may establish a process for prequalifying prospective bidders pursuant to this section on a quarterly basis and a prequalification pursuant to this process shall be valid for one calendar year following the date of initial prequalification.

(d) Any public entity requiring prospective bidders on a public works project to prequalify pursuant to this section shall establish a process that will allow prospective bidders to dispute their proposed prequalification rating prior to the closing time for receipt of bids. The appeal process shall include the following:

- (1) Upon request of the prospective bidder, the public entity shall provide notification to the prospective bidder in writing of the basis for the prospective bidder's disqualification and any supporting evidence that has been received from others or adduced as a result of an investigation by the public entity.
- (2) The prospective bidder shall be given the opportunity to rebut any evidence used as a basis for disqualification and to present evidence to the public entity as to why the prospective bidder should be found qualified.
- (3) If the prospective bidder chooses not to avail itself of this process, the proposed prequalification rating may be adopted without further proceedings.
- (e) For the purposes of subdivision (a), a financial statement shall not be required from a contractor who has qualified as a Small Business Administration entity pursuant to paragraph (1) of subdivision (d) of Section 14837 of the Government Code, when the bid is no more than 25 percent of the qualifying amount provided in paragraph (1) of subdivision (d) of Section 14837 of the Government Code.
- (f) Nothing in this section shall preclude an awarding agency from prequalifying or disqualifying a subcontractor. The disqualification of a subcontractor by an awarding agency does not disqualify an otherwise prequalified contractor.

(Added by Stats. 1999, Ch. 972, Sec. 4. Effective January 1, 2000.)

**REQUEST FOR PRE-QUALIFICATION OF
CONTRACTORS 7-1882**

FOR

**THE OC STREETCAR CONSTRUCTION
PROJECT**



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

Key Pre-Qualification Dates

Issue Date:	August 14, 2017
Informational Meeting Date:	August 28, 2017
Question Submittal Date:	September 5, 2017
Pre-qualification Package Submittal Date: (Requested Submittal Date)	October 2, 2017
Final Pre-qualification Package Submittal Deadline	October 31, 2017
Appeals Submission Deadline:	December 4, 2017

FEDERAL TRANSIT ADMINISTRATION FUNDED PROJECT

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NOTICE OF REQUEST FOR PRE-QUALIFICATION OF CONTRACTORS

(PRE-QUALIFICATION): 7-1882: "REQUEST FOR PRE-QUALIFICATION OF CONTRACTORS FOR THE OC STREETCAR CONSTRUCTION PROJECT"

TO: ALL CONTRACTORS

FROM: ORANGE COUNTY TRANSPORTATION AUTHORITY

Notice is hereby given that the Orange County Transportation Authority ("Authority") has determined that all contractors (prime contractors) bidding on the OC Streetcar Project ("Project") must be pre-qualified prior to submitting a bid on the Project.

Authority intends to use a two part source selection process:

- a) Issue a Pre-qualification questionnaire: This Request for Pre-qualification is issued as a first step to solicit information in the form of a completed questionnaire and supporting materials that Authority will score to determine which contractors are qualified to successfully deliver the Project.
- b) Invitation for Bids: Authority will issue an Invitation for Bids to only the pre-qualified pool of contractors, requesting submittals of sealed bids that Authority will evaluate to determine the lowest responsive, responsible bidder.

It is mandatory that all contractors who intend to submit a bid for the Project complete a Pre-qualification questionnaire, including but not limited to all materials requested herein (Pre-qualification package), and be deemed pre-qualified by the Authority to be on the approved list of contractors. Unless expressly stated in future Notice Inviting Bids, no bid will be accepted from any contractor that is not on the Authority's Pre-qualified list of Contractors for the Project.

Answers to questions contained in the Pre-qualification questionnaire, information about current bonding capacity, a notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, will be used by the Authority in order to rate contractors with respect to their qualifications to bid on the Project. The Authority reserves the right to check any other sources available to verify contractor's statements and prior performance. The Authority's decision will be based on objective scoring criteria.

The Authority reserves the right to adjust, increase, limit, suspend or rescind the Pre-qualification rating based on subsequently learned information. Contractors whose rating changes sufficient to disqualify them will be notified and given an opportunity for an appeal consistent with the appeal procedures contained herein.

While the Pre-qualification process is intended to assist the Authority in determining contractor responsibility prior to bid and aid the Authority in selecting the lowest responsive, responsible contractor for construction of the Project, neither the fact of Pre-qualification, nor any Pre-qualification rating, will preclude the Authority from a post-bid consideration and determination of whether a contractor has the quality, capacity and experience to satisfactorily perform the proposed work.

The Pre-qualification packages submitted by contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of contractors applying for Pre-qualification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose.

The contractor shall provide only complete and accurate information. The contractor acknowledges that the Authority is relying on the truth and accuracy of the responses contained herein. Each Pre-qualification package must include a signed affidavit, which shall be signed under penalty of perjury in the manner designated and by an individual who has the legal authority to bind the contractor. If any information provided by a contractor becomes inaccurate, the contractor must immediately notify the Authority and provide updated accurate information in writing, under penalty of perjury. Should a contractor omit requested information or falsify information, the Authority may determine that contractor not prequalified.

The Pre-qualification package, its completion and submission by the contractor, and its use by the Authority, shall not give rise to any liability on the part of the Authority to the contractor or any third party or person. This is **not** a solicitation for bid. No guarantees are made or implied that any project will be constructed, either in part or whole. The contractor accepts all risk and cost associated with the completion of the Pre-qualification package without financial guarantee.

PROJECT DESCRIPTION

The Authority, in coordination with the City of Santa Ana and the City of Garden Grove, are implementing a new east-west double track modern streetcar in Orange County between the Santa Ana Regional Transportation Center

(SARTC) in the City of Santa Ana, and the Harbor Boulevard/Westminster Boulevard intersection in the City of Garden Grove. The purpose of the Project is to improve transit connectivity and accessibility, increase transit options, relieve congestion, and provide benefits to the traveling public.

The Authority has retained the services of HDR Engineering Inc., as the Project Management Consultants for overall project support; HNTB Corporation to provide Design Services and Design Support during construction and PGH Wong for Construction Management services for the project.

The Authority anticipates, subject to change in the Authority's sole discretion, the Project requiring Pre-qualification shall generally consist of the following:

The work to be done includes furnishing all necessary labor, equipment, and specified materials for construction of a new 4.15-route-mile (8.3-track-mile) modern streetcar line that will connect the Santa Ana Regional Transportation Center (SARTC) to Downtown Santa Ana and a new transportation hub located near the intersection of Harbor Boulevard and Westminster Avenue in the City of Garden Grove.

The alignment begins at SARTC on the west edge of the parking lot parallel to Santiago Street. The streetcar turns left on Santa Ana Boulevard and runs in the right lane of Santa Ana Boulevard using embedded block rail until reaching the Pacific Electric right-of-way (PE ROW) at Raitt Street, where the track becomes standard 115 lb T-rail on ties. The alignment crosses 5th Street and Fairview Street at-grade with railroad crossing gates. The alignment is elevated on a bridge structure over the Santa Ana River (to the north of the existing historic bridge) (a double-track, 3-span, 356-feet-long, precast, pre-stressed, concrete, Caltrans wide-flange girder bridge) and over Westminster Avenue (a double-track, 2-span, 231-feet-long, cast-in-place, post-tensioned, concrete box girder bridge), terminating on the east side of Harbor Boulevard. Track on structures and track from the Westminster Bridge to the west terminus is direct fixation. The return to SARTC is on a separate eastbound track parallel to the westbound track, with the exception of the downtown area where the eastbound track leaves Santa Ana Boulevard at Parton Street running for one-block on a pedestrian walkway south of Sasscer Park. At Ross Street, this alignment becomes 4th Street through the Downtown Commercial zone to Mortimer Street. Existing diagonal parking on the south side of 4th Street will be converted to parallel parking. At Mortimer Street, the eastbound alignment turns north for two blocks, and then turns east on Santa Ana Boulevard, rejoining the westbound alignment to the termination at SARTC. Track is included on Ross Street between 4th Street and Santa Ana Boulevard, and a crossover is included on between Mortimer and Minter to allow 4th Street to be bypassed and streetcars to be turned-back downtown.

There are ten streetcar stops in each direction (four shared center platforms and six-side platforms in each direction for a total of 16 platforms). Each stop includes a custom canopy shelter, benches, leaning rails, trash cans, lighting,

ticket vending machines (supplied separately), changeable message signs, video cameras, and a public address system. Platforms will be 14-inches high. A portion of the existing parking lot at the Santa Ana Regional Transportation Center (SARTC) will be reconfigured to accommodate the streetcar guideway and platform. 50 new off-street parking spaces will be constructed at the Harbor/Westminster (west terminal) stop.

Overhead Catenary System will be two-wire catenary in the PE ROW, and single-wire over streets. Four traction power substations of one megawatt (1-MW) rating are planned at the following four locations: in the PE ROW on the south side of Westminster Avenue, near the maintenance and storage facility, in City ROW at Parton Street on the north side of Santa Ana Boulevard, and on the north side of the parking structure at SARTC. An underground parallel feeder cable will be installed in street running segments. An underground fiber optic communications cable will be installed from SARTC to Harbor/Westminster. Communications between the maintenance Storage Facility (MSF) facility and Authority's Garden Grove Annex will be via a dedicated Microwave Communications Link. Central control functions will be duplicated at the MSF Facility and at OCTA's Garden Grove Annex, where OCTA's bus control center currently operates. Railroad signaling will be installed at the termini, at the yard connections, and at the two at-grade crossings. New traffic signals will be installed at Santa Ana Boulevard/French Street, 4th Street/Mortimer Street, Santa Ana Boulevard/Lacy Street, and Santa Ana Boulevard/Raitt Street. Existing traffic signals will be modified to provide clearance to the streetcar's overhead contact wire by shortening mast arms or adding signal heads and/or poles. Traffic signal priority will be provided at all traffic signals along the route.

A new MSF will be constructed to accommodate 8 modern streetcars (supplied separately), administration, operations, vehicle maintenance, parts storage, and maintenance of way. The facility will be located on a site bounded by 5th Street to the north, the PE ROW to the south, approximately 500 feet west of Raitt Street to the east, and approximately 1,000 feet west of Raitt Street to the west. The two-story MSF building with approximate dimensions of 260 feet by 140 feet, will have three service and inspection bays, two having under-car pits and roof level mezzanines. A pit for an in-ground wheel truing lathe will be provided at the front end of the third service bay which otherwise will have flush tracks and vehicle lifting jacks. A fourth service track will be installed in the MSF facility, but used initially for maintenance of way. Secured exterior vehicle storage, including a wye-track for turning vehicles end-for-end, a free-standing drive-through streetcar wash, employee parking, and fire and delivery access will also be included on-site.

The construction cost of the Project is approximately \$150,000,000 (All references to "\$" should be taken to mean United States Dollars).

ANTICIPATED SCHEDULE

The anticipated Pre-qualification schedule is summarized as follows:

Date	Milestone
August 14, 2017	The Authority issues request for Pre-qualification from contractors.
August 28, 2017	Informational Meeting
September 5, 2017	Deadline for submitting questions.
September 12, 2017	Authority's response to questions due.
October 2, 2017	Requested submittal date
October 31, 2017	Final submittal deadline
December 4, 2017	Last day for contractors to appeal the Authority's decision with respect to Pre-qualification ratings and to deliver notice of appeal to the Authority.
December 18, 2017	Last day for appeals to be heard by the Authority.

The Authority expects to release the Invitation for Bids for the construction project on October 23, 2017.

The Authority may refuse to grant Pre-qualification where the requested information and materials are not provided by October 31, 2017. There is no appeal from a refusal for an incomplete or late application. The closing time for construction bids will not be changed in order to accommodate supplementation of incomplete submissions or late submissions on part of the Contractor.

The Authority has established the last day for the receipt of a Pre-qualification package in the Authority's office is no later than October 31, 2017.

Pre-qualification 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: Robert Webb, Senior Contract Administrator**

Pre-qualification 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: Robert Webb, Senior Contract Administrator**

Pre-qualification and amendments to Pre-qualification received after the date and time specified above will have no guarantee of timely review and determination of eligibility to participate in the construction solicitation.

Firms interested in obtaining a copy of this Request for Pre-qualification may do so by downloading the questionnaire 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. Registration to CAMM NET will enable contractors to receive notifications of any updates or new documents uploaded to 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 Pre-qualification 7-1882, firms and sub-contractors 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:
Construction

Commodity:
Construction (General)
Construction - Design/Build
General Contractor

An Informational meeting will be held on August 28, 2017, at 2:00 p.m. at the Authority's Administrative Office, 550 South Main Street, Orange, California, in Conference Room 09. All prospective Contractors are encouraged to attend the Informational meeting.

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

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

The construction contract for the OC Streetcar project is subject to receipt of federal, state and/or local funds adequate to carry out the construction activities.

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SECTION I: INSTRUCTIONS TO CONTRACTORS

SECTION I. INSTRUCTIONS TO CONTRACTORS

A. INFORMATIONAL MEETING

An Informational meeting will be held on August 28, 2017 at 2:00 pm. at the Authority's Administrative Office, 550 South Main Street, Orange, California, in Conference Room 09. All prospective Contractors are encouraged to attend the Informational meeting.

B. EXAMINATION OF PRE-QUALIFICATION PACKAGE DOCUMENTS

By submitting a Pre-qualification package, Contractor represents that it has thoroughly examined and become familiar with the work required under this Pre-qualification 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 Pre-qualification documents. Any Authority changes to the requirements will be made by written addendum to this Pre-qualification. The Authority will not be bound to any modifications to or deviations from the requirements set forth in this Pre-qualification as the result of oral instructions. Any information provided to any contractor concerning this solicitation will be furnished to all contractors on CAMM NET.

D. AUTHORITY CONTACT

All communication and/or contacts with Authority staff regarding this Pre-qualification are to be directed to the following Contract Administrator:

Robert Webb, Senior Contract Administrator
Contracts Administration and Materials Management Department
600 South Main Street
P.O. Box 14184
Orange, CA 92863-1584
Phone: 714.560. 5743, Fax: 714.560.5792
Email: rwebb@octa.net

Commencing on the date of the issuance of this Pre-qualification and continuing until selection or cancellation of this pre-qualification, no proposer, subcontractor, lobbyist or agent hired by the proposer shall have any contact or communications regarding this Pre-qualification with any Authority's staff; member of the evaluation committee for this Pre-qualification; or any contractor or consultant involved with the procurement, other than the Contract Administrator named above or unless expressly permitted by this Pre-qualification. Contact includes face-to-face, telephone, electronic mail (e-mail) or formal written communication. Any proposer, subcontractor, lobbyist or agent hired by contractor that engages in such prohibited

REQUEST FOR PRE-QUALIFICATION 7-1882

communications may result in disqualification of the proposer at the sole discretion of the Authority.

E. CLARIFICATIONS

1. Examination of Documents

Should a Contractor require clarifications of this Pre-qualification, the Contractor 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 Pre-qualification.

2. Submitting Requests

- a. All questions related to the Pre-qualification materials, including questions that could not be specifically answered at the Informational meeting conference must be put in writing and must be received by the Authority no later than 5:00 p.m., on September 5, 2017.
- b. Requests for clarifications, questions and comments must be clearly labeled, "Written Questions". The Authority is not responsible for failure to respond to a request that has not been labeled as such.
- c. Any of the following methods of delivering written questions are acceptable as long as the questions are received no later than the date and time specified above:
 - (1) U.S. Mail: Orange County Transportation Authority, 550 South Main Street, P.O. Box 14184, Orange, California 92863-1584.
 - (2) Personal Delivery: Contracts Administration and Materials Management Department, 600 South Main Street, Lobby Receptionist, Orange, California 92868.
 - (3) Facsimile: (714) 560-5792.
 - (4) Email: rwebb@octa.net (preferred)

3. Authority Responses

Responses from the Authority will be posted on CAMM NET, no later than September 12, 2017. Contractor may download responses from CAMM NET at <https://cammmnet.octa.net>, or request responses be sent via U.S. Mail by emailing or faxing the request to Robert Webb.

To receive email notification of Authority responses when they are posted on CAMM NET, firms and subcontractors must be registered on CAMM

REQUEST FOR PRE-QUALIFICATION 7-1882

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:
Construction

Commodity:
Construction (General)
Construction - Design/Build
General Contractor

Inquiries received after 5:00 p.m. on October 31, 2017, will not be responded to.

F. SUBMISSION OF PRE-QUALIFICATION PACKAGE

1. Date and Time

Pre-qualification must be received in the Authority's office at or before 2:00 p.m. on October 2, 2017, but no later than October 31, 2017 to be considered for pre-qualification. The Authority cannot guarantee that the pre-qualification package submitted after October 31, 2017 will be reviewed in time for Contractor to participate in the bidding process. Contractors are encouraged to submit Prequalification packages as soon as possible so they may be notified of any omissions.

Each Pre-qualification package must be completed with all information requested and be signed under penalty of perjury by an individual who has the legal authority to bind the contractor on whose behalf that person is signing.

The Authority may refuse to grant Pre-qualification where the requested information and materials are not provided, or not provided by October 31, 2017. There is no appeal from a refusal for an incomplete or late application. **The closing time for bids will not be changed in order to accommodate supplementation of incomplete submissions or late submissions.**

2. Address

Pre-qualification 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: Robert Webb, Senior Contract Administrator**

Or Pre-qualification delivered using the U.S. Postal Services shall be addressed as follows:

REQUEST FOR PRE-QUALIFICATION 7-1882

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

3. Identification of Pre-qualification

Contractor shall submit an **original and 5 copies** of its Pre-qualification package in a sealed package marked "Confidential", addressed as shown above in F.2. The outer envelope must show the Contractor's name and address and clearly marked with the Pre-qualification number. In addition to the above, Contractors shall also include one (1) electronic copy of their entire Pre-qualification submittal package in "PDF" format, on a CD, DVD, or flash drive.

4. Acceptance of Pre-Qualification

- a. The Authority reserves the right to accept or reject any and all Pre-qualification packages, or any item or part thereof, or to waive any minor informalities or irregularities in a Pre-qualification package.
- b. The Authority reserves the right to withdraw or cancel this Request for Pre-qualification at any time without prior notice and the Authority makes no representations that any contract will be awarded to any Contractor responding to this Request for Pre-qualification.
- c. The Authority reserves the right to issue a new Request for Pre-qualification for the project.
- d. The Authority reserves the right to postpone the Pre-qualification process for its own convenience.
- e. The Authority reserves the right to investigate the qualification of any Contractor, and/or require additional evidence of qualifications to perform the work.

G. PRE-CONTRACTUAL EXPENSES

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

REQUEST FOR PRE-QUALIFICATION 7-1882

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

1. Preparing its Pre-qualification package in response to this Request for Pre-qualification;
2. Submitting that Pre-qualification package to the Authority;
3. Any other expenses incurred by Contractor prior to issuance of the IFB.

H. JOINT OFFERS

If two or more business entities expect to submit a bid as part of a Joint Venture (JV), each entity within the JV must submit a fully complete Pre-qualification package and be separately qualified to bid. The JV must be properly licensed by the California Contractor's State Licensing Board prior to submission of a bid on the Project.

I. APPEALS FOR DENIAL OF PRE-QUALIFICATION

Any appeal filed by a Contractor in connection with this Pre-qualification must be submitted in accordance with the Authority's written procedures outlined in Section III.D of this Request for Pre-qualification.

J. CONFLICT OF INTEREST

All Contractors responding to this Request for Pre-qualification 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, a Contractor is unable, or potentially unable to render impartial assistance or advice to the Authority; a Contractor's objectivity in performing the work identified in the Scope of Work is or might be otherwise impaired; or a Contractor has an unfair competitive advantage. Conflict of Interest issues must be fully disclosed in the Contractor's Pre-qualification package.

All Contractors must disclose in their Pre-qualification package 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.

A Contractor hired to perform services for the Authority is 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.

K. CODE OF CONDUCT

All Contractors 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 Contractors agree to include these requirements in all of their subcontracts, if awarded the contract.

L. DISADVANTAGED BUSINESS ENTERPRISE

By submitting this Pre-qualification package, Contractor acknowledges that it will be required to comply with the Disadvantaged Business Enterprise participation goal to be assessed for the resulting construction bid.

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SECTION II: PRE-QUALIFICATION QUESTIONNAIRE

SECTION II. PRE-QUALIFICATION QUESTIONNAIRE

Except where information related to former entities is expressly required herein, for purposes of evaluation, scoring and Pre-qualification, all required contractor's information, including but not limited to experience, personnel and finances, must be provided for the entity holding the contractor's license. Information related to parent companies, subsidiaries, and any other related entity or proposed subcontractors will not be considered.

The Pre-qualification of contractors will be determined by evaluation of the information submitted by contractors. The Authority may verify any or all information provided in completed Pre-qualification package, consider information provided by sources other than the contractor, and conduct such investigations as the Authority deems appropriate to assist in the evaluation of a contractor's responsibility, qualifications, and financial capacity.

If a contractor seeking Pre-qualification has not been in business for the time period for which information is requested, it shall submit information on predecessor entities covering that time period.

By submitting a completed Pre-qualification Package, the contractor waives any and all objections to the form and content of the Pre-qualification package, or the evaluation criteria. Attach additional sheets as needed to provide complete responses.

**PRE-QUALIFICATION OF CONTRACTORS
FOR THE OC STREETCAR CONSTRUCTION PROJECT**

PRE-QUALIFICATION QUESTIONNAIRE

CONTACT INFORMATION:

Full Name of Contractor (as it appears on license): _____

Type of Organization (Corporation, Partnership, Sole Proprietor, Joint Venture, etc.): _____

Corporate Tax Identification Number: _____

Is the corporation currently registered and in good standing with the State of California
Secretary of State? _____

Street Address of Contractor: _____

Contractor's Contact Person: _____

Phone: _____ Fax: _____

Email Address: _____

If Contractor is a sole proprietor or partnership:

Owner(s) of Company: _____

Contractor's License Number(s): _____

**THIS PAGE IS SUBJECT TO DISCLOSURE
TO THIRD PARTIES**

PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

An answer of “no” to any of the Questions 1 through 6 will be rated a “Fail” and the contractor will be immediately disqualified.

An answer of “yes” to any of the Questions 7 through 10 below will be rated a “Fail” and the contractor will be immediately disqualified.

1. Contractor possesses valid and current California Contractor’s license (Class A General Engineering).

☐ Yes ☐ No

2. Contractor will comply with and provide all insurance as defined below

The policies noted below should be written on a project specific basis. All limits are minimum limits:

Commercial General Liability	\$5 Million
Excess/Umbrella	\$20 Million
Commercial Automobile	\$1Million Primary Coverage with coverage scheduled under the Excess/Umbrella
Workers Compensation	Statutory Limits with a waiver of subrogation favorable to OCTA/Other project stakeholders
Employer’s Liability	\$1Million
Professional Liability	\$10Million/\$10Million Aggregate
Builders Risk	Cost of Construction: Policy to be written with valuation on replacement cost basis, based upon the total value of the contract
Environmental Liability	\$25 Million
Commercial Crime	\$5 Million (Policy to provide client coverage/third party coverage)
Cyber Liability	\$1 Million

☐ Yes ☐ No

NOTE: Contractor shall furnish a statement from the contractor’s insurance broker showing the contractor’s ability to provide the insurance stated above. The contractor will be required to provide insurance as provided for in the Invitation for Bids upon actual bid and award.

3. The contractor has attached, within a separate sealed envelope marked as indicated below, the latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information.

☐ Yes ☐ No

NOTE: A financial statement that is not either reviewed or audited is not acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only and is not a substitute for the required financial statement.

The separate sealed envelope shall be marked as follows:
Proprietary – Not For Public Disclosure
Financial Statement of _____ [Contractor's Name] _____
Pre-qualification for Approved Bidders List for OC Streetcar

4. Has the contractor attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states your current available bonding capacity?

☐ Yes ☐ No

NOTE: Notarized statement must be from the surety company, not an agent or broker.

5. Contractor, acting in the capacity of prime contractor, and/or its designated subcontractor(s), has performed at least \$200 million in construction volume on no more than ten (10) Rail Projects (for purposes of calculating construction volume), one of which must have a contract value of at least \$50 million, completed since January 1, 2007.

For purposes of this question, a qualifying "Rail Project" is defined as a construction project requiring the installation of Trackwork, Overhead Catenary System (OCS), Station Canopies, and Bridges, as defined below, as part of the contractor's contract.

- i. Trackwork:
 - a. Construction of at least three projects that included construction of at least one mile of embedded track.
- ii. Overhead Catenary System ("OCS")
 - a. Construction of at least three projects that included at least one mile of new OCS construction work.
- iii. Station Canopies
 - a. Construction of at least three projects that included at least 5 custom exterior transit shelters using a glass panel roof.
- iv. Bridges
 - a. Construction of at least three rail bridges that included at least 5 cast-in-drilled hole piles of 3 to 10 foot diameter, at least 80 feet long, in sandy, collapsible soil, with groundwater, that

passed gamma-gamma inspections without anomalies, placed within tolerance.

Contractor's construction experience must include each of the above requirements ("Required Criteria"). Specially, Contractor must be able to demonstrate experience in at least three Trackwork Projects, OCS Projects, Station Canopy Projects, and Bridge Projects which meet the Required Criteria for qualifying Rail Projects. Contractor must also include enough projects, but no more than 10, which total at least \$200 million completed volume.

☐ Yes ☐ No

NOTE: Contractor must provide supporting project information in Part III. Failure to provide the necessary information in Part III will result in a "No" response to this question. Contractor must demonstrate satisfaction of the Required Criteria through:

- work as a prime contractor involving at least two of the four required elements in section (i) through (iv) above; or
- work as a subcontractor self-performing at least two of the four required elements in section (i) through (iv) above.

If Contractor is designating a third party subcontractor to meet one or more of the required elements in section (i) through (iv) above, then Contractor may, but is not required to, submit project information for multiple subcontractors so as to give Contractor greater flexibility during the Invitation for Bid process. Designation of a specific subcontractor for pre-qualification is only required if Contractor cannot meet the Required Criteria through its own project experience.

Bids on the OC Streetcar Project will only be accepted from a Contractor who has been successfully pre-qualified, whether as a stand-alone general contractor, or in combination with specific subcontractors designated during this pre-qualification process.

If contractor designates a subcontractor to establish Required Criteria experience requirements for this question or for Part III, Section A of this Prequalification Package, then contractor must also include a completed Part IV-A and Part IV-B for the designated subcontractor(s) with its Prequalification Package.

6. Contractor and/or its designated subcontractor(s) have a superintendent or foreman, or a team of superintendent/foremen, who will be assigned to the Authority with at least ten (10) years of experience and who has successfully completed at least one (1) Rail Project of at least \$30 million in the Trackwork, OCS, Station Canopy and Bridge sections of the Required Criteria completed since January 1, 2007. The designated superintendents or foremen must collectively have experience with the full Required Criteria.

☐ Yes ☐ No

NOTE: Contractor must provide supporting information in Part III. Failure to provide the necessary information in Part III will result in a “No” response to this question. If Contractor is designating a subcontractor to meet one or more of the required elements in section (i) through (iv) above, then Contractor may, but is not required to, submit superintendent/foreman information for multiple subcontractors so as to give Contractor greater flexibility during the Invitation for Bid process. Designation of a specific subcontractor’s superintendent/foreman for Pre-qualification is only required if Contractor cannot meet the Required Criteria through its own project experience or its own superintendent/foreman’s experience.

Bids on the OC Streetcar Project will only be accepted from a Contractor who has been successfully pre-qualified, whether as a stand-alone general contractor, or in combination with specific subcontractors designated during this Pre-qualification process.

7. Has the contractor’s license been revoked at any time in the last five years?

☐ Yes ☐ No

8. Has a surety firm completed a contract on the contractor’s behalf, or paid for completion because the contractor was terminated for default by the project owner within the last five (5) years?

☐ Yes ☐ No

9. At the time of submitting this Pre-qualification form, is the contractor ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code Section 1777.7, or any other federal, state, county, municipal or other local law providing for the debarment of contractors from public works?

☐ Yes ☐ No

If the answer is “Yes,” state the beginning and ending dates of the period of debarment:

10. At any time during the last five years, has the contractor, or any of its owners, or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

☐ Yes ☐ No

END OF PART I

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PART II. INFORMATION REGARDING THE ORGANIZATION, HISTORY, PERFORMANCE, AND COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

A. Current Organization and Structure of the Business

For Contractors That Are Corporations:

1a. Date incorporated: _____

1b. Under the laws of what state: _____

1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent of the corporation's stock.

Name	Position	Years with Co.	% Ownership

1d. Identify every construction, equipment manufacturer, or material supply firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

Person's Name	Name of Company	Dates of Person's Participation with Company

For Contractors That Are Partnerships:

1a. Date of formation: _____

1b. Under the laws of what state: _____

- 1c. Provide all the following information for each partner who owns ten percent or more of the firm.

Name	Position	Years with Co.	% Ownership

- 1d. Identify every construction, equipment manufacturer, or material supply company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

Person's Name	Name of Company	Dates of Person's Participation with Company

For Contractors That Are Sole Proprietorships:

- 1a. Date of commencement of business: _____
- 1b. Social Security Number of Company Owner: _____
- 1c. Identify every construction, equipment manufacturer, or material supply firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

Person's Name	Name of Company	Dates of Person's Participation with Company

For Contractors That Intend to Make a Bid as Part of a Joint Venture:

- 1a. Date of commencement of Joint Venture: _____
- 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

Name of Firm	% Ownership of Joint Venture

B. History of the Business and Organizational Performance

2. Has there been any change in ownership of the contractor at any time during the last three years?

NOTE: A corporation whose shares are publicly traded is not required to answer this question.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

3. Is the contractor a subsidiary, parent, holding company or affiliate of another construction, equipment manufacturer, or material supply firm?

NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of the contractor holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction, equipment manufacturer, or material supply firms.

NOTE: Include information about other firms if an owner, partner, or officer of the contractor holds a similar position in another firm.

☐ Yes ☐ No

If "yes," explain on a separate signed page.

5. State the contractor's gross revenues for each of the last three years:

2016: _____

2015: _____

2014: _____

6. How many years has the contractor been in business in California as a contractor under the contractor's present business name and license number?

_____ years

7. Is the contractor currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

8. Was the Contractor in bankruptcy at any time during the last five years? This question refers only to a bankruptcy action that was not described in answer to question 7, above.

☐ Yes ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

C. Licenses

9. List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by the contractor. At a minimum, contractors shall possess a valid Class A – General Engineering Contractors License to be considered. _____

10. If any of the contractor's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the California Contractors License Board records who meet(s) the experience and examination requirements for each license. _____
- _____
- _____

11. Has the contractor changed names or license number in the past five years?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations) officer of the contractor operated a construction, equipment manufacturer, or material supply firm under any other name in the last five years?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by the contractor or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended or revoked within the last five years?

☐ Yes ☐ No

If "yes," please explain on a separate signed sheet.

D. Disputes

14. At any time in the last five years has the contractor been assessed liquidated damages under a construction contract with either a public or private owner?

☐ Yes ☐ No

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has the contractor (or any firm with which any of the Contractor's owners, officers or partners was associated with), been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: For purposes of this question "associated with" refers to another construction firm in which an owner, partner or officer of the contractor held a similar position, and which is listed in response to Question 1 of Part II.

☐ Yes ☐ No

If "yes," explain on a separate signed page. State whether the contractor involved was the contractor applying for Pre-qualification here or another firm. Identify by

name of the company, the name of the person within the contractor who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

16. In the last five years has the contractor been denied an award of a public works contract based on a finding by a public agency that the contractor was not a responsible bidder?

☐ Yes ☐ No

If "yes," explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a subcontractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$500,000.

17. In the past five years has any claim against the contractor concerning the contractor's performance of a construction project been filed in court or arbitration?

☐ Yes ☐ No

If "yes," on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

If "yes", are there any current claims against the contractor that should you lose the claim(s), would adversely affect the contractor's financial position or the contractor's ability to meet the contractor's obligations if awarded the contract for this project? If so, please explain.

18. In the past five years has the contractor made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

☐ Yes ☐ No

If "yes," on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

If "yes", are there any current claims against a project owner that should the contractor lose the claim(s), would adversely affect the contractor's financial position or the contractor's ability to meet the contractor's obligations if awarded the contract for this project? If so, please explain.

19. At any time during the past five years, has any surety company made any payments on the contractor's behalf to satisfy any claims made against a performance or payment bond issued on the contractor's behalf, in connection with a construction project, either public or private?

☐ Yes ☐ No

If "yes," explain on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.

20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the contractor?

☐ Yes ☐ No

If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of each refusal.

E. Criminal Matters and Related Civil Suits

21. Has the contractor or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

22. Has the contractor or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

23. Has the contractor or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

If "yes," identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

F. Bonding

24. Bonding capacity: Provide documentation from the contractor's surety identifying the following:

Name of bonding company/surety: _____

Name of surety agent, address and telephone number: _____

25. If the contractor was required to pay a premium of more than one percent for a performance and payment bond on any project(s) on which the contractor worked at any time during the last three years, state the percentage that the contractor was required to pay. The contractor may provide an explanation for a percentage rate higher than one percent, if the contractor wishes to do so. _____

26. List all other sureties (name and full address) that have written bonds for the contractor during the last five years, including the dates during which each wrote the bonds: _____

27. During the last five years, has the contractor ever been denied bond coverage by a surety company, or has there ever been a period of time when the contractor had no surety bond in place during a public construction project when one was required?

☐ Yes ☐ No

If yes, provide details on a separate signed sheet indicating the date when the contractor was denied coverage and the name of the company or companies which denied coverage; and the period during which the contractor had no surety bond in place.

G. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety

28. Has CAL OSHA cited and assessed penalties against the contractor for any "serious," "willful" or "repeat" violations of its safety or health regulations in the past five years? Note: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If "yes," attach a separate signed page describing the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, and the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against the contractor in the past five years? NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if

there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If "yes," attach a separate signed page describing each citation.

30. As a result of the contractor's actions or inactions, has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the contractor or the owner of a project on which the contractor was the contractor, in the past five years? NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If "yes," attach a separate signed page describing each citation.

31. How often does the contractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project? _____

32. Experience Modification Rate (EMR): Please obtain a letter from the contractor's insurance carrier (or state fund if applicable) with the contractor's interstate EMR's for the Year 2016, Year 2015, and Year 2014. If the contractor does not have an interstate rating, obtain the contractor's intrastate EMR's. Attach the letter as part of this package. The contractor shall list the Experience Modification Rate (available from the contractor's insurance carrier) below.

<u>Year</u>	<u>EMR</u>
2016	_____
2015	_____
2014	_____

Three Year Average = _____

Are the above rates interstate or intrastate? _____

NOTE: Any of the following methods of "obtaining a letter" are acceptable:

- (1) Furnish a letter from the contractor's insurance agent, insurance carrier or state fund (on their letterhead) verifying the EMR data listed above; or
- (2) Furnish a photocopy of the applicable Experience Rating Calculation Sheets, which the contractor's insurance carrier should forward to the contractor annually.

33. Within the last five years has there ever been a period when the contractor had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page. If "no," please provide a statement by the contractor's current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If the contractor has been in the construction business for less than five years, provide a statement by the contractor's workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that the contractor has been in the construction business.)

34. Incident Rates: Provide a copy of Contractor incident rates for the past 3 years (2014 – 2016), segregating OSHA Recordable injuries/illnesses and days away from work (lost time) injuries/illnesses.

<u>Year</u>	<u>OSHA Recordable Rate</u>	<u>Days Away / Lost Time Rate</u>
2016	_____	_____
2015	_____	_____
2014	_____	_____
Three Year Average	_____	_____

35. Fatal Injuries/Illnesses: During the past 5 years, has the Contractor experienced an employee or sub-tier contractor fatality on a project controlled by the Contractor?

If "yes", attach a separate signed page describing each fatality

36. Does the Contractor have all the regulatory required health, safety and environmental compliance written policies/plans in accordance with all State and Federal OSHA and EPA agencies.

☐ Yes ☐ No

If "no", please describe the deficiencies and provide information on how the Contractor will obtain compliance prior to contract award and/or Notice to Proceed (NTP).

H. Prevailing Wage and Apprenticeship Compliance Record

37. Has there been more than one occasion during the last five years in which the contractor was required to pay either back wages or penalties for the contractor's own firm's failure to comply with California's prevailing wage laws?

NOTE: This question refers only to the contractor's own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

☐ Yes ☐ No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed, the number of employees who were initially underpaid and the amount of back wages and penalties that the contractor was required to pay.

38. During the last five years, has there been more than one occasion in which the contractor's own firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements?

☐ Yes ☐ No

If "yes," attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed, the number of employees who were initially underpaid, the amount of back wages the contractor was required to pay along with the amount of any penalty paid.

39. Provide the name, address, and telephone number of the apprenticeship program (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to your company for use on any public work project for which you are awarded a contract by the Authority.

40. If your firm operates its own California-approved apprenticeship program:

- (a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.
- (b) State the year in which each apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past 3 years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

41. At any time during the last five years, has the contractor been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works? NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

☐ Yes ☐ No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

END OF PART II

PART III. COMPLETED VOLUME OF REQUIRED CRITERIA

A. Project Experience

Part I, Question 5 requires a “yes” response to the following:

Contractor, acting in the capacity of prime contractor, and/or its designated subcontractor(s), has performed at least \$200 million in construction volume on no more than ten (10) Rail Projects (for purposes of calculating construction volume), one of which must have a contract value of at least \$50 million, completed since January 1, 2007.

For purposes of this question, a qualifying “Rail Project” is defined as a construction project requiring the installation of Sitework, Trackwork, Overhead Catenary System (OCS) and/or Railroad Signaling, as defined below, as part of the contractor’s contract.

- i. Trackwork:
 - a. Construction of at least three projects that included construction of at least one mile of embedded track.
- ii. Overhead Catenary System (“OCS”)
 - a. Construction of at least three projects that included at least one mile of new OCS construction work.
- iii. Station Canopies
 - a. Construction of at least three projects that included at least 5 custom exterior transit shelters using a glass panel roof.
- iv. Bridges
 - a. Construction of at least three rail bridges that included at least 5 cast-in-drilled hole piles of 3 to 10 foot diameter, at least 80 feet long, in sandy, collapsible soil, with groundwater, that passed gamma-gamma inspections without anomalies, placed within tolerance.

Contractor’s construction experience must include each of the above requirements (“Required Criteria”). Specially, Contractor must be able to demonstrate experience in at least three Trackwork Projects, OCS Projects, Stationary Canopy Projects and Bridge Projects which meet the Required Criteria for qualifying Rail Projects. Contractor must also include enough projects, but no more than 10, which total at least \$200 million completed volume.

☐ Yes ☐ No

NOTE: Contractor must provide supporting project information in Part III. Failure to provide the necessary information in Part III will result in a “No” response to this question. Contractor must demonstrate satisfaction of the Required Criteria through:

- work as a prime contractor involving at least two of the four required elements in section (i) through (iv) above; or
- work as a subcontractor self-performing at least two of the four required elements in section (i) through (iv) above.

If Contractor is designating a third party subcontractor to meet one or more of the required elements in section (i) through (iv) above, then Contractor may, but is not required to, submit project information for multiple subcontractors so as to give Contractor greater flexibility during the Invitation for Bid process. Designation of a specific subcontractor for Pre-qualification is only required if Contractor cannot meet the Required Criteria through its own project experience.

Bids on the OC Streetcar Project will only be accepted from a Contractor who has been successfully pre-qualified, whether as a stand-alone general contractor, or in combination with specific subcontractors designated during this Pre-qualification process.

The below information shall be used by the Authority to contact the Owner, or its representative, as applicable, on each of the below-listed projects to confirm that the Required Criteria have been met.

If additional sheets are needed, please make copies.

Project # 1 Name: _____

Owner: _____

Construction Bid Cost: \$ _____

Final Construction Cost: \$ _____

Construction Time: _____ Calendar Days

Date of Completion: _____

Owner's Representative: _____

Owner's Representative Telephone No.: _____

Owner's Representative Email: _____

Designer: _____

Designer's Telephone No.: _____

Designer's Representative Email: _____

On-Site Construction Manager: _____

On-Site Construction Manager's Telephone No.: _____

On-Site Construction Manager's Email: _____

The Authority's Required Criteria Included in Project: _____

Specific Project Characteristics:

Type/size of Rail Project: _____

Trackwork Description: _____

OCS Work Description: _____

Station Canopy Work Description: _____

Bridge Work Description: _____

Project # 2 Name: _____

Owner: _____

Construction Bid Cost: \$ _____

Final Construction Cost: \$ _____

Construction Time: _____ Calendar Days

Date of Completion: _____

Owner's Representative: _____

Owner's Representative Telephone No.: _____

Owner's Representative Email: _____

Designer: _____

Designer's Telephone No.: _____

Designer's Representative Email: _____

On-Site Construction Manager: _____

On-Site Construction Manager's Telephone No.: _____

On-Site Construction Manager's Email: _____

The Authority's Required Criteria Included in Project: _____

Specific Project Characteristics:

Type/size of Rail Project: _____

Trackwork Description: _____

OCS Work Description: _____

Station Canopy Work Description: _____

Bridge Work Description: _____

Project # 3 Name: _____

Owner: _____

Construction Bid Cost: \$ _____

Final Construction Cost: \$ _____

Construction Time: _____ Calendar Days

Date of Completion: _____

Owner's Representative: _____

Owner's Representative Telephone No.: _____

Owner's Representative Email: _____

Designer: _____

Designer's Telephone No.: _____

Designer's Representative Email: _____

On-Site Construction Manager: _____

On-Site Construction Manager's Telephone No.: _____

On-Site Construction Manager's Email: _____

The Authority's Required Criteria Included in Project: _____

Specific Project Characteristics:

Type/size of Rail Project: _____

Trackwork Description: _____

OCS Work Description: _____

Station Canopy Work Description: _____

Bridge Work Description: _____

Project # 4 Name: _____

Owner: _____

Construction Bid Cost: \$ _____

Final Construction Cost: \$ _____

Construction Time: _____ Calendar Days

Date of Completion: _____

Owner's Representative: _____

Owner's Representative Telephone No.: _____

Owner's Representative Email: _____

Designer: _____

Designer's Telephone No.: _____

Designer's Representative Email: _____

On-Site Construction Manager: _____

On-Site Construction Manager's Telephone No.: _____

On-Site Construction Manager's Email: _____

The Authority's Required Criteria Included in Project: _____

Specific Project Characteristics:

Type/size of Rail Project: _____

Trackwork Description: _____

OCS Work Description: _____

Station Canopy Work Description: _____

Bridge Work Description: _____

Project # 5 Name: _____

Owner: _____

Construction Bid Cost: \$ _____

Final Construction Cost: \$ _____

Construction Time: _____ Calendar Days

Date of Completion: _____

Owner's Representative: _____

Owner's Representative Telephone No.: _____

Owner's Representative Email: _____

Designer: _____

Designer's Telephone No.: _____

Designer's Representative Email: _____

On-Site Construction Manager: _____

On-Site Construction Manager's Telephone No.: _____

On-Site Construction Manager's Email: _____

The Authority's Required Criteria Included in Project: _____

Specific Project Characteristics:

Type/size of Rail Project: _____

Trackwork Description: _____

OCS Work Description: _____

Station Canopy Work Description: _____

Bridge Work Description: _____

B. Superintendent/Foremen Experience

Name below the superintendent(s) or foreman(men) who will be assigned to the Authority with at least ten (10) years of experience and who have successfully completed at least one (1) Rail Project which have a total volume of at least at \$30 million, completed since January 1, 2007.

Contractor's and/or its designated subcontractor(s)'s designated superintendent or foreman, or team of superintendent/foremen, must have experience with each Required Criteria as defined under Part I, Question 5 and Part III, Section A of this Pre-qualification Package. Contractors may submit one alternate name in the event the first named person is not available. Experience in projects satisfying the Required Criteria of the alternate shall be provided on copies of this section. Provide resume, attached to the Pre-qualification Package, for the named Superintendent/Foreman and alternate.

	Superintendent/Foreman	Alternate
TRACKWORK		
Name of Superintendent or Foreman		
Contractor or Subcontractor employer		
Number of Years of Total Construction Experience as Superintendent or Foreman on Rail Projects with Trackwork		
Number of Years as a Superintendent or Foreman for Your Company/Subcontractor.		
Name of Rail Project(s)/Trackwork satisfying the Required Criteria where the individuals named above held the position of Superintendent or Foreman.*		

OCS WORK		
Name of Superintendent or Foreman		
Contractor or Subcontractor employer		
Number of Years of Total Construction Experience as Superintendent or Foreman on Rail Projects with OCS Work.		
Number of Years as a Superintendent or Foreman for Your Company/Subcontractor.		

Name of Rail Project(s)/OCS Work satisfying the Required Criteria where the individuals named above held the position of Superintendent or Foreman. *		
STATION CANOPY WORK Name of Superintendent or Foreman		
Contractor or Subcontractor employer		
Number of Years of Total Construction Experience as Superintendent or Foreman on Rail Projects with Station Canopy Work.		
Number of Years as a Superintendent or Foreman for Your Company/Subcontractor.		
Name of Rail Project(s)/Station Canopy Work satisfying the Required Criteria where the individuals named above held the position of Superintendent or Foreman.*		
BRIDGE WORK Name of Superintendent or Foreman		
Contractor or Subcontractor Employer		
Number of Years of Total Construction Experience as a Superintendent or Foreman on Rail Projects with CIDH Pile Work		
Number of Years as a Superintendent or Foreman for Your Company/Subcontractor		

Name of Rail Project(s)/ CIDH Pile Work Satisfying the Required Criteria where the individuals named above held the position of Superintendent or Foreman.*		
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*Attach project reference sheets (copy additional pages as needed) on next page.

NOTE: If Contractor is designating a subcontractor to meet one or more of the required elements in section (i) through (iv) above, then Contractor may, but is not required to, submit superintendent/foreman information for multiple subcontractors so as to give Contractor greater flexibility during the Invitation for Bid process. Designation of a specific subcontractor's superintendent/foreman for Pre-qualification is only required if Contractor cannot meet the Required Criteria through its own project experience or its own superintendent/foreman's experience.

Bids on the OC Streetcar Project will only be accepted from a Contractor who has been successfully pre-qualified, whether as a stand-alone general contractor, or in combination with specific subcontractors designated during this Pre-qualification process. Designated subcontractors must be utilized by Contractor in its bid.

Superintendent or Foreman Project # 1 Name: _____

Superintendent or Foreman Name: _____

Owner: _____

Construction Bid Cost: \$ _____

Final Construction Cost: \$ _____

Owner's Representative: _____

Owner's Representative Telephone No.: _____

Owner's Representative Email: _____

Designer: _____

Designer's Telephone No.: _____

Designer's Representative Email: _____

On-Site Construction Manager: _____

On-Site Construction Manager's Telephone No.: _____

On-Site Construction Manager's Email: _____

Date of Completion: _____

The Authority's Required Criteria Included in Project: _____

Specific Project Characteristics:

Type/size of Rail Project: _____

Trackwork Description: _____

OCS Work Description: _____

Station Canopy Work Description: _____

Bridge Work Description: _____

Superintendent or Foreman Project # 2 Name: _____

Superintendent or Foreman Name: _____

Owner: _____

Construction Bid Cost: \$ _____

Final Construction Cost: \$ _____

Owner's Representative: _____

Owner's Representative Telephone No.: _____

Owner's Representative Email: _____

Designer: _____

Designer's Telephone No.: _____

Designer's Representative Email: _____

On-Site Construction Manager: _____

On-Site Construction Manager's Telephone No.: _____

On-Site Construction Manager's Email: _____

Date of Completion: _____

The Authority's Required Criteria Included in Project: _____

Specific Project Characteristics:

Type/size of Rail Project: _____

Trackwork Description: _____

OCS Work Description: _____

Station Canopy Work Description: _____

Bridge Work Description: _____

Note: If a contractor elects to name an alternate Superintendent or Foreman, the contractor must complete and submit another experience form for that individual with this Pre-qualification Package.

END OF PART III

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PART II. PROJECT EXPERIENCE

A. Current Status of Open Construction Projects

Complete the following form (make copies as required) for all open contracts valued at \$500,000 or more. Complete a separate chart for Contractor and each of its designated Subcontractors (if subcontractors are included to establish Required Criteria experience requirements in Part I, Question 5 and Part III, Section A of this Pre-qualification Package).

Project Name & Type of Work	Owner Name	Owner Representative		Original Contract Value	Estimated Contract Completion Value (incl. change orders to date)	Percent Currently Complete	Original Completion Date	Estimated Completion Date
		Name	Phone No.					

B. Recent Construction Projects Completed

Complete the following form (make copies as required) for all contracts valued at \$500,000 or more that were completed within the past five years. Complete a separate chart for Contractor and each of its designated Subcontractors (if subcontractors are included to establish required criteria experience requirements in Part I, Question 5 and Part III, Section A of this Pre-qualification Package).

Project Name & Type of Work	Owner Name	Owner Representative		Original Contract Value	Contract Completion Value (incl. change orders to date)	Original Completion Date	Final Completion Date
		Name	Phone No.				

C. Project Experience –Reference Checks

The following questions will be used for reference checks on randomly selected contacts from at least two (2) completed projects. The contractor shall provide additional references upon request of the Authority. The Authority will conduct the reference checks. No action on the contractor's part is necessary. These questions are included in the package to the contractor for information only.

The highest possible score is 130 points per project. An average score of 95 or higher for two (2) projects is required for Pre-qualification. An average score of less than 80 points on the projects will automatically disqualify a contractor. If the average score is between 80 to 94, the Authority will conduct two (2) additional reference checks of other references to obtain two (2) additional scores. If the average score of the two (2) additional reference checks is less than 95, the contractor will be automatically disqualified.

First, please give a brief description of the project.

1. Are there any outstanding stop notices, liens, or claims by the contractor that are currently unresolved on contracts for which notices of completion have been recorded more than 120 days ago? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points).
2. On a scale of 1-10, with 10 being the best, did the contractor provide adequate personnel? (Max. 10 points)
3. On a scale of 1-10, with 10 being the best, did the contractor provide adequate supervision? (Max. 10 points)
4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)
5. On a scale of 1-10, with 10 being the best, was the contractor timely in providing reports and change order paperwork, including certified payroll, submittals and schedule updates? (Max. 10 points)
6. On a scale of 1-10, with 10 being the best, did the contractor adhere to the project schedule that your agency approved? (Max. 10 points)
7. Was the project completed on time? (10 points if the answer is "yes")

Or, if the answer is "no", on a scale of 1-10, with 10 being the best, to what extent was the contractor responsible for the delay in completion? (For example: 1 if the contractor was completely responsible or 10 if the contractor was not responsible at all)?

8. On a scale of 1-10, with 10 being the best, rate the contractor on the contractor's proactivity in identifying change order work and the contractor's timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)

9. On a scale of 1-10, with 10 being the best, rate the contractor on how well the contractor performed the work after a change order was issued and how well the contractor integrated the change order work into existing work. (Max. 10 points)
10. On a scale of 1-10, with 10 being the best, rate how the contractor performed in turning in Operations & Maintenance manuals, completing as-built drawings, providing required training and taking care of warranty items? (Max. 10 points)
11. On a scale of 1-10, with 10 being the best, rate the contractor on whether there were an unusually high number of claims or disputes (with your agency or subcontractors or vendors), given the nature of the project, or unusual difficulty in resolving them. (Max. 10 points)
12. On a scale of 1-10, with 10 being the best, rate the contractor with respect to timely payments by the Contractor to subcontractors and suppliers. (If the person being providing the reference check knows of no such difficulties, the score on this question should be 10.)
13. On a scale of 1-10, with 10 being the best, rate the contractor with respect to safety. Was shoring provided properly, were lock / out tag out procedures followed, did the contractor provide routine safety training? (Max. 10 points)
14. On a scale of 1-10, with 10 being the best, how would you rate the overall quality of the contractor's work and the contractor's ability to work cooperatively? (Max. 10 points)

END PART IV

AFFIDAVIT

We, the undersigned, _____ (name) as the authorized representatives for _____ (company) an interested contractor for the Orange County Transportation Authority's Pre-Qualified Contractors List for the OC Streetcar Project (Request for Pre-Qualification 7-1882), do hereby attest that all statements and representations made herein are true and correct to the best of our knowledge. These statements are made openly and freely without intent to influence or embellish actual conditions or circumstances that occurred. I declare under penalty of perjury under the laws of the State of California that the foregoing is correct.

We acknowledge that we have received Addendum _____ through _____.

We understand that the Authority will investigate any and all statements and representations made by us and our firm in response to Request for Pre-qualification and we freely give our permission for them to do so. Should releases be required by any of our professional, financial, or bonding institutions to release verification of the enclosed data, we have provided them. We agree to waive any claims against the Authority, its Construction Manager, Design Engineer and/or any third party designated by the Authority for the release of the information necessary to evaluate this Request for pre-qualification.

We further understand that any false statement or representations made in this application will result in disqualification of our firm as a bidder for any Project. If it is determined that these false statements or representations were purposefully made to change, hide, or obscure negative information from the Authority in an attempt to qualify under these false pretenses, the action will result in loss of eligibility for our firm to qualify for any Authority contracts for a minimum period of one (1) year and a maximum period of five (5) years from the date of discovery.

_____(Name)

_____(Signature)

_____(Title)

Attested:

Corporate Seal

_____(Name)

_____(Signature)

_____(Title)

Date _____, 2017

END OF QUESTIONNAIRE

SECTION III: SCORING AND CONTRACTOR PRE-QUALIFICATION

SECTION III. SCORING AND CONTRACTOR PRE-QUALIFICATION

The Authority will evaluate all completed Pre-qualification packages on a Pass/Fail basis and a points-based rating system. In order to be deemed pre-qualified and listed as a pre-qualified contractor for the OC Streetcar Project, a contractor must obtain a "Pass" rating on all of the criteria set forth in Part I and meet the minimum scoring requirements of the Authority for Parts II through IV. Contractors who do not obtain a "Pass" rating for all of the criteria in Part I will not be deemed pre-qualified regardless of the scores obtained in Parts II through IV.

The contract for construction of the Project will be awarded, if at all, to the responsible, prequalified contractor submitting the lowest responsive bid. Neither issuing the Notice nor any other activity related to the Pre-qualification process, obligates the Authority to award any contract for construction of the Project to a particular contractor, or at all.

The Authority reserves the right to reject any or all Pre-qualification packages and to waive any irregularities in any Request for Pre-qualification package submittal. The Authority reserves the right to determine that any contractor is not qualified at any time before or after the Pre-qualification package are received and evaluated if it finds that information provided in the response to the Request for Pre-qualification is materially inaccurate or false, or upon evidence of collusion or other illegal practices on the part of a contractor.

If any information provided by a contractor becomes inaccurate, the party who provided the information must immediately notify the Authority and provide updated accurate information in writing and under penalty of perjury.

The Authority will notify all respondents of the result of the Pre-qualification in writing.

REQUEST FOR PRE-QUALIFICATION 7-1882

A. SCORING CRITERIA

This section describes the factors that the Authority expects to consider in scoring the pre-qualification questionnaire and supporting material submitted by contractors. Pre-qualification questionnaire shall be organized and scored in the following categories:

	Evaluation Criteria	Maximum Points	Required Passing Score
Part I	Essential Requirements for Qualification	Pass	Pass
Part II	Sections B through F – History of Business and Organizational Performance	76 points	57 points
	Sections G through H Safety, Prevailing Wage and Apprenticeship	68 points	49 points
Part III	Completion of Recent Projects	Complete	Complete
Part IV	Project Experience and Reference Checks Questions	130 points (per project)	95 points (averages score of two projects)

B. SCORING PROCEDURE

A review committee will be appointed to review and score all Pre-qualification received for this Pre-qualification. The committee will comprise of Authority staff representing relevant disciplines and may include external members. The review committee will score the Pre-qualification questionnaire using a pass/fail criteria and by assigning numeric value to scorable questions identified in the questionnaire and using the scoring criteria set forth in Exhibit A. Contractors must receive a rating of “Pass” on Part I of the pre-qualification questionnaire and attain the minimum required scores as noted above for Parts II, III and IV in order to be qualified.

C. PRE-QUALIFIED CONTRACTORS

The review committee will score and develop the list of pre-qualified contractors. Only the pre-qualified Contractors will be eligible to submit bids in response to the subsequent Invitation for Bids for the OC Streetcar construction project.

The Authority may refuse to grant Pre-qualification where the requested information and materials are not provided. There is no appeal from the Authority’s decision not to prequalify a contractor due to an incomplete or late application.

D. APPEALS FOR DENIAL OF PRE-QUALIFICATION

All Contractors who submitted timely and complete Pre-qualification packages, denied qualification may request an Appeal Hearing by submitting written notice of its appeal of the decision to the Authority Contact as specified in paragraph D of this section within five (5) business days of receipt of the decision. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of the Authority whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor provides the required notice of appeal and requests an Appeal Hearing, the hearing shall be conducted to conclude no later than ten (10) business days after the receipt of the written request notice.

The hearing shall be an informal process, to be conducted by the Chief Executive Officer or designee, who is delegated responsibility to hear such appeals, "Appeals Panel." Prior to the hearing the Contractor shall be advised of the basis of the Authority's pre-qualification determination. The Contractor shall be given the opportunity to present information and reasons in opposition to its rating. The Appeal Panel shall render its decision within five (5) business days of conclusion of the hearing, and the Appeal Panel decision shall be binding and final.

E. NOTIFICATION OF PRE-QUALIFICATION DETERMINATION

Contractor who were pre-qualified in response to this Pre-qualification shall be notified in writing of their results. Such notification shall be made within three (3) business days of the date the pre-qualified contractor listing is determined.

**EXHIBIT A
SCORING INSTRUCTIONS**

The scorable questions arise in three different areas:

Part II (B)-(F)	<u>History of the business and organizational performance;</u>
Part II (G)-(H)	<u>Compliance with occupational safety and health laws, workers' compensation and other labor legislation;</u>
Part IV	<u>Reference Check Questions.</u>

PART II SCORING INSTRUCTIONS

B. Questions about History of the Business and Organizational Performance

Questions 1 through 5 are not scored.

6. How many years has the contractor's organization been in business in California as a contractor under the contractor's present business name and license number?

***0 – 3 years = 0 points
3 years or more = 2 points
4 years = 3 points
5 years = 4 points
6 years or more = 5 points***

7. Is the contractor currently the debtor in a bankruptcy case?

☐ Yes ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

"No" = 3 points "Yes" = 0 points

8. Was the contractor in bankruptcy at any time during the last five years? This question refers only to a bankruptcy action that was not described in answer to question 7, above.

☐ Yes ☐ No

If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

"No" = 3 points "Yes" = 0 points

C. Licenses

Questions 9 through 12 are not scored.

13. Has any CSLB license held by the contractor or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended or revoked within the last five years?

☐ Yes ☐ No

“No” = 5 points “Yes” = 0 points

D. Disputes

14. At any time in the last five years, has the contractor been assessed liquidated damages under a construction contract with either a public or private owner?

☐ Yes ☐ No

No projects with liquidated damages of more than \$5,000 = 5 points

Only one project with liquidated damages of more than \$5,000 = 2 points

Any other answer = 0 points

15. In the last five years has the contractor, or any firm with which any of the contractor’s company’s owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: “Associated with” refers to another construction firm in which an owner, partner or officer of the contractor held a similar position, and which is listed in response to question 1c or 1d on this form.

☐ Yes ☐ No

“No” = 5 points “Yes” = 0 points

16. In the last five years, has the contractor been denied an award of a public works contract based on a finding by a public agency that the contractor’s company was not a responsible bidder?

☐ Yes ☐ No

“No” = 5 points “Yes” = 0 points

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about “pass-through” disputes in which the actual dispute is between a subcontractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$500,000.

REQUEST FOR PRE-QUALIFICATION 7-1882

17. In the past five years, has any claim against the contractor concerning the contractor's performance of a construction project, been filed in court or arbitration?

☐ Yes ☐ No

5 points for either "No" or "Yes" indicating 1 such instance

3 points for "Yes" indicating 2 such instances

0 points for "Yes" if more than 2 such instances

18. In the past five years, has the contractor made any claim against a project owner concerning work on a project or payment for a contract, and **filed that claim in court or arbitration?**

☐ Yes ☐ No

5 points for either "No" or "Yes" indicating 1 such instance

3 points for "Yes" indicating 2 such instances

0 points for "Yes" if indicating more than 2 such instances

19. At any time during the past five years, has any surety company made any payments on the contractor's behalf, to satisfy any claims made against a performance or payment bond issued on the contractor's behalf in connection with a construction project, either public or private?

☐ Yes ☐ No

5 points for "No"

3 points for "Yes" indicating no more than 1 such claim

Subtract five points for "Yes" indicating more than 1 such claim

20. In the last five years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the contractor?

☐ Yes ☐ No

5 points for either "No" or "Yes" indicating 1 such instance

3 points for "Yes" indicating 2 such instances

0 points for "Yes" or if more than 2 such instances

E. Criminal Matters and Related Civil Suits

21. Has the contractor, or any of its owners, officers, or partners ever been found liable in a civil suit, or found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?

☐ Yes ☐ No

"No" = 5 points "Yes" = subtract 5 points

REQUEST FOR PRE-QUALIFICATION 7-1882

22. Has the contractor, or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

“No” = 5 points “Yes” = subtract 5 points

23. Has the contractor or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes ☐ No

“No” = 5 points “Yes” = subtract 5 points

F. BONDING

Question 24 is not scored.

25. State the percentage paid for performance and payment bond premiums. If the contractor was required to pay a premium of more than one percent for a performance and payment bond on any project(s) on which the contractor worked at any time during the last three years, state the percentage that the contractor was required to pay. The contractor may provide an explanation for a percentage rate higher than one percent, if the contractor wishes to do so.

_____ %

5 points if the rate is less than or equal to 1.1 percent

3 points if the rate is greater than 1.1 percent but less than or equal to 1.2 percent

0 points for any other answer

Question 26 is not scored.

27. During the last five years, has the contractor ever been denied bond coverage by a surety company, or has there ever been a period of time when the contractor had no surety bond in place during a public construction project when one was required?

☐ Yes ☐ No

“No” = 5 points “Yes” = 0 points

G. Questions about compliance with safety, workers compensation, prevailing wage and apprenticeship laws.

28. Has CAL OSHA cited and assessed penalties against the contractor for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years? Note: If you have filed an appeal of a citation and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

REQUEST FOR PRE-QUALIFICATION 7-1882

☐ Yes ☐ No

5 points for either "No" or "Yes" indicating 1 such instance

3 points for "Yes" indicating 2 such instances

0 points for "Yes" indicating more than 2 such instances

29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against the contractor in the past five years?

Note: If you have filed an appeal of a citation and the appropriate Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If yes, attach a separate signed page describing each citation.

5 points for either "No" or "Yes" indicating 1 such instance

3 points for "Yes" indicating 2 such instances

0 points for "Yes" indicating more than 2 such instances

30. As a result of the contractor's company's actions or inactions, has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the contractor or the owner of a project on which the contractor was the contractor, in the past five years?

Note: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or there is a court appeal pending you need not include information about the citation.

☐ Yes ☐ No

5 points for either "No" or "Yes" indicating 1 such instance

3 points for "Yes" indicating 2 such instances

0 points for "Yes" indicating more than 2 such instances

31. How often does the contractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project? _____

3 points for an answer of once each week or more often

0 points for any other answer

32. Experience Modification Rate (EMR): Please obtain a letter from the contractor's insurance carrier (or state fund if applicable) with the contractor's interstate EMR's for the Year 2016 (if applicable), Year 2015, Year 2014 and Year 2013. If the contractor does not have an interstate rating, obtain the contractor's intrastate EMR's. Attach the letter as part of this package. The contractor shall list the

REQUEST FOR PRE-QUALIFICATION 7-1882

experience Modification Rate (available from the contractor's insurance carrier) below.

<u>Year</u>	<u>EMR</u>
2016	_____
2015	_____
2014	_____
Three Year Average	= _____

Are the above rates interstate or intrastate? _____

NOTE: Any of the following methods of “obtaining a letter” are acceptable:

- (1) Furnish a letter from the contractor's insurance agent, insurance carrier or state fund (on their letterhead) verifying the EMR data listed above; or
- (2) Furnish a photocopy of the applicable Experience Rating Calculation Sheets, which the contractor's insurance carrier should forward to the contractor annually.

5 points for three-year average EMR of .95 or less

3 points for three-year average of EMR of more than .95 but no more than 1.00

0 points for any other EMR

33. Within the last five years has there ever been a period when the contractor had employees but was without workers' compensation insurance or state-approved self-insurance?

☐ Yes ☐ No

If “yes,” please explain the reason for the absence of workers' compensation insurance on a separate signed page. If “no,” please provide a statement by the contractor's current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If the contractor has been in the construction business for less than five years, provide a statement by the contractor's workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that the contractor has been in the construction business.)

5 points for either “No” or “Yes” indicating 1 such instance

0 points for any other answer

34. Incident Rates: Provide a copy of Contractor incident rates for the past 4 years (2013 – 2016), segregating OSHA Recordable injuries/illnesses and days away from work (lost time) injuries/illnesses.

REQUEST FOR PRE-QUALIFICATION 7-1882

<u>Year</u>	<u>OSHA</u> <u>Recordable Rate</u>	<u>Days Away / Lost</u> <u>Time Rate</u>
2016		
2015		
2014		
Three Year Average		

5 points for three-year average Incident Rate of or less
3 points for three-year average Incident Rate of of more than but no more
than
0 points for any other EMR

35. Fatal Injuries/Illnesses: During the past 5 years, has the Contractor experienced an employee or sub-tier contractor fatality on a project controlled by the Contractor?

5 points for no fatal injuries/illnesses in the past 5 years
0 points for any fatal injuries/illnesses in the past 5 years

If "yes", attach a separate signed page describing each fatality

36. Does the Contractor have all the regulatory required health, safety and environmental compliance written policies/plans in accordance with all State and Federal OSHA and EPA agencies.

☐ Yes ☐ No

5 points for having all the written policies/plans
0 points for not having all the written policies/plans

If "no", please describe the deficiencies and provide information on how the Contractor will obtain compliance prior to contract award and/or Notice to Proceed (NTP).

H. Prevailing Wage and Apprenticeship Compliance Record

37. Has there been more than one occasion during the last five years on which the contractor was required to pay either back wages or penalties for the contractor's own firm's failure to comply with the **state's** prevailing wage laws?

☐ Yes ☐ No

NOTE: This question refers only to the contractor's own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

5 points for either "No," or "Yes" indicating either 1 or 2 such instances

3 points for "Yes" indicating 3 such instances

0 points for "Yes" indicating more than 3 such instances

38. During the last five years, has there been more than one occasion on which the contractor's own firm has been penalized or required to pay back wages for failure to comply with the **federal** Davis-Bacon prevailing wage requirements?

☐ Yes ☐ No

5 points for either "No," or "Yes" indicating either 1 or 2 such instances

3 points for "Yes" indicating 3 such instances

0 points for "Yes" indicating more than 3 such instances

39. Provide the name, address, and telephone number of the apprenticeship program sponsor(s) (approved by the California Division of Apprenticeship Standards) that will provide apprentices to your company for use on any public works project for which you are awarded a contract by The Authority.

5 points if at least one approved apprenticeship program is listed

0 points for any other answer.

40. If your firm operates its own State-approved apprenticeship program:
- a. Identify the craft or crafts in which your firm provided apprenticeship training in the past year.
 - b. State the year in which each apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
 - c. State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

5 points if one or more persons completed an apprenticeship while employed by your firm.

0 points if no persons completed an approved apprenticeship while employed by your firm.

41. At any time during the last five years, has the contractor been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

REQUEST FOR PRE-QUALIFICATION 7-1882

Note: You may omit reference to any incident that occurred prior to January 1, 1998 if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

☐ Yes ☐ No

If yes, provide the date(s) of such findings, and attach copies of the Department's final decision(s).

5 points for either "No," or "Yes" indicating either 1 or 2 such instances

3 points for "Yes" indicating 3 such instances

0 points for "Yes" indicating more than 3 such instances

PART IV SCORING WORKSHEET

Question	Score
1. Are there any outstanding stop notices, liens, or claims by the contractor that are currently unresolved on contracts for which notices of completion have been recorded? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points)	_____
2. On a scale of 1-10, with 10 being the best, did the contractor provide adequate personnel? (Max. 10 points)	_____
3. On a scale of 1-10, with 10 being the best, did the contractor provide adequate supervision? (Max. 10 points)	_____
4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)	_____
5. On a scale of 1-10, with 10 being the best, was the contractor timely in providing reports and other paperwork, including certified payroll, submittals and schedule updates? (Max. 10 points)	_____
6. On a scale of 1-10, with 10 being the best, did the contractor adhere to the project schedule that your agency approved? (Max. 10 points)	_____
7. Was the project completed on time? (10 points if the answer is "yes") Or, if the answer is "no", on a scale of 1-10, with 10 being the best, to what extent was the contractor responsible for the delay in completion? (For example: 1 if the contractor was completely responsible or 10 if the contractor was not responsible at all)?	_____
8. On a scale of 1-10, with 10 being the best, rate the contractor on the contractor's proactivity in identifying change order work and the contractor's timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)	_____
9. On a scale of 1-10, with 10 being the best, rate the contractor on how well the contractor performed the work after a change order was issued and how well the contractor integrated the change order work into existing work. (Max. 10 points)	_____

REQUEST FOR PRE-QUALIFICATION 7-1882

10. On a scale of 1-10, with 10 being the best, rate how the contractor performed in turning in Operations & Maintenance manuals, completing as-built drawings, providing required training and taking care of warranty items? (Max. 10 points) _____
11. On a scale of 1-10, with 10 being the best, rate the contractor on whether there were an unusually high number of claims or disputes (with your agency or subcontractors or vendors), given the nature of the project, or unusual difficulty in resolving them. (Max. 10 points) _____
12. On a scale of 1-10, with 10 being the best, rate the contractor with respect to timely payments by the Contractor to subcontractors and suppliers. (If the person being providing the reference check knows of no such difficulties, the score on this question should be 10.) _____
13. On a scale of 1-10, with 10 being the best, rate the contractor with respect to safety. Was shoring provided properly, were lock / out tag out procedures followed, did the contractor provide routine safety training? (Max. 10 points) _____
14. On a scale of 1-10, with 10 being the best, how would you rate the overall quality of the contractor's work and the contractor's ability to work cooperatively? (Max. 10 points) _____
- Total _____

ORANGE COUNTY TRANSPORTATION AUTHORITY
PRE-QUALIFICATION OF CONTRACTORS FOR THE OC STREETCAR
PRE-QUALIFICATION EVALUATION

Contractor Name: _____

	Evaluation Criteria	Maximum Points Available	Required Score	Actual Score
Part I:	Essential Requirements	Pass	Pass	Pass / Fail (circle one)
Part II:	B - F History of Business and Organizational Performance	76 points	57 points	
	G - H Safety, Prevailing Wage and Apprenticeship	68 points	49 points	
Part III	Completion of Recent Projects and Quality of Performance	Complete	Complete	
Part IV	Project Experience & Reference Check Questions	130 points (per project)	95 points (average of two projects)	

Approve the Use of Contractor Pre-Qualification and the Release of the Request for Pre-Qualification for the OC Streetcar Construction Project

What is Contractor Pre-Qualification?

Pre-qualification is a preliminary stage in the bidding process where it is determined if contractors have the required experience, financial capacity, and resources to complete the project.

Legal Authority for Contractor Pre-Qualification

- The California Public Contract Code Section 20101 provides for public agencies to use a contractor pre-qualification. The code requires the use of a standardized questionnaire, uniform rating of contractors, and an appeals procedure by which a contractor denied pre-qualification can seek a hearing.
- The Federal Transit Administration Circular 4220.1F also permits the two-step procurement of qualifying potential bidders.

Why Use Pre-Qualification For OC Streetcar?

- The Project has multiple areas of highly specialized work that can benefit from the use of pre-qualified contractors
 - Track installation
 - Overhead electric power supply installation
 - Santa Ana River Bridge construction
 - Shelter canopy fabrication/installation
- Pre-qualifying construction contractors
 - Minimizes risks to cost and schedule
 - Brings in responsible contractors with core expertise
 - Reduces administrative burden to the owner
 - Provides for better performance and higher quality of work

How Will Pre-Qualification Work?

- Contractors complete and submit a questionnaire
- Questionnaire is scored using a uniform system of rating
- Contractors must meet a combination of pass/fail criteria or a minimum score threshold for each part of the questionnaire
- Contractors deemed not qualified can appeal and receive a hearing

Scoring the Questionnaire

- The questionnaire is divided into four categories and will be scored as follows:

	Evaluation Criteria	Maximum Points	Required Passing Score
Part I	Essential Requirements for Qualification	Pass	Pass
Part II	Section 1: History of Business and Organizational Performance	76 points	57 points
	Section 2: Safety, Prevailing Wage, and Apprenticeship	68 points	49 points
Part III	Listing of Project Experience	Complete	Complete
Part IV	Reference Checks	130 points per project	95 points (average score of two projects)

Scoring

- Contractors must receive a rating set forth in Part I and III of the pre-qualification questionnaire and attain the minimum required scores as noted above for Parts II and IV in order to be qualified.
- Only those contractors that are deemed qualified will be allowed to participate in the construction invitation for bids (IFB) and submit construction bids.

Next Steps

- August 2017: Board of Directors (Board) authorizes the use of pre-qualification and the release of request for pre-qualification for the project
- October 2017: Planned Board approval to release the construction IFB for the project
- April 2018: Board approval to award agreement
- July 2018: OCTA issues Notice to Proceed for construction



August 10, 2017

To: Transit Committee

From: Darrell Johnson, Chief Executive Officer 

Subject: Low Carbon Transit Operations Program College Student Pass Pilot Program Update

Overview

On February 13, 2017, the Orange County Transportation Authority Board of Directors approved the use of state Cap-and-Trade Low Carbon Transit Operations Program funding for a fare adjustment program that would target ridership growth which may include colleges and universities.

Recommendation

Approve the use of fiscal year 2016-17 Low Carbon Transit Operations Program funds of \$900,000 for a three-year pilot pass program with Rancho Santiago Community College District.

Background

OC Bus 360°, the Orange County Transportation Authority's (OCTA) comprehensive plan to improve bus service and increase ridership, identifies college students as a key audience for ridership growth. According to OCTA's bus customer satisfaction surveys, work and school are the top trip purposes for bus riders. OCTA has been working with area colleges to encourage transit ridership through pass sales and cross-promotions. In addition, to support the OC Bus 360° initiative and further develop the ridership potential in the college market, OCTA reached out to various colleges throughout the county to seek partnerships which could include a potential new pass program that would allow every student access bus services with a valid student ID.

Transit agencies throughout the country have successfully implemented similar student pass programs. The Riverside Transit Agency implemented a two-year pilot pass program that provided free rides to students in the Riverside Community College District (District). After the free-ride period ended, students voted to financially participate through a cost share arrangement to continue the

program for an additional five years. Overall, this program helped significantly increase the student usage of transit and was recently extended for an additional four years.

Discussion

On February 13, 2017, as part of the funding recommendations for Low Carbon Transit Operations Program (LCTOP) through California's Cap and Trade Program, the Board of Directors approved using a portion (\$0.9 million) of fiscal year 2016-17 LCTOP funds for fare adjustment programs that target ridership growth, which may include colleges and universities. LCTOP provides funds to transit agencies to reduce greenhouse gas emissions and improve mobility, with a focus on providing benefits to disadvantaged communities.

In order to utilize the approved LCTOP funds, OCTA identified colleges that may meet the funding eligibility requirements to include disadvantaged communities. Within the District, Santa Ana College (SAC) showed the most interest in establishing a new pass program to support the College's priorities of managing parking demand and providing affordable public transportation for more students. SAC is located in a high transit-demand area and its students meet the disadvantaged community demographic requirements for LCTOP recipients and is served by several bus routes in OCTA's core service area.

The SAC student government initiated a student transportation fee as part of its annual Associated Student election ballot. OCTA, based on this proposal, suggested a new three-year pilot pass program to allow every full and part-time student from SAC to ride OCTA's fixed-route bus service with a valid student ID. The three-year pilot program would include the first year of ridership paid by LCTOP funds, with the second and third year paid for by the student transportation fee. In May 2017, SAC students voted and passed the per-semester student transportation fee for all students funding the program from fall 2018 through summer 2020. After its passage, OCTA and SAC administrative staff reviewed key program implementation requirements including student IDs' interoperability on OCTA's farebox system and finalized additional logistics.

While developing the SAC student pass program, the Continuing Education Division within the District, expressed interest in extending the student pass program to include its continuing education students. Continuing education students who are enrolled with a minimum of 12 weekly hours of adult education would be eligible for the program.

The proposed extension, to be included as part of the three-year pilot pass program would allow continuing education students to participate during the first academic year (fall 2017 to summer 2018). For the second and third years, the District will pay per-student transportation costs for each eligible continuing education student. OCTA's participation in this additional program is contingent upon state authorization amending the inclusion of continuing education students.

The student pass program for the District presents an opportunity to grow the student market and future public transit riders in the core of Orange County. Staff will regularly report back on the results of the program. Collaborative promotion of the student pass programs will start with the fall semester of 2017, pending agreement approval from the Rancho Santiago Community College District Board of Trustees.

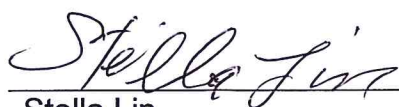
Summary

To increase bus ridership among college students, OCTA has established a pilot pass program for students within the Rancho Santiago Community College District. The LCTOP and college-funded program is expected to provide a cost-effective daily transportation alternative for students as they travel throughout Orange County, help improve school accessibility, and build transit ridership.

Attachment

None.

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Low Carbon Transit Operations Program College Student Pass Pilot Program Update



- **Target college students for ridership growth**
 - Utilize Board of Directors-approved Low Carbon Transit Operations Program (“Cap & Trade” LCTOP) grant
 - Support OC Bus 360 initiative
 - Strengthen partnership with Santa Ana College
- **Benefits for Students & Schools**
 - Reduce traffic congestion & parking demand/overflow
 - Improve access to education for students
 - Enhance sustainability goals
- **Benefits for Orange County Transportation Authority (OCTA)**
 - Increase ridership and market share
 - Introduce younger generation to riding transit
 - Optimize existing service capacity



- A three-year pilot program (Fall 2017 – Summer 2020)
- Every student can ride with a student ID on all OCTA local routes
- Ridership for the first year paid by “Cap & Trade” LCTOP
- Students voted and passed the student transportation fees to pay for two additional academic years (Fall 2018 – Summer 2020)
- Fees are assessed based on cost-sharing approach; shared transportation cost for all students



Continuing Education Students (Santa Ana and Rancho Santiago Canyon Colleges)

- Any student enrolled with a minimum of 12 weekly hours of adult education (20,000 students)
- A three-year pilot program
- Ridership from the first year paid by “Cap & Trade” LCTOP
- The District will pay for the 2nd and 3rd years
- Pending state authorization



- Rancho Santiago Community College District Board of Trustees approves agreements August 14, 2017
- Confirm state approval of LCTOP funds for continuing education program
- Develop and implement marketing and outreach program
- Conduct a kick-off media event
- Implement pass program August 28, 2017