



Request for Proposals

for Technical Services for San Francisco Freeway Network Management Study

Date Issued	Proposals Due	Expected Duration	Budget	DBE Goal	Contact
August 26, 2024	September 27, 2024 2:00 p.m. (electronically)	Two years	\$1,103,000	11%	Ron Leong Management Analyst 415.522.4817 ronald.leong@sfcta.org

SECTION I – NOTICE

Notice is hereby given that the San Francisco County Transportation Authority (Transportation Authority) is requesting proposals from qualified proposers to provide technical services for the San Francisco Freeway Network Management Study (Project).

Pre-Proposal Conference. A pre-proposal conference will be held on September 5, 2024 at 10:00 a.m. via conference call. Although attendance at the pre-proposal conference is not mandatory, the Transportation Authority encourages all prospective proposers and prospective subconsultants to attend this conference. See the schedule in Section II for the conference date and time. Attendees are requested to confirm attendance by completing the online registration form at Zoom Registration [here](#) by 5:00 p.m. on September 4, 2024.

Questions. Questions may be submitted in writing by the stated deadline in Section II by e-mail to info@sfcta.org; please include "RFP 24/25-02 - Technical Services for SF Freeway Network Management Study" in the subject line. The Transportation Authority's responses will be posted to www.sfcta.org/contracting by the date indicated in the schedule, and any addenda to the RFP will also be made available on that webpage prior to the proposal due date. Please see Section II for all important dates and deadlines.

SECTION II – SELECTION PROCESS SCHEDULE

Date	Phase/Item Due
August 26, 2024	Release of RFP
September 4, 2024 5:00 p.m.	Pre-Proposal conference attendee requested to submit registration: Zoom Registration
September 5, 2024 10:00 a.m.	Pre-Proposal Conference



September 6, 2024 5:00 p.m.	Deadline for proposers to submit written questions to Transportation Authority
September 11, 2024*	Transportation Authority issues written responses to questions
September 27, 2024 2:00 p.m.	Responses to RFP and sealed/separate cost proposals due electronically. Late submissions will not be accepted.
October 3, 2024*	Invitation(s) to interview issued to short list of proposers* (if necessary)
October 9-11, 2024*	Interviews* (scheduled if necessary)
October 23, 2024*	The selection committee's recommendation to Community Advisory Committee for award
November 5, 2024*	Recommendation to Transportation Authority Board for award
November 19, 2024*	Transportation Authority Board awards contract

* Subject to change

SECTION III – PROJECT BACKGROUND AND PURPOSE

Project Background and Purpose

The San Francisco Freeway Network Management Study (Project) responds to Transportation Authority Board feedback to reconsider pricing as a tool to improve the overall efficiency of the city's freeway network and reduce vehicle miles traveled within San Francisco. This study will take a comprehensive look at San Francisco's Freeway Network (US-101, I-280, I-80, and Central Freeway) and use new travel data to understand where a managed lane program will best support transportation goals, including a reduction in vehicle miles traveled. The Project will result in designs and financial and operational analysis for a set of managed lane alternatives on freeway segments in San Francisco, as well as program alternatives to increase transportation options, reduce transportation barriers, and ensure affordability for travelers.

Previous Managed Lanes Work

This Project builds on previous efforts to analyze and implement managed lanes options on segments of US-101 and I-280 in San Francisco.

In November 2018, the Transportation Authority completed the Freeway Corridor Management Study (FCMS) Phase 2 which included analysis of four managed lanes options:

1. No Build: The configuration of freeways remains as it is today.
2. HOV2+: High Occupancy Vehicle (HOV) (carpool) with a two-person minimum requirement.
3. HOV3+: HOV (carpool) with a three-person minimum requirement.



4. HOT3+: High Occupancy Toll (HOT) / Express Lane (paid) with a three-person minimum carpool requirement.

A recommendation of the FCMS was to further study equity impacts of managed lanes and develop programs to address the impacts.

Following the FCMS, the Transportation Authority began the 101/280 Express Lanes and Bus Project "Project Study Report" (PSR) process with Caltrans, which focused on implementation of the HOT3+ option. The PSR identified alternatives to implement the HOT3+ option but did not provide a recommendation. Caltrans approved the PSR in October 2019, and project work was anticipated to move into the environmental clearance (Project Approval & Environmental Document) phase in 2021. During this time, the Transportation Authority conducted pre-environmental scoping work for both the HOT3+ option studied in the PSR, and the HOV3+ lane option, as part of a comprehensive program package.

In November 2019, the Transportation Authority Board appropriated Prop K Sales Tax funds to partially fund the Project Approval & Environmental Document phase for 101/280 Express Lanes and Bus Project which would have delivered Draft Environmental Documents for the implementation of managed lanes along the US-101/I-280 corridor from San Mateo County to 5th and King streets in downtown San Francisco. In November 2020, Transportation Authority staff removed the consideration of an express lane option from the scope based on feedback from the Transportation Authority Board. In February 2021, the Transportation Authority reduced the study scope which limited and paused the environmental and engineering work for all alternatives in the southbound direction of travel (in addition to the prior removal of any express lane alternatives from analysis).

In a parallel effort, San Mateo County has been working to implement the US-101 Mobility Action Plan MAP which was completed in Spring 2021 and identifies near-term policies, programs, and technological solutions to address impacts of their managed lanes project.

In 2022, Transportation Authority staff began traffic and other environmental analyses for the northbound direction of travel. In November 2023, the Transportation Authority initiated a round of outreach for the Northbound I-280 Transit and Carpool Lane Study. This work focused on two main transit/carpool lane design options under consideration for the relatively short segment (<1 mile) at the northern terminus of I-280N from the 18th Street overcrossing to King/5th Streets:

- Option 1: I-280N Left-Side Traffic Lane Conversion - Changing the existing (left side) #1 general purpose lane to transit/carpool use only, with #2 (right side) lane remaining a general purpose lane
- Option 2: I-280N Shoulder Conversion - Changing the existing left side freeway shoulder to transit/carpool lane use via striping (not physical widening of the roadway), leaving the #1 and #2 freeway traffic lanes for general purpose traffic use.

The scope also considered the possibility of extending either of the above configurations onto King Street to further prioritize public transit and carpools as they continue on local streets.



Some issues that community members raised during outreach meetings included:

- The potential to increase delay to general (non HOV) traffic on the freeway (with long queues resulting from Option 1: Left Side Traffic Lane Conversion)
- The potential to generate more traffic (increased vehicle trips and vehicle miles of travel) in the area or cause traffic to divert to other exits (e.g. 6th Street) or surface street routes
- The potential impacts of the project (negative and positive) on pedestrian safety and neighborhood livability
- The challenge of enforcing transit/carpool lane violations
- The benefits to transit riders and carpools and potential to attract new riders/carpoolers resulting in moving people more efficiently through the corridor.

At the March 29, 2023 meeting of the Transportation Authority Board, Transportation Authority staff presented an informational update on Express Lanes in the Bay Area. At that meeting, Board members Chair Mandelman, Vice Chair Melgar, and Commissioner Peskin requested that staff develop a proposed scope of work for considering a priced managed lane in further evaluation of the design of freeways through/ within San Francisco.

This Project responds to that Board feedback; to community outreach feedback; and advances the ConnectSF Streets and Freeways Strategy and SFTP 2050, which both recognizes the need for managed lanes on the San Francisco Freeway Network, and supports the regional effort around Managed Lanes by filling a gap in the managed lane network between San Mateo County and the East Bay. This Project will look at the entire freeway network in San Francisco and identify where single- and all-lane pricing options are expected to bring benefits that support long-term transportation goals, without increasing freeway capacity and/or the physical footprint of the freeway infrastructure. This Project will also develop program alternatives (e.g., public transit changes, Transportation Demand Management (TDM) strategies, etc.) to increase transportation options, reduce transportation barriers, and ensure affordability along managed lane corridors. The Project will result in designs and financial and operational analysis for a small set of managed lane segments to be advanced into detailed design and implementation in San Francisco.

SECTION IV – SCOPE OF SERVICES

The Transportation Authority seeks consultant services to support the Project, which will:

- Conduct a high-level screening to identify priority managed lane segments for future study;
- Complete existing conditions analysis of the freeway mainline, ramps, and adjacent corridors;
- Develop managed lane concepts combining physical design with program alternatives to increase transportation options, reduce transportation barriers, and ensure affordability along managed lane segments; and
- Identify up to two preferred managed lane segments and associated programmatic elements for future study.



The Transportation Authority has budgeted \$1,103,000 for this contract for two years of service, including optional tasks. Please note this is a ceiling and not a target. It is anticipated that a contract will be awarded for a two-year term.

The Transportation Authority does not have office space available for this contract. All work shall take place at the consultant offices. Proposers should be prepared to mobilize within 48 hours following contract negotiations and contract award by the Transportation Authority Board.

The Transportation Authority reserves the right to modify the final scope and budget following contract award. Specific tasks include: 1) Project Management; 2) Managed Lane Segment Screening; 3) Purpose Statement and Goals; 4) Existing Conditions Analysis; 5) Analysis; 6) Community and Stakeholder Outreach; 7) Technical Advisory Committee; and 8) Draft and Final Plan

The tasks and estimated project milestone schedule are detailed below:

Estimated Project Milestone Schedule

Task	Completion
Task 1: Project management	Ongoing (Fall 2024 - Fall 2026)
Task 2: Managed lane segment screening	Spring 2025
Task 3: Purpose statement and goals * Includes round 1 of outreach	Summer 2025
Task 4: Existing conditions analysis	Spring 2025
Task 5: Analysis *Includes rounds 2 and 3 of outreach	Winter 2025 - Winter 2026
Task 6: Community and stakeholder outreach	Ongoing (Spring 2025 - Spring 2026)
Task 7: Technical Advisory Committee	Ongoing (Spring 2025 - Fall 2026)
Task 8: Draft and Final Plan	Spring 2026 - Spring 2027

The Project will be completed in two phases. Phase 1 of this Project includes Tasks 2 and 3 below: an overall scan of the freeway network, identification of priority segments for further study, and development of a purpose statement and goals. This phase is expected to take approximately 8 months and findings will be presented to the Transportation Authority Board for review and direction before proceeding with Phase 2, which includes the remaining tasks.

Project Tasks

Task 1: Project management

A dedicated project manager from the consultant, identified in the proposal, will be the single point of contact for the project and available to Transportation Authority for coordination.



The consultant will perform project management responsibilities throughout the project timeline, including leading project meetings, submitting monthly invoices and progress reports, and developing a revised work plan.

Task 1a: Project meetings

The consultant will prepare and conduct a project kick-off meeting and lead bi-weekly project team meetings. The consultant will be responsible for creating and distributing the agenda and sending out notes and action items after meetings.

Task 1b: On-going project management

The consultant will work with Transportation Authority staff to develop a revised work plan, including a refined scope, schedule, and budget. The consultant will maintain the work plan throughout the project as needed. The consultant is responsible for communicating any budgetary or scheduling issues to the project team as they are identified. Similarly, the consultant will communicate if a task request is outside of the original work plan scope.

The consultant will develop and maintain a risk and mitigations matrix to serve as a living document to determine risk levels throughout the Project.

Deliverables:

1. *Kick-off meeting agenda, materials, and notes*
2. *Bi-weekly project meeting agenda, materials, and notes*
3. *Project reporting and invoices by task*
4. *Revised work plan, including refined scope, schedule, and budget*
5. *Risk and mitigation matrix*

Task 2: Managed Lane segment screening

In this task, the consultant will support the Transportation Authority in conducting an initial feasibility assessment of implementing managed lanes on the freeway network in San Francisco. This task includes identifying potential individual or combinations of managed lane segments (i.e., the four segments of 101 and 280 north and south of the Alemany Interchange; I-80; and Central Freeway), defining segment alternatives that use a combination of occupancy and pricing freeway management strategies; documenting the design and operational feasibility of managed lanes on specific freeway segments and/or combinations of segments, developing evaluation criteria, and selecting up to five segments for further study in following tasks. We anticipate that managed lane segments considered will include HOV lanes; single-lane pricing alternatives; and all-lane pricing alternatives.

A working group will be established during this task composed of community representatives and Transportation Authority Community Advisory Committee (CAC) members; the group will convene up to 3 times during this task to advise the project team on the analysis process, findings, and ultimate selection of segments for further study.



Subtask 2a: Feasibility screening for potential managed lane segments

The consultant will review existing striping and freeway design, available data, and prior phases of work to identify which freeway segments can support a physical design for managed lanes that does not require increasing capacity and/or the physical footprint of the freeway infrastructure. As part of this subtask, the consultant will obtain drawings, striping plans, and other relevant documents from Caltrans or other agencies to conduct the initial screening for freeway segments that can support managed lanes. The consultant will identify areas of the freeway network that present challenges to creating a continuous managed lane and that will need a detailed review to determine feasibility. For these locations, sketch-level drawings will be prepared to document the challenges and/or feasibility of creating continuous managed lanes. As needed, the consultant will also document infrastructure changes that would be required to implement single- or all-lane pricing designs.

In parallel, Transportation Authority staff will conduct travel modeling for the freeway network in San Francisco to evaluate impacts of different managed lane scenarios. The consultant will assist with finalizing scenarios to be considered in travel modeling, including identifying the opening and future years for analysis, providing geometric design and pricing structure alternatives, and assumptions for transit service on managed lane segments. The consultant will work with Transportation Authority staff to define travel model performance measure outputs.

The consultant will document the findings from this subtask in a memo detailing which segments can and cannot support managed lanes, reasons why managed lanes is/is not feasible, and changes required for feasible design/operation.

Subtask 2b: Priority segment selection

To select priority segments for further study, the consultant will develop evaluation criteria (e.g., vehicle miles traveled, travel time, etc.), based on the study goals (see Task 3) and San Francisco's transportation goals, to assess findings from feasibility design and operational screening. These evaluation criteria will also be used in later tasks. The technical work outlined in Subtask 2a will be used to evaluate segments against these criteria and select up to five priority segments for further design and study.

The deliverable for this subtask is a Priority Segment Selection Memo documenting the design and operational feasibility findings, evaluation criteria, and segment selection process and findings.

Deliverables:

- 1. Sketch-level drawings to demonstrate feasibility of managed lanes on freeway segments*
- 2. Draft and final Priority Segment Selection memo*
- 3. Attendance and support at up to three working group meetings*

Task 3: Purpose statement and goals



The consultant will develop a purpose statement, project goals, and objectives to guide the screening process, concept/program development, and evaluation, drawing on existing plans including ConnectSF, San Francisco Transportation Plan (SFTP) 2050, Streets and Freeways Study, the Climate Action Plan, and the 101 Mobility Action Plan, and any other relevant plans or past studies.

This task will be primarily developed as part of Phase 1 of the project. However, round 1 of outreach will confirm the goals with the public, and slight revisions may be required (see Task 5 for more detail on outreach tasks).

The consultant will refine the purpose statement, project goals, and objectives, considering input from the Technical Advisory Committee (TAC) and feedback from round 1 of outreach (see Task 5).

Deliverable:

1. *Draft and final memo documenting purpose statement, project goals, and objectives*

Task 4: Existing conditions analysis

In this task, the consultant will finalize evaluation metrics and criteria and summarize existing conditions data collection and analysis in an existing conditions report.

Subtask 4a: Finalize evaluation metrics and criteria

The consultant will finalize evaluation metrics and criteria building off of criteria identified in Task 2b and the study purpose statement and goals in Task 3. Evaluation metrics and criteria may also build off of the 101/280 Managed Lane Project 1, Streets and Freeways Strategy Analysis, other studies, and projects (e.g., SFTP 2050) and input from the TAC.

Subtask 4b: Data analysis and existing conditions

Transportation Authority staff will use updated household travel survey diary data to create traveler profiles for all freeway segments in the San Francisco freeway network. The consultant will support analysis by collecting and analyzing traffic counts on ramps, freeway mainline, and freeway adjacent corridors for all freeway segments. INRIX-based visualizations of low-speed segments will be used to provide information on queueing at ramps. The consultant will summarize data for Transportation Authority staff to validate travel model outputs and INRIX data.

In this subtask, the consultant will also analyze and produce relevant graphics of crash data, greenhouse gas and other emissions/pollutant data, and other data on freeway mainline and adjacent corridors. To support the existing conditions analysis, the consultant may also analyze data from "big data" sources (e.g., Streetlight, Replica) to conduct origin-destination analysis and pre/post pandemic travel pattern analysis. In the proposal, the consultant should also note any relevant experience in calculating greenhouse gas and other emission and pollutant exposure and propose other recommended data to complete this task.



Subtask 4c: Draft existing conditions report

The consultant, with support from the Transportation Authority, will prepare an existing-conditions report to document findings from the analysis. The existing-conditions report will include traveler profiles, findings from data collection and analysis, and an appendix to document the data sources and analysis process. The existing conditions will also integrate the screening and priority segment selection findings from Task 2.

Deliverables:

1. *Draft and final evaluation metrics and criteria*
2. *Data collection and analysis*
3. *Draft and final existing conditions report*

Task 5: Analysis

The analysis task will include the development and evaluation of concepts.

Subtask 5a: Geometric Design / 5% Engineering Drawings

The consultant will develop 5% designs for the up to 5 segments selected in Task 2. These drawings should be reader-friendly, as a version of drawings will be used during round 2 of public outreach. The consultant will also conduct a preliminary financial and operational analysis to provide system and operational elements to share the overall cost/revenue estimate for each alternative.

The consultant will prepare concept fact sheets summarizing key features, benefits, trade-offs, constraints, and risks of each design. The conceptual drawings, preliminary cost estimates, and fact sheets will be used to inform outreach materials for round 2 of outreach (see Task 6 for more details).

Deliverables:

1. *Reader-friendly conceptual drawings for up to 5 alternatives*
2. *Concept fact sheets for up to 5 alternatives*
3. *Planning-level cost and revenue estimates for up to 5 alternatives*
4. *Draft and final memo summarizing design alternatives*

Subtask 5b: Program Alternatives

In this subtask, the consultant will develop program alternatives to increase transportation options, reduce transportation barriers, and ensure affordability along managed lane segments. Program alternatives will be tied to managed lane segments and presented to the public during round 2 of outreach (see Task 6 for more details). Program alternatives should vary in cost and scope to align with changes in revenue projections and overall project costs, with a goal to have toll revenues cover costs of the recommended programs.



Subtask 5b.1: Develop program alternatives

The consultant will develop five sets of complementary programs that support goals such as mode shift, barrier reduction, and ensure affordability along managed lane corridors. These programs should include low- and high-cost options and include examples from TDM strategies and policies, equity and affordability programs, public transit improvements, and other appropriate programs. The consultant should prepare high-level planning, implementation, and operating costs for each program alternative.

Subtask 5b.2: Pair program alternatives with managed lane segments

Using the program alternatives developed in Subtask 5b.1, the consultant will identify which program alternatives will be most effective for each of the up to five managed lane segments selected in Task 2. The consultant will document reasons for pairing program alternatives with managed lane segments in a memo. This memo should also include an overview of each program alternative's features, costs, and considerations for implementation and operation. The consultant will also prepare a public-facing overview of program alternatives and managed lane segments, including key features, benefits, trade-offs, constraints, risks, and costs of both program alternatives and managed lanes, to be used in public outreach round 2 (see Task 6 for more information).

Deliverables:

- 1. Draft and final memo describing up to five program alternatives and processes for pairing program alternatives and managed lane segments*
- 2. Public-facing overview of managed lane concepts (i.e., program alternatives and managed lane segments)*

Subtask 5c: Alternatives Evaluation

In this task, the consultant will refine the definition of the priority managed lane alternatives and evaluate the managed lane alternatives against project goals, metrics, and evaluation criteria; and use input from public outreach and the TAC to select up to two segments for further study.

Subtask 5c.1: Develop evaluation framework

This task builds on the metrics used in Task 2, evaluation criteria identified in Task 4, and feedback from round 1 of public outreach. The consultant will refine evaluation criteria and develop an evaluation framework that can be used to compare managed lane alternatives against each other and against project goals and objectives defined in Task 3. The consultant will document the evaluation framework in a memo.



Subtask 5c.2: Select three segments

The consultant will use the evaluation framework to evaluate how each of the up to five managed lane alternative design concepts (managed lane segment plus associated program alternatives) performs in relation to the program goals and objectives defined in Task 3. Using feedback from round 2 of public outreach and feedback from the TAC, the consultant will work with Transportation Authority staff to refine the definition of the managed lane alternatives and select three segments to bring to round 3 of public outreach. The evaluation process and outcome will be summarized in a memo. The consultant will also prepare a summary of the evaluation process and outcome to support round 3 of public outreach.

Deliverables:

1. *Draft and final memo of evaluation framework, process, and outcomes*
2. *Selection of 3 managed lanes alternatives and programmatic elements*
3. *Summary of evaluation process and outcome for outreach round 3*

Task 6: Community and stakeholder outreach

In this task, the consultant will develop an outreach plan and lead stakeholder and community outreach.

Subtask 6a: Develop outreach plan

The consultant will work with Transportation Authority staff to develop an outreach plan that outlines how the project team will engage with the public to select the ultimate recommendation for a managed lane program. The outreach plan will define goals of each outreach round, key messaging, outreach methods, timeline of outreach activities, materials required to support outreach activities, and roles and responsibilities of Transportation Authority and consultant staff. The outreach plan will also identify community groups to engage in the outreach process.

Subtask 6b: Outreach activities and materials

This study includes three rounds of outreach. For each round of outreach, the consultant will coordinate and implement outreach activities and develop supporting materials per the outreach plan developed in Subtask 6a. The consultant will also be responsible for managing promotion via local newspapers and social media, providing translation, attending/staffing outreach events, and preparing outreach summaries. Outreach activities may include but are not limited to: listening sessions and meetings with community groups, public events (e.g., open houses, town halls, workshops, pop up events, etc.), surveys, focus groups, and online and social media engagement tools. All outreach will be conducted in multiple languages and will include in-person and online outreach events. The consultant will purchase and distribute up to 6 gift cards as incentives for participants who win a raffle for engaging with outreach.



At the conclusion of outreach events for each outreach round, the consultant will analyze data (e.g., survey data, community meeting notes, focus group notes, etc.) and summarize main findings in a memo.

The three outreach rounds are described in more detail below.

Round 1: goals, objectives, evaluation metrics, and travel needs

The first round of outreach will include surveys and in-person events to establish goals, evaluation metrics, and needs and challenges for travel on freeways within/through San Francisco. The consultant will develop materials based on Task 3 to support this round of outreach.

Round 2: feedback on initial priority managed lane segments

The second round of outreach will focus on the corridor design and pricing strategies. In this second round, travel model results showing congestion and affordability impacts of managed lanes as well as high-level costs for managed lanes and program alternatives will be shared with the public to have informed discussions about benefits, costs, and trade-offs of managed lanes concepts. The goals of round two would be to gain insights to determine preferred pricing, roadway design elements, and programmatic elements to guide revisions to concepts and initial planning for related transportation programs, which would be brought to the third round of outreach. The consultant will draw on materials and summaries developed from Task 4 (travel model findings including pricing options, congestion impacts, and revenue generation), Task 5a (conceptual drawings, preliminary cost estimates, and fact sheets summarizing benefits and trade-offs) and Task 5b (description of program alternatives and implementation and operating costs) to support this round of outreach.

Round 3: selection of priority segments for further design

The third round of outreach would bring forward revised design and pricing concepts for up to 3 managed lane segments and associated programmatic elements that reflect findings from the previous round of outreach and program scenarios to complement scenarios. The outreach round would focus on defining various programs, including relative level of importance between programmatic elements (e.g. Transportation Demand Management, transit service, etc.). The consultant and Transportation Authority staff will use findings from this round of outreach to select up to 2 priority managed lane segments for final recommendation and further design. The consultant will use materials/summaries from Task 5c to support this round of outreach.

The outreach process may also include a statistically significant survey effort to understand preferences, concerns, and level of support for a managed lanes program, representing all supervisorial districts in San Francisco.

Note that the Transportation Authority will finalize all outreach materials according to Transportation Authority design guidelines and will print all large format outreach materials.



Deliverables:

1. *Draft and final outreach plan*
2. *Materials to support each outreach round*
3. *Draft and final memos summarizing findings from each outreach round*

Task 7: Technical Advisory Committee (TAC)

Transportation Authority staff will convene a TAC to collect feedback on the outreach process, technical analysis, design alternatives, and programmatic elements. The TAC will also provide lessons learned from other Bay Area managed lane projects. The TAC will be made up of representatives from San Francisco Municipal Transportation Agency, San Francisco Planning Department, Department of Public Works, Metropolitan Transportation Commission, San Mateo (City/County Association of Governments and San Mateo County Transportation Authority), and Caltrans (District 4 and HQ). The TAC is estimated to meet up to six times throughout the project.

The consultant will assist Transportation Authority staff to identify and contact members of the TAC, plan and schedule TAC meetings, develop meeting agendas and meeting materials, lead TAC meetings with support from Transportation Authority staff, and send out meeting notes and action items after the meeting.

Deliverables:

1. *Materials to support each outreach TAC meeting*

Task 8: Draft and Final Plan - Detailed financial analysis and toll system operation analysis

In this task, the consultant will further refine analysis and design from Task 5 to support the evaluation and next phases of design for up to 2 managed lane segments selected after round 3 of public outreach.

Subtask 8a: Financial and toll system operational analysis

The consultant will refine the financial and operational analysis conducted in Task 5 for the two leading managed lane concepts based on feedback from round 2 and round 3 of public outreach on pricing concepts, feedback from the TAC, and considerations for regional context and potential future conditions. This analysis will identify operational costs and potential for net revenue and cost recovery and outline recommendations for managed lanes pricing structure, equity/affordability programs, and transportation alternative improvements. These recommendations should include considerations for adjustments in future phases of more detailed planning and implementation and considerations for potential future conditions (e.g., transit funding, etc.). The analysis will outline the operations of the corridor including, but not limited to, payment collection, enforcement, and planning level cost estimates to build and operate the program. The cost analysis will also consider how revenues from managed lanes segments will be used to fund the associated programmatic elements of each managed lanes concept.



The consultant will also outline leading options for payment collection and enforcement based on regional context including the benefits and tradeoffs, risks, and policy requirements for each option.

Subtask 8b: Funding and implementation plan

Building off of the implementation and operational costs and revenue assumptions for the preferred managed lanes concept(s), the consultant will work with Transportation Authority staff to identify potential funding sources and define next steps for implementation, including lead agencies, potential risks, and coordinating agencies. The implementation plan will also include an institutional analysis of governance options for any recommended designs.

The consultant will document the options and recommendations from the financial and operational analysis and funding and implementation plan in a memo.

(Optional) Subtask 8c: Detailed design

In this optional subtask, up to 2 preferred design(s) identified from Task 5 and round 3 of public outreach will be advanced to 10% design.

Deliverables:

1. *Draft and final financial and operational analysis and funding and implementation plan memo*
2. *(Optional) 10% design of leading managed lane concept(s)*

SECTION V – RFP RESPONSE REQUIREMENTS: CONTENT AND FORMAT

All proposals should be clear, concise, and provide sufficient information to minimize questions and assumptions. Proposals should be limited to **15 pages** (no smaller than 12-point font shall be used and all page sizes greater than the letter size of 8.5" x 11" will be counted as two pages), excluding cover letter, table of contents, the cost proposal, and the following items, which should be included as attachments: résumés, Disadvantaged Business Enterprise (DBE), certifications, and required exhibits. The Transportation Authority accepts no financial responsibility for any costs incurred in the preparation of proposals. Upon receipt by the Transportation Authority, all accepted proposals submitted in response to this RFP will become the property of the Transportation Authority.

Time and Place for Submission of Proposals. By the proposal submission deadline, the following must be transmitted:

- **Proposal** (written proposal, without cost proposal): one (1) electronic copy (PDF) including all information herein requested. Please clearly specify in the subject line of the e-mail transmittal: "Response to RFP 24/25-02 for Technical Services for SF Freeway Network Management Study".



- **Cost proposal** (in a separate electronic file): one electronic copy (XLS/XLSX format) including all information herein requested. Please name the file: "Cost Proposal for RFP 24/25-02", and submit along with the proposal.

The proposals must be transmitted electronically to the Transportation Authority at the following address: info@sfcta.org.

All responses must be in writing and identified as to content and be received by the Transportation Authority by the due date. Proposals received later than the above date and time will be rejected.

Cover Letter. Proposers must submit a letter of introduction for the proposal. The letter must be signed by a person authorized by your firm to obligate your firm to perform the commitments contained in the proposal. Submission of the letter will constitute a representation that your firm is willing and able to perform the commitments contained in the proposal. The cover letter must also include the following content in the format as shown:

1. Project Manager (The individual in charge of the scope of services, and who will be the Transportation Authority's contact throughout the contract duration)

Prefix: (Mr./MS./Mx., etc.)

Name:

Title:

Address:

City, State, ZIP:

Phone Number:

Email:

2. Selection Process Lead (The individual to whom correspondence and other contacts should be directed during the consultant selection process)

Prefix: (Mr./MS./Mx., etc.)

Name:

Title:

Address:

City, State, ZIP:

Phone Number:

Email:



<p>3. Negotiating Officer (The individual who will negotiate with the Transportation Authority and who can contractually bind the proposer’s firm)</p> <p>Name: Title: Address: City, State, ZIP: Phone Number: Email:</p>
<p>4. List proposed co-venture arrangements or sub-consultants, if any:</p> <p>1. Company: DBE status: Percentage of involvement: Name: Title: Address: City, State, ZIP: Phone Number: Email:</p> <p>2. ...</p>
<p>5. <input checked="" type="checkbox"/> This letter is signed by an officer that is authorized to bind the proposer contractually.</p>
<p>6. <input checked="" type="checkbox"/> This proposal is firm for a 120-day period from the proposal submission deadline.</p>

Content. Proposals must contain the following five sections:

- 1. Proposer Information and Understanding of Project Objectives.** In this section, the proposer must provide a discussion demonstrating an understanding of the services to be provided, the challenges for each task, and their significance to the Transportation Authority.
- 2. Technical and Management Approach.** In this section, the proposer must describe its approach to the delivery of the services included in Section IV. In this section, the proposer must describe its approach to the delivery of the services included in Section IV. This section must (1) reflect the proposer’s knowledge of, and ability to demonstrate, a sound approach to the requested services, specifically in conducting traffic counts and observations, estimating greenhouse gas emissions from freeway travel, analyzing crash data, and working with “big data” sources to understand travel patterns and origin-destination analysis; (2) include a discussion on potential impacts to cost, scope, and schedule based on lessons learned, including any recommendations the consultant proposes to lower and/or control costs given



the proposed scope of the project and (3) demonstrate the proposer's knowledge of adjacent projects and their potential impacts to the delivery of the services of this RFP/Q.

Proposer must provide the names and positions of all staff for the proposed team. An organization chart should be included that clearly establishes principal team member firms and sub-consultants, if any. Proposer must also identify any specialty sub-consultants that would not necessarily be part of the core team, but would be available on an as-needed basis for specialty support. The proposal should also designate the Project Manager in charge of the scope of services and the Transportation Authority's contact throughout the contract duration. In addition, the proposal should briefly address how the efforts of each of the team members will be coordinated. Proposers should provide a staffing plan with level of effort (e.g., person hours per staff) by task. If the work is to be shared among firms and offices at different locations, indicate where each office is located and what work is to be performed in each office.

Proposals must discuss workload for all key team members, indicating their expected availability, the percentage of their time that will be devoted to the Transportation Authority's contract and any other assurances as to their ability to provide the requested services in a responsive and timely manner. The description of the management approach should address proposed response time standard and how the management and team structure will help to meet those standards.

3. **Capabilities and Experience.** Proposers must state the qualifications and experience of the proposed team, emphasizing the specific qualifications and experience acquired while providing services similar to those being sought by the Transportation Authority, particularly for the Project Manager and other key project staff members assigned to the Project. Except under certain circumstances beyond the proposer's control, the Transportation Authority will not accept substitutions of key members of the team put forth as part of the winning proposal.

This section must include the following information:

- Names of Project Manager and team members;
- Résumés of all technical personnel to be assigned to work within the scope of services as outlined in Section IV (provide as attachments; résumés will not count toward the page limit);
- Statement of proposer's background and experience related to activities and services being sought through this RFP;
- Brief description of similar projects for which the proposer has provided services during the past five (5) years, including the following information:
 - Client, including reference contact information
 - Project description and location



- Description of services
- Total value of services provided
- Actual budget performance vs. projected
- Actual schedule performance vs. projected
- Key personnel involved
- Sub-consultants employed

4. **Assurances and Miscellaneous Items.** In this section, proposals must provide the following information:

- a. Proposers must complete and include the exhibits listed below within the submittal. These exhibits do not count toward the page limit; please provide as attachments to proposal. Exhibit samples are attached to this RFP.

Exhibit	Prime Consultant	Subconsultant(s)
Exhibit A - Debarment and Suspension Certification	X	X
Exhibit B - Terminated Contracts	X	X
Exhibit C - Workforce Data Spreadsheets	X	X
Exhibit D - Guidance for Bidders Completing the Good Faith Effort Submittal	N/A	N/A
Exhibit 10-I - Notice to Proposers DBE Information	N/A	N/A
Exhibit 10-O1 - Consultant Proposal DBE Commitment	X	N/A
Exhibit 10-O2 - Consultant Contract DBE Information	X	N/A
Exhibit 10-Q - Disclosure of Lobbying Activities	X	X
Exhibit 15-H - DBE Information - Good Faith Efforts	X	N/A

- b. Proposers must provide the names, telephone numbers, and e-mail addresses of at least three references, in addition to staff of the Transportation Authority, if any. The references should cover work performed by the Project Manager and other key project staff members, should be for work recently performed and similar in nature to the services sought in this RFP. The references must include a brief description of the projects involved, and the roles of the respective team members in successfully completing the project.
- c. Proposers must specify any potential or perceived conflicts of interest which would disqualify its firm from doing business with the Transportation Authority. If proposers are unaware of existing or foreseeable conflicts of interest, a simple statement will suffice. However, proposers should provide a brief description of each apparent, existing or foreseeable conflict of interest, if any. In addition, list all relevant assignments completed for the City and County of San Francisco within the last five (5) years, and any involvement with Transportation Authority-funded projects, to enable the Transportation Authority to identify any possible conflicts of interest.



- d. Proposers must list any political contributions of money, in-kind services, or loans made to any current member of the Transportation Authority Board of Commissioners within the last three (3) years by management positions of the proposed consultant or sub-consultant. If proposers are unaware of any political contributions, a simple statement will suffice. However, if proposers are aware of any political contribution, proposals should include details, such as to whom, what type of contribution, the date and the amount.
- e. Proposers must clearly designate financial submittals or other materials in its submittal, if any, which it in good faith believes to be a trade secret or confidential proprietary information protected from disclosure. See Section IX below, for further details on public disclosure of responses and other materials.
- f. Proposers shall acknowledge receipt and understanding of the following Transportation Authority contracting requirements and state its ability and willingness to comply with each of them in its proposal. The Transportation Authority does not intend to deviate from its standard contract language.

i. Insurance

Prior to commencement of work, the Transportation Authority will require the successful proposer to provide evidence of appropriate insurance coverage. The Transportation Authority's standard contract requires firms to maintain, during the full term of the contract term, insurance in the following amounts and coverages:

- (a) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident;
- (b) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations;
- (c) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable; and
- (d) Professional Liability Insurance with limits not less than \$2,000,000 per claim. Sub-consultants providing professional services under this Agreement shall be added to Contractor's policy as additional insured, or shall provide evidence of their own professional liability insurance which is acceptable to the Transportation Authority's Executive Director.

Such coverage must be provided by an insurance company authorized to do business in the State of California. Commercial General Liability and Business Automobile Liability insurance policies must name the San Francisco County Transportation Authority as an



Additional Insured and that the policies will not be cancelled or materially changed without thirty (30) days prior notice in writing to the Transportation Authority. Describe if your firm's insurance coverage and amounts meet the above-stated contract limitations.

ii. Indemnification

(a) **Generally.** To the fullest extent permitted by law, Contractor shall assume the defense of (with legal counsel subject to approval of the Transportation Authority), indemnify and save harmless the Transportation Authority, its boards, commissions, officers, and employees (collectively "Indemnitees"), from and against any and all claims, loss, cost, damage, injury (including, without limitation, injury to or death of an employee of the Contractor or its sub-consultants), expense and liability of every kind, nature, and description (including, without limitation, incidental and consequential damages, court costs, attorneys' fees, litigation expenses, fees of expert consultants or witnesses in litigation, and costs of investigation), that arise out of, pertain to, or relate to, directly or indirectly, in whole or in part, the negligence, recklessness, or willful misconduct of the Contractor, any sub-consultant, anyone directly or indirectly employed by them, or anyone that they control (collectively, "Liabilities").

(b) **Limitations.** No insurance policy covering the Contractor's performance under this Agreement shall operate to limit the Contractor's Liabilities under this provision. Nor shall the amount of insurance coverage operate to limit the extent of such Liabilities.

The Contractor assumes no liability whatsoever for the sole negligence, active negligence, or willful misconduct of any Indemnitee or the contractors of any Indemnitee.

(c) **Copyright Infringement.** Contractor shall also indemnify, defend and hold harmless all Indemnitees from all suits or claims for infringement of the patent rights, copyright, trade secret, trade name, trademark, service mark, or any other proprietary right of any person or persons in consequence of the use by the Transportation Authority, or any of its boards, commissions, officers, or employees of articles or services to be supplied in the performance of Contractor's services under this Agreement. Infringement of patent rights, copyrights, or other proprietary rights in the performance of this Agreement, if not the basis for indemnification under the law, shall nevertheless be considered a material breach of contract.

iii. Incidental and Consequential Damages

Contractor shall be responsible for incidental and consequential damages resulting in whole or in part from Contractor's acts or omissions. Nothing in this Agreement shall constitute a waiver or limitation of any rights that Transportation Authority may have under applicable law.



5. **Cost.** The cost proposal will not count toward the page limit. This contract will be on a cost-reimbursement basis, which provides for payment of the successful proposer's allowable incurred costs, to the extent prescribed in the contract, plus a fixed fee. The cost proposal must include a budget comprised of a matrix with columns for hourly rate, classification, and name for all personnel and/or sub-consultants involved for the work described in Section IV above. It also must provide a breakdown of hours and costs for each task listed in the scope of work. The cost proposal must include a method for establishing rates for personnel or classifications not listed. Sub-consultant costs, travel and all other direct costs will be reimbursed at cost with no markup allowed. The fee (profit) for prime consultant and sub-consultants shall be negotiated and in any event shall not exceed 10% of respective labor costs comprised of the total of wages, overhead, general and administrative expenses within the cost proposal.

SECTION VI – EVALUATION CRITERIA AND METHOD OF AWARD

The proposals will be evaluated by a selection committee appointed by the Executive Director and scored (maximum of 100 points) using the following criteria:

1. Proposer Information and Understanding of Project Objectives. (10 points)

- a. Responsiveness to all items requested in the RFP, such as completeness of submission, adherence to required page limits, overall organization and clarity of proposal; and
- b. Understanding of the services to be provided, particularly in relation to the Transportation Authority, and challenges for each task.

2. Technical and Management Approach. (60 points)

- a. Effectiveness of the proposed work plan, program and method of execution;
- b. Technical solutions to meet the scope of services; insight and understanding of special issues, problems and constraints, approach towards mitigating and resolving them;
- c. Effectiveness of the team's organizational structure in executing and managing the tasks;
- d. Management approach in providing technically sound and cost-effective services; and
- e. Ability to provide timely, qualified and adequate staffing and services to support project demands.

3. Capabilities and Experience. (30 points)

- a. Capability of project team, specific relevant experience, qualifications and expertise of each firm and subconsultant firm, especially the proposed key personnel; and
- b. Client references as to past project performance.



Evaluation Process. The selection committee retains the right to independently verify and evaluate relevant experience and client references, including any sources not mentioned in the proposal.

Submittals receiving an initial score of less than 70 points will not be considered further in the selection process. Proposers that have received a score of 70 points or higher may, at the Transportation Authority's sole discretion, be invited to an interview with the selection committee. The Transportation Authority reserves the right to not conduct oral interviews and determine the winning proposer based solely on the written proposal. If oral interviews are held, individuals who are identified as key personnel in the proposal are required to be in attendance at the interview. Based on the results of the interview, the selection committee may adjust initial scores on the evaluation criteria identified above to arrive at the final evaluation score. The proposer with the highest final evaluation score shall be determined as the top proposer. Proposers who do not arrive for a scheduled interview, if one is held, will no longer be considered further in the selection process.

Once the top proposer has been identified and the proposer's cost and pricing data has been reviewed, Transportation Authority staff will start contract negotiations with that proposer. If contract negotiations are not successful, the second-ranked proposer may be asked to negotiate with the Transportation Authority. Each proposer's cost and pricing data will remain sealed/unopened until negotiations begin with that particular proposer. The goal of such negotiations will be to agree on a final contract that delivers the services and work described in this RFP at a fair and reasonable cost to the Transportation Authority. The award, if any, will be made to the proposer whose submittal is most responsive to the RFP and deemed most advantageous to the Transportation Authority. The Transportation Authority reserves the right to modify and/or suspend any and all aspects of this procurement, to obtain further information from any firm or person responding to this procurement, to waive any informality or irregularity as to form or content of this procurement or any response thereto, to be the sole judge of the merits of the proposals received, and to reject any or all proposals.

SECTION VII – DBE FOR U.S. DEPARTMENT OF TRANSPORTATION ASSISTED CONTRACTS

Terms. The terms used in this Policy have the meanings as defined in U.S. Department of Transportation (DOT) Code of Federal Regulations Title 49 Section 26 (49 CFR § 26).

DBE Objective/Policy Statement. As the Transportation Authority may receive federal financial assistance to fund a portion of this procurement from the United States Department of Transportation through the California Department of Transportation (Caltrans) acting on behalf of the Federal Highway Administration (FHWA), the Metropolitan Transportation Commission (MTC), or the Federal Transit Administration, this procurement is subject to Caltrans regulations in accordance with Code of Federal Regulations Title 49 Section 26 (49 CFR 26).



DBEs and other small businesses are strongly encouraged to participate in the performance of contracts financed in whole or in part with federal funds. The consultant should ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer shall not discriminate on the basis of race, color, creed, religion, national origin, ancestry, age, height, weight, sex, sexual orientation, gender identity, domestic partner status, marital status, or disability or AIDS/HIV status in the award and performance of subcontracts. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

Nondiscrimination. The Transportation Authority will never exclude any person from participation in, deny any person the benefit of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR 26 on the basis of race, color, sex, or national origin. The Transportation Authority will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing the accomplishment of the objectives of the Caltrans DBE Program Plan with respect to individuals of a particular race, color, sex, or national origin.

Contract Goal. For this contract, the Transportation Authority has established a DBE goal of **11%**. Firms are requested to provide all applicable certificates or proof of certification along with their submission, which will not count against the page limit. Proposers must document adequate good faith efforts to involve DBEs by completing and submitting the attached Exhibit 10-O1, *Consultant Proposal DBE Commitment*, Exhibit 10-O2, *Consultant Contract DBE Information*, and Exhibit 15-H, *DBE Information - Good Faith Efforts*. Regardless of whether or not proposers are able to meet the DBE goal, all proposers must complete and submit Exhibit 15-H showing that proposers made adequate good faith efforts to meet the goal. Proposals that do not make an adequate good faith effort to meet the DBE contract goal and document adequate good faith efforts shall be considered non-responsive to this procurement.

DBE Regulations. Bidders shall be fully informed with respect to the requirements of the DBE regulations. The DBE regulations in their entirety are incorporated herein by reference. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program by the proposal due date. A certified DBE may participate as a prime consultant, sub-consultant, joint venture partner with a prime or sub-consultant, vendor of materials or supplies, or as a trucking company. For more information, please refer to Exhibit 10-I, *Notice to Proposers DBE Information*, and Exhibit D, *Guidance for Bidders Completing the Good Faith Effort Submittal*.

SECTION VIII – PROCUREMENT PROTEST AND APPEAL POLICIES AND PROCEDURES

The Transportation Authority has established protest procedures, which apply to all procurements of supplies, equipment, and services. Proposers must file protests with the Transportation Authority no later than five (5) business days after notice, actual or constructive, by the



Transportation Authority's Executive Director or his/her designee, that either their bid (or proposal) is not being considered further, or a recommendation has been made to the Board to award to another bidder. Copies of these policies and procedures are kept at the Transportation Authority's offices and are available upon written request.

SECTION IX – NOTE REGARDING PUBLIC DISCLOSURE OF RESPONSES AND OTHER MATERIALS

Under the California Public Records Act (PRA; Government Code sections 6250 *et seq.*), records, information and materials submitted to the Transportation Authority, not otherwise exempt, are subject to public disclosure. Immediately after the contract has been awarded, the materials submitted by all proposers will be open to inspection. Each party submitting a response to the RFP should clearly designate financial submittals or other materials, if any, which it in good faith believes to be corporate proprietary information, including trade secrets, protected from disclosure; if no materials are designated, the submitted proposal in its entirety may be subject to the PRA. To the extent permitted by law, the Transportation Authority will attempt to maintain the confidentiality of such information by providing the proposer with notice that it has received a request. If the proposer desires that such materials not be disclosed, it may, at its own expense, take appropriate legal action to prevent such disclosure. However, such confidentiality cannot be assured, and the Transportation Authority will not be liable for the public disclosure of any material submitted to it.

APPENDICES AND EXHIBITS

The following documents are attached:

- Exhibit A - Debarment and Suspension Certification
- Exhibit B - Terminated Contracts
- Exhibit C - Workforce Data Spreadsheets
- Exhibit D - Guidance for Bidders Completing the Good Faith Effort Submittal
- Exhibit 10-I - Notice to Proposers DBE Information
- Exhibit 10-O1 - Consultant Proposal DBE Commitment
- Exhibit 10-O2 - Consultant Contract DBE Information
- Exhibit 10-Q - Disclosure of Lobbying Activities
- Exhibit 15-H - DBE Information - Good Faith Efforts

Exhibit A

Debarment and Suspension Certification

Title 2, CODE OF FEDERAL REGULATIONS, PART 180

The Proposer's signature affixed herein, shall constitute a certification under penalty of perjury under the laws of the State of California, that the Proposer has complied with Title 2 CFR, Part 180, "OMB Guidelines to Agencies on Government wide Debarment and Suspension (nonprocurement)", which certifies that he/she or any other person associated therewith in the capacity of owner, partner, director, officer or manager:

- Is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency,
- Has not been suspended, debarred, voluntarily excluded or determined ineligible by any federal agency within the past three (3) years,
- Does not have a proposed debarment pending; and
- Has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three (3) years.

Any exceptions to this certification must be disclosed to the Transportation Authority in the following space:

Exceptions will not necessarily result in denial of recommendation for award, but will be considered in determining Proposer responsibility. For any exception noted above, indicate below to whom it applies, initiating agency, and dates of action.

Exceptions to the Federal Government Excluded Parties List System maintained by the General Services Administration are to be determined by the Federal Highway Administration.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Proposer are true and correct.

Authorized Signature

Date Signed

Printed Name

Title

Firm Name

Exhibit B – Terminated Contracts

Proposers must provide a list of contracts terminated (partially or completely) by clients for convenience or default within the past three (3) years. For each contract, the list must include the following information:

- Contract number;
- Contract value;
- Description of work;
- Sponsoring organization name; and
- Sponsoring organization key contact information, including name, title and current telephone number.

Proposer does not have any terminated contracts by clients for convenience or default within the past three (3) years.

Authorized Signature

Date Signed

Printed Name

Title

Firm Name

**Exhibit C – Workforce Data Spreadsheet #1
Breakdown of existing employees**

Name of firm: _____

Address: _____

EMPLOYEE * CATEGORIES	TOTAL EMPLOYEE		AFRICAN AMERICAN		HISPANIC		ASIAN/ PAC. ISL.		AMER. IND./ ALAK. NTV.		TOTAL MINORITY		PERCENTAGE WHITE		PERCENTAGE MINORITY	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Officials																
Managers																
Professionals																
Technicians																
Admin. Support																
Trainees																
Others																
Full-time																
Part-time																
TOTAL																

COMPLETED BY Name: _____ Title: _____ Date: _____

* If the list of occupations on the left side of the workforce data form does not match your occupation titles, please modify the data form to indicate occupations particular to your organization.

Exhibit C – Workforce Data Spreadsheet #2
Breakdown of employees hired in last 12 months

Name of firm: _____

Address: _____

EMPLOYEE CATEGORIES	TOTAL EMPLOYEE		AFRICAN AMERICAN		HISPANIC		ASIAN/ PAC. ISL.		AMER. IND./ ALAK. NTV.		TOTAL MINORITY		PERCENTAGE WHITE		PERCENTAGE MINORITY	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Officials																
Managers																
Professionals																
Technicians																
Admin. Support																
Trainees																
Others																
Full-time																
Part-time																
TOTAL																

COMPLETED BY Name: _____ Title: _____ Date: _____

* If the list of occupations on the left side of the workforce data form does not match your occupation titles, please modify the data form to indicate occupations particular to your organization.



Exhibit D

GUIDANCE FOR BIDDERS COMPLETING THE GOOD FAITH EFFORT SUBMITTAL

The specifications in Section 2 of the project Special provisions for each federally-funded project state the following about documentation of adequate good faith efforts:

“The information necessary to establish the bidder’s adequate good faith efforts to meet the contract goal should include:

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder.
- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested.
- C. The items of work which the bidder made available to DBE firms, including, where appropriate, any breaking down of the contract work items (including those items normally performed by the bidder with its own forces) into economically feasible units to facilitate DBE participation. It is the bidder’s responsibility to demonstrate that sufficient work to meet the DBE goal was made available to DBE firms.
- D. The names, address and phone numbers of rejected DBE firms, the firms selected for that work, and the reasons for the bidder’s choice.
- E. Efforts made to assist interested DBEs in obtaining bonding, lines of credit or insurance, and any work which was provided to the DBEs.
- F. Efforts made to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate.
- G. The names of agencies contacted to provide assistance in contracting, recruiting and using DBE firms.
- H. Any additional data to support a demonstration of good faith efforts.”

It is recommended that bidders consider the following in making efforts to obtain participation of DBEs, and when preparing the documentation to be submitted, demonstrating their good faith efforts:

- Advertising for DBE participation may be placed in newspapers, trade papers, minority focus papers and on the Internet.
- The more advertising the better. The wider the audience—especially in trade and focus publications—the better a prime contractor can “get the word out” they plan to bid a project, the better potential for DBEs to know about the project and to whom they should bid.



- Solicitations and follow-up telephone contacts should occur within reasonable time before the opening bid date to allow the subcontractor time to prepare a quote to submit to the bidder. Telephone or e-mail logs, and fax receipts may be used to corroborate follow-up contacts.
- Advertisements and solicitations should state which items or portions of work are being made available. The bidder should consider making as many items of work available as possible to meet the goal, including those items normally performed by the bidder with its own forces.
- Bidders are encouraged to assist DBE subcontractors in the areas of bonding (if required), lines of credit, and obtaining necessary equipment, supplies and materials, and inform DBEs of this assistance in their solicitations.
- The documentation to be submitted to the local agency should clearly demonstrate all efforts made by the bidder to meet the DBE goal. To assist in providing clear documentation, bidders should consider the following:
 - Be careful when referring to “See Attachments” without providing explicit information where to find the material. Clearly identifying these items as Attachment A, Attachment B, etc. is suggested.
 - Attachments may include copies of advertisements, solicitations and logs of telephone follow-ups, e-mail or fax receipts.
 - In documenting the work made available to DBEs, list the bid item number, description of the work and what portion of the item was offered, if applicable.
 - Include quotes from rejected DBEs and the quotes from the firms selected. If the bidder is doing the work at less cost, include the items to be performed and the costs.
 - Identify any contacts with agencies, organizations or groups used or contacted to provide assistance in contacting, recruiting and using DBE firms, and any responses or assistance received from them.
 - Describe any additional information which would demonstrate that adequate good faith efforts were made to meet the goal.

EXHIBIT 10-I NOTICE TO PROPOSERS DBE INFORMATION

(Federally funded projects only)

The Agency has established a DBE goal for this Contract of _____

1. TERMS AS USED IN THIS DOCUMENT

- The term “Disadvantaged Business Enterprise” or “DBE” means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Code of Federal Regulations (CFR), Part 26.5.
- The term “Agreement” also means “Contract.”
- Agency also means the local entity entering into this contract with the Contractor or Consultant.
- The term “Small Business” or “SB” is as defined in 49 CFR 26.65.

2. AUTHORITY AND RESPONSIBILITY

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

3. SUBMISSION OF DBE INFORMATION

If there is a DBE goal on the contract, Exhibit 10-O1 *Consultant Proposal DBE Commitment* must be included in the Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards **meeting** the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-O2 *Consultant Contract DBE Information* must be included in **best qualified consultant’s executed consultant contract**. Even if no DBE participation will be reported, the successful proposer must execute and return the form.

4. DBE PARTICIPATION GENERAL INFORMATION

It is the proposer’s responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department’s DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or trucking companies.
 3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.

- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultants.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBE participation except that portion of the work to be performed by non-DBE subconsultants.

5. RESOURCES

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Civil Rights [website](#)
 - 1. Click on the link titled Disadvantaged Business Enterprise;
 - 2. Click on Search for a DBE Firm link;
 - 3. Click on [Access to the DBE Query Form](#) located on the first line in the center of the page.

Searches can be performed by one or more criteria. Follow instructions on the screen.

6. MATERIALS OR SUPPLIES PURCHASED FROM DBES COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS:

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the Contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.
- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on the job site, provided the fees are reasonable and not excessive as compared with fees charged for similar services.

EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT

1. Local Agency: _____ 2. Contract DBE Goal: _____
 3. Project Description: _____
 4. Project Location: _____
 5. Consultant's Name: _____ 6. Prime Certified DBE:

7. Description of Work, Service, or Materials Supplied	8. DBE Certification Number	9. DBE Contact Information	10. DBE %
Local Agency to Complete this Section		11. TOTAL CLAIMED DBE PARTICIPATION	%
17. Local Agency Contract Number: _____ 18. Federal-Aid Project Number: _____ Consultant's Ranking after Evaluation: _____ Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.	IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required. _____ 12. Preparer's Signature 13. Date _____ 14. Preparer's Name 15. Phone _____ 16. Preparer's Title		
_____ 21. Local Agency Representative's Signature 22. Date			
_____ 23. Local Agency Representative's Name 24. Phone			
_____ 25. Local Agency Representative's Title			

DISTRIBUTION: Original – Included with consultant's proposal to local agency.

ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

INSTRUCTIONS – CONSULTANT PROPOSAL DBE COMMITMENT**CONSULTANT SECTION**

- 1. Local Agency** - Enter the name of the local or regional agency that is funding the contract.
- 2. Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
- 3. Project Location** - Enter the project location as it appears on the project advertisement.
- 4. Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc.).
- 5. Consultant's Name** - Enter the consultant's firm name.
- 6. Prime Certified DBE** - Check box if prime contractor is a certified DBE.
- 7. Description of Work, Services, or Materials Supplied** - Enter description of work, services, or materials to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
- 8. DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
- 9. DBE Contact Information** - Enter the name, address, and phone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and phone number, if the prime is a DBE.
- 10. DBE %** - Percent participation of work to be performed or service provided by a DBE. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
- 11. Total Claimed DBE Participation %** - Enter the total DBE participation claimed. If the total % claimed is less than item "Contract DBE Goal," an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H DBE Information - Good Faith Efforts of the LAPM).
- 12. Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
- 13. Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
- 14. Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
- 15. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 16. Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

LOCAL AGENCY SECTION

- 17. Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
- 18. Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
- 19. Proposed Contract Execution Date** - Enter the proposed contract execution date.
- 20. Consultant's Ranking after Evaluation** - Enter consultant's ranking after all submittals/consultants are evaluated. Use this as a quick comparison for evaluating most qualified consultant.
- 21. Local Agency Representative's Signature** - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
- 22. Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
- 23. Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
- 24. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 25. Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

EXHIBIT 10-O2 CONSULTANT CONTRACT DBE COMMITMENT

1. Local Agency: _____ 2. Contract DBE Goal: _____
 3. Project Description: _____
 4. Project Location: _____
 5. Consultant's Name: _____ 6. Prime Certified DBE: 7. Total Contract Award Amount: _____
 8. Total Dollar Amount for **ALL** Subconsultants: _____ 9. Total Number of **ALL** Subconsultants: _____

10. Description of Work, Service, or Materials Supplied	11. DBE Certification Number	12. DBE Contact Information	13. DBE Dollar Amount
Local Agency to Complete this Section			\$
20. Local Agency Contract Number: _____ 21. Federal-Aid Project Number: _____ 22. Contract Execution Date: _____			%
Local Agency certifies that all DBE certifications are valid and information on this form is complete and accurate.			14. TOTAL CLAIMED DBE PARTICIPATION
IMPORTANT: Identify all DBE firms being claimed for credit, regardless of tier. Written confirmation of each listed DBE is required.			
_____ 23. Local Agency Representative's Signature		_____ 24. Date	_____ 15. Preparer's Signature
_____ 25. Local Agency Representative's Name		_____ 26. Phone	_____ 16. Date
_____ 27. Local Agency Representative's Title			_____ 17. Preparer's Name
			_____ 18. Phone
			_____ 19. Preparer's Title

DISTRIBUTION: 1. Original – Local Agency
 2. Copy – Caltrans District Local Assistance Engineer (DLAE). Failure to submit to DLAE within 30 days of contract execution may result in de-obligation of federal funds on contract.

ADA Notice: For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

INSTRUCTIONS – CONSULTANT CONTRACT DBE COMMITMENTCONSULTANT SECTION

- 1. Local Agency** - Enter the name of the local or regional agency that is funding the contract.
- 2. Contract DBE Goal** - Enter the contract DBE goal percentage as it appears on the project advertisement.
- 3. Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc).
- 4. Project Location** - Enter the project location as it appears on the project advertisement.
- 5. Consultant's Name** - Enter the consultant's firm name.
- 6. Prime Certified DBE** - Check box if prime contractor is a certified DBE.
- 7. Total Contract Award Amount** - Enter the total contract award dollar amount for the prime consultant.
- 8. Total Dollar Amount for ALL Subconsultants** – Enter the total dollar amount for all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
- 9. Total number of ALL subconsultants** – Enter the total number of all subcontracted consultants. SUM = (DBEs + all Non-DBEs). Do not include the prime consultant information in this count.
- 10. Description of Work, Services, or Materials Supplied** - Enter description of work, services, or materials to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firms.
- 11. DBE Certification Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened.
- 12. DBE Contact Information** - Enter the name, address, and phone number of all DBE subcontracted consultants. Also, enter the prime consultant's name and phone number, if the prime is a DBE.
- 13. DBE Dollar Amount** - Enter the subcontracted dollar amount of the work to be performed or service to be provided. Include the prime consultant if the prime is a DBE. See LAPM Chapter 9 for how to count full/partial participation.
- 14. Total Claimed DBE Participation** - \$: Enter the total dollar amounts entered in the "DBE Dollar Amount" column. %: Enter the total DBE participation claimed ("Total Participation Dollars Claimed" divided by item "Total Contract Award Amount"). If the total % claimed is less than item "Contract DBE Goal," an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H DBE Information - Good Faith Efforts of the LAPM).
- 15. Preparer's Signature** - The person completing the DBE commitment form on behalf of the consultant's firm must sign their name.
- 16. Date** - Enter the date the DBE commitment form is signed by the consultant's preparer.
- 17. Preparer's Name** - Enter the name of the person preparing and signing the consultant's DBE commitment form.
- 18. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 19. Preparer's Title** - Enter the position/title of the person signing the consultant's DBE commitment form.

LOCAL AGENCY SECTION

- 20. Local Agency Contract Number** - Enter the Local Agency contract number or identifier.
- 21. Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
- 22. Contract Execution Date** - Enter the date the contract was executed.
- 23. Local Agency Representative's Signature** - The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
- 24. Date** - Enter the date the DBE commitment form is signed by the Local Agency Representative.
- 25. Local Agency Representative's Name** - Enter the name of the Local Agency Representative certifying the consultant's DBE commitment form.
- 26. Phone** - Enter the area code and phone number of the person signing the consultant's DBE commitment form.
- 27. Local Agency Representative Title** - Enter the position/title of the Local Agency Representative certifying the consultant's DBE commitment form.

EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

COMPLETE THIS FORM TO DISCLOSE LOBBYING ACTIVITIES PURSUANT TO 31 U.S.C. 1352

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type:</p> <p><input type="checkbox"/> a. initial <input type="checkbox"/> b. material change</p> <p>For Material Change Only: year ____ quarter ____ date of last report _____</p>
<p>4. Name and Address of Reporting Entity</p> <p><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known</p> <p>Congressional District, if known _____</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known _____</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p>	
<p>10. Name and Address of Lobby Entity (If individual, last name, first name, MI)</p> <p style="text-align: center;">(attach Continuation Sheet(s) if necessary)</p>	<p>11. Individuals Performing Services (including address if different from No. 10) (last name, first name, MI)</p>	
<p>12. Amount of Payment (check all that apply)</p> <p>\$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned</p>	<p>14. Type of Payment (check all that apply)</p> <p><input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other, specify _____</p>	
<p>13. Form of Payment (check all that apply):</p> <p><input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ Value _____</p>		
<p>15. Brief Description of Services Performed or to be performed and Date(s) of Service, including officer(s), employee(s), or member(s) contacted, for Payment Indicated in Item 12:</p> <p style="text-align: center;">(attach Continuation Sheet(s) if necessary)</p>		
<p>16. Continuation Sheet(s) attached: Yes <input type="checkbox"/> No <input type="checkbox"/></p>		
<p>17. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying reliance was placed by the tier above when his transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		
		<p>Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____</p>
<p>Authorized for Local Reproduction Standard Form - LLL</p>		
<p>Federal Use Only:</p>		

Standard Form LLL Rev. 04-28-06

Distribution: Orig- Local Agency Project Files

INSTRUCTIONS FOR COMPLETING EXHIBIT 10-Q DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient at the initiation or receipt of covered federal action or a material change to previous filing pursuant to title 31 U.S.C. Section 1352. The filing of a form is required for such payment or agreement to make payment to lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress an officer or employee of Congress or an employee of a Member of Congress in connection with a covered federal action. Attach a continuation sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered federal action for which lobbying activity is or has been secured to influence, the outcome of a covered federal action.
2. Identify the status of the covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last, previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District if known. Check the appropriate classification of the reporting entity that designates if it is or expects to be a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the first tier. Subawards include but are not limited to: subcontracts, subgrants, and contract awards under grants.
5. If the organization filing the report in Item 4 checks "Subawardee" then enter the full name, address, city, state, and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organization level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identification in item 1 (e.g., Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract grant, or loan award number, the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered federal action where there has been an award or loan commitment by the Federal agency, enter the federal amount of the award/loan commitments for the prime entity identified in item 4 or 5.
10. Enter the full name, address, city, state, and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered federal action.
11. Enter the full names of the individual(s) performing services and include full address if different from 10 (a). Enter Last Name, First Name and Middle Initial (MI).
12. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
13. Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
14. Check all boxes that apply. If other, specify nature.
15. Provide a specific and detailed description of the services that the lobbyist has performed or will be expected to perform and the date(s) of any services rendered. Include all preparatory and related activity not just time spent in actual contact with federal officials. Identify the federal officer(s) or employee(s) contacted or the officer(s) employee(s) or Member(s) of Congress that were contacted.
16. Check whether or not a continuation sheet(s) is attached.
17. The certifying official shall sign and date the form, and print his/her name title and telephone number.

Public reporting burden for this collection of information is estimated to average 30-minutes per response, including time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503. SF-LLL-Instructions Rev. 06-04

EXHIBIT 15-H: PROPOSER/CONTRACTOR GOOD FAITH EFFORTS

Cost Proposal Due Date _____ PE/CE

Federal-aid Project No(s). _____ Bid Opening Date _____ CON

The _____ established a Disadvantaged Business Enterprise (DBE) goal of _____% for this contract. The information provided herein shows the required good faith efforts to meet or exceed the DBE contract goal.

Proposers or bidders submit the following information to document their good faith efforts within five (5) calendar days from cost proposal due date or bid opening. Proposers and bidders are recommended to submit the following information even if the Exhibit 10-O1: Consultant Proposal DBE Commitments or Exhibit 15-G: Construction Contract DBE Commitment indicate that the proposer or bidder has met the DBE goal. This form protects the proposer’s or bidder’s eligibility for award of the contract if the administering agency determines that the bidder failed to meet the goal for various reasons, e.g., a DBE firm was not certified at bid opening, or the bidder made a mathematical error.

The following items are listed in the Section entitled “Submission of DBE Commitment” of the Special Provisions, **please attach additional sheets as needed:**

- A. The names and dates of each publication in which a request for DBE participation for this project was placed by the bidder (please attach copies of advertisements or proofs of publication):

Publications	Dates of Advertisement

- B. The names and dates of written notices sent to certified DBEs soliciting bids for this project and the dates and methods used for following up initial solicitations to determine with certainty whether the DBEs were interested (please attach copies of solicitations, telephone records, fax confirmations, etc.):

Names of DBEs Solicited	Date of Initial Solicitation	Follow Up Methods and Dates

- C. The items of work made available to DBE firms including those unbundled contract work items into economically feasible units to facilitate DBE participation. It is the bidder's responsibility to demonstrate that sufficient work to facilitate DBE participation in order to meet or exceed the DBE contract goal.

Items of Work	Proposer or Bidder Normally Performs Item (Y/N)	Breakdown of Items	Amount (\$)	Percentage Of Contract

- D. The names, addresses and phone numbers of rejected DBE firms, the reasons for the bidder's rejection of the DBEs, the firms selected for that work (please attach copies of quotes from the firms involved), and the price difference for each DBE if the selected firm is not a DBE:

Names, addresses and phone numbers of rejected DBEs and the reasons for the bidder's rejection of the DBEs:

Names, addresses and phone numbers of firms selected for the work above:

- E. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining information related to the plans, specifications and requirements for the work which was provided to DBEs:

F. Efforts (e.g. in advertisements and solicitations) made to assist interested DBEs in obtaining bonding, lines of credit or insurance, necessary equipment, supplies, materials, or related assistance or services, excluding supplies and equipment the DBE subcontractor purchases or leases from the prime contractor or its affiliate:

G. The names of agencies, organizations or groups contacted to provide assistance in contacting, recruiting and using DBE firms (please attach copies of requests to agencies and any responses received, i.e., lists, Internet page download, etc.):

Name of Agency/Organization	Method/Date of Contact	Results

H. Any additional data to support a demonstration of good faith efforts: