



# Request for Proposals

## for the Geary-Fillmore Underpass Community Study

Date Issued	Proposals Due	Expected Duration	Budget	DBE Goal	Contact
April 1, 2025	May 5, 2025 at 2:00 p.m. (electronically)	Two years	\$1,100,000	21%	Ron Leong Management Analyst 415.522.4817 <a href="mailto:ronald.leong@sfcta.org">ronald.leong@sfcta.org</a>

### SECTION I – NOTICE

Notice is hereby given that the San Francisco County Transportation Authority (Transportation Authority) is requesting proposals from qualified respondents (proposers) to provide consultant services for the Geary-Fillmore Underpass Community Study (Project).

**Pre-Proposal/Submittal Conference.** Although attendance at the pre-proposal conference is not mandatory, proposers and sub-consultants are encouraged to attend a pre-proposal conference to be held via Zoom. 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](#) by 5:00 p.m. the day before the conference.

**Questions.** Questions may be submitted in writing by the stated deadline in Section II by e-mail to [info@sfcta.org](mailto:info@sfcta.org); please include “RFP 24/25-11 – Geary-Fillmore Underpass Community Study” in the subject line. The Transportation Authority’s responses will be posted to [www.sfcta.org/contracting](http://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
April 1, 2025	Release of RFP
April 4 5:00 p.m.	Pre-proposal conference attendees requested to submit registration: <a href="#">Zoom Registration</a>
April 7 1:00 p.m.	Pre-proposal conference held via Zoom
April 8 5:00 p.m.	Proposers to submit written questions to Transportation Authority



April 15*	Transportation Authority issues written responses to questions
<b>May 5, 2:00 p.m.</b>	Responses to RFP and sealed/separate cost proposals due electronically. Late submissions will not be accepted.
May 14*	Invitation(s) to interview issued to short list of proposers* (if necessary)
Week of May 27*	Interviews* (scheduled if necessary)
June 25*	The selection committee’s recommendation to Community Advisory Committee for award
July 8*	Recommendation to Transportation Authority Board for award
July 22*	Transportation Authority Board awards contract

\* *Subject to change*

## **SECTION III – PROJECT BACKGROUND AND PURPOSE**

### **Project Background and Purpose**

The Transportation Authority received a Federal Reconnecting Communities Grant to study transportation and land use changes on the Geary Expressway, between Laguna and Divisadero, in partnership with the San Francisco Planning Department, San Francisco Municipal Transportation Agency, and the Geary-Fillmore Community. The Geary-Fillmore Underpass Community Study (Project) will envision a high-quality multimodal transportation-oriented neighborhood that brings connectivity and economic benefits to the Japantown and Fillmore neighborhoods. The repair and redesign of Geary, located in a Priority Development Area, combined with long-term plans for rail on the corridor, creates a significant opportunity for the community to rethink how future transportation and land use assets could be better positioned and leveraged to meet community needs, opening up opportunities for new housing, contemporary and sustainable spaces for cultural anchors, community serving businesses, and social institutions.

The study will result in a comprehensive plan that identifies a community vision and goals, a preferred design alternative for the Geary Expressway and Fillmore Underpass, complementary near- to long-term solutions to address circulation, connectivity, and safety, land use opportunities and priorities along Geary, and an implementation framework including, costs, agency roles, and a planning level funding strategy. The study will use a community-driven process to reimagine how to redesign Geary to re-connect the Japantown and Fillmore neighborhoods through transportation improvements and urban design/land use changes. Because significant changes to this corridor would also impact travel patterns in the surrounding area, the study will include safety and connectivity improvements to ensure benefits to communities that have carried the impacts of the expressway investment.



## **SECTION IV – SCOPE OF SERVICES**

The Transportation Authority seeks consultant services to support the Geary-Fillmore Underpass Community Planning Study, which will explore transformative transportation and land use changes through a community-led process. The Transportation Authority has budgeted \$1,100,000 for this contract for 2 years of services. Please note this is a ceiling and not a target. The contract is anticipated to be funded with federal funds. It is anticipated that a contract will be awarded for a two-year term, which may be exercised at the discretion of the Transportation Authority.

The Transportation Authority does not have office space available for this contract and, with the exception of progress and coordination meetings, 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.

### **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 the 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.

#### *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*

### **TASK 2 - Community Collaboration**



The community collaboration (engagement) will extend through the full length of the study to establish a corridor vision and goals, identify priorities for the area, and develop and refine study concepts. The Project will also include a Community Council to provide guidance and liaise with the Japanese, Black, and Jewish communities in the Japantown and the Fillmore area throughout the Project.

#### Task 2A: Community Council

The Community Council will meet up to eight (8) times at key project milestones and support the project team in shaping outreach, gaining community participation and input, and providing feedback on draft and final plan materials. Meetings are expected to be in-person and up to two (2) hours long. Each meeting will be organized by the Project team and an outside facilitator will be used (through a separate contract procured by the Transportation Authority). The consultant will provide support to the project team by developing meeting materials, attending meetings to provide technical responses, and taking meeting minutes.

The Community Council meetings will be structured around key project deliverables and feedback obtained in these meetings will be incorporated into the final deliverables. Additionally, the Community Council members will have an option to arrange in-person and virtual outreach events within their community. Learnings and takeaways will be incorporated into outreach summaries, as relevant.

#### Task 2B: Public Engagement

Community outreach will happen over multiple rounds (anticipated 3 rounds) to ensure diverse voices are heard through a community-led process.

- The first round will determine community vision, goals, priorities for transportation and underused/new land uses, and challenges for the project.
- The second round will focus on developing and refining concept designs and associated policies, discussions on benefits and tradeoffs, understanding community preferences for future land uses, and how alternatives should be evaluated.
- The third round will bring plan recommendations, costs estimates, and expected benefits to hear final comments that will be documented to guide future phases of work that advance the recommendations into implementation.

Each outreach round will have up to three (3) in-person outreach events, which may include town halls, youth focused events, design charrettes, pop-up events, and community focus groups. In addition to the in-person events, outreach will also include, but not be not limited to, surveys and community briefings at regular intervals. The consultant will support the project team in the outreach process by developing an outreach plan, which will be brought to the Community Council for review and input, developing draft promotional materials including flyers, newspaper/social media ads, and draft communication for CBO partners, and providing input and review of outreach materials (e.g. boards, survey, etc.). The consultant, in collaboration with the



project team, will develop a draft and final survey. The survey will be programmed by the Transportation Authority in Survey Monkey. The consultant will also be responsible for translating all materials into relevant languages including Spanish, Chinese, Japanese and, as needed, provide interpreters at in-person events.

Following the completion of each outreach round, the consultant will lead the review and analysis of outreach feedback and survey responses and draft a memo of outreach findings, which will be consolidated into a project outreach report that includes a community vision statement, community priorities, and transportation challenges to guide concept development.

The consultant will work with the project team to contact community-based organizations (CBOs) in the study area to gather feedback from additional community stakeholders (e.g. youth and senior groups). CBOs will have the option to support in the project promoting surveys, outreach efforts, and organizing meetings and presentations. Participating CBOs may receive stipends based on the level of support in promoting outreach efforts and members of the public may receive stipends for attendance. The consultant will be responsible for distributing stipends in a timely manner to each identified CBO and consider this in the proposed budget.

#### Task 2C: Technical Advisory Committee

The project team will lead the coordination and facilitation of up to eight (8) Technical Advisory Committee (TAC) Meetings. The TAC will include representatives from city agencies, which may include but not be limited to, the San Francisco Municipal Transportation Agency, Public Works, Recreation and Parks Department, Public Utilities Commission, Mayors Office of Housing and Community Development, etc. Meetings are expected to be up to 2 hours long and may be held in-person, virtual, or hybrid, depending on the content of each meeting. While the project team will lead each meeting, the consultant team will be required to attend each meeting and provide meeting summaries, takeaways, and action items. As needed, the consultant team may also be asked to present technical materials or answer questions.

#### *Deliverable(s):*

- 1. Community Council meeting materials, attendance, and minutes*
- 2. Project vision statement and goals*
- 3. Draft and final outreach plan*
- 4. Draft and final outreach promotional materials*
- 5. Draft and final outreach report*
- 6. Distribution of CBO stipends*
- 7. Translation and interpretation services*
- 8. TAC Meeting attendance and minutes*

### **TASK 3 - Existing Conditions and Data Collection**

The existing conditions report will cover land use and transportation conditions in the study area. In preparation of the existing conditions report, the consultant will lead up to two (2) site visits with



the project team and agency partners to identify observed opportunities and challenges, which will be documented in a connectivity map. The consultant will produce an *Existing Conditions Report* that synthesizes major findings across transportation, land use, housing, and urban design. The report should provide clear, relevant data to inform the analysis in Task 4 and be visually engaging, concise, and accessible to a broad audience, ensuring it is easy for community members to understand and engage with.

#### Transportation Component

The transportation component of the existing conditions report will include a discussion of the transportation network, crash analysis, transit conditions with a detailed discussion on the multimodal conditions at the intersection of Geary and Fillmore (Muni 38 and Muni 22 lines connect here), bike and pedestrian network, parking conditions, multimodal circulation network/gaps/barriers, and a review of existing plans and projects that aim to bring improvements. To support the transportation discussion, the consultant will collect multimodal counts at key intersections on Geary and within the study area.

#### Land Use & Urban Design Component

The land use analysis will evaluate the Japantown and Fillmore neighborhood's current and potential development context. The land use component of the existing conditions report will include the following components:

- *Urban Form Analysis*: Assess the existing urban form, including building typologies, heights, massing, setbacks, and overall neighborhood character, focused on the Geary corridor and other neighborhood-connecting pathways. Include a profile of existing retail, ground floor uses, and vacancies on key neighborhood commercial corridors.
- *Public Realm Inventory*: Identification of existing public spaces, such as parks, plazas, and pedestrian areas including sidewalks, highlighting their quality, accessibility, and usage patterns, as well as any gaps in services that are observed.

In support of this task, the Planning Department will provide the consultant with data and reports focused on:

- *Existing Land Use*: Inventory and mapping of existing land uses within the study area, including residential, commercial, institutional, and public spaces.
- *Zoning*: Map of existing zoning and building heights and information about current development standards.
- *Development Capacity*: Map of existing soft sites.
- *Housing Stock*: Evaluation of the existing housing inventory, focusing on affordability, tenure (ownership vs. rental), and age of housing stock.
- *Cooperative Housing*: Interim report and proposed recommendations.



- *Demographics*: Summary of demographic data, including population density, income levels, racial/ethnic composition, employment statistics, and demographic trends.
- *Development Pipeline*: Identification and assessment of proposed and ongoing development projects within and adjacent to the corridor.
- *Opportunities and Constraints*: Identification of underutilized parcels, vacant lots, and development opportunities, including potential sites for affordable housing, mixed-income housing, or economic development. This should include consideration of church-owned properties that could redevelop under SB 4.
- *Community Context*: Documentation of cultural, historic, and economic factors that shape neighborhood identity, with a focus on preserving and enhancing cultural districts and equity-priority areas.
- *Plans and Policies Review*: Summary of existing land use, housing, and community plans, policies, and strategies, including from the following efforts:
  - Western Addition Existing Conditions Report, 2025
  - Japantown Better Neighborhood Plan, 2009
  - Japantown Cultural Heritage and Economic Sustainability Strategy, 2013
  - Japantown Special Area Design Guidelines, 2019
  - Japantown Cultural History, Housing, and Economic Sustainability Strategy Report, 2023
  - D5 Housing Opportunities Report
  - Housing Authority Sites Inventory

*Deliverable(s):*

1. *Data Collection Summaries*
2. *Connectivity map based on site visits*
3. *Draft & Final Existing Conditions Report*

**TASK 4 - Land Use, Housing, & Urban Design Opportunities and Issues Analysis**

This task will explore opportunities and challenges related to land use, housing, and urban design within the Geary-Fillmore corridor. The analysis will focus on identifying strategies to address housing needs, economic development, and community stabilization, emphasizing equitable and transit-oriented growth. The task will be based on collaboration with stakeholders and leveraging ongoing efforts, including the Housing Element Implementation, Reimagine Japantown Framework (2025), and redevelopment plans for Freedom West and Plaza East. The outcomes of this task will guide inputs for the concepts development and refinement, using community feedback to align recommendations with existing priorities and aspirations.

The Planning Department will identify existing parcels and areas with potential for new development, adaptive re-use, or enhanced utilization, prioritizing underutilized parcels, commercial spaces, surface parking lots, vacant land, or areas with the greatest potential for community benefit. Based on the identified parcels, the project team will select up to six (6) key sites from the Opportunity Mapping analysis for further study, guided by the Community Council



and TAC engagement process. Key sites will be located adjacent to Geary or other key connectivity paths in the study area.

To support this task, the consultant will assess and prioritize underutilized parcels and potential development sites, emphasizing affordable housing, mixed-use development, and economic revitalization opportunities. For the six key sites identified by Planning Department staff, the consultant will complete the following:

- Identify site-specific goals and community benefits with guidance from the Community Council.
- Evaluate urban design opportunities, including land use mix, general massing explorations, and potential public benefits.
- Analyze potential development yield.
- Explore high-level land use concepts and propose ideas for housing and land use changes, focusing on increasing affordable housing, economic development opportunities, and mixed-use development to support transit-oriented growth.
- Conduct high-level financial feasibility studies and phasing scenarios, considering zoning, financing options, affordable and low-income housing preservation, and community priorities. Include densification and phased rebuilding opportunities as one potential strategy. Evaluate the balance of residential, commercial, institutional, and public land uses to determine gaps and opportunities for diversification.

To define the urban design opportunities and issues, the consultant will examine existing urban form, including building typologies, heights, massing, and ground-floor conditions on the Geary corridor and other neighborhood-connecting pathways; evaluate the quality of the pedestrian environment using criteria such as sidewalk conditions, lighting, and proximity to destinations; and identify areas for potential public realm improvements, including parks, plazas, and streetscapes that support vibrant, community-oriented spaces. Propose design improvements to create vibrant, community-focused streetscapes, emphasizing cultural identity, placemaking, and activation of underutilized public spaces and underperforming corridors; and identify and recommend enhancements for pedestrian amenities, including seating, shading, wayfinding, and public art, to improve comfort and usability.

*Deliverables:*

1. *Draft and Final Land Use & Housing Opportunities and Issues Memos*

**TASK 5 - Transportation, Land Use, Housing, & Urban Design Concepts**

Building off the existing conditions, the Land Use and Housing Issues and Opportunities, and the first round of outreach, the consultant will work with the project team to develop up to five (5) concepts that will be brought to the public in the second round of outreach. The concepts will include high-level ideas for how to reimagine the Geary underpass corridor, surrounding transportation networks and connections, and housing and land use that address challenges and



advance the community vision and goals. Each idea or concept will be paired with an overview of tradeoffs, considerations, and overall impact. Concepts will be presented in public-friendly graphics and fact sheets. Within the concept options, the concepts should include and identify near-term options to advance connectivity across Geary.

#### Task 5A - Geary Underpass Concepts

Geary, between Laguna and Divisadero, is wide with an underpass at Fillmore and surface-level access roads in each direction. There have been recent quickbuild improvements to narrow the corridor and prioritize transit and pedestrian access. This task will use community input, the project vision statement, and network assessment to guide the subsequent concepts related to land use and neighborhood circulation.

The consultant will work with the project team to develop a draft concept for Geary and the underpass. The concept should reflect future demand, multimodal access and circulation priorities from relevant plans, and create a high-quality transit connection (e.g. mobility hub) between the 22 Fillmore bus line and 38 Geary bus line. The concepts should also consider plans for and not preclude a future Geary/19<sup>th</sup> Avenue rail. The underpass is a critical aspect of this concept, and concepts will need to be feasible. As such, the consultant should conduct a desk study using publicly available GIS files or other equivalent data to assess utilities and geotechnical conditions.

To support Task 5B, the concepts for Geary will clearly identify new space generated by each concept design and potential land use opportunities. Concepts should also clearly identify new connection paths, and circulation and/or access changes.

#### Subtask 5B - Land Use Concept

Complementary high-level land use concepts will emphasize transit-oriented development around key nodes like Geary and Fillmore, with mixed-use developments featuring active ground-floor uses, affordable and mixed-income housing on underutilized parcels, and opportunities for adaptive reuse of existing buildings. These concepts should integrate seamlessly with the neighborhood's fabric and historic and cultural identity, enhancing walkability, connectivity, and public spaces while aligning with transportation goals to create a vibrant, equitable corridor.

#### Subtask 5C - Supportive Transportation Concepts (Near-Mid Term)

Building on the concepts developed in subtasks 5A and 5B, supportive transportation concepts will be developed to ensure benefits in the Japantown and Fillmore neighborhoods. The concepts developed in this task will aim to reduce potential congestion and circulation impacts of a reimaged Geary and improve safety access to key cross-Geary routes and nearby transit.

#### Subtask 5D - Evaluation Metrics

Informed by the Community Council and community input, the consultant will develop draft and final evaluation metrics that will be used to present concept tradeoffs and fact sheets, as well as a



more detailed evaluation of concepts that advance in Task 6. The evaluation criteria for the transportation concepts should reflect community input and capture, but will not be limited to connectivity, equity, economic vitality, mode shift/trip capture, transportation access, and congestion mitigation. Land Use concepts evaluation metrics could incorporate the number of affordable and market-rate housing units delivered, impact fee revenue generated, open space square footage generated, delivery of public benefits, among others.

Prior to going to outreach, the concept and evaluation metrics will be presented to the Community Council to receive input and guide any adjustments before finalizing the deliverables. The consultant will develop materials to effectively communicate concepts to the public, including:

- *Graphics and Maps*: Visually engaging maps, diagrams, 3D visualizations when needed, and infographics showing proposed transportation and land use concepts.
- *Fact Sheets*: Easy-to-understand summaries of each concept, outlining objectives, benefits, tradeoffs, and alignment with community goals.
- *Scenario Comparisons*: Side-by-side comparisons of multiple scenarios to help stakeholders weigh options and make informed decisions.

*Deliverable(s):*

1. *Up to five draft Transportation, Land Use and Urban Design Concepts*
2. *Fact Sheets*
3. *Evaluation metrics*
4. *Community Feedback Integration*

## **TASK 6 - Concept Evaluation, Selection, and Refinement**

In incorporating community feedback from outreach round 2, it is expected this process will reduce the total concepts based on relative level of support from the community. The consultant will refine up to two leading transportation, land use, housing and urban design scenarios. Each scenario will include a detailed evaluation using the evaluation metrics developed in Task 5A. The evaluation process will be documented in a Memo of Concept Evaluation and Selection and guide the third round of outreach where a final preferred concept is presented for feedback. As needed, this documentation will include a traffic analysis to ensure that recommended changes to the circulation function under existing and projected road conditions.

For the selected scenarios, the consultant will provide 10% concept-level recommendations for building heights, setbacks, and massing (focused on Geary Boulevard and connecting corridors, to create human-scale, context-sensitive development through visual aids, such as maps, diagrams, plan and section views, or renderings, to illustrate how recommendations could be implemented.

These recommendations should assess tradeoffs and potential impacts, such as changes to neighborhood density, displacement risks, and infrastructure needs, while identifying strategies



to integrate new land uses with the existing neighborhood fabric to enhance walkability, connectivity, community identity, and public spaces. They should encourage culturally sensitive design approaches and propose preliminary urban design interventions to improve pedestrian and cyclist movement across the corridor. Additionally, strategies should address integrating superblock developments into the urban fabric to enhance permeability and connectivity.

*Deliverable(s):*

1. *Draft and Final Concept Evaluation Memorandum*
2. *Traffic analysis, as needed*
3. *Feasibility Summaries*
4. *Community Feedback Summaries*
5. *Refined Concept Design*

**TASK 7 - Engineering and Cost Estimates**

The consultant will develop 10% preliminary schematic engineering of the recommended concepts and corresponding planning-level implementation cost estimates for transportation infrastructure and land use components. Cost estimates should be broken out by specific element and include potential funding sources, key considerations, assumptions, and risk, as applicable. The cost estimates will be reviewed by city agencies and refined based on feedback.

The 10% schematic design shall include major utilities. Utility infrastructure maps can be obtained from their respective owner and/or the City department and shall be incorporated into the design and in the cost estimate if disturbed or relocated.

Future planned transportation projects in the vicinity of the developed Geary and Fillmore concept shall account and show "Potential Future Transportation Project" in the 10% schematic design (at minimum show limits).

The cost estimates should be paired with the following components in a technical memorandum.

- *Transportation and Public Realm Improvements Infrastructure Costs:* Estimate costs for proposed transportation and public realm improvements, including construction, materials, and maintenance.
- *Phasing Strategy:* Propose a phased implementation plan to prioritize improvements based on feasibility, funding availability, and community needs.
- *Funding Context:* Provide cost breakdowns tailored to potential funding opportunities, including grants, public-private partnerships, and local funding mechanisms.
- Identify potential risks or barriers to implementation (e.g., regulatory challenges, community opposition) and propose mitigation strategies.

*Deliverable(s):*

1. *Preliminary Engineering Designs (10%) Outline Memo*
2. *Preliminary Engineering Designs (10%)*



3. *Draft and Final Cost Estimates*
4. *Phasing strategy*

### **Task 8 - Urban Design and Architectural Guidance**

Led by the Planning Department, this task will produce concept-level studies and guidance on site design, building massing/envelope, development yield and technical opportunities and constraints guidance on key sites and overall corridor and neighborhood urban design.

The consultant will create a unified design framework for the main corridors, addressing streetscapes, public spaces, and neighborhood transitions, while recommending strategies to integrate new development into the existing context and enhance walkability, connectivity, and public spaces. Preliminary recommendations will include building envelope standards such as height limits, setbacks, bulk controls, and design typologies, with architectural strategies for transitions between higher-density and lower-density areas. Ground-floor activation approaches will also be proposed, focusing on pedestrian engagement through design elements like transparent façade, active uses, and shading. All findings, recommendations, and visuals will be compiled into an Urban Design Guidance document.

*Deliverables:*

1. *Draft and Final Urban Design Guidelines*

### **Task 9 - Implementation Plan and Final Report**

The project team will lead the development of the implementation plan, mainly through coordination with city agencies to ensure recommendations are feasible and have a path towards implementation. The project team will develop key documents for inclusion in the final report. The consultant will be responsible for reviewing and finalizing draft implementation plan materials prior to incorporating them into the final report.

A final report will be developed, incorporating key deliverables from all tasks in this scope of work.

*Deliverable(s):*

1. *Final implementation plan*
2. *Draft and Final Report*

## **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 **20 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 24/25-11 for Geary-Fillmore Underpass Community 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 24/25-11", and submit along with the proposal.

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



<p><b>2. Selection Process Lead</b> (The individual to whom correspondence and other contacts should be directed during the consultant selection process)</p> <p>Prefix: (Mr./MS./Mx., etc.)          Name:          Title:          Address:          City, State, ZIP:          Phone Number:          Email:</p>
<p><b>3. Negotiating Officer</b> (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><b>4. List proposed co-venture arrangements or sub-consultants, if any:</b></p> <p>1. Company:          DBE status:          Percentage of involvement:          Name:          Title:          Address:          City, State, ZIP:          Phone Number:          Email:</p> <p>2. ...</p>
<p><b>5. <input checked="" type="checkbox"/> This letter is signed by an officer that is authorized to bind the proposer contractually.</b></p>
<p><b>6. <input checked="" type="checkbox"/> This proposal is firm for a 120-day period from the proposal submission deadline.</b></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. This section must (1) reflect the proposer's knowledge of, and ability to demonstrate, a sound approach to the requested services, (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.

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. Do not include budget or rate information in the written proposal; this information should be included in the cost proposal. 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.

<b>Exhibit</b>	<b>Prime Consultant</b>	<b>Subconsultant(s)</b>
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 - Local Agency Consultant Proposal DBE Commitment	X	N/A
Exhibit 10-O2 - Local Agency 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**

Contractor shall indemnify and save harmless Transportation Authority and its officers, agents and employees from, and, if requested, shall defend them against any and all loss, damage, injury, liability, and claims thereof for injury to or death of a person, including employees of Contractor or loss of or damage to property, resulting directly or indirectly from Contractor's performance of this Agreement, including, but not limited to, the use of Contractor's facilities or equipment provided by Transportation Authority or others, regardless of the negligence of, and regardless of whether liability without fault is imposed or sought to be imposed on Transportation Authority, except to the extent that such indemnity is void or otherwise unenforceable under applicable law in effect on or validly retroactive to the date of this Agreement, and except where such loss, damage, injury, liability or claim is the result of the active negligence or willful misconduct of Transportation Authority and is not contributed to by any act of, or by any omission to perform some duty imposed by law or agreement on Contractor, its subcontractors or either's agent or employee. The foregoing indemnity shall include, without limitation, reasonable fees of attorneys, consultants and experts and related costs and Transportation Authority's costs of investigating any claims against the Transportation Authority.

In addition to Contractor's obligation to indemnify Transportation Authority, Contractor specifically acknowledges and agrees that it has an immediate and independent obligation to defend Transportation Authority from any claim which actually or potentially falls within this indemnification provision, even if the allegations are or may be groundless, false or fraudulent, which obligation arises at the time such claim is tendered to Contractor by Transportation Authority and continues at all times thereafter.

Contractor shall indemnify and hold Transportation Authority harmless from all loss and liability, including attorneys' fees, court costs and all other litigation expenses for any infringement of the patent rights, copyright, trade secret or any other proprietary right



or trademark, and all other intellectual property claims of any person or persons in consequence of the use by Transportation Authority, or any of its officers or agents, of articles or services to be supplied in the performance of this Agreement.

### **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, and must be submitted as a separate electronic file. 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. In addition, the cost proposal must be presented in the applicable format for the method of payment (see Exhibit 10-H) for the prime and all sub-consultants and must contain a breakdown of all cost components to include: unloaded labor base rate, other direct costs, indirect cost rate, escalation (not to exceed 3% annually) and net fee. 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. (15 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. (50 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. (35 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 **21%**. 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 10-1, *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:

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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																
<b>TOTAL</b>																

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																
<b>TOTAL</b>																

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 Local Public Agency (LPA) 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.”
- LPA 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 must 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 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 must 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. COUNTING DBE PARTICIPATION

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 must 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

## 6. 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 [email DBE.Certification@dot.ca.gov](mailto:DBE.Certification@dot.ca.gov) for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Civil Rights [website](#). For [guidance on how to search for certified firms using the CUCP database, please visit: DBE Goal Setting | Caltrans](#)

**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 %
<b>Local Agency to Complete this Section</b>		<b>11. TOTAL CLAIMED DBE PARTICIPATION</b>	%
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
<b>Local Agency to Complete this Section</b>			\$
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.			<b>14. TOTAL CLAIMED DBE PARTICIPATION</b>
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 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 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><b>1. Type of Federal Action:</b></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><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bid/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post-award</p>	<p><b>3. Report Type:</b></p> <p><input type="checkbox"/> a. initial  <input type="checkbox"/> b. material change</p> <p><b>For Material Change Only:</b>  year ____ quarter ____  date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity</b></p> <p><input type="checkbox"/> Prime                      <input type="checkbox"/> Subawardee  Tier _____, if known</p> <p>Congressional District, if known _____</p>	<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p>Congressional District, if known _____</p>	
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p>CFDA Number, if applicable _____</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b></p>	
<p><b>10. Name and Address of Lobby Entity</b>  (If individual, last name, first name, MI)</p> <p>(attach Continuation Sheet(s) if necessary)</p>	<p><b>11. Individuals Performing Services</b>  (including address if different from No. 10)  (last name, first name, MI)</p>	
<p><b>12. Amount of Payment (check all that apply)</b></p> <p>\$ _____ <input type="checkbox"/> actual    <input type="checkbox"/> planned</p>	<p><b>14. Type of Payment (check all that apply)</b></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><b>13. Form of Payment (check all that apply):</b></p> <p><input type="checkbox"/> a. cash  <input type="checkbox"/> b. in-kind; specify: nature _____  Value _____</p>		
<p><b>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:</b></p> <p>(attach Continuation Sheet(s) if necessary)</p>		
<p><b>16. Continuation Sheet(s) attached:</b>      Yes <input type="checkbox"/>      No <input type="checkbox"/></p>		
<p><b>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.</b></p>		
		<p>Signature: _____  Print Name: _____  Title: _____  Telephone No.: _____ Date: _____</p>
<p>Authorized for Local Reproduction  Standard Form - LLL</p>		
<p><b>Federal Use Only:</b></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: