

**Welcome To Central Region
Districts 6, 10, and 5
Hazardous Waste Outreach**

Presentation to Begin Shortly

Thursday, October 7, 2021

1:30 pm – 3:30 pm

Virtual Outreach via Webex

Title VI

Caltrans ensures that no person in the state of California is excluded from participation in, denied benefits of, or otherwise subjected to discrimination in Caltrans programs, policies, procedures, activities, and services on the grounds of race, color, national origin, sex, age, or disability. For more information on Title VI of the Civil Rights Act of 1964 at Caltrans, please visit:

<https://dot.ca.gov/programs/civil-rights/title-vi>

Agenda

1:00 PM – Welcome & Purpose of the Outreach

1:10 PM – Roundtable Introductions

1:30 PM – Office of Civil Rights & Small Business Liaison

1:40 PM – Calmentor

1:50 PM – Contract Overview and DPAC Updates

2:30 PM – Questions and Answer Session

- *Official responses to be posted on the DPAC Website

3:30 PM – Adjourn

DPAC

Anup Singh DPAC Coordinator

Consultant Roundtable Introduction

- Participant's name and firm title
- Services your firm provides/Personnel Current Certifications
- Are you a DBE/DVBE Consultant/Sub-Consultant?
- About Your Firm:
 - Prime or sub-consultant and
 - Primes to possibly host teaming WebEx?
- Goal for attending this event (for non-Caltrans participants)

Purpose of this Outreach

General Information Sharing

Office of Civil Rights Opportunity

Calmentor

Gen Environmental SOW & Classifications

DPAC Updates

Networking and Partnering Opportunities

Question and Answer Session

Disclaimers

The information provided in this event does not constitute a solicitation or offer of any contract with Caltrans.

For this outreach, the scope of work, duties, contract amount, schedule, and all aspects of the contract are not final.

Information provided is preliminary and subject to change.

District Small Business Liaisons

District 10 (Stockton)

Bob Adams

(209) 948-7855

Bob.Adams@dot.ca.gov

District 6 (Fresno)

Chloe Doyle

(559) 908-0269

Chloe.Doyle@dot.ca.gov

Jessica Biro

District 5 (San Luis Obispo)

(805) 849-3818

Jessica.Biro@dot.ca.gov

Office of Civil Rights (OCR)

Disadvantaged Business Enterprise (DBE) Program Overview

DBE Eligibility & Certification Process

NEW Proposed DBE Statewide Goal – 22.2%

DBE Participation Goal: 13-19%

DBE Questions?

- Contact the DBE “Analyst of the Day” at (916) 324-1700 or DBE.certification@dot.ca.gov
- Email the OCR Outreach Branch at smallbusinessadvocate@dot.ca.gov or visit <https://dot.ca.gov/programs/civil-rights>

DBE Program Overview

DBE Eligibility

- The business must be at least 51% owned by a socially and economically disadvantaged individual(s): Asian-Pacific, Black, Hispanic, Native American, Subcontinent Asian, Women
- The business's last 3-year average gross receipts cannot exceed \$23.98 million (varies by industry)
- Personal net worth of the disadvantaged owner(s) cannot exceed \$1.32 million
- Owner(s) duties must include managerial and operational control of the business
- Must be independently owned and operated

DBE Program Overview

DBE Certification Process

- DBE paper application and the personal net worth statement
- OCR website for instructions and mailing address:

<https://dot.ca.gov/programs/civil-rights/dbe-certification-information>

- For DBE certification questions, call: (916)-324-1700 - ask to speak to the Analyst of the Day .
Or email them at: DBE.Certification@dot.ca.gov
- DBE Program Overview, Certification and Contracting Video:
<https://www.youtube.com/user/CaltransD5>

Calmentor Program

Overview

- Caltrans Regional/District Consultant Services Unit (CSU) has implemented an Architectural & Engineering (A&E) mentor-protégé program, also known as “Calmentor”.
- Partnering with the American Council of Engineering Companies (ACEC), the Calmentor Program promotes partnership with the private consulting industry
- The Calmentor Program is consistent with the Governor’s Executive Order No. S-11-06 to encourage new businesses, grow existing businesses, and promote small and emerging business contracting with the State of California.
- Calmentor supports the participation of certified Small Business Enterprise (SBE), Disadvantaged Business Enterprise (DBE), and Disabled Veterans Business Enterprises (DVBE) firms in the Central Region.
- Voluntary participation in the program is through acceptance and screening of completed applications from mentors and protégés. Not a requirement of this RFQ solicitation

Calmentor Program: Mission and Goals

Mission Statement

The mission of the Calmentor Program is to increase the pool of small firms participating in transportation projects by providing them opportunities to network and partner with larger, established firms.

Goals and Objectives

- Establish a mentoring Program that pairs small firms with larger, established firms in the same field of expertise
- Enhance the growth potential of small firms
- Ensure that both small and large firms have equal opportunities to participate in transportation projects
- Establish a clear, accessible entry point for small firms that want to do business with Caltrans or other public agencies
- Develop business relationships that foster new opportunities for both large and small firms
- Encourage small firms to obtain certification from appropriate agencies
- Increase the pool of small businesses

Calmentor Program: Participants

- Participants of the Program are Mentors, Protégés, Sponsors, and/or Steering Committee members.
- Mentors are large, established firms who are typically prime consultants willing to commit time to help small firms achieve their growth potential.
- Protégés are small firms who are seeking A&E contracts with Caltrans or other public agencies.
- Caltrans Region District CSU is the program's primary sponsor whose aim is to facilitate the growth of small firms.
- Any public or local organization may join to co-sponsor the Program.

Calmentor Program:

Contact Information for Central Region

Public Sector Members

- Camillo Prandini - Consultant Services, Caltrans CR

Camillo.Prandini@dot.ca.gov

Private Sector Members

- Lori Goodwin

Lori.Goodwin@nv5.com

- Julianita Juaregui

Julianita.Juaregui@stantec.com

Central Region Calmentor Program

- <https://dot.ca.gov/caltrans-near-me/district-6/district-6-programs/d6-calmentor>

Hazardous Waste Services

Three Contracts:

District 6 Presented by: Michael Leongson

District 5 Presented by: Karl Mikel

District 10 Presented by: Jonathan Schlee

General Information

- **Location:** 3 Contracts: one for each of Caltrans Districts 5, 6 and 10
- **Scope:** The Consultant shall perform consultation, research, professional and technical services required for Hazardous Waste Investigations, on an on-call basis
- **Cost:** \$2.4 to \$3.3 Million each contract
- **Duration:** Contract term is 3 years
- **Existing Contract #:** 06A2542 (Covers all 3 districts)
- **Current Consultant:** Stantec Consulting Services, Inc.

Contract Services: Introduction

Perform research, professional and technical services required for Hazardous Waste Site Investigation and Design Services, including, but not limited to, field sampling, analysis and reports on an “as-needed” basis to support the Department of Transportation (Caltrans)

Scope of Services

Deliverables include the following type of work, but not limited to:

- Site Investigation,
- Remedial design work
- Phase I Environmental Site Assessments
- Site Investigation (Phase II)
- Aerially Deposited Lead Investigation, Limited site assessments and site investigations (Limited Phase I and Phase II)
- Caltrans' requirements for ISAs and PSIs are on the SER website
 - <https://dot.ca.gov/programs/environmental-analysis/standard-environmental-reference-ser/volume-1-guidance-for-compliance/ch-10-hazardous-materials-hazardous-waste-contamination>
- Risk assessments, hazardous materials surveys; record research and review; field review and survey; historic material research and review; submitting findings in a report; site characterizations
- Applying for and complying with regulatory permits; proposing and evaluating remedial alternatives or feasibility studies
- Exclusion of work: Implementation of remedial action or environmental cleanup

Workplan Standards Guide Part 1

- WBS 150.20.10 Hazardous Waste Initial Site Assessment/Investigation
- WBS 160.30.10 Surveys and Mapping For Environmental Studies
- WBS 160.30.15 Properly Access Rights for Environment/Engineering Studies
- WBS 165 Perform Environmental Studies and Prepare Draft Environmental Document (DED)
- WBS 165.10.35 Water Quality Studies
- WBS 165.10.80 Hazardous Waste Initial Site Assessment/Investigations

Workplan Standards Guide Part 2

- WBS 165.10.85 Hazardous Waste Preliminary Site Investigation
 - Prepare Work Plans
 - Prepare Health and Safety Plans
 - Provide Traffic Control
 - Perform Soil Gas Surveys and Surface Geophysics
 - Perform Trenching and Drilling
 - Provide Surveys, including using GPS equipment
 - Perform Well Installation, Development, and Destruction
 - Aerially Deposited Lead Investigations Data Evaluation
 - Activity Description
 - Perform Soil and Water Sampling
 - Perform Statistical Data Evaluation
 - Activity Description
 - Perform Soil and Water Sampling
 - Perform Statistical Data Evolution
 - Provide Laboratory Sample Handling and Testing, including using mobile Laboratories.
 - Perform Quality Assurance/Quality Control for Office, Field and Laboratory Services

Workplan Standards Guide Part 3

- 185 Base Maps and Plan Sheets for PS&E Development
- 185.25.25 Water Well Abandonment Needs Determination
- 195 Right Of Way Property Management and Excess Land
- 195.40.30 Hazardous Waste and Hazardous Materials
- 205 Permits and Agreements during PS&E Component
- 205.05 Required Permits
- 205.10 Permits
- 235 Mitigate Environmental Impacts and Clean Up Hazardous Waste
- 235.05 Environmental Mitigation
- 235.10 Detailed Site Investigation for Hazardous Waste
- 235.10.05 Right or Permit for Hazardous Waste Site Investigations (SI)
- 235.10.10 Hazardous Waste Sites Survey
- 235.10.15 Detailed Hazardous Waste Site Investigation
- 235.15 Hazardous Waste Management Plan

Workplan Standards Guide Part 4

- 235.20 Hazardous Waste PS&E
- 235.25 Hazardous Waste Clean-Up
- 235.30 Certificate of Sufficiency
- 255.10 Updated PS&E Package
- 260.80 Draft Contract Ready
- 270.66 Technical Support
- 285.10.15 Other Functional Support

** Generally for these WBS activities provide engineering support such as mapping &/or design information

Hazardous Waste Personnel Requirements Part 1:

- Consultant Contract Manager
 - 5 Years as Consultant Contract Manager
 - Minimum 10 Years of demonstrated experience in Hazardous Waste Site Investigation and Design Services work.
 - Shall be a Registered Professional Engineer, Professional Geologist, or Certified Engineering Geologist licensed in the State of California
 - Shall be an employee of the Prime
- Consultant Task Order Manager
 - Shall be a Registered Professional Engineer, Professional Geologist, or Certified Engineering Geologist licensed in the State of California
 - Minimum 10 years of demonstrated experience in Hazardous Waste Site Investigation and Design Services work
- Consultant Hazardous Waste Responsible Person
 - Shall be a Registered Professional Engineer, Professional Geologist, or Certified Engineering Geologist licensed in the State of California

Hazardous Waste Personnel Requirements Part 2:

Consultant Personnel and Team Member Qualifications

- Class A General Engineering Contractor's License with a Hazardous Waste Certificate and Hazardous Substance Removal Certification.
- Registered Professional Geologist licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologist at all times during the Contract period.
- Certified Engineering Geologist licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period.
- Certified Hydrogeologist licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all time during the Contract Period.
- Registered Professional Lan Surveyor (PLS) licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period.

Hazardous Waste Personnel Requirements Part 3:

Consultant Personnel and Team Member Qualifications Continued

- Asbestos Hazard Emergency Response Act training.
- Certified Industrial Hygienist.
- Registered Professional Geophysicist licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract Period.
- Historian with a Master Degree in History, if specified in the Task order for preparation of a historic land use report or to identify and evaluate historic landscapes while conducting environmental studies.
- Registered Professional Civil Engineer (with experience in environmental engineering) licensed in the State of California in good standing with the California State Board for Professional Engineers, Land Surveyors, and Geologists at all times during the Contract period.

Hazardous Waste Personnel Requirements Part 4:

Consultant Personnel and Team Member Qualifications Continued

- Certified Asbestos Consultant.
- Certified Lead Inspector/Assessor.
- Traffic Control License (C31).
- Drilling License (C57) (for drilling that exceeds 10 feet or encroaches on groundwater).
- Laboratory Certification by California Department of Public Health Services (Environmental Laboratory Accreditation Program).
- Certified Mobile Laboratory (Environmental Laboratory Accreditation Program).

Conflicts of Interest

Disclosure of Potential Conflict of Interest Form for A&E Contracts*

1. Proposer must disclose and describe in detail each conflict of interest, if applicable.
 - Person
 - Project Related
 - Financial Related
 - Other
2. Each actual or potential conflict above, describe in detail the measures proposed to mitigate.
3. Describe in detail the intended effect of the proposed measures on said conflict and how the measures will mitigate.

* = COI Form placed immediately behind the Transmittal letters

All Hazardous Waste Investigation and Design Services provided by the Consultant and deliverables produced by the Consultant shall be free of any conflict of interest

Tentative Schedules For District 6 HW On-Call Contract

- Advertisement – Week of 11/15/2021
- SOQ Due – Week of 12/20/2021
- Interview – Week of 01/17/2022
- Cost Negotiation – Week of 02/28/2022
- Award & Execution – Week of 03/07/2022

Tentative Schedules For District 10 HW On-Call Contract

- Advertisement – Week of 12/13/2021
- SOQ Due – Week of 01/24/2022
- Interview – Week of 02/14/2022
- Cost Negotiation – Week of 03/28/2022
- Award & Execution – Week of 04/11/2022

Tentative Schedules For District 5 HW On-Call Contract

- Advertisement – Week of 01/17/2022
- SOQ Due – Week of 02/28/2022
- Interview – Week of 03/21/2022
- Cost Negotiation – Week of 05/02/2022
- Award & Execution – Week of 05/09/2022

Division of Procurement and Contracts (DPAC)

YOUR PROCUREMENT PARTNER

Caltrans Website ADA Compliance

With Section 508 of the Federal Rehabilitation Act for persons with disabilities.

Safe Harbor Rate Program

Field Rate = 90%, Home Rate = 120%, approved by FHWA

Personnel Additions

Additions will not be allowed within 6 months of Request for Qualifications (RFQ) start date, regardless of execution date.

Advertisement Period

All Advertisements will be for 30 calendar days.

Main Contact for Documents and Questions

AE.Customer.Service@dot.ca.gov

DPAC New Process

Contract Planning – District or Program = 60 Calendar Days

- Contract Need Identified
- Develop Scope of Work
- Look Ahead Report
- Contract Request Submitted

A&E Streamline Contract Procurement – Division of Procurement and Contracts = 75 Business Days

- Advertisement – 25 Business Days
- Evaluate SOQs – 5 Business Days
- Consultant Interviews – 5 Business Days
- Negotiate and Execute – 40 Business Days

DPAC A&E Streamline Negotiation Phase Only (Stage A)

Ready to Do Business

- Consultant provides Readily Available Documents(RADs)
- Are RADs complete? Indirect Cost Rate, Payroll, Other Direct Cost Sheet, Company Policies
 - If Yes → Proceed to Phase B
 - If No → Terminate Negotiations

8 Days

A&E Streamline Negotiation Phase Only

(Stage B)

Remaining Financial Documents

- Consultant submits Remaining Financial Documents (RFDs)
- Is Financial Package Complete?
 - If Yes → Proceed to Phase C
 - If No → Terminate Negotiations

6 Days

A&E Streamline Negotiation Phase Only (Stage C)

Audits and Investigations' Review

- A&I reviews Complete Financial Package
- Consultant responds to A&I findings
- Has Consultant responded to ALL findings?
 - If Yes → Proceed to Phase D
 - If No → Terminate Negotiations

15 Days

A&E Streamline Negotiation Phase Only

(Stage D and Debriefing)

Comment Resolution and Execution

- Comment Resolution Meeting with Consultant, if necessary
- Consultant submits Final Cost Proposal and Supporting documentation
- Does Cost Proposal address all issues?
 - If Yes → Contract execution
 - If No → Terminate Negotiations

11 Days

Debrief after Contract Execution

- Caltrans debriefs Consultant

DPAC

(Updates)

New A&E Streamline Procurement Process

Major Changes

- Returning to Business Days
- Statement of Qualification (SOQ) Instructions Update
- New Negotiation Phase Process
- Caltrans Financial Requirements and Instructions document
- Financial Document Structure (FDS)
- New Cost Proposal

SOQ Submittal Instructions

Key Personnel

New Definition: *Key Personnel*

Key Personnel are individuals who are essential to the work being performed under this contract. Key Personnel shall be representative of required and advertised classifications.

Together, key and non-key personnel shall compose a complete team of various classifications, to perform required work for substantial period.

SOQ Submittal Instructions

Vendor Services

New Definition: Vendor Services

The vendor services must be listed in the SOQ transmittal letter.

The name of vendors should be listed in the SOQ. **For example, you may list “Traffic Handling Services Vendor” and include the name of the vendor.**

SOQ Submittal Instructions

(New Clarification)

- All proposed personnel to be utilized on the contract must be listed in the Organizational Chart.
- The consultant is required to identify the key personnel in the Organizational Chart with a symbol (examples such as a star or a picture of a key).
- Resumes for all proposed personnel (key and non-key) listed on the Organizational Chart shall be included in the SOQ.
- SOQ is now included as an attachment in the executed contract.

SOQ Submittal Instructions

(New Requirements)

(Section 2, Part One, Sub-Section E of SOQ):

- Resumes must be grouped by firm.
- Resumes must be arranged by classification and numbered for each individual firm.
- Each consultant (Prime & all Subs) shall include a warrant letter certifying that proposed personnel meet the requirements specified in the RFQ for their corresponding classification, education, licensing, certifications and experience.
- *Firms' warrant Letter shall be placed prior to SF330 Resume

Financial & Cost Accounting Requirements (DPAC Updates)

Readily Available Documents (RADs) – required by Day 5.

1. Indirect Cost Rate – ICR
2. Contractor Cost Certification – CCC
3. Internal Control Questionnaire (AASHTO Appendix B) – ICQ
4. Payroll
5. Other Direct Costs, with Unit Rate justification(s) – ODC
6. Company Policies – Policies
7. Safe Harbor Rate documents - SHR

Financial & Cost Accounting Requirements

(DPAC Updates continued)

Readily Available Documents (RADs) – required by Day 5.

1. Complete Cost Proposal – CCP
2. Executive Compensation Analysis - ECA
3. Labor Summary Report – LSR
4. Post-Closing Trial Balance – PC-TB
5. Income Statement – IS
6. Chart of Accounts – CoA
7. Other Reviews/Audits (if applicable) - Other

Cost Proposal

Goals

- Streamline A&E contract procurements
- Reduce contract execution timelines
- Develop a simpler cost proposal for all stakeholders
- Utilize a consistent method of reimbursement of costs to all firms

Websites

- New Caltrans Website:

<https://dot.ca.gov/>

- Caltrans, Division of Procurement and Contracts (DPAC) A&E Website:

<https://dot.ca.gov/programs/procurement-and-contracts>

- Look Ahead Report:

<https://dot.ca.gov/programs/procurement-and-contracts/ae-contract-information>

Networking & Partnering Opportunity

- A list of all today's attendees will be posted on the DPAC Website with Prime-Consultants and Sub-Consultants for your reference.
- Utilize the list to form your potential team partners
- Are you planning to be a:
 - Prime or sub-consultant and
 - Primes to possibly host teaming Webex? (Advertised in OCR Events Calendar)

Question & Answer Session

Outreach information including questions and answers will be posted on the DPAC A&E website:

<https://dot.ca.gov/programs/procurement-and-contracts/ae-contract-information/a-e-outreach-events>