

District 5, 6, 10 Construction Claims Support

(After Caltrans Acceptance of the Construction Project)

A&E Contract Outreach
Districts 5, 6, and 10

Date: February 23, 2022

Time: 1:30 PM – 3:30 PM

Via Webex

Agenda

1:30 PM – Welcome & Purpose of the Outreach

1:35 PM – Roundtable Introductions

1:45 PM – Office of Civil Rights

1:55 PM – Calmentor

2:00 PM – Contract Overview and DPAC Updates

3:00 PM – Questions and Answer Session

- Prime holding offside Webex networking sessions
- *Official responses to be posted on the DPAC Website

3:30 PM – Adjourn

Purpose of Outreach

General Information Sharing

Office of Civil Rights

Calmentor Participation

Contract Overview

DPAC Updates

Networking and Partnering Opportunities

Question & 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.

Consultant Roundtable Introduction

- Participant's Name, Your Title, and Firm that you represent
- Services your firm provides/Personnel Current Certifications
- Are you planning to be a:
 - Which contract(s) are you interested in participating?
 - Will you be participating as a Prime or sub-consultant?
 - Primes are encouraged to host separate team building online virtual meeting.
- What is your goal for attending this event (for non-Caltrans participants)?

Office of Civil Rights (OCR)

DBE Program Overview

DBE Eligibility & Certification Process

DBE Participation Goal: TBD (Range 10% to 15 %)

How to find a DBE firm

For more information please visit:

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

Small Business Liaison

Vacant

District 5 Small Business Liaison

D5.SmallBiz@dot.ca.gov

Chloe Doyle

District 6 Equity / Small Business Manager

(559) 908-0269

Chloe.Doyle@dot.ca.gov

Bill Lavelle

District 10 Small Business Liaison

(209) 948-7855

Bill.Lavelle@dot.ca.gov

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 America, 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/CaltransD5>

Calmentor Program Overview

- Caltrans Regional/District Consultant Services Unit (CSU) has implemented an Architectural & Engineering (A&E) mentor-protégé, also known as “Calmentor”
- Partnering with the American Council of Engineering Companies (ACEC), the Calmentor Program promotes partnerships with the private consulting industry.
- The Calmentor Program is consistent with the Governor’s Executive Order No. S-11-06 to encourage new business, 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 Enterprise (DVBE) firms in the Central Region.
- Voluntary participation in the program is through acceptance and screening of completed applications from mentors and proteges.

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
- Ensure 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, Proteges, 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.
- Proteges 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 – Chairperson
Lori.Goodwin@nv5.com
- Stacey Kauinana – Evaluations/Pairing Committee Chair
Stacey.Kauinana@icf.com

Central Region Calmentor Program

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

District 5 Locations of Services

- Monterey
- San Benito
- San Luis Obispo
- Santa Barbara
- Santa Cruz

District 6 Location of Services

- Fresno
- Kern
- Kings
- Madera
- Tulare

District 10 Location of Services

- Alpine
- Amado
- Calaveras
- Mariposa
- Merced
- San Joaquin
- Stanislaus
- Tuolumne

General Information

- Location: Districts 5, 6, and 10 – Administered out of Central Region
- Cost: Contract estimated value is #700,000 to #1 Million
- Duration: Contract term is 3 years
- Target DBE goal: TBD (Range 10% to 15%)
- Existing Contract #: 06A2476 (expired)
- Current Consultant: NV5, Inc.
- Contract Work Performed: The Consultant Claims Support (After Caltrans acceptance of the construction project)

Scope of Work

Required Services:

- The Consultant shall perform professional and technical services required for Construction Claims Support (after Caltrans Acceptance of the Construction Project)

Exclusion Services:

- All Roadway Construction Services associated with structures including, but not limited to, bridges and buildings, are specifically excluded from the scope of his Contract.
- All Claims work prior to Caltrans acceptance of the Construction project
- Roadway Construction Inspection and Office Engineering
- Electrical Construction Inspection
- Landscape Architectural Construction Inspection
- Construction Scheduling / CPM
- Construction Materials Sampling and Testing
- Construction Stormwater Implementation
- Eastern Kern County of District 9

Typical Scope of Required Services

The Consultant shall perform services on an On-Call and as-needed basis.

- Construction (Base)
- Construction Claims Support (Prior to Project Acceptance)

Typical Personnel Classifications

Consultant Contract Manager

- 5 years as a Consultant Contract Manager for Roadway Construction Services contracts.
- Minimum 10 Years of demonstrated experience acceptable to Caltrans in Roadway Construction Services work.
- Shall be an employee of the Prime.

Consultant Task Order Manager (Cannot be Consultant Contract Manager)

- See RFQ

Consultant Responsible Person

- See RFQ

Tentative Schedule

(Subject to Change)

- Advertisement – Week of 05/09/2022
- SOQ Due – Week of 06/13/2022
- Interview – Week of 07/04/2022
- Cost Negotiation – Week of 08/29/2022
- Award & Execution – Week of 09/05/2022

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

AECustomer.Service@dot.ca.gov

DPAC New Process

Contract Planning – District or Program = 60 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
- 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 (See DPAC website for upcoming Prevailing Wage Guidance)

SOQ Submittal Instructions

(Update 1)

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

(New Clarification)

- All proposed personnel (Key and Non-Key) 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 Submittal Instructions

(New Requirements)

(Section E of SOQ)

- Resumes must be grouped by firm.
- Resumes must be arranged by classification and numbered for each individual firm.
- Each consultant shall represent and warrant that proposed personnel, meet the requirements specified in the RFQ for their corresponding classification, including but no limited to; education, licensing, certifications and experience.

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

- Caltrans Website:
<https://dot.ca.gov/>
- Caltrans, Division of Procurement and Contract (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 and 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? (Advertise in OCR Events calendar)

Question and 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>