

# District 5 & 10 Roadway Design Services

A&E Contract Outreach  
Districts 5 and 10

Date: March 30, 2022

Time: 1:30 PM – 3:30 PM

Via Webex

# Non-Discrimination Policy Statement

## (Title VI)

Caltrans ensures that no person in the state of California is excluded from participation in, denied the 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 the Title VI of the Civil Rights Act of 1964 at Caltrans, please visit:

[http://dot.ca.gov/programs/civil-rights/title-vi.](http://dot.ca.gov/programs/civil-rights/title-vi)

# Agenda

1:30 PM – Welcome & Purpose of the Outreach

1:35 PM – Roundtable Introductions

1:50 PM – Office of Civil Rights & Small Business Liaison

2:00 PM – Calmentor

2:10 PM – Contract Overview and DPAC Updates

2:45 PM – Questions and Answer Session

\*Official responses to be posted on the DPAC Website

3:30 PM – Adjourn

# Consultant Roundtable Introduction

- Participant's Name, Your Title, and Firm that you represent
- Services your firm provides/Personnel Current Certifications
- Are you a DBE/DVBE Consultant/Sub-Consultant
- Are you planning to be a:
  - Prime or sub-consultant and
  - Primes to possibly host teaming Webex
- Goal for attending this event (for non-Caltrans participants)

# 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.

# Small Business Liaison

Bill Lavelle

Small Business Manager

District 10 (Stockton)

[Bill.Lavelle@dot.ca.gov](mailto:Bill.Lavelle@dot.ca.gov)

Amanda Himes

Small Business Manager

District 5 (San Luis Obispo)

[D5.SmallBiz@dot.ca.gov](mailto:D5.SmallBiz@dot.ca.gov)

# Office of Civil Rights (OCR)

Disadvantaged Business Enterprise (DBE) Program Overview

DBE Eligibility & Certification Process

New DBE Statewide Goal – 22.2%

DBE Participation Goal: Anticipated range of 11 - 16%

DBE Questions?

- Contact the DBE “Analyst of the Day” at (916) 324-1700 or [DBE.certification@dot.ca.gov](mailto:DBE.certification@dot.ca.gov)
- Email the OCR Outreach Branch at [SmallBusinessAdvocate@dot.ca.gov](mailto:SmallBusinessAdvocate@dot.ca.gov)

For more information please visit:

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

# DBE Program Overview

## 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

Online Certification process: <https://caltrans.dbesystem.com/>

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, 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 – Caltrans Central Region – [Camillo.Prandini@dot.ca.gov](mailto:Camillo.Prandini@dot.ca.gov)

### Private Sector Members

- Lori Goodwin – Chairperson – [Lori.Goodwin@nv5.com](mailto:Lori.Goodwin@nv5.com)
- Julianita Jauregui, Co-Chairperson – [Julianita.Juaregui@stantec.com](mailto:Julianita.Juaregui@stantec.com)

### Central Region Calmentor Program

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

# District 5 & 10

Roadway Design Services A&E Contract

Presented By:

Alicia Rodriguez

Anup Singh

# General Information

- Location: Districts 5 and District 10
- Scope: The Consultant shall perform consultation, research, professional and technical services required for Roadway Design and related Project Development and Construction Support Services, on an on-call basis.
- Cost: Contract estimated value range: \$13.6-22.1 Million
- Duration: Contract term is 5 years; 3 years to write Task Orders and 2 years for Construction support and finish work on open task orders.
- Existing Contract #:
  - District 5 – 06A2647 – Michael Baker International
  - District 10 – 06A2667 – NCM Engineering Corp.

# Scope of Services

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

- Project Approval & Environmental Document Phase (PA&ED) “Phase 0”

Engineering studies and preliminary design during the PA&ED phase that will support environmental evaluation and project approval.

- Approved PID Review
- Develop Geometric Plans for Project Alternatives
- Environmental Studies Request
- Determine Utility Locations for Preliminary Engineering
- Hydraulic Analysis
- Storm Water Data Report
- Highway Planting Design Concepts
- Update R/W Data Sheet
- Design Standard Decision Documents
- Updated Transportation Management Plan
- Public Hearing\*\*
- Draft Project Report (DPR)
- Final Project Report (PR)

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

# Scope of Services Continued

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

- Plans, Specifications and Estimate (PS&E) “Phase 1”
  - Prepare base maps and plan sheets for PS&E development
  - Develop plan Sheets (30%, 60%, 95% draft plans)
  - Functional Unit requests
  - Update SWDR, TMP and RWDS
  - Prepare roadway standard special provisions (SSP's)
  - Attain Utility policy exceptions and other certifications
  - Calculate preliminary engineer's estimate
  - Final District PS&E (110% PS&E)
  - Prepare Resident Engineer pending file
  - Develop Survey File
  - Develop Slope Staking notes
  - Prepare Design Project History file

# Schedule Activities

- WBS 100 Project Management
- WBS 160 Perform Preliminary Engineering & Draft Project Report
- WBS 165 Perform Environmental Studies & Prepare Draft Environmental Document \*\*
- WBS 170 Obtain Permits, Licenses, Agreements, & Certifications (PLACs) & Route Adoptions during PA&ED Component \*\*
- WBS 175 Circulate Draft Environmental Document & Select Preferred Project Alternative \*\*
- WBS 180 Prepare & Approve Project Report & Final Document
- WBS 185 Prepare Base Maps and Plan Sheets for PS&E
- WBS 205 Obtain Permits, Agreements, ETC.. During PS&E
- WBS 200 Utility Relocations
- WBS 230 Prepare Draft PS&E

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

# Schedule Activities Continued

- WBS 235 Mitigate Environmental Impacts & Clean up Hazardous Waste \*\*
- WBS 240 Draft Structures PS&E \*\*
- WBS 250 Final Structures PS&E Package \*\*
- WBS 255 Circulate, Review, and Prepare Final District PS&E Package
- WBS 260 Contract Bid Documents Ready to List
- WBS 265 Awarded & Approved Construction Contract
- WBS 270 Construction Engineering and Contract Administration (RFI's, Design Updates)
- WBS 285 Review Contract Change Orders and make Recommendations
- WBS 295 Accept Final Construction Report

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

# Field Reviews

- Identify change in site conditions, problem areas, right of way constraints, secure agreement on design features or alternatives
- Site visit – Identify changes to site conditions (e.g. pavement conditions)
- Gather input from various representatives/functional units involved, e.g. maintenance personnel and construction.

Key: Communicate with Project Team, identify and document risk, and focus on addressing the project's and need. Avoid scope creep.

# Field Reviews Continued

- Field review of utilities and potential utility conflict resolution. Confirm utility location by test hole, electronic deflection, or field visit.
- Scope out conditions of utilities involved in the field and potential right of way issues.

Utility field reviews and positive location (POS-LOC) of involved utilities.

# Personnel Classification Requirements

## Consultant Contract Manager

- Registered Professional Engineer licensed in the State of California
- Minimum of five (5) years of responsible experience performing the duties as a Consultant contract manager for similar Roadway Design and related Project Development and Construction Services contracts.
- Minimum ten (10) years of demonstrated experience in Roadway Design and related Project Development and Construction Services work.

## Consultant Task Order Manager

- Minimum of five (5) years of responsible experience performing the duties as, or similar to a task order manager for similar Roadway Design and related Project Development and Construction Services contracts.
- Registered Professional Engineer licensed in the State of California

## Consultant Task Order Lead Person

- Minimum of five (5) years of responsible experience performing the duties as a Task Order Lead person or Lead Project Engineer for similar Roadway Design and related Project Development and Construction Services contracts.
- Registered Professional Engineer licensed in the State of California

# Personnel Classification Requirements Continued

## Consultant Responsible Project Engineer

- Minimum five (5) years of demonstrated experience in Roadway Design and related Project Development and Construction or related fields.
- Registered Professional Engineer licensed in the State of California

## Other Project Design Professional, such as Assistant Project Engineers

- At a minimum a Degree (Bachelors, Masters, or higher) in Engineering from an ABET accredited institution (College or University) or possession of a valid Engineer-in-Training (EIT) certificate issued or accepted by the California State Board.
- Minimum three (3) years of demonstrated experience acceptable to Caltrans in Roadway Design and related Project Development and Construction and related fields.

Other transportation professionals and specialists should have appropriate degrees, education, certificates, licenses, applicable work experience, and other professional affiliations in their related fields.

# Types of Task Orders

- Capital preventive maintenance projects (CAPM) projects
- Roadside Safety Improvements
- Roadway Rehabilitation
- Rumble Strip
- Drainage restoration &/or Improvement
- Irrigation Upgrades
- Intersection Improvement
- Sign and lighting upgrades
- Traffic Management System (TMS) upgrades/repair
- ADA facilities Improvements
- Traffic forecasting & Analysis (e.g. traffic count analysis)
- Utility Mapping
- Broadband Middle Mile Network (BMMN)

# **Tentative Schedule – District 10**

## **Design On-Call Contract**

- 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

# **Tentative Schedule – District 5**

## **Design On-Call Contract**

- Advertisement – Week of 06/06/2022
- SOQ Due – Week of 07/11/2022
- Interview – Week of 08/01/2022
- Cost Negotiation – Week of 09/26/2022
- Award & Execution – Week of 10/03/2022

# 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](mailto: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>