



STATE OF CALIFORNIA DEPARTMENT OF TRANSPORTATION  
INSERT ADVERTISEMENT DATE (MONTH, DAY, YEAR) AND RFQ NUMBER IN HEADER.

**REQUEST FOR QUALIFICATIONS NOTICE**

NUMBER (add RFQ #)

Read carefully as the following revisions have been made to this document:

Add date and section(s) to be revised

- On 04/01/22, GENERAL, Ukraine-Russian-related Sanctions Requirement added
- On 04/01/22, SUBMISSION OF STATEMENTS OF QUALIFICATIONS (SOQs), the electronic submittal time changed to 10:00am
- On 01/18/22, under DBE Goals, section 2 added NAICS Codes.

**Note:** Questions concerning this Request for Qualifications (RFQ) must be submitted in writing to the attention of [insert analyst name] at [insert email address]. Questions must be received no later than seven (7) business days after the RFQ advertisement. Consultants contacting the District or Division directly seeking information about this RFQ will be disqualified from consideration in the selection process.

(6/12/09--USE THE FOLLOWING PARAGRAPH IF CONTRACT WILL BE 100% STATE-FUNDED; OTHERWISE DELETE.)

As required by Executive Order S-02-06, Caltrans is committed to meeting the State's 25 percent Small Business (SB) participation goal. Certified SBs, Microbusinesses (MB), and consultants willing to commit to subcontracting a minimum of 25 percent of the contract amount to certified SBs or MBs are encouraged to submit Statements of Qualifications. Section I. H. has the specific goals established for this RFQ.

(6/12/09--IF THE CONTRACT WILL BE 100% STATE-FUNDED: USE THE FIRST PARAGRAPH BELOW IF DVBE PARTICIPATION IS NOT REQUIRED AND DELETE THE SECOND PARAGRAPH. DELETE THE FIRST PARAGRAPH AND USE THE SECOND PARAGRAPH IF DVBE PARTICIPATION IS REQUIRED. DO NOT USE EITHER PARAGRAPH IF CONTRACT HAS ANY FEDERAL FUNDS.)

Participation of Disabled Veteran Business Enterprises (DVBE) is encouraged, but a DVBE goal is not required.

The Disabled Veteran Business Enterprise (DVBE) Participation Program applies and a five percent (5%) goal is required for this RFQ. See section I. H. in this RFQ for requirements.

6/12/09--IF THE CONTRACT WILL HAVE ANY FEDERAL FUNDS: USE THE FIRST PARAGRAPH BELOW AND DELETE THE SECOND PARAGRAPH IF THERE ARE NO DBE GOALS. DELETE THE FIRST PARAGRAPH AND USE THE SECOND PARAGRAPH IF DBE GOALS ARE REQUIRED.

Disadvantaged Business Enterprise (DBE) goals do not apply to this RFQ, but Caltrans encourages DBE participation. See section I. H. in this RFQ for additional information.

FILL IN DBE %. (Revised 9/16/16)

Proposers are advised that Caltrans has established a federally mandated overall annual DBE goal comprising both race neutral and race conscious elements to ensure equal participation of DBE groups specified in 49 CFR 26.5. In compliance with 49 CFR 26, Caltrans set a contract goal for DBEs participating in this solicitation expressed as a percentage of the total dollar value of the resultant Agreement. The DBE participation goal for this solicitation is \_\_\_\_\_percent ( %). See section I.H. in this RFQ for requirements. (The DBE percentage must match the one in section I. H. 1.)

#### GENERAL INFORMATION

- A. Caltrans is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of a contract for (Insert Title of Services) services. In submitting your SOQ, you shall comply with the instructions found herein. In addition to those programs that are specified in this solicitation, prospective consultants are encouraged to consider programs that are available, such as those for the use of small businesses, disadvantaged businesses, disabled veteran businesses, new emerging firms, and other businesses covered by State and Federal programs.
- B. The estimated contract amount is \$ (Insert same range provided in the advertisement).
- C. The estimated contract term is (List either years or months).
- D. Interviews will be held via WebEx on (Date). Confirmation letters will be sent to those firms short-listed.
- E. The most highly qualified consulting firm will be required to submit an electronic copy of the financial documents listed on the appropriate Financial Documents Submittal Checklist available on the [AE Contract Information](#) website. The most highly qualified consulting firm will be notified of their selection and receive instructions for the electronic submission of the financial documents.

The most highly qualified consulting firm must submit a complete financial documents package no later than four (4) days after notification of selection. The prime consultant must submit the complete financial documents package in order for Caltrans to have the information necessary to engage in negotiations. The prime consultant is solely responsible for timely and complete submission of financial documents on behalf of the entire proposed team; financial documents will not be accepted from proposed subconsultant firms. Failure to submit a complete financial documents package by the specified due date may result in termination of negotiations with the most highly qualified consulting firm.

- F. Negotiations will be held with the top-ranked firm by teleconference/WebEx during the week of (Date). The fee for profit shall be (value) percent, and the escalation shall be as follows:

Analyst: Fill in ad date from header of this document (i.e. proposed advertisement date). End date for the first period will be exactly one year after the advertisement date. Second period will begin one day later and will end one year after the previous period, and so on. Fill in end date of contract term from ADM-0360AE or as directed by the Caltrans Contract Manager.

Period	Escalation
(ad date) -xx/xx/20xx	0%
xx/xx/20xx - xx/xx/20xx	1.5%
xx/xx/20xx - xx/xx/20xx	3.0%
xx/xx/20xx - xx/xx/20xx	3.0%
(last period) xx/xx/20xx - (end of contract term)	3.0%

Notes:

1. Partial year will only occur on the last year of the contract term. All other periods are full years.
2. Increases to the loaded billing rates after contract execution is not authorized for any reason per Article IV, Section 17 and Article XVI, Section 6 of the California Constitution.

Analyst: Fill in date from Procurement Schedule

- G. The scheduled date to complete cost negotiations and submit final cost proposal is (Date).

**SELECT APPROPRIATE DBE OR DVBE LANGUAGE. DO NOT USE BOTH.**

- H. Disadvantaged Business Enterprise Program

**For Federal funded contracts with No Goals:**

This solicitation is subject to Title 49, Code of Federal Regulations, Part 26 (49 CFR 26) entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." Disadvantaged Business Enterprise (DBE) participation goals have been waived for this solicitation. Although DBE goals have been waived for this solicitation, Caltrans encourages the participation of DBEs, as defined in 49 CFR 26, in performing contracts financed in whole or in part with federal funds. Information about the Federal DBE Program is available on the [United States Department of Transportation](#) website.

**For Federal funded contracts with DBE Participation Goals: FILL IN DBE %.**

1. This solicitation and resultant Agreement is financed in whole or in part with federal funds and therefore subject to Title 49, Code of Federal Regulations, Part 26 (49 CFR 26) entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." To ensure equal participation for Disadvantaged Business Enterprise (DBE) groups specified in 49 CFR 26.5, Caltrans specifies a contract goal for DBE participation. The required goal for DBE participation in this solicitation is not less than      percent. **(This percentages must match the one on page 2 of this solicitation.)**
2. Only participation by certified DBEs will count toward the contract goal for this solicitation. In order to count toward a contract goal, a firm must be certified as a DBE by the California Unified Certification Program (CUCP) and possess the NAICS and work codes applicable to the type of work the firm will perform on the Agreement by the SOQ submittal due date. NAICS and Work codes are provided by the [Office of Civil Rights](#) website.
3. It is the proposer's responsibility to verify that the DBE firm is certified as a DBE by the specified SOQ submittal due date and time. The list of DBEs certified by the CUCP are located on the [Office of Civil Rights](#) website.
4. A DBE must perform a commercially useful function (CUF) for the type of work it will perform on the Agreement as provided in 49 CFR 26.551(1)-(4). A DBE performs a CUF when it is responsible for the execution of a distinct element of the work of the Agreement and is carrying out its responsibilities by actually performing, managing, and supervising the work involved.

5. See “Statement of Qualifications Submittal Instructions and General Contract Process Information” for detailed information and references to the required forms. Required forms will be made a part of the Agreement. Failure to meet the DBE goal or Good Faith Effort requirements and provide required DBE participation at due date and time of SOQ submittal may result in the SOQ submittal being rejected as non-responsive.

THE FOLLOWING PARAGRAPH IS TO BE USED ONLY IF THE ADVERTISING PERIOD IS REDUCED SUBSTANTIALLY. ANALYST – DISCUSS WITH YOUR MANAGER.

6. The requirement to advertise for the purpose of identifying potential DBEs as part of a Good Faith Effort (GFE) attainment is waived. See form ADM-0312F for more information.

Use for State only funded solicitations with goals.

- H. A Disabled Veteran Business Enterprise (DVBE) Participation Goal of five percent (5%) is required for the contract. As of July 28, 2009, the Good Faith Effort (GFE) is no longer an option to meet the DVBE participation goal, pursuant to Assembly Bill 21 of the Fourth Extraordinary Session (AB4X 21). A Small Business Participation Goal of \_\_\_\_\_ percent is also highly recommended.

Use for State only funded solicitations without goals.

- I. Disabled Veteran Business Enterprise (DVBE) Participation Goals are not required for the contract.

Use the following four paragraphs for all solicitations regardless of funding.

- J. Federal and/or State prevailing wage rates may apply. This requirement, if applicable, will be specified in the draft Agreement. See SOQ Submittal Instructions, Section I., H. regarding the California Department of Industrial Relations (DIR) Consultant/Contractor Registration Program on the [AE Contract Information](#) website.
- K. Caltrans does not guarantee, either expressly or by implication, that any work or services will be required under any contract issued as a result of this RFQ.
- L. A Pre-award or Post-award Audit will be performed on any contract issued as a result of this RFQ.
- M. Contract boilerplate can be obtained on the [AE Contract Information](#) website.
- N. Pursuant to Executive Order (EO) N-6-22 issued March 4, 2022, persons identified in the list established by the US Department of the Treasury are ineligible to bid on, submit a proposal for, enter into, or renew any Agreement with the State for any goods and/or services.

Any person who submits a bid or proposal to Caltrans certifies that it is not identified in the most current lists located

<https://home.treasury.gov/policy-issues/financial-sanctions/sanctions-programs-and-country-information/ukraine-russia-related-sanctions>.

If applicable, any person who submits a bid or proposal to Caltrans certifies that its subcontractors are not identified in the most current lists located <https://home.treasury.gov/policy-issues/financial-sanctions/sanctions-programs-and-country-information/ukraine-russia-related-sanctions>

## SCOPE OF WORK/DELIVERABLES

THE PROGRAM/CONTRACT MANAGER/CONSULTANT SERVICE UNIT PROVIDES THIS INFORMATION. ATTACH THE SCOPE AS PROVIDED WITH THE 360. THE SCOPE SHOULD INCLUDE AT A MINIMUM: A DESCRIPTION OF SERVICES, THE LOCATION AND PURPOSE OF WORK, PERSONNEL QUALIFICATIONS, LICENSE REQUIREMENTS AND DELIVERABLES.

The work to be performed for this RFQ is described in the Scope of Work/Deliverables and is hereby incorporated as Attachment 1.

## CONFLICT OF INTEREST

- I. Conflicts of interest may occur due to direct or indirect financial or business interests in the work to be performed or in any real property acquired for such project. Conflicts of interest can include, but are not limited to, past, existing or planned activities or because of relationships with other persons or firms. If there is a conflict of interest, the proposed team, including both the prime consultants and subconsultants, and individual employees of team members would actually or potentially be unable to render impartial assistance or advice to Caltrans. The proposer's objectivity or availability in performing the contract work may be impaired due to actual or potential conflicts of interest.
- J. If the proposed team determines that any actual or potential conflicts of interest exists, it must identify and describe in detail each conflict of interest to Caltrans, using the Disclosure of Potential Conflict of Interest Form, which can be found on the [AE Contract Information](#) website. Along with the description of the actual or potential conflicts of interest, the proposed team shall also offer measures to avoid, neutralize, or mitigate all listed conflicts. The list of conflicts, including conflicts that apply to individuals as well as firms, and the mitigation measures on the Disclosure of Potential Conflict of Interest Form must be submitted as a separate section in the Statement of Qualifications. Disclosure of information will not disqualify a proposed team from competing for a contract. The existence of actual or potential conflicts of interest will be used as a criterion to evaluate team availability during the evaluation and selection process. Caltrans reserves the right to terminate negotiations with the first selected firm and begin negotiations with the next selected firm or to cancel the procurement prior to execution if Caltrans learns that the selected team failed to disclose any actual or potential conflicts, which it knew or should have known about, or if the proposed team provided or omitted information on the disclosure form that results in the information being false or misleading.

- K. After award, conflict of interest guidelines and policies shall continue to be monitored and enforced by the Caltrans Contract Manager. Additional information about Conflict-of-Interest issues can be found in the SOQ Submittal Instructions and General Contract Process Information document (Section V. Post Government Employment Restrictions and Section VI. Conflict of Interest Concerning Consultant(s)) found on the AE Contract Information website (see link below). The State and Federal contract boilerplates on DPAC's website also contain information on conflict-of-interest issues (Exhibit D) and can be found on the AE Contract Information website (see link below).
- L. The prime consultant and subconsultants may be proposed on SOQs for other Caltrans A&E on-call contracts; however, the Caltrans Contract Manager may prohibit work on specific project(s) where Caltrans determines that a conflict of interest exists.

#### SUBMISSION OF STATEMENTS OF QUALIFICATIONS (SOQs)

- M. **IMPORTANT:** Download "Statement of Qualifications Submittal Instructions and General Contract Process Information" from the [AE Contract Information](#) website (Dated Rev. 8/5/2020) . Failure to follow these instructions may result in rejection of your SOQs.
- N. SOQ Package Submittal Instructions

**Read instructions below carefully. You will be required to submit an electronic SOQ file to Sacramento.**

The electronic submission of a single unprotected (i.e. not password protected) PDF file of the SOQ is required. The electronic submittal will be accepted until **10:00 a.m.** on **DD/MM/YYYY**. Hard copies of the SOQs are **NOT** required. Fax copies or copies transmitted by email will not be allowed.

1. You will be required to create a Novell Filr account with Caltrans. Send an email message to the Contract Analyst, ([insert analyst name](#)), at ([insert email address](#)) containing the information listed below for a link and instructions to complete the self-registration page and submit the SOQ electronically.
  - Your firm's name
  - Your email address
  - The solicitation number for which you would like to submit a SOQ



The file name shall include the contract number, consultant name (max. 25 characters) separated by an underscore (\_), ending with the “.pdf” extension.

Example A: 50A0694\_JohnDoeConsulting.pdf

Example B: 50A0694\_aaa1234engineer.pdf

2. SOQ submittals will be considered non-responsive if the electronic submittal is not received by the date and time specified in this RFQ.

O. Request for RFQ Copies

Copies of this RFQ may be obtained on the [CaleProcure](#) website.

ANALYST PROVIDE THE FOLLOWING STATEMENT FOR THIS SOLICITATION IF APPLICABLE. DISTRICT TO PROVIDE WEB ADDRESS. ASK CONTRACT MANAGER TO NOTIFY YOU IF ANY CHANGES TO POSTINGS SO THAT ADDENDA CAN BE ISSUED. DELETE IF NO DOCUMENTS AVAILABLE. FOR MULTIPHASE SOLICITATION, GET URL FROM KATHY OR ANDREA. IF DOCUMENTS ARE ALREADY COMBINED INTO ONE FILE, LIST THE SINGLE FILE. EXAMPLE: SUPPLEMENTAL INFORMATION.

Documents related to this solicitation are available on the following web site ([Insert Web Site](#)). The available documents are ([List Documents](#))

ANALYST – PLACE A HARD COPY OF THE SOQ INSTRUCTIONS WITH THE RFQ IN THE CONTRACT FILE.