



CONTRA COSTA
transportation
authority

Request for Statement of Qualifications and Proposal (RFP 14-5)

**To provide
Program / Project Management
and Project Controls Services
for
Measure C and Measure J Programs
and
Other Capital Improvement Projects
in Contra Costa County**

RESPONSES DUE: 2:00 PM, February 6, 2015

CONTRA COSTA TRANSPORTATION AUTHORITY

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WALNUT CREEK, CA 94597

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SECTION 1 – INTRODUCTION

The Contra Costa Transportation Authority (AUTHORITY) is releasing this Request for Statement of Qualifications and Proposal (RFP) to select a Program / Project Management and Project Control Services Consultant (CONSULTANT) for the AUTHORITY's Measure C and Measure J Transportation Improvement and Growth Management Programs and other Capital Improvement Projects in Contra Costa County.

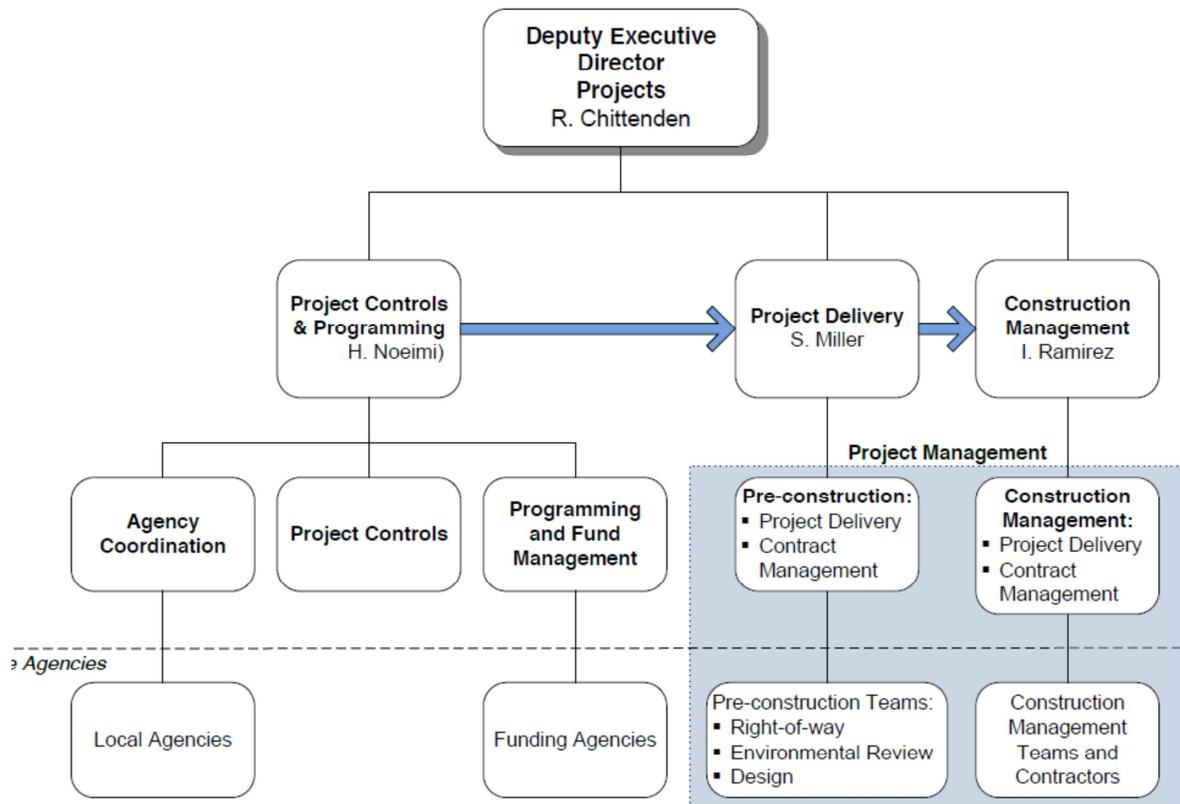
In November 1988, the voters of Contra Costa County approved a sales tax increase of one-half percent dedicated to transportation improvements and growth management (Measure C on the ballot). The measure imposed the sales tax for 20 years, and created the AUTHORITY to administer the program. In November 2004 the voters adopted a new Expenditure Plan and Growth Management Plan and extended the sales tax until 2034 (Measure J on the ballot). In addition, as the Congestion Management Agency (CMA) for Contra Costa County, the AUTHORITY programs and administers the State Transportation Improvement Program (STIP), the Metropolitan Transportation Commission (MTC) One Bay Area Grant (OBAG) and other regional programs under MTC's control, and various other State and federal transportation programs. The services contemplated by this RFP are intended to support the AUTHORITY's administration of the existing projects and programs in Measure C and Measure J, as well as other regional, State or federal programs administered by the AUTHORITY.

The AUTHORITY is governed by its Board of Directors and its Executive Director. The departments within the AUTHORITY include:

- Planning led by the Deputy Executive Director, Planning
- Projects led by the Deputy Executive Director, Projects
- Finance led by the Chief Financial Officer
- Programs led by the Programs Manager
- External Affairs led by the Director of External Affairs

The majority of the services under this RFP relate to the Projects Departments, however, significant support effort is performed for all departments.

The Projects Department is organized into three distinct but related functions – Project Delivery, Construction Management and Programming/Project Controls. The current organization and functional chart is shown below. Additional current staff include a Senior Engineer who functions as the AUTHORITY's Intelligent Transportation Systems / Connected Vehicle (ITS/CV) Program Manager, an Associate Engineer and the Projects Administrative Assistant.



Consulting firms and their joint venture partners or sub-consultants (PROPOSERS) responding to this RFP with a Statement of Qualifications and Proposal (PROPOSAL) will be expected to demonstrate familiarity with and ability to perform: 1) all aspects of project and program management, 2) project scope, cost and schedule controls, 3) traditional and innovative transportation financing, 4) State, regional and federal programming processes, 5) project financial management (accounting, invoicing, cash management, etc.) of Measure C/J, State, federal and regional funds, 6) the project development process for transportation capital improvement projects, including preliminary engineering and environmental clearance, final design, the acquisition of right-of-way, solicitation of construction bids, construction administration and construction management, and project close-out, 7) federal programs and the federal-aid process, 8) techniques to involve the public in transportation decision-making, 9) qualification-based consultant selection process, contract negotiations and consultant contract management, and 10) the policies and procedures of the AUTHORITY, Caltrans, MTC and the Federal Highway Administration (FHWA). The initial performance period is anticipated to be for two years from approximately July 1, 2015 through June 30, 2017. The AUTHORITY may request to extend the performance period for Option Year 1 (July 1, 2017 to June 30, 2018) and Option Year 2 (July 1, 2018 to June 30, 2019). PROPOSALS should be responsive to the description of services included in Section 2 and requirements for the program / project management firm / teams qualifications in Section 3.

The AUTHORITY is in the process of implementing a Project Management and Control System (PCS). The CONSULTANT will be required to review and evaluate the PCS and recommend actions to further develop and mature the PCS. The PCS currently consists of:

- Project Management and Control Guide
- Construction Contract Administration Guide
- EcoSys Enterprise Planning and Control (EPC) Solution
- Logos general ledger accounting system (New World Order)
- Other miscellaneous forms and tools

General information about the AUTHORITY can be obtained by visiting our website at:

<http://www.ccta.net>

Copies of Measure C and Measure J Expenditure Plans, Measure C and Measure J Strategic Plans, project status reports and other documents can be found at:

<http://www.ccta.net/resources/detail/2/1>

The AUTHORITY serves as the designated Congestion Management Agency for Contra Costa. Information regarding the AUTHORITY's roles and responsibilities, along with copies of the most recent Congestion Management Program (CMP) documents can be found at:

<http://www.ccta.net/resources/detail/10/1>

The AUTHORITY's program and project management policy requirements can be found in Appendix C of the 2013 Measure J Strategic Plan and in the AUTHORITY's Administrative Code at:

<http://www.ccta.net/resources/detail/28/1>

The Authority's Project Management and Controls Guide and Construction Contract Administration Guide are available at:

<http://www.ccta.net/resources/detail/54/1>

<http://www.ccta.net/resources/detail/52/1>

SECTION 2 - DESCRIPTION OF SERVICES

The services which the PROPOSAL should address overall program management and project management for the Measure C and J projects and programs and other programs administered

by the AUTHORITY in its role as the Congestion Management Agency (CMA) for Contra Costa County. This work includes filling Project Manager, Construction Manager, other project delivery services managers (such as environmental specialists, right of way and utility coordination, etc.), project administrator, project financial manager and/or contract manager roles for the AUTHORITY throughout the life of transportation capital improvement projects (including preliminary planning, environmental clearance, final design, utility and right of way coordination, construction and project close-out). The CONSULTANT will also perform project oversight and monitoring responsibilities for projects delivered by local jurisdictions or transit agencies. Measure J programs that will require tracking and oversight by the CONSULTANT may include but are not limited to the Measure J Transportation for Livable Communities (TLC) program, Pedestrian, Bike and Trail Facilities (PBTF) program, and Safe Transportation to Schools program.

PROPOSERS should have experience working with Caltrans district offices, structures and headquarters office engineer. In addition, PROPOSERS should demonstrate experience in project management and project controls including scope definition and scope control; project scheduling and control; cost estimating and cost control; grants and grant reimbursements; and project and program financial and fiscal management. PROPOSERS should have demonstrated experience in developing monitoring reports and performing trend analysis to detect and correct project delivery deficiencies. The selected CONSULTANT will provide general project administrative support which will include maintaining project records and document control; developing and reviewing invoices and grant reimbursements; and developing project fact sheets, presentation and other reports and information. The selected CONSULTANT will assist the AUTHORITY and jurisdictions to process State, federal or regional funding agreements and programming / grant applications; preparation of decision documents and staff reports; and preparation of periodic reports necessary for efficient and timely project delivery.

The AUTHORITY is a relatively small organization that relies heavily on a public-private partnership to carry out its mission. Under this model, CONSULTANT staff augment AUTHORITY staff serving as liaison to other agencies, consultants, and the public. In this role as an extension to AUTHORITY staff, CONSULTANT staff must demonstrate and adhere to the highest level of professionalism, ethics, and accountability, acting in a responsible, mature and thoughtful manner expected of a public official.

The AUTHORITY is currently updating its Countywide Transportation Plan (CTP) to determine transportation project and program needs throughout Contra Costa County, and has conducted public opinion poll to assess priorities for funding and level of support for a sales tax augmentation and / or extension. The AUTHORITY, in cooperation with the cities and county may elect to place a measure on the ballot sometime during the term of this contract. The CONSULTANT may be requested to provide technical and administrative support should this

occur. Moreover, the level of public engagement and profile of the AUTHORITY during this time requires the highest level of professional and ethical standards. Proposers are encouraged to consider this scenario as they look to form teams and partnerships to respond to this request.

The CTP includes a Comprehensive Transportation Project List (CTPL). The CTPL is a financially unconstrained list of projects and programs envisioned for possible implementation during the 25-year timeframe of the CTP. The proposed CTPL for inclusion in the 2014 CTP includes approximately \$13 billion in capital projects.

As the designated CMA for Contra Costa County, the AUTHORITY must publish and regularly update a CMP, which identifies performance objectives for freeways and major arterials, along with transit performance standards for buses and BART. The CMP includes a seven-year capital improvement program that identifies projects and programs for which the AUTHORITY may seek funding. The CONSULTANT may be requested to provide technical support for future updates to the CTPL and the CMP.

It is anticipated that PROPOSERS will identify a core staff of transportation professionals who will be available to the AUTHORITY, essentially on a daily basis, as an adjunct to AUTHORITY staff. It is possible that certain staff with broad skills may be able to fill one or more roles on a full-time basis, however, PROPOSERS should not assume that any member of the proposed team will be engaged full-time under the contract. It also should be anticipated that several on-call specialists will be required that possess the necessary skills and meets the technical requirements of the services listed below. PROPOSERS should demonstrate sufficient depth of expertise to supplement the core team when necessary in resolving complex issues that inevitably arise in delivering transportation projects and programs.

The AUTHORITY has devised a program / project management methodology to track the schedules and budgets of individual projects, contracts and funding agreements. The overall framework for Measure C and Measure J is the **Strategic Plan**, which is prepared on a biennial basis and programs specific sales-tax measure funds to individual projects in specific years over the upcoming seven year period.

Generally, the AUTHORITY is responsible to deliver Strategic Plan projects that are on the State Highway System. More recently, the AUTHORITY has been asked to deliver Strategic Plan projects for jurisdictions and transit agencies. The AUTHORITY may assume responsibility to deliver projects other than those included in the Strategic Plan

The AUTHORITY may elect to use a variety of models to deliver its projects and project components, including: 1) partnering solely with Caltrans, 2) use of an integrated team comprised of Caltrans and consultants, or 3) contracting solely with consultants for project

development (PSR, PAED, and PS&E) and construction management services. The AUTHORITY also may enter into contracts, cooperative agreements, or Memorandums of Understanding (MOU) with other public agencies, for example, the AUTHORITY currently has a contract with Contra Costa County Public Works Department for right-of-way services, and has numerous cooperative agreements with local jurisdictions for a variety of services. In all cases, the AUTHORITY assigns a Project Delivery Manager to organize, coordinate, oversee and monitor the performance of the project development team. The Project Delivery Manager is responsible to organize the project development team, direct the work of consultants responsible for project components or other deliverables; coordinate with Caltrans for project development / construction administration services or oversight, as appropriate; ensure that project and contract schedules / scope / and budgets are established and achieved; and to generally ensure that the project is delivered consistent with the requirements of the Strategic Plan. The Project Delivery Manager may administer consultant contracts, or may receive assistance from a Contract Manager who administers specific consultant contracts. .

For projects that have local proponents (city, county, transit districts or other special districts), the AUTHORITY enters into cooperative agreements, approves appropriation resolutions and reimburses project proponents upon satisfactory billing for conduct of the particular phase of work.

To perform this work, the AUTHORITY requires the following services:

1. Overall Program Management

PROPOSERS must identify a Program Manager who will coordinate with AUTHORITY management and staff to plan routine and on-call services; assign Project Managers, Construction Managers and Contract Managers; coordinate sub-consultants; monitor and control contract budgets; and ensure that services are consistent with the overall mission of the AUTHORITY. The Program Manager will consult with AUTHORITY management on strategies for project development, project financing and AUTHORITY policies. Other responsibilities of the Program Manager include:

- a) Manage and be responsible for the performance of the CONSULTANT team. This includes developing a staffing plan and contract budget; managing resources to provide required services within established timelines and budget; maintaining quality control over the products and services provided by the CONSULTANT team; submitting timely and accurate invoices for CONSULTANT services; and other miscellaneous management and administrative tasks necessary to perform the work.
- b) Assist staff in developing policies and procedures that will be used in the administration of programs and projects included in Measure J;
- c) Ensure that CONSULTANT resources proposed for services have the necessary skills,

tools, and experience to accomplish assigned work;

- d) Coordinate with AUTHORITY management to implement staff career development and training opportunities for AUTHORITY employees in order to develop project management and project delivery skills;
- e) Establish and oversee the program management office in performance of project portfolio management and project control services;
- f) Assist the AUTHORITY in tasks necessary to expedite project delivery such as “trouble shooting” and resolving issues with Caltrans, jurisdictions, regulatory parties and other affected agencies that may hamper project delivery schedules;
- g) Oversee development of program and project status reports; and
- h) Provide specialized assistance such as managing the solicitation of construction bids, assessing innovative project delivery strategies, and communicating AUTHORITY and Measure J accomplishments.

2. Project Delivery Management

The AUTHORITY assigns Project Managers for all projects or project components whenever the AUTHORITY is responsible for project deliverables. The current list of projects being managed by the AUTHORITY and status of each project can be found in the **Project Status Report** included in the December 2014 Administration and Projects Committee agenda. It is anticipated that between 1.5 and 2 Full Time Equivalents (FTEs) are needed over the term of this contract for Project Managers to augment other AUTHORITY staff in filling this role. Project Managers report to the AUTHORITY’s Director of Projects.. Typical tasks include:

- a) Develop and maintain a detailed financial plan for each project by fund type, project phase and year of fund expenditure;
- b) Develop and maintain a detailed project activity and milestone schedule;
- c) Develop and maintain a Project Management Plan including scope, costs, schedule, risks and other plans necessary to manage assigned projects;
- d) Allocate available projects funds to activities and contracts;
- e) Identify and develop strategies to mitigate project risks;
- f) Prepare Memoranda of Understanding and Cooperative Agreements;
- g) Develop consultant scopes-of-work, and negotiate contract language on behalf of the AUTHORITY;
- h) Interact with other public and regulatory agencies, utility companies and Caltrans to control project budgets and schedules;
- i) Monitor and review right-of-way acquisition property management processes, and coordinate transfer of title to appropriate entity;

- j) Attend project development team meetings and other stakeholder and community meetings as the AUTHORITY's representative for the project;
- k) Employ project management and project control techniques to ensure projects are delivered within approved scope, schedule and budget;
- l) Develop newsletters and/or other communication tools to engage the general public;
- m) Meet with individual property owners and other stakeholders on behalf of the AUTHORITY to explain potential project impacts; and
- n) Develop staff reports for AUTHORITY Board and committee meetings.

3. Consultant Contract Management

The AUTHORITY obtains the majority of its services via contracts, typically Architectural and Engineering (A&E) contracts. As such, typical contract management tasks are to develop scope and fee, monitor costs and progress, and close contracts is required. In most cases, the Project Manager or the Construction Manager performs contract management services. Typical tasks include:

- o) Develop consultant scopes-of-work, plan and administer the consultant selection process, and negotiate contract language on behalf of AUTHORITY;
- p) Manage consultant contracts for project study reports, environmental clearance, final design, right-of-way acquisition, and construction management, and ensure that associated project deliverables meet the project requirements and terms of consultant agreements;
- q) Monitor contract budgets, review and recommend approval of invoices, and coordinate / resolve budget issues on assigned contracts;
- r) Meet with the A&E consultant project manager to review work and ensure that the work meets the needs of the project;
- s) Develop cost and schedule forecasts to complete. Communicate progress with the Project Manager and maintain information in the AUTHORITY's Project Control System;
- t) Employ project management and project control techniques to ensure contracts are delivered within approved scope, schedule and budget;
- u) Monitor contract terms and identify the need to evaluate contracts for extensions or amendments; and
- v) Develop staff reports for AUTHORITY Board and committee meetings.

4. Construction Management

The AUTHORITY assigns a Construction Manager for each project where the AUTHORITY will Advertise, Award and Administer (AAA) the construction contract, or when the AUTHORITY is requested to assist another agency to AAA a construction contract. The Construction Manager is often the contract manager for construction management

consultants and other engineering consultants performing design support during construction services. It is anticipated that between 1.5 and 2 Full Time Equivalents (FTEs) are needed over the term of this contract for Construction Managers to report to the AUTHORITY'S Engineering Manager / Construction Manager. Typical tasks include:

- a. Develop consultant scopes-of-work, plan and administer the consultant selection process, and negotiate contract terms on behalf of the AUTHORITY for construction management consultants;
- b. Coordinate development of the construction contract bid package with the design and construction management consultants;
- c. Oversees the advertisement and award of construction contract;
- d. Directs the work of the construction management consultant in administering the construction contract;
- e. Represents the AUTHORITY in meetings with the construction contractor and other stakeholders;
- f. Foster a partnering relationship with the construction contractor, construction management consultant, facility owner (generally Caltrans or local jurisdiction) and other stakeholders;
- g. Review and recommend approval of contractor progress payments;
- h. Review and assist in the analysis of contractor schedules, claims and change orders;
- i. Ensure that the work is executed in accordance with encroachment permits, environmental permits, cooperative agreements and other requirements of facility owner and regulatory agencies;
- j. Perform Labor Compliance and other contract compliance reviews;
- k. Oversee and direct work of construction management consultant to ensure compliance of contractor with certifications and licenses; materials certification and testing; labor compliance and other contractual compliances, and
- l. Execute construction close-out including resolution of transferring facility to facility owner, resolving claims and development of as-built plans and other project records.

5. Other Project Delivery Services

PROPOSERS should include resources with other project delivery services skills, including but not limited to:

- a. Environmental and biology specialists
- b. Utility coordination
- c. Right of way services

6. Project Oversight and Delivery Support

Monitor and report on local agency and transit district projects funding by Measure funds or funds programmed by the AUTHORITY as CMA (Measure capital projects, STIP, OBAG, etc.) and Measure J “programs” such as Safe Transportation to Schools, TLC, PBTF, etc. Typical tasks include the following.

- a) Coordinate with project sponsor to initiate projects and project phases and obtain appropriation of Measure funds, authorization and obligation of federal funds (E-76) or other actions to obtain approval to expend funds;
- b) Develop funding resolutions, memorandum of understanding and cooperative agreements;
- c) Coordinate with project sponsor to obtain project delivery and financial status, and assist proponents when possible in resolving project issues;
- d) Maintain project delivery schedules for each project based on periodic updates from sponsor;
- e) Schedule projects for peer review consistent with AUTHORITY policies and assist in peer reviews of individual projects;
- f) Work with project sponsors to expedite project delivery;
- g) Assist sponsors in moving from one phase of a project phase to a subsequent phase;
- h) Assist project sponsors with respect to Measure program requirements, federal aid (obligations, Request for Authorization (RFA) submittals, project reporting, etc.) and Caltrans local assistance processes, and other requirements from funding agencies for those funds programmed by the AUTHORITY;
- i) Review and recommend approval of invoices; and
- j) Ensure that projects are closed out in accordance with funding requirements;

7. Program Management and Project Controls

The AUTHORITY is in the process of implementing a Project Management and Controls System (PCS) that identifies all projects in the AUTHORITY’s capital projects program and Measure J programs; tracks the status of estimates and funding for each project; tracks allocations and expenditures over time for individual projects; tracks contracts and agreements; and maintains project schedules and milestones. The desired functions of the PCS include the following.

- a) Maintains project inventory;
- b) Tracks project cost estimate, schedule and scope;
- c) Tracks contracts, cooperative agreements, and other defined cost items (agreements) by project;

- d) Maintains a detailed financial plan for each project summarized by phase, fiscal year and fund type, including the amounts allocated to planned or executed contracts and agreements;
- e) Record expenditures for all agreements based on the AUTHORITY's accounting system (Logos);
- f) Summarizes anticipated future costs over time with the ability to segregate expenditures by quarter or fiscal year for budgeting, strategic planning and fund balance management activities;
- g) Provides tabular and graphical reports to assist project managers in monitoring project progress and controlling project costs and schedules; and
- h) Provides other value-added functions to assist in delivering the AUTHORITY's programs.

The PCS currently consists of processes and tools in the list below. The CONSULTANT shall review the available documentation, examine the AUTHORITY's methodology in program / project management and project control, and assist in implementing continuous change to further implement and mature the PCS.

- Project Management and Control Guide
- Construction Contract Administration Guide
- EcoSys Enterprise Planning and Control (EPC) Solution
- Logos general ledger accounting system (New World)
- Other miscellaneous forms and tools

PROPOSERS should identify qualified staff with expertise in project management planning and control to administer the PCS and assist Project Delivery Managers and Construction Managers in planning, monitoring and controlling project and contract scope, cost and schedules.

8. Capital Program and Project Administration Support

The CONSULTANT is required to provide a range of miscellaneous support services to assist the AUTHORITY in delivering its program. Typical services include, but are not limited to the following.

- a) Develop / maintain hard-copy and electronic project filing systems, perform document management, maintain electronic records, etc.;
- b) Receive consultant invoices, perform quality control, and enter into the AUTHORITY's financial systems;
- c) Develop / maintain project fact sheets and other project information;

- d) Develop and support public informational materials, media requests, miscellaneous presentations, etc.; and
- e) Coordinate and schedule meetings and events.

9. General Procurement and Contract Administration Support

The CONSULTANT shall use industry expertise to assist AUTHORITY staff and legal counsel to develop and administer standards for consultant selection and contract administration. Typical services include, but are not limited to the following.

- a) Develop and maintain contract and agreement templates and boilerplate language;
- b) Prepare and negotiate consultant contracts, cooperative agreements, etc.;
- c) Assist AUTHORITY in developing and tracking Disadvantaged Business Enterprise (DBE) goals and utilization, and
- d) Develop and maintain contract close-out procedures in accordance with AUTHORITY's policies and funding requirements.

10. Specialized Procurement and Contract Administration Support

The AUTHORITY is sponsoring the TriLink project based on the proposed State Route 239 (SR 239) route. SR 239 is a legislatively approved, but unconstructed route. TriLink is a potential multimodal corridor between SR 4 near Brentwood and I-205 west of Tracy in San Joaquin County.

The AUTHORITY is nearly complete in the development of a Project Initiation Document (PSR-PDS) for the TriLink project in cooperation with Caltrans and other stakeholders. The TriLink project has the potential to be a tolled facility implemented as a Public/Private Partnership project. Due to the size and scope of the project, alternative project delivery methods such as design/build or Construction Manager / General Contractor (CMGC) will be considered.

Additional information on the TriLink projects is available at:

<http://trilink239.org/>

The CONSULTANT will be called upon to provide specialized services in the development of procurement methods for the environmental phase and potentially for later phases of the TriLink project. The intent is to best position the AUTHORITY to lead a possible tolling project to be delivered using innovative financing and/or delivery strategies. PROPOSERS should identify staff with prior experience on similar projects.

11. Strategic Plan and Budget Development

The AUTHORITY develops and annual budget and develops a mid-year budget revision based on expected revenue and expenditures. The AUTHORITY also updates its Measure C

and Measure J Strategic Plan on a biennial basis. The CONSULTANT may assist in the development and update of Measure C and Measure J Strategic Plans and provide other support services in accomplishing this task.

12. Transportation Programming Services

As the sales tax authority and CMA for Contra Costa County, the AUTHORITY administers a range of programming activities to ensure that sales tax measure funds are programmed and expended in accordance with the voter-approved expenditure plans, and that Contra Costa County takes full advantage of State, federal and regional funding opportunities. Typical services include, but are not limited to the following.

- a) Assist in the implementation and tracking of projects stemming from Measure J programs such as TLC, Safe Transportation for Schools, the regional Safe Routes to Schools programs, and local and regional bicycle and pedestrian projects, etc.;
- b) Assist in the development of county-wide strategic plans for a range of funding programs;
- c) Assist to identify State Transportation Improvement Program (STIP) funding opportunities, and develop documents to program and obtain allocations of funds;
- d) Assist to identify State, federal or regional grant opportunities and develop grant proposals that conform to grant requirements;
- e) Assist the AUTHORITY and local jurisdictions in programming projects in the Federal Transportation Improvement Program (FTIP); and
- f) Assist the AUTHORITY with coordination of the CTPL and the CMP CIP with other funding programs and opportunities.

13. Transportation Financial Services

The CONSULTANT will assist the AUTHORITY in a variety of tasks related to program and project management financial support. To deliver projects, programs, and planning activities, the AUTHORITY expends Measure funds as well as other State, federal and regional funds. Typical services include, but are not limited to the following.

- a) Assist staff in budgeting annual grant revenues;
- b) Assist in determining the most advantageous “mix” of fund types in project financial plans so as to use grant revenues as early as possible, thereby minimizing the use of Measure C/J funds in advance of grant reimbursement.
- c) Assist staff in preparing requests for grants and identifying grant-eligible costs to avoid commingling them with bond expenditures;
- d) Process grant invoices and reimbursement requests. In cooperation with the Chief Financial Officer and Finance Manager, plan strategic use of funds; establish and maintain accounting structures for Measure and other funds, prepare reimbursements

requests; maintain a grant fund receivable tracking system; and work with granting agencies to resolve any delays or disagreements regarding eligible items. Effectively use AUTHORITY financial system to identify and categorize grant-eligible items as they are incurred and to run reports for project and grant needs;

- e) Support finance staff. Support AUTHORITY staff by understanding the process for accounts payable and accounts receivable in the context of project delivery requirements. This will include a working knowledge of the AUTHORITY's financial system and workflow process and familiarity with AUTHORITY -sponsored projects;
- f) Maintain cash flow model. Maintain a detailed monthly cash flow model and draw schedules for projects and programs to assist the AUTHORITY in its financial investment decisions;
- g) Annual Audit support. Support AUTHORITY staff during the annual audit. Tasks include annual accruals of submitted grant reimbursement requests, project accruals and analysis of budget to actual variances for project funds. Assist staff in the federal Single Audit by preparing data on annual carryover amounts, annual expenditures, and remaining balances for each grant; and
- h) DBE assistance. Support Chief Financial Officer/DBE Liaison Officer in implementing DBE Program. Tasks include preparation of the annual DBE submittal, development of DBE goals for the AUTHORITY's federally-funded contracts, and communicating changes in the DBE program to staff.

14. Support for Intelligent Transportation Systems Program

The AUTHORITY has established an Intelligent Transportation System (ITS) Program including the establishment of the ITS/CV Program Manager position. The goal is to provide more efficient transportation infrastructure by utilizing the latest technological developments in ITS in collaboration with other governmental agencies, the private sector and research and academic institutions. The AUTHORITY has initiated an effort to build a center for Advance Technological Excellence in Transportation around several projects within the AUTHORITY, including:

- I-80 Integrated Corridor Management (ICM) Implementation;
- SR-4 Integrated Corridor Management Program;
- Connected Vehicle Pilot Program Initiatives in collaboration with automobile manufacturers, other equipment manufacturers and other industry partners;;
- Advanced Arterial Traffic Management Systems in collaboration with our major cities in Contra Costa County; and
- Conversion of HOV Lanes to Express Lanes in collaboration with MTC and the Bay Area Infrastructure and Finance Authority (BAIFA).

PROPOSERS should identify staff with the ability to provide services and expertise to support the ITS/CV Program Manager in implementing the initiatives listed and to identify opportunities for future ITS efforts.

15. Miscellaneous support services

The CONSULTANT will be asked to provide a variety of on-call services to support the delivery of the AUTHORITY's programs. Typical services include, but are not limited to, the following.

- a) Communications Support. CONSULTANT should have the ability to support agency, Measure programs and individual project communications strategies;
- b) Graphics and reproductions;
- c) Mapping and limited GIS development;
- d) Database development (limited) and reporting from MS Office software;
- e) Public relations and community outreach; and
- f) Support of the AUTHORITY'S CMA functions.

SECTION 3 – GENERAL QUALIFICATIONS

The following is a list of qualifications that are considered mandatory and will form the basis for the evaluation of proposed team:

1. Proposed CONSULTANT team has personnel with demonstrated experience managing major (>\$25 million) transportation projects (highway, transit and local roads) from inception (PSR) through construction close-out. Team shall have experience in managing a diverse portfolio of projects. Team members must collectively have expertise in project management, project planning, design, right-of-way requirements and processes, utilities, contract solicitation, and construction management and oversight;
2. Proposed CONSULTANT team has demonstrated experience and a defined approach in implementing program and project management controls for large programs. Program and project management control systems support project portfolio management (Measure and non-Measure projects); project controls (scope, cost, schedule); contract management; project filing systems and document management; cash forecasting for a sales tax measure or a similar capital program; budget development and bond financing; and project and program reporting;
3. Proposed CONSULTANT team has demonstrated experience in regional, State and federal funding sources and programming processes; and in obtaining discretionary and competitive grants;
4. Proposed CONSULTANT team has demonstrated experience in MTC, Caltrans and Federal-aid fund requirements (allocation/obligation requests, invoicing, auditing, contracting, etc.) and requirements to deliver Federal-aid projects;

5. Proposed CONSULTANT team has experience working with local jurisdictions on projects of local interest;
6. Proposed CONSULTANT team has experience or firm has ability to obtain experienced resources as needed in transportation financing (Express Lanes, tolling, etc.), innovative project delivery (Design/Build, CMGC, etc.); and ITS, and
7. Percent, if any, of the proposed CONSULTANT team that is considered “local.” Under AUTHORITY policies, a Local Preference will be used in the scoring of each PROPOSAL. The following Local Preference points will be granted based on the content of the proposed CONSULTANT team (prime and sub-consultants) considered “local”:
 - 0 points – if less than 24% of the dollar value of services to be rendered will be performed by a local firm:
 - 3 points – if between 25% and 49% of the dollar value of services to be rendered will be performed by a local firm:
 - 5 points – if between 50% and 69% of the dollar value of services to be rendered will be performed by a local firm:
 - 7 points – if 70% or more of the dollar value of services to be rendered will be performed by a local firm:

A firm is considered “local” for the purposes of Local Preference if it has maintained a physical office within Contra Costa County for at least 6 months prior to the date of release of this RFP, and proposed work is to be done in Contra Costa. The portion of the work performed outside Contra Costa County by a firm with a local office will not qualify towards meeting the local preference content of a PROPOSAL.

Verification of References

At its sole discretion, the AUTHORITY may verify information by contacting the references provided in the PROPOSAL or any other source to verify the performance of the proposed CONSULTANT team for the experience listed in the PROPOSAL. The AUTHORITY will make reasonable attempts to contact references, however, the AUTHORITY accepts no responsibility to pursue reference checks in the event contact information listed in the PROPOSAL is inaccurate or out of date. The AUTHORITY may also seek references by contacting individuals beyond those listed in the PROPOSAL.

SECTION 4 – STATEMENT OF QUALIFICATION AND PROPOSAL SUBMITTAL REQUIREMENTS

Each PROPOSAL shall include a Statement of Qualifications and a sealed envelope with the PROPOSER’s proposed rates and multipliers. The PROPOSAL should be organized as follows and contain the following minimum information.

1. A cover letter describing the PROPOSER's interest and commitment to perform Program / Project Management and Project Controls services for the AUTHORITY. The person authorized to negotiate a contract with the AUTHORITY should sign the cover letter.
2. A description of the PROPOSER's understanding of the AUTHORITY's organization, mission and the major issues that it faces over the next five years, and how the mission of the AUTHORITY contributes to the well-being of the residents and businesses of Contra Costa (no more than two pages).
3. PROPOSER's Organization Chart showing the Principle in Charge and Program Manager, key staff, specialty services staff, and sub-consultants. Identify individuals for key positions and other team members and sub-consultants and the major role(s) associated with each team member. Identify staff or sub-consultants that are available to provide specialty services. For each key team member, identify his/her projected workload and availability for this contract on a continuous basis to support the AUTHORITY's needs.

The following roles will be considered key positions:

- Program Manager
- Project Managers (estimate 1.5 to 2 FTEs per year)
- Construction Managers (estimate 1.5 to 2 FTEs per year)
- Local Delivery Oversight Manager
- Financial Services Manager
- Projects Control Officer
- ITS Manager
- Projects administrator (estimate full-time role)

The PROPOSER should show a minimum 35% availability for the Program Manager. It is anticipated that the Local Delivery Oversight Manager, Financial Services Manager, Projects Control Officer and ITS Manager key positions, as well as many specialty services resources, require less than a full time equivalent. In developing its PROPOSAL and determining Local Business participation, the PROPOSER should assume 0.25 FTE's for each of these roles. The PROPOSER may choose to assign individuals to multiple team roles if they possess required skills.

4. Describe the organization of the proposed CONSULTANT team focusing on the Program Manager who will be responsible for coordinating with AUTHORITY staff on specific scope of services, assigning tasks, managing the relationship between the prime and sub-consultants, quality control and final deliverables. State whether during the past 4 years the prime and major sub-consultants have jointly collaborated on assignments similar to those envisaged by this RFP. Describe how the proposed CONSULTANT team would interact with the AUTHORITY staff and how the core team would be organized to address the

AUTHORITY's needs.

5. For each of the proposed key staff and other significant team members, summarize their individual work history and experience, what unique skills they would bring to the team, and describe any assignments during the past 4 years that are directly relevant to the type of services outlined in Section 2 and qualifications listed in Section 3. Provide two references each (names and current contact information) for the program manager, each project manager and other key core team members for recently completed or ongoing similar work.

NOTE - following execution of a contract, replacement of staff filling key positions without the AUTHORITY's approval will not be permitted. It is anticipated that the contract will contain provisions to mitigate harm to the AUTHORITY for substitutions, except those outside the control of the CONSULTANT. Contract language related to substitutions can be found in Section 6, Additional Information.

6. General Approach – present the PROPOSER's approach to provide the services described in Section 2. Include a discussion that pertains to coordination with AUTHORITY members and staff, Caltrans, local and transit agencies, and any other regulatory or permitting agencies that could be involved with a project. Also discuss how the proposed CONSULTANT team will identify project problems, issues, or conflicts that need to be resolved and the general approach to resolving them and how proposed CONSULTANT team has handled unforeseen problems on projects in the past.
7. Program Management and Control System – describe the approach to develop and improve the Project Management and Control System (PCS). Provide a description of and examples of systems and /or reports used with similar clients to identify projects, track project progress and expenditures, administer and monitor contracts, and maintain critical program and project information. Provide an estimated level for CONSULTANT, AUTHORITY project manager and support staff and any other one-time or ongoing costs required to modify the AUTHORITY's existing approach and maintain proposed solution. Supply the name and current contact information for client representatives who can be contacted for references. The PROPOSAL may contain an appendix of no more than 5 pages to provide comments and suggestions for improvement of the AUTHORITY's PCS. The Project Management and Control Guide and Construction Contract Administration Guide are available on the AUTHORITY's website at:

<http://www.ccta.net/resources/detail/54/1>

<http://www.ccta.net/resources/detail/52/1>

8. Other Program Management support services – ensure that the proposed team has resources available to provide program administrative support, procurement and contract administration support, transportation programming support, transportation financial services, ITS Program support, and other miscellaneous support. PROPOSERS should

identify individual(s) and provide resume(s) for resources proposed for transportation financial services.

9. Identify any engagements that have been undertaken by the PROPOSER during the past 4 years that provided services similar to those envisaged by this RFP. State the client, the duration of the contract, the CONSULTANT project manager and the total fee for the contract. For each engagement, supply the name and current contact information for the primary client representative who can be contacted for references.
10. A table showing the percent of proposed CONSULTANT team (based on proposed hours and fee) for the prime consultant and each sub-consultant. The table must also indicate if the prime or any proposed sub-consultants are “local” businesses pursuant to Section 3, Paragraph 7, and if so, the percent of work performed by each “local” business that that will be performed in Contra Costa County. A sample table is shown below where firms “Prime, Inc.” and “Sub 3, Inc.” are providing a portion of the staff from offices within Contra Costa County. PROPOSERS may be asked to identify which proposed resources are from a local office and which are from offices outside Contra Costa County.

Firm	% of Total Work	Local Firm (Yes/No)	Firm Percent Local	Overall Percent Local
Prime, Inc.	50	Yes	100%	50
Sub 1, Inc	20	Yes	25%	5
Sub 2, Inc	15	No	NA	0
Sub 3, Inc.	15	Yes	67%	10
Totals	100			65

11. A written statement that the CONSULTANT team will be physically housed at a location within 10 miles of the AUTHORITY’s office in at 2999 Oak Road, Walnut Creek, California.
12. A description of any exceptions or limitations to the AUTHORITY’s standard contract language. The current version of the consultant contract boilerplate is on the AUTHORITY’s website at www.ccta.net below the posting of this RFP (click on the NOTICE TO BIDDERS / RFPs/RFQs link under the WHAT’S NEW tab on the CCTA Home Page).
13. Other Information (Optional) – Provide additional relevant information that may be helpful in the selection process (not to exceed two pages).
14. A disclosure of any ongoing consultant contracts that involve Measure C or Measure J project funds managed by the AUTHORITY or any other entity, or any other existing consulting contract with the AUTHORITY.

The PROPOSAL should also include resumes (maximum 2 pages per person) with work history and references for all team members, indicating their current and former employers as well as the time employed by each. The resume should clearly identify the work experience which demonstrates the individual's qualifications for the role proposed.

The entire PROPOSAL should not exceed 35 pages excluding resumes and the optional Appendix related to the AUTHORITY's PCS. The main body of text within a PROPOSAL shall be a minimum of 12 point font size on 8 ½ x 11 page size (single-sided). Pages of size 11 x 17 shall only be used for an Organizational Chart or other graphical information.

In addition to the PROPOSAL, each PROPOSER responding to this RFQ shall include one (1) sealed envelope with rates for each classification and multiplier. Include information regarding your Federal Acquisition Regulations (FAR) multiplier and the FAR for any sub-consultants. The AUTHORITY's policy is to limit the total multiplier plus fee to 3.0. Exceptions must be approved by AUTHORITY staff. Include a list of personnel positions proposed for performance of the services and the hourly salary range of each classification, including sub-consultants. The CONSULTANT shall comply with California Prevailing Wage legal requirement. The sealed envelope must include information to substantiate the percent of the overall work for the prime and all sub-consultants with respect to the Local Business participation claimed pursuant to Section 3, Paragraph 7. A failure to include this information or inconsistency between the information provided to demonstrate Local Business participation could result in an adjustment to the PROPOSER's score and award to the a different PROPOSER.

Sealed envelopes will be returned unopened to unsuccessful PROPOSERS after award of the contract.

Interested PROPOSERS shall submit ten (10) hard copies and one electronic copy (in .pdf format on CD) of the PROPOSAL and one (1) sealed envelope with rates and multipliers.

PROPOSALS shall be delivered to the AUTHORITY offices no later than 2:00 PM on February 6, 2015. Late PROPOSALS will not be considered. The PROPOSALS should be clearly marked as RFP 14-5 and addressed as follows:

Ross A. Chittenden
Deputy Executive Director, Projects
Contra Costa Transportation Authority
2999 Oak Road, Suite 100
Walnut Creek, CA 94597

PROPOSERS should contact Christina Broadfoot by e-mail (cbroadfoot@ccta.net) or at 925-256-4734 to ensure that PROPOSALS are recorded as being delivered and received before the PROPOSAL deadline.

It is the responsibility of the PROPOSER to inquire about and clarify any requirement of this RFP that is not understood. All questions and/or requests for clarifications to this RFP must be

e-mailed and received by the AUTHORITY no later than 5:00 p.m. on January 16, 2015. Inquiries received by the AUTHORITY after the date and time specified may or may not be responded to within the sole discretion of the AUTHORITY. The AUTHORITY will not be bound to any modifications to or deviations from the requirements set forth in this RFQ as a result of any oral discussions.

Questions pertaining to this RFP, the scope of services, or the PROPOSER's submittal should be directed by e-mail to:

Ross Chittenden
rchittenden@ccta.net

All questions and/or requests for clarifications must be clearly labeled "RFP 14-5 Inquiry". The AUTHORITY is not responsible for failure to respond to questions that are not appropriately labeled. The AUTHORITY's responses to written inquiries will be sent to the originator of the question and posted on the AUTHORITY's website at www.ccta.net (click on the NOTICE TO BIDDERS / RFPs/RFQs link under the WHAT'S NEW tab on the CCTA Home Page). All responses will be posted on or before January 23, 2015.

SECTION 5 – CONSULTANT SELECTION PROCESS

The selection of the CONSULTANT shall be fair, open, and competitive using a qualifications-based selection process. The selection of the CONSULTANT will be based on clearly stated objectives identified in this RFP and on demonstrated competence, professional qualifications, experience, and capabilities to perform the required scope of services identified in Section 2. PROPOSALS will be evaluated and scored for accuracy and completeness of submittal and against the qualifications and other requirements listed in this RFP.

Upon review of the PROPOSALS, a shortlist of PROPOSER teams may be invited to an oral interview. The AUTHORITY will notify PROPOSERS of their selection for interview using the schedule below. The program manager, key team members and other significant staff should plan to attend the interview.

Once the top ranked PROPOSER team from the PROPOSAL review process has been determined and approved by the AUTHORITY board, staff will start contract negotiations with that PROPOSER. If contract negotiations are not successful, the next ranked PROPOSER from the PROPOSAL review process may be asked to negotiate a contract with the AUTHORITY. The AUTHORITY Board is required to approve the final negotiated contract, although work may be initiated with a limited Notice to Proceed (NTP) expected to be approved at the AUTHORITY's March or April 2015 board meeting depending on the number of PROPOSERS, short-list and interview timeline, and time needed to contact and interview references.

Selection Process Dates (tentative):

The following are proposed dates in the selection process:

RFP posted on AUTHORITY's website and distributed using the AUTHORITY's consultant contact list:	December 19, 2014
RFP Inquiry deadline:	5:00 p.m., January 16, 2015
AUTHORITY posts written responses to inquiries on AUTHORITY's website.	On or before January 23, 2015
PROPOSAL submittal deadline:	2:00 p.m., February 6, 2015 (late submittals will not be accepted)
Notify PROPOSERS of short-listings:	On or before February 20, 2015
Conduct interviews (tentative):	Between March 2 and March 13, 2015
AUTHORITY approval of selection process and issuance of limited NTP:	March 18 or April 15, 2015
Contract negotiations with selected CONSULTANT:	From NTP on March 18 or April 15 to June 1, 2015
AUTHORITY contract approval (tentative):	June 17, 2015 or after

At its sole discretion, the AUTHORITY reserves the right to amend this RFP, to withdraw all or a portion of this RFP, to award a contract for only a portion of the scope of work described herein, or to decline to award a contract.

The cost of preparing, submitting, and presenting a PROPOSAL is at the sole cost and expense of the PROPOSER. The AUTHORITY shall not be liable for any pre-contractual expenses incurred by the PROPOSER in preparation of their PROPOSAL. PROPOSERS shall not include any such expenses or labor hours as part of a detailed work plan or cost proposal. Pre-contractual expenses are defined as follows; a) preparing a PROPOSAL in response to this RFP; b) submitting that PROPOSAL to the AUTHORITY; c) participating in an oral interview related to this RFP; and d) any and all expenses incurred by the CONSULTANT prior to issuance of a Notice To Proceed (NTP) under this solicitation process.

SECTION 6 – ADDITIONAL INFORMATION

1. Conflict of Interest

The nature of the proposed services for this RFQ may lead to a conflict of interest for firms that are currently under contract with the AUTHORITY or those that may seek contract opportunities in the future. The AUTHORITY considers the following situations as potential conflicts of interest that will not be allowed.

- a) The prime consultant or principle partners in a joint venture arrangement for this contract will be prohibited from competing for future design (defined by the AUTHORITY as PA&ED or PS&E) or construction management contracts.
- b) A sub-consultant that provides more than one-third of the total scope of services (as measured by overall budget) or more than one-third of the FTEs for project manager / construction management key positions will be prohibited from competing for future design (PA&ED or PS&E) or construction management contracts.
- c) The prime consultant or principles in a joint venture, or a sub-consultant that provides more than one-third of the total scope of services or more than one-third of the FTEs for project manager or construction management key positions, will be prohibited from competing for future (PA&ED or PS&E) or construction management contracts as a major sub-consultant. AUTHORITY staff will determine the definition of major sub-consultant for future contracts on a case-by-case basis.

The AUTHORITY recognizes that consulting firms that currently hold design or construction management services contracts may wish to compete as a prime consultant or major sub-consultant for this contract. The AUTHORITY will allow such firms to compete for this contract, however, if successful, those firms will be prohibited from competing for future design or construction management services contracts. Additionally, for firms with existing design or construction management contracts, the named principle-in-charge and project manager for those contracts are prohibited from filling key positions in the program / project management contract.

2. Contract Funding Sources

The contract will not utilize federal funds. However, to preserve ability to maintain eligibility for reimbursement of state funds and ability to use expenditures as federal match, a pre-award audit may be required.

3. Pre-Award/Post-Award Audit

The AUTHORITY reserves the right to perform pre-award and/or post-award audits. A pre/post-award audit may be required for professional services contracts with State funds in

the contract. The PROPOSER shall be aware that if a pre-award audit is to be performed, full cooperation with the Caltrans auditors is to be expected. The pre-award audit recommendations from Caltrans shall be incorporated in the contract. [49 CFR Part 18, LAPM Chapter 10].

4. Local Businesses, Small Business Enterprises (SBE) and Disadvantaged Business Enterprises (DBE)

The AUTHORITY encourages local firms to participate. A firm is considered “local” if it has maintained a local working office within Contra Costa County for at least six months prior to the date of this RFP. That portion of work that is performed outside of Contra Costa County by a local firm does not qualify as local work. All prime consultants are required to report on local firm usage during the term of each contract, using a form provided by the AUTHORITY.

The AUTHORITY encourages all prime consultants to utilize qualified SBE sub-consultants on AUTHORITY contracts, and promotes the direct purchase of goods from qualified SBEs by utilizing SBE vendors when such vendors are available and the price of the goods sought is reasonable. All prime consultants are required to report on SBE usage during the term of each contract, using a form provided by the AUTHORITY.

For purposes of this RFQ, a SBE shall be a “small business” within the meaning of California Government Code Section 14837. In the event that the AUTHORITY’s SBE Policy conflicts with any federal, State, or other funding source’s programs, policies, regulations, or requirements, the AUTHORITY shall make the SBE Policy consistent with said funding source’s programs, policies, regulations, and requirements to the extent permissible by law.

Services covered under this RFP process are not federally funded. As such, no specific Disadvantaged Business Enterprise (DBE) goal is established for this RFP process. However, proposers are encouraged to utilize qualified DBE firms as sub-consultants.

CONSULTANT shall not discriminate on the basis of race, color, religious creed, national origin, ancestry, sex, or physical disability in the performance of AUTHORITY contracts.

5. CONSULTANT’s Work Location

The AUTHORITY does not have office space to collocate the CONSULTANT team and therefore the selected CONSULTANT will be required to establish an office within 10 miles of the AUTHORITY office at 2999 Oak Road, Walnut Creek, California.

CONSULTANT shall provide for all transportation (vehicles), personal safety equipment, and

communication devices (cell phones with push-to-talk two-way communication capabilities) for the CONSULTANT's personnel.

6. AUTHORITY's Consultant Services Contract Boilerplate

PROPOSERS responding to this RFP are strongly encouraged to review the AUTHORITY's current version of the consultant services contract boilerplate language. Indemnification and minimum insurance requirements, along with other pertinent information, are shown in the document. At its sole discretion, the AUTHORITY reserves the right to make revisions and modifications to the contract boilerplate language. The current version of the consultant contract boilerplate is on the AUTHORITY's website at www.ccta.net (click on the RFPs/RFQs link) below the posting of this RFP.

7. Substitution of Key Personnel

A major criteria for the selection of the successful CONSULTANT is the experience and qualifications of the key positions contained in the PROPOSAL. To acknowledge that significant time is needed to educate and train CONSULTANT staff on the practices used by the AUTHORITY, the final contract will include the following provisions.

CONSULTANT agrees that the Key Personnel listed herein are an essential element of this Agreement and that reassigning or reducing the commitment of such Key Personnel without the prior approval of AUTHORITY will result in damages being sustained by AUTHORITY. Since it is not practical or feasible to determine the exact actual amount of such damage, it is further agreed that should CONSULTANT reassign or reduce the commitment of the Key Personnel on the project without AUTHORITY's approval, CONSULTANT shall provide a suitable replacement, subject to the approval of AUTHORITY. CONSULTANT shall neither charge AUTHORITY for the first one hundred sixty (160) person hours of work of the replacement personnel on the project nor be reimbursed for any relocation or other costs associated with such change.

The AUTHORITY will not require the 160 hour credit should a key person leave for reasons outside of CONSULTANT's control.

**END OF REQUEST FOR STATEMENT OF QUALIFICATIONS
AND PROPOSAL**