

# District 6 Contracts Construction Inspection Materials Sampling & Testing A&E Contract Outreach

September 14, 2022

1:00 PM – 3:30 PM

Via Webex

# 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>

# Agenda

1:00 PM – Welcome & Purpose of the Outreach

1:05 PM – Roundtable Introductions

1:20 PM – Office of Civil Rights

1:25 PM – Calmentor

1:30 PM – Contract Overview and DPAC Updates

2:50 PM – Compile Questions & Break

3:00 PM – Questions and Answer Session

- Prime will hold offsite virtual networking sessions.
- Official responses to be posted to DPAC website.

3:30 PM – Adjourn

# Purpose of Outreach

General Information Sharing

Office of Civil Rights Opportunity

CalMentor Program

Contract Overview & DPAC Updates

Networking and Partnering Opportunities

Question and Answer Session

# Consultant Roundtable Introduction

Participant Name and firm title

Services your firm provides/Personnel Current Certifications

Goal for Attending this Event (for Non-Caltrans Participants)

Are you planning to be a

- Prime or sub-consultant
- Primes are encouraged to host separate team building online virtual meeting.

Goal for attending this event (for non-Caltrans participants)

Please type in your information in the Chatbox.

# 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.

# Office of Civil Rights (OCR)

DBE Program Overview

DBE Eligibility & Certification

DBE Statewide Goal: 22.2%

How to find a DBE firm

For more information please visit:

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

Chloe Doyle

District 6 Equity/Small Business Manager

(559) 908-0269

[Chloe.Doyle@dot.ca.gov](mailto:Chloe.Doyle@dot.ca.gov)

# DBE Program Overview

## DBE Eligibility:

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

## DBE Certification process:

- DBE paper application and the personal net worth statement
- OCR website for instructions and mailing address – <https://dot.ca.gov/programs/civil-rights/dbe-certification-information>
- For DBE certification questions, call: (916)-324-1700 – ask to speak to the Analyst of the day, or email them at: [DBE.Certification@dot.ca.gov](mailto:DBE.Certification@dot.ca.gov)

## DBE Program Overview, Certification and Contracting Video

Program Overview, Certification and Contracting Video: <https://www.youtube.com/user/CaltransD5>



# Calmentor Program

## What is It?

- Mentor/protégé program

## How does it work?

- We partner with ACEC to promote partnerships with the private consulting industry
- Encourages new business
- Grows existing business
- Promote small and emerging businesses contracting with the State of California
- Supports SBE, DBE and DVBE firms in the Central Region
- Voluntary participation through acceptance and screening of completed application from mentors and protégé's

The program is currently accepting new member. Please reach out to Stacey Kauinana at [stacey.kauinana@icf.com](mailto:stacey.kauinana@icf.com) for more information or registration forms.

# Calmentor Program

## Contract Information for Central Region

### Public Sector Members

- Camillo Prandini – Caltrans Central Region
  - [Camillo.Prandini@dot.ca.gov](mailto:Camillo.Prandini@dot.ca.gov)
- Jin Thao – Central Region Services, Consultant Services Unit
  - [Jin.Thao@dot.ca.gov](mailto:Jin.Thao@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 Website

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

# County Locations

## District 6:

- Fresno
- Kern
- Kings
- Madera
- Tulare

(Excludes Eastern Kern County in District 9)

# General Information

## Construction Inspection

### Construction Inspection

- Location: District 6 – Administered out of Central Region
- Cost: Contract estimated value is \$15.2 million to \$24.7 million
- Duration: Contract term is 3 years
- Target DBE goal: TBD (Range 16% to 20%)
- Existing Contract #: 06A2596
- Current Consultant: NV5, Inc.
- Work Performed: Construction Inspection

# Scope of Work

## Construction Inspection Contract

### Required Services:

- The Consultant shall perform professional and technical services required for Roadway Construction Services on an “as-needed” basis in the following areas
- Roadway Construction Inspection and Office Engineering
- Electrical Construction Inspection
- Landscape Architectural Construction Inspection
- Construction Claims Support - (Pre & Post Construction Acceptance)
- Construction Scheduling / CPM
- Construction Stormwater Implementation

### Excluded Services:

- All Roadway Construction Services associated with Structures including, but not limited to, bridges and buildings, are specifically excluded from the scope of this Contract.
- Construction Materials Sampling and Testing
- Eastern Kern County of District 9

# **Tentative Schedule – Construction Inspection (Subject to Change)**

Advertisement – Week of 01/02/23

SOQ Due – Week of 02/06/2023

Interview – Week of 02/27/2023

Cost Negotiation – Week of 03/03/2023

Award & Execution – Week of 05/01/2023

# General Information

## Materials Sampling & Testing

### Materials Sampling & Testing

- Location: District 6 – Administered out of Central Region
- Cost: Contract estimated value is \$7.6 million to \$12.4 million
- Duration: Contract term is 3 years
- Target DBE goal: TBD (Range 12% to 18%)
- Existing Contract #: 06A2593
- Current Consultant: Alta Vista Solutions
- Work Performed: Materials Sampling & Testing

# Scope of Work

## Materials Sampling & Testing Contract

### Required Services:

- The Consultant shall perform professional and technical services required for Roadway Construction Services on an “as-needed” basis for Construction Materials Sampling and Testing
- It is anticipated that services will be provided at both the Consultant’s and Caltrans’ lab testing facilities

### Excluded Services:

- All Roadway Construction Services associated with structures including, but not limited to, bridges and buildings, are specifically excluded from the scope of this Contract.
- Roadway Construction Inspection and Office Engineering
- Electrical Construction Inspection
- Landscape Architectural Construction Inspection
- Construction Claims Support (Pre & Post Construction Acceptance)
- Construction Scheduling / CPM
- Construction Stormwater Implementation
- Eastern Kern County of District 9



# **Tentative Schedule – Materials Testing (Subject to Change)**

Advertisement – Week of 01/16/23

SOQ Due – Week of 02/13/2023

Interview – Week of 03/13/2023

Cost Negotiation – Week of 03/20/2023

Award & Execution – Week of 05/15/2023

# Typical Personnel Requirements (Both Contracts)

## Consultant Contract Manager

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

# Typical Personnel Requirements (Both Contracts)

## Consultant Task Order Manager

- Registered Professional Engineer licensed in the State of CA
- Minimum 5 years of demonstrated experience acceptable to Caltrans in Roadway Construction Services work and performing the duties as a Task Order Manager for similar Roadway Construction Services contracts

# Typical Personnel Requirements (Both Contracts)

## Consultant Responsible Person

- Is authorized to review and approve Consultant analytical results, plans, designs, specifications, estimates, notes, calculations, analysis, reports, graphics, drawings, visual simulations, studies, product, data, manuals, details, other documents, other items, and deliverables
- Shall be someone other than the Consultant Contract Manager

# 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

- Continues at a rate of 90% - 120% until California's proposal is 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
- Interview – 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

## (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

## (Key Personnel)

### New Definition: Key Personnel

- Key Personnel are individuals who are essential to the work being performed under this contract.
- Key Personnel shall be representative of required and advertised classifications.
- Together, key and non-key personnel shall compose a complete team of various classifications, to perform required work for substantial period.

# **SOQ Submittal Instructions**

## **(Vendor Services)**

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

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

# SOQ Submittal Instructions

## (New Clarification)

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

# **SOQ Submittal Instructions**

## **(New Requirements)**

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

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

# Financial & Cost Accounting Requirements (DPAC Updates)

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

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



# **Financial & Cost Accounting Requirements**

## **(DPAC Updates continued)**

Remaining Financial Documents (RFDs) – Required by Day 11.

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. Fringe Benefit Statements – FBS
8. 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>

# Closing

Thank you for attending this A&E outreach event. We look forward to seeing your RFQ submittal