

APPENDIX B

GUIDELINES FOR PREPARING A PROPOSAL FOR PROFESSIONAL SERVICES

B1. INTRODUCTION

These guidelines were developed to standardize the preparation of proposals by Consultants for engineering services on a project. The purpose of these guidelines is to help assure consistency in format and content of proposals that are prepared by Consultants and submitted to the County. This process will reduce the time required for the Consultant to prepare a proposal and will simplify the review process by County personnel.

The proposal should contain the following information in the order listed:

1. Introductory Letter
2. Work Plan
3. Schedule of Work
4. Location of the Work
5. Conflict of Interest Statement
6. Insurance Coverage
7. Qualifications and Capability
8. Employment Practices
9. Minority and Women-Owned Business Participation Goals
10. Supportive Information

Items 2 and 7 listed above shall consist of not more than a total of 25 pages. For this purpose each side of a page of paper is considered one page.

B2. RECOMMENDED DETAIL

1. Introductory Letter

The introductory letter should be addressed to:

Michael J. Penrose, Director
Department of Transportation
Municipal Services Agency
County of Sacramento
906 G Street, Suite 510
Sacramento, CA 95814

The firm submitting the proposal shall give its name, mailing address, telephone number, FAX number and the name of an individual to contact if further information is desired. This letter should contain a statement of the Consultant's basic understanding of the project. This should be based on existing

information available in the Request for Proposal, from a site visit, and from applicable regulations or requirements. This letter should also contain an expression of the Consultant's interest in the work, a statement regarding the qualifications of the Consultant to do the work, and any summary information on the project team or the Consultant that may be useful or informative to the County.

2. Work Plan

The work plan will ultimately become part of the contract by reference to the proposal. It should describe in a specific and straightforward manner the proposed approach to achieving the objectives and accomplishing the tasks described in this Request for Proposal. It should be concise, yet include sufficient detail to completely describe the planned approach. Description of how the objectives will be achieved shall be presented through a logical, innovative and rational plan. At a minimum, the work plan shall divide the work into phases matching the description of work in Section IV of this RFP. The work may be further broken down into additional phases as deemed appropriate by the consultant. **THE PLAN SHOULD DESCRIBE EACH PHASE OR TASK OF THE WORK TO BE UNDERTAKEN INCLUDING THE MAN-HOUR LEVEL OF EFFORT FOR EACH CLASS OF PERSONNEL AND FOR EACH SUB-CONSULTANT.** The work plan should provide information as to the approximate percent complete of the base work and a clear description of the tasks needed to bring the base work through to completion, in accordance with County and Caltrans standards and to achieve approval of the work by the County and Caltrans. The plan should detail the prosecution of the work including the submission of plans, documents, reports, etc. The results are expected to be presented in terms of the language and working tools of the practicing engineer or administrator so as to be immediately useful.

3. Schedule of Work

The prospective consultant shall prepare a comprehensive schedule to reflect the time, in terms of working days required to complete each of the activities listed in the Scope of Services. A schedule should be included showing each activity when that activity will begin and how long it will continue. Give the completion date of each activity and identify activities that are interdependent. The schedule shall clearly differentiate between those functions carried out by the Consultant, the County, Caltrans, and other interested parties.

In addition to the working day scheduled described above, the consultant shall provide a milestone schedule with estimated and anticipated calendar dates for the major project activities.

4. Location of the Work

Identify the location(s) of the offices where the Consultant and any sub-consultants will accomplish the work. If the Consultant's headquarters is not in Sacramento, provide evidence of the length of time the firm has maintained an office in the Sacramento area.

5. Conflict of Interest

The prospective consultant shall disclose any actual, apparent or potential conflicts of interest that may result from any financial, business or other relationship with the County or property owners that may have an impact upon the outcome of this contract or the County construction project. The prospective consultant shall also list current clients who may have a financial interest in the outcome of this contract or the County construction project that will follow. In particular, the prospective consultant shall disclose any financial interest or relationship with any property owners or any construction companies that might submit a bid on the County construction project.

6. Insurance Coverage

The prospective consultant shall provide a summary of the firm's present and proposed insurance coverage for Comprehensive General Liability Insurance, Professional Errors and Omissions Insurance, Automobile Liability Insurance, and Worker's Compensation Insurance.

For additional information regarding insurance requirements, see Appendix C, "General Information".

7. Qualifications and Capability

Identify the key individuals, including sub-consultants who are proposed to be part of the team along with their qualifications and experience as related to the project. Experience on similar or related projects should be included. Specifically include work related to Caltrans District 3 and project references that can be contacted. The information should include the expected amount of involvement and time commitment for each of these individuals. The Proposal should contain a listing of current work commitments to other projects or activities in sufficient detail to indicate that the organization and all of the individuals assigned to the proposed project will be able to meet the schedule outlined in the Proposal. The Consultant shall clearly identify the project team to the extent that individual staff members are clearly defined at each stage of the design.

Experience has shown that having key individuals stay with design projects throughout the design period can be beneficial in keeping projects on schedule and under budget. For each key individual identified to work on the project, information shall be provided as to the length of time that individual has worked for the consultant firm. If the time worked for the firm is less than four years, additional information about the length of time the individual has worked for previous firms shall be provided.

Any change in key personnel after the award of a project must be approved by the Chief of the Design Section of the County's Department of Transportation before the change is made.

Describe the Consultant's capability for actually undertaking and performing the work. Types and locations of similar work performed in the last three years that best characterizes the quality and cost control of the Consultant should be included. Names and phone numbers of individuals that can provide information related to work quality and cost control should be provided. Other resources, including management and organization capabilities, should be addressed.

8. Employment Practices

The prospective consultant shall provide a brief summary/outline of the composition of the firm's workforce. The summary should identify both professional and support staff and indicate gender and race. The prospective consultant shall provide a summary of the firm's employment and promotion policies and procedures, including any equal employment opportunity and affirmative action policies.

9. Solicitation of Sub-consultants, Subcontractors, other Service Providers & Suppliers

If the prospective consultant intends to solicit sub-professionals and/or quotes for certain tasks on this project from qualified sub-consultants, subcontractors, other service providers and suppliers, the County expects the consultant to solicit qualified firms in the local business community for such services and supplies. The solicitation conducted should be as broad as possible to reasonably provide opportunities for and encourage relationship building with qualified minority and women-owned firms, and small and local businesses in the Sacramento community. The consultant shall not illegally discriminate the solicitation process.

Substitution of any sub-consultants, subcontractors, other service providers and suppliers identified in the proposal upon which the agreement is based shall not be made without the written consent of the County.

9.1 Disadvantaged Business Enterprise (DBE)

9.1.1 Terms As Used In This Document

The term "Disadvantaged Business Enterprise" or "DBE" means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Part 26.5, Code of Federal Regulations (CFR).

9.1.2 Authority & Responsibility

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Agreements financed in whole or in part with federal funds (Title 49 CFR 26.5, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs"). Consequently, the DBE requirements of Title 49 CFR Part 26.5 apply to this Agreement.
- B. The CONSULTANT shall ensure that DBE's and small businesses, as defined in Title 49, Part 26.5 (Code of Federal Regulations, CFR), have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this Agreement. In this regard, CONSULTANT and/or its sub-consultant(s) shall take all necessary and reasonable steps for this assurance. The CONSULTANT and/or its sub-consultants shall not discriminate on the basis of race, color, national origin, age or sex in the award and performance of Federally assisted contracts.
- C. The CONSULTANT and/or its sub-consultant(s) are encouraged to use services offered by financial institutions owned and controlled by DBEs.

9.1.3 DBE Participation General Information

It is the proposer's responsibility to be fully informed regarding the requirements of 49 CFR, Part 26, and the Department's DBE program developed pursuant to the regulations. Particular attention is directed to the following:

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).
- B. A certified DBE may participate as a prime contractor, subcontractor, joint venture partner, as a vendor of material or supplies, or as a trucking company.
- C. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profits of the joint venture commensurate with its ownership interest.
- D. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- E. The proposer shall list only one sub-consultant for each portion of work as defined in their proposal and all DBE sub-consultants should be listed in the bid/cost proposal list of sub-consultants.
- G. A prime sub-consultant who is a certified DBE is eligible to claim all of the work in the Agreement toward the DBE participation except that portion of the work to be performed by non-DBE sub-consultants.

9.14 Submission of DBE Information

The CONSULTANT and/or its sub-consultant(s) is advised to complete the attached DBE related forms and certification and disclosure requirements (Attachment A)

EXHIBIT 10-02: - Local Agency Proposer DBE Information (Consultant Contracts) plus the instruction page (Total = 2 pages).

EXHIBIT 10-P:- Non-lobbying Certification For Federal-Aid Contracts (I Page).

EXHIBIT 10-Q: - Disclosure of Lobbying Activities plus the instruction page (2 Pages).

EXHIBIT 17-F (2 Pages)

10. Supportive Information

Supportive information may include graphs, charts, photographs, resumes, references, etc. and is to the Consultants complete discretion.

B3. FEE PROPOSAL FORMAT

After selection of the consultant, a separate detailed fee proposal shall be prepared for each of the activities listed in the Scope of Services along with a summary of all costs. The fee proposal shall follow the criteria and format outlined in the "Sample Fee Proposal". If sub-consultants are to be used, the selected consultant must indicate the cost of the applicable subcontract including any markup that the prospective consultant plans to take on sub-consultants. The breakdown of subcontract costs shall follow the same format provided in the "Sample Fee Proposal".

SAMPLE FEE PROPOSAL

Note: A detailed fee proposal shall be prepared for each of the activities listed in the Scope of Services for this project. The Consultant shall list all job classifications pertinent to the project activities - those listed below are only a sample. The job classifications used shall match those used when submitting billings during the course of the design process.

PHASE #2 - LAYOUT PLANS

DIRECT LABOR	HOURS	RATE	EXTENSION
Project Manager	_____ @	_____	_____
Staff Assistant	_____ @	_____	_____
Technician	_____ @	_____	_____
Clerical	_____ @	_____	_____
Subtotal			\$ _____
OVERHEAD AND FRINGE BENEFITS		RATE	EXTENSION
Overhead Rate		_____	_____
Fringe Benefits		_____	_____
Subtotal			\$ _____
OTHER COSTS			
Travel Costs (Mileage only)			_____
Equipment and Supplies (Itemized)			_____
Other Direct Costs (Itemized)			_____
Subtotal			\$ _____
FEE (Profit)			\$ _____
TOTAL FEE - Phase #2 - Layout Plans			\$ _____

Indicate percentage used and basis - e.g. 9% of labor & overhead & fringe benefits