



DATE: March 31, 2020
TO: Interested Parties
FROM: Ryan Niblock, Senior Regional Planner
SUBJECT: On-Call Consultant Services for Planning and Engineering Services

Attached with this cover memorandum is our Request for Qualifications (RFQ) to create an on-call shortlist of firms that will assist the San Joaquin Council of Governments with tasks related to planning and engineering.

Those firms or individuals intending to submit qualifications should note the schedule for submitting their qualifications. It is our intention to have Board approval of the On-Call list at the ~~April 23, 2020~~ [May 28, 2020](#) meeting.

One (1) electronic copy of the proposal must be submitted to SJCOG's office by **4:00 P.M. PST ~~April 3, 2020~~ [May 1, 2020](#)**.

Please contact Ryan Niblock at (209) 235-0600 or niblock@sjcog.org with any questions.

Proposals and correspondence shall be directed to:

Rebecca Calija, Manager of Administrative Services
San Joaquin Council of Governments
555 E. Weber Avenue
Stockton, California 95202
(209) 235-0600
Email: Calija@sjcog.org

THE SAN JOAQUIN COUNCIL OF GOVERNMENTS REQUEST FOR QUALIFICATIONS

ON-CALL PROFESSIONAL CONSULTANT SERVICES FOR PLANNING AND ENGINEERING SERVICES

DATED: March 6, 2020

*One (1) electronic copy of the
qualification shall be submitted to SJCOG's office by:*

~~April 3, 2020~~ May 1, 2020 by 4:00 P.M. PST.

No late submissions will be accepted



Proposal should be addressed to:
Rebecca Calija, Manager of Administrative Services
Attn: Diane Nguyen, Deputy Director
555 E. Weber Ave.
Stockton, California 95202
Phone: (209) 235-0600
Email: Calija@sjcoq.org

TABLE OF CONTENTS

I.	INTRODUCTION	Page 1
II.	SCOPE OF SERVICES.....	Page 3
III.	SOQ CONTENT & SUBMITTAL REQUIREMENTS	Page 4
	A. General	
	B. Contents	
	C. Submittal Requirements	
IV.	CONSULTANT SELECTION AND CONTRACTING PROCESS	Page 6
V.	SCHEDULE	Page 6
VI.	ADDITIONAL REQUIREMENTS, POLICIES, TERMS AND CONDITIONS	Page 7

I. INTRODUCTION

The San Joaquin Council of Governments (SJCOG) is soliciting Statements of Qualifications (SOQs) for **On-Call Consultant Services for Planning and Engineering Services. Services are related to Transportation Programming (Funding) & Capital Improvement Program Development for state/federally funded projects.**

The purpose of SJCOG in issuing this solicitation is to create an on-call shortlist of firms that will assist SJCOG with the tasks outlined in the Scope of Services below. The shortlist will be active five years from the time of SJCOG Board adoption. Those firms shortlisted will be invited to propose on various projects throughout the five-year period. It is anticipated that the cumulative budget for SJCOG staff use of the on call list annually would not exceed \$50,000.

SJCOG staff will also make available its on call list to local jurisdictions who may be interested in utilizing the list through a piggyback procurement process, enabling the local jurisdiction to tap into SJCOG's completed, competitive process to secure consultants. SJCOG makes no commitment that any local agency will be utilizing the list in this manner and is simply stating the list would be made available to local jurisdictions in San Joaquin County.

Background

The San Joaquin Council of Governments has a proven track record, spanning decades, of exceeding its federal obligation authority for projects in the adopted Federal Transportation Improvement Program (<https://www.sjcoq.org/110/Federal-Transportation-Improvement-Progr.>) Often, SJCOG is in the top 5 of Metropolitan Planning Organizations (MPO) in the state in exceeding its federal obligations in a given year. SJCOG also oversees the Regional Transportation Impact Fee Program (<https://www.sjcoq.org/118/Regional-Transportation-Impact-Fee-RTIF>) and the Measure K Program (<https://www.sjcoq.org/300/Measure-K>) where some project sponsors use these local revenue sources to either match or leverage state/federal dollars. In the past few years, however, transportation programming has faced many changes.

1. Delivery of Congestion Mitigation and Air Quality Projects (CMAQ) and Regional Surface Transportation Program (RSTP) is dropping - Public transit projects have been a big component of the CMAQ Program but, in recent years, increasingly more street and road projects have been funded (traffic signal synchronization, traffic signal installation, intersection/operational street improvements, non-transit vehicle purchases, street sweepers). The street and road projects have more extensive project development activities than public transit projects and, therefore, require more time. SJCOG has traditionally used basic spreadsheet tracking tools to monitor projects, leading to a shelf list of projects "ready to go" if other projects experience delays. However, SJCOG staff is seeing the need for more sophisticated tracking systems because of the growing number of projects experiencing significant delays in delivery. In 2019, SJCOG Board had to move millions of dollars of RSTP and CMAQ funds in order to prevent the state from rescinding the funds.

2. Need to enhance the tracking federal and state funded public transit projects beyond “authorization to proceed” - SJCOG’s role as the Metropolitan Planning Organization is to approve the “grant applications” of federally funded transit projects as part of the submittal to the federal TRAMs system. From there, the MPO traditionally does not have a role as FTA takes over in the approval, authorization to proceed, and invoicing process. In the past five years, FTA has brought to SJCOG’s attention that several projects in the TRAMs system reported no activity, despite being authorized to proceed years prior. As a result, authorized funds were not only lapsing, but were in jeopardy of being removed and not returned to the San Joaquin region. In each instance brought to SJCOG’s attention, millions of dollars of federal transit funds were at risk. While some last minute fund exchanges and project substitutions resolved these issues, SJCOG is looking to develop “post authorization tracking tools” for the public transit projects to better assist the region to prevent these instances from happening again. The concept is a federal public transit capital improvement program.

3. Need to enhance administration of Regional Traffic Impact Fee Program - The RTIF program’s objective is to generate funding from new development projects that impact the Regional Transportation Network and integrate these funds with federal, state, and other local funding to make transportation improvements identified in the RTIF program. SJCOG’s RTIF has many projects which have “operating agreements” that authorizes the project sponsor to expend RTIF funds. However, some of the project information, funding plans, and overall schedule, are inconsistent with other information with the same project that is reported by jurisdictions in federal/state grant applications. SJCOG is interested in tools and strategies to enhance the role of RTIF in leveraging state/federal funds and also to improving the RTIF project delivery by local agencies.

4. Need for grant writing assistance and related technical assistance in the pursuit of various state and federal funding opportunities - There are many new infrastructure programs coming out of the state. This is anticipated to increase when the federal transportation law is reauthorized. SJCOG staff assists local jurisdictions, to the extent possible, by bolstering grant application efforts which includes providing information and technical analysis. In some cases, SJCOG may want to utilize consulting assistance in these efforts to improve the quality and content of grant submittals for transportation projects to state and federal funding programs.

5. Technical assistance for project development teams - Troubleshooting and proactive strategies are the primary tools to keep a project on track and on budget. SJCOG has a strong working relationship with Caltrans and our federal partners participating in or leading many Project Development Teams (PDTs). With the scope envisioned to develop a federal CIP, the expectation is that additional consulting resources are needed to manage the federal Capital Improvement Program to assist local and transit agencies in their delivery schedule.

II. SCOPE OF SERVICES

All services performed under this RFQ shall be in conformance with all applicable federal and state standards, regulations, policies and procedures. Consultants submitting qualifications must be able to provide all of the services (per identified category).

A. Federal-Aid Delivery

- Develop a tracking system for Regional Surface Transportation Program (RSTP) and Congestion Mitigation Air Quality (CMAQ) funds programmed in the region, including:
 - Tracking local agency schedules for obligation.
 - Tracking local agency progress on obligated projects to ensure no funds lapse.
- Assist local partners in acquiring the necessary approvals from Caltrans Division of Local Assistance on federally-funded projects, including preparation of forms and documents to acquire the project E-76 approval to construct, and/or other funding agencies.
- For projects funded by the California Transportation Commission (including Active Transportation Projects, State Transportation Improvement Projects, or SB 1 Projects), assist the lead agency in necessary forms for allocation votes, amendments, reporting, and any other related actions.
- Technical assistance to correspond and resolve issues with FHWA, FTA, and Caltrans regarding unforeseen hurdles with state and federal-aid funding specific to eligibility and procedural requirements.

B. Federal Transit Project Delivery

- Assist local partners in acquiring the necessary approvals from Federal Transit Administration including preparation of grants, forms, and documents to secure authorization to proceed.
- Develop a tracking system for Federal Transit Administration funds programmed in the region, including:
 - Tracking unclaimed apportionment balance in each Urbanized Area.
 - Tracking progress on obligated projects to ensure no funds lapse.
- Technical assistance in transit planning. Examples include transit planning studies.

C. Project Delivery and Program Technical Assistance

- Serve as an advisory to SJCOG staff on Project Development Team (PDT) meetings and coordination of Caltrans' oversight and approvals.

- Technical assistance to organize and implement a kick-off meeting to be held for the introduction of staff, roles and responsibilities, establishment of communication channels, clarification of procedures, and formats to be used and discussion of design considerations.
- Assist and, if directed by SJCOG staff, organize and lead Project Development Team (PDT) meetings for the review of project status and the determination of need actions; prepare PDT meeting notices, agenda and minutes.
- Organization, participation and presentations at meetings held by lead agency staff with elected officials, neighborhood groups, and other stakeholders.
- Technical assistance in monitoring of critical path schedule, project expenditures, monthly invoices, and progress reports.

D. Disadvantaged Business Enterprise

- For consultant compliance, review of existing Disadvantage Business Enterprise (DBE) practices at SJCOG.
- Calculation of DBE requirements as needed on a project-by-project basis.

E. Grant Writing

- Track grant funding opportunities for the region, including the identification of critical deadlines and eligibility requirements.
- Identify project candidates for available grants.
- Preparation of grant applications for local, state, and federal funding programs.

III. SOQ CONTENT & SUBMITTAL REQUIREMENTS

A. General

The submittal should be concise, well organized, and demonstrate the consultant's qualifications and experience applicable to this request. The submittal package shall include front and back covers, and any supporting résumés, graphics, forms, pictures, and photographs deemed necessary to support the evaluation of the consultant's Statement of Qualifications (SOQ). The SOQ shall be prepared on 8 ½" x 11" paper in at least 11-point font. Use of 11" x 17" foldout sheets for large tables, charts, or diagrams is permissible but should be limited. The *suggested* page limit for the SOQ is approximately **25 single-sided pages** but this is not a mandatory page limit. This page count does NOT include résumés, table of contents, front and back covers, and references.

B. Contents

At a minimum, consultants must provide the following information in their SOQ:

1. *Consultant Background*
Provide a brief background of your firm, including the Consultant's name, address, telephone, and e-mail address of key contact.
2. *Experience and Technical Competence*
Describe the qualifications and experience of the consultant team in performing the scope of services.
3. *Project Organization and Key Personnel*
Describe project organization, including identification and responsibilities of key personnel. Resumes of key personnel may be provided as an optional attachment.
4. *Project Examples and References*
Provide at least three (3) representative project examples and references. Identify the name, title of agency, address, and telephone number for the reference.
5. *Conflict of Interest Statement*
Proposers must provide a list of any conflicts of interest in working for SJCOG.
6. *Billing Rates*
Proposers must provide the billing rates for the staff proposed for the work requested.

C. Submittal Requirements

One electronic copy of the SOQ shall be submitted via email to:

Rebecca Calija, Manager of Administrative Services
Subject: On Call Consulting RFQ - Rebecca Calija
San Joaquin Council of Governments
555 East Weber Avenue
Stockton, CA 95202-2804
E-mail: calija@sjcog.org

Submittals must be received no later than **4:00 p.m. Pacific Standard Time on ~~April 3~~ May 1, 2020**. SJCOG will provide an e-mail confirmation of electronic submittals. If the proposer does not receive an e-mail confirmation from SJCOG, it is the proposer's responsibility to verify that the electronic submittal had been received by SJCOG. Any submittals received after this time will not be considered for evaluation.

Failure to comply with the SOQ content and submittal requirements may result in disqualification. SJCOG is not responsible for finding, correcting, or seeking clarification regarding

ambiguities or errors contained in the submittals. If a submittal is found to contain ambiguities or errors, it may receive a lower score during the evaluation process. Errors and ambiguities in submittals, including cost estimates to perform the work, will be interpreted in favor of SJCOG. SJCOG reserves the right to check references for all proposers or for only the proposers recommended for the pre-qualified list.

IV. CONSULTANT SELECTION AND CONTRACTING PROCESS

A. Evaluations

Evaluations of qualifications will be conducted in a one-step process with a total of 100 points maximum. Using the Evaluation Criteria set forth below, SJCOG representatives will conduct an evaluation and scoring of written statement of qualifications worth up to 100 points. Proposals will be evaluated based upon the following criteria and corresponding point system:

WRITTEN EVALUATION CRITERIA	MAXIMUM SCORE
Understanding of the work to be done	30
Experience with similar kinds of work	30
Quality of staff for work to be done	30
Billing Rates (proposed hourly fees of members in the team)	10

Consultant qualifications will be evaluated by a panel that may consist of SJCOG staff and various representatives of its member jurisdictions and other agencies as determined necessary. The consultant proposals with the highest scores will be ranked in order of highest to lowest to select the top ranked consultant firm to enter into immediate contract negotiations.

Although cost proposals for the services will be important part of the consideration for award of the project, SJCOG and project sponsors will consider the consultant’s qualifications, expertise and level of professional service and advice in the award of the project.

V. SCHEDULE

Below is a tentative schedule for the selection process for qualifying consultants to provide the services outlined in the RFQ’s scope:

DATE	SCHEDULED ITEM
March 6, 2020	Release of Request for Qualifications
April 3 May 1, 2020	Due Date for Response to RFQ by 4:00 P.M. PST
April 6 – 9 May 4-7, 2020	Review of Submittals
April 10, 13, 14, May 8-13, 2020	Interview Option (SJCOG reserves the option of conducting interviews)
April 15 May 14, 2020 (or earlier if no interviews)	Proposer Ranking results released
April 23 May 28, 2020	SJCOG Board considers approval of on call list

SJCOG reserves the right to modify this schedule in any way, and at any time, during the consultant evaluation and selection process, as determined by the SJCOG Executive Director.

VI. ADDITIONAL REQUIREMENTS, POLICIES, TERMS AND CONDITIONS

A. SJCOG Affirmative Action Policy

SJCOG does not discriminate on the basis of race, religion, sex, sexual orientation, national origin, marital status, age, physical disability, or ownership by women or minorities.

B. SJCOG Disadvantaged Business Enterprise program

SJCOG has established a Disadvantaged Business Enterprise (DBE) program in accordance with *49 CFR Part 26* and may utilize Federal Funds. This project is subject to *49 CFR, Part 26* entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs".

Although DBE participation goals have not been set for the agreement, SJCOG encourages the participation of DBEs, as defined in 49 CFR 26, in performing Agreements financed in whole or in part with federal funds. DBEs are encouraged to submit proposals to ensure the participation of DBEs in the performance of agreements financed in whole or in part with Federal Funds to achieve its federally mandated Statewide overall goal, as defined in *49 CFR 26*. Consultants who obtain DBE participation on this contract will assist Caltrans in meeting its federally mandated statewide overall DBE goal of 17.6%. Please refer to the following website for guidance: <https://www.transportation.gov/small-business/disadvantaged-business-enterprise-dbe-program> or <http://www.dot.ca.gov/hq/bep/>.

For FTA Race Neutral requirements, please refer to the following website for guidance: <http://www.fta.dot.gov/civilrights/12889.html>

DBEs and other small businesses are strongly encouraged to participate in the performance of contracts financed in whole or in part with federal funds. The consultant should ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for this assurance. The proposer shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

C. Good Faith Efforts

The DBE policy requires contractors to follow Good Faith Effort Guidelines; however, they are limited to UDBEs. UDBEs are limited to these certified DBEs that are owned and controlled by African Americans, Native Americans, Women, and Asian-Pacific Americans.

Assurance: The Authority will never exclude any person from participation in, deny any person the benefit of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR, Part 26 on the basis of race, color, sex, or national origin. The Authority will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing the accomplishment of the objectives of the Caltrans DBE Program Plan with respect to individuals of a particular race, color, sex, or national origin.

Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract, or such other remedy, as recipient deems appropriate, which may include, but is not limited to:

- (1) Withholding monthly progress payments;
- (2) Assessing sanctions;
- (3) Liquidated damages; and/or
- (4) Disqualifying the contractor from future bidding as non-responsible.

D. Title VI of the Civil Rights Act of 1964

The selected consultant agrees to comply with all the requirements imposed by Title VI of the Civil Rights Act of 1964 (49 USC 2000d) and the regulations of the U.S. Department of Transportation issued thereunder in 49 CFR Part 21.

E. Cost of Preparation of Proposals and Contract

SJCOG shall not pay any costs incurred in the consultant's proposal preparation, printing, demonstration process, or contract negotiation activities. All such costs shall be borne by the respective consulting firm.

F. Protests

Any protest must be submitted in writing and received by SJCOG at 555 East Weber Avenue, Stockton, CA 95202 before 5:00 p.m. no later than five (5) business days following the date SJCOG announces the Pre-qualified Consultant List results (the "Protest Deadline") and must comply with the following requirements:

- 1.1. General. Only a proposer who has actually submitted a SOQ is eligible to submit a protest against another proposer. Subcontractors are not eligible to submit protests. A proposer may not rely on the bid protest submitted by another bidder, but must timely pursue its own protest. The proposer must submit a non-refundable fee in the amount of five hundred dollars (\$500.00). This fee must be submitted to SJCOG no later than the Protest Deadline. For purposes of this Section, a "business day" means a day that SJCOG is open for normal business, and excludes weekends and holidays observed by SJCOG.

- 1.2. Protest Contents. The protest must contain a complete statement of the basis for the protest and all supporting documentation. Material submitted after the Protest Deadline will not be considered. The protest must refer to the specific portion or portions of the Contract Documents upon which the protest is based. The protest must include the name, address, email address, and telephone number of the person representing the protesting proposer if different from the protesting proposer.
- 1.3. Copy to Protested Proposer. A copy of the protest and all supporting documents must be concurrently transmitted by fax or by email, by or before the Protest Deadline, to the protested proposer and any other proposer who has a reasonable prospect of receiving an award depending upon the outcome of the protest.
- 1.4. Response to Protest. The protested bidder may submit a written response to the protest provided the response is received by SJCOG before 5:00 p.m., within seven (7) business days after the Protest Deadline or after actual receipt of the protest, whichever is sooner (the "Response Deadline"). The response must include all supporting documentation. Material submitted after the Response Deadline will not be considered. The response must include the name, address, email address, and telephone number of the person representing the protested bidder if different from the protested bidder.
- 1.5. Copy to Protesting Proposer. A copy of the response and all supporting documents must be concurrently transmitted by fax or by email, by or before the Response Deadline, to the protesting bidder and any other proposer who has a reasonable prospect of receiving an award depending on the outcome of the protest.
- 1.6. Public Records. All materials submitted relative to this RFQ will be kept confidential until such time as an award of Contract is made. At such time, all materials submitted must be made available to the public. All information contained in the SOQ may be subject to the California Public Records Act (Government Code sections 6250 et seq.), and the information's use and disclosure are governed by this Act. Any information deemed confidential or proprietary should be clearly identified by the bidder as such. Such information may then be protected and treated with confidentiality to the extent permitted by state law.

G. Rights of Pertinent Materials

All responses, inquiries, and correspondence relating to the Request for Qualifications, and all reports, charts, coverage maps, displays, exhibits, and other documentation produced by the consultant's firm and submitted as part of their proposal shall become the property of SJCOG after the proposal submission deadline.

H. Modification to Scope of Work

The Scope of Work may be amended to meet available funding or to best meet the needs of SJCOG. In the event that any additional services are required as identified

herein, SJCOG reserves the right to add such services by amending the awarded Contract.

I. Right to Reject Proposal

SJCOG reserves the right to reject any and all SOQs or any part of any proposals, to waive minor defects or technicalities, or to solicit new SOQs on the scope of work, which may include portions of the original proposal as SJCOG may deem necessary.

J. Exceptions

The submission of a proposal shall be considered an agreement to all the terms, conditions, and specifications provided herein and in the various proposal documents, unless specifically noted otherwise in the proposal.

K. Conflict of Interest

Proposers must provide a list of any potential conflicts of interest in working for SJCOG. This must include, but is not limited to, a list of your firm's clients who are cities in San Joaquin County, the County of San Joaquin, and/or transit or transportation agencies that operate and/or have projects in San Joaquin County, and a brief description of work for these clients. Identify any other clients that would pose a potential conflict of interest as well as a brief description of work you provide to these clients. This list must include all potential conflicts of interest within the 12 months prior to the release of this RFQ as well as current and future commitments to other projects. The determination of a conflict of interest, direct or incidental, shall be at the sole discretion of SJCOG.