



San Luis Obispo Council of Governments

**Request for Qualifications
(RFQ) Qualified Consultant List**

Release date: Friday, March 15, 2019
Statements of qualifications (electronic copies .PDF)
due Wednesday May 8th, 2019 - 5:00 pm PDT

Summary

The San Luis Obispo Council of Governments (SLOCOG) is seeking statements of qualifications (SOQs) to include consulting firms on its Qualified Consultant List (QCL).

The QCL is a list of consultants qualified for certain types of services, which serves as a starting point for expedited procurement of consulting services for smaller contracts. It assists in the timely and efficient delivery of services while ensuring quality, experience, and professional competence.

Length of term

The renewed QCL will extend to June 30, 2022.

Definition of need

Many of SLOCOG's services require professional consulting assistance to complement internal staff work. Major ongoing SLOCOG services relate to long-range transportation planning, programming of funding, and conducting studies in collaboration with our member jurisdictions, Caltrans, and other stakeholders. SLOCOG also occasionally manages capital projects.

Given the range of services, SLOCOG staff typically have responsibilities toward many projects at the same time. Consultants can concentrate more time, along with a high level of expertise, on a single project. A QCL assists in the timely and efficient delivery of services while ensuring quality, experience, and professional competence.

Relationship to SLOCOG procurement process

This RFQ does not pertain to one or more specific projects. Inclusion on the QCL for one or more qualification categories is not a guarantee of selection for a future project.

When consulting services will be federally funded, SLOCOG must adhere to federal procurement requirements. State requirements are also applicable, and their applicability may vary based on the type of services provided. SLOCOG also has internal procurement procedures and policies.

The Caltrans *Local Assistance Procedures Manual* (LAPM), Chapter 10, and federal Small Purchase Procedures allow for relatively simple and informal methods of procurement for consulting services costing in total no more than \$150,000.

Given these parameters, the following list summarizes how the QCL relates to different types of procurement.

- For all federally-funded services costing in total more than \$150,000, a standalone request for proposals (RFP) or RFQ will be needed.
- For non-federally-funded services and federally-funded services costing \$150,000 or less, SLOCOG may use the QCL as a basis for consultant selection. The QCL serves as a first step in a procurement process that must adhere to Small Purchase Procedures if federal funding is involved. Subsequent steps may involve an RFP solicited to the firms qualified for the appropriate category of services, a request for price or rate quotations, or related procurement step allowed by applicable state and-or federal laws, regulations, or procedures.
- Maintaining a QCL will not preempt SLOCOG from a standalone RFP or RFQ process for services \$150,000 or less.
- Within the parameters of applicable state and-or federal requirements, the nature of the consulting services, their cost, the specific purpose and need they fulfill, the time sensitivity of the project, and other factors may influence the approach to each procurement process.

Different SLOCOG projects have different staff assigned to their management and contract administration. These project managers will coordinate the procurement process for their respective projects.

Maximum cumulative contract amount

The maximum sum of not-to-exceed amounts for an individual firm in all contracts procured using the QCL is \$1,000,000. Contracts awarded via separate procurement processes not involving the QCL do not count toward this maximum.

Subconsultants

The need for subconsultants will vary based on the nature of the services required for each individual project. Inclusion of subconsultants in individual procurements is subject to LAPM, Ch. 10.

For this RFQ, SLOCOG is considering primary firms only. Subconsultants will be considered at the time of an individual procurement.

Disadvantaged Business Enterprise information

SLOCOG encourages disadvantaged business enterprises (DBEs) to submit SOQs. All federally-funded projects are subject to DBE utilization goal requirements. SLOCOG will establish DBE goals for individual contracts procured via the QCL. As needed for the individual project, further DBE information will be included in the procurement process (e.g. an RFP or request for quotes solicited to all firms qualified for a certain category), and DBE information will be required to be submitted.

See LAPM Ch. 10, Forms 10-I, 10-O1, and 10-O2 here:

<http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapmforms.htm#goHere10>.

Qualification categories

There are seventeen (17) qualification categories, as shown in Table 1, Scope of Work. For each qualification category, typical work products are listed. The specific work products for each project will be determined during that project’s individual procurement process. Qualifications-based selection is not required by federal and-or state regulations for some of the categories; however, including them in the QCL helps ensure quality, experience, and professional competence.

Table 1. Scope of work

General class of service	Qualification category (15)	Typical work products (may vary based on individual project)
Architecture, engineering, and project development	Preliminary engineering	Plans, specifications, estimates
	Surveying	Survey data to be included in plans
	Construction engineering and management	Contract change orders (review), RE diaries, submittals, RFIs, project correspondence, payment and labor documentation, closeout documentation, etc.
	Landscape architecture	Concept plans, landscaping plan sheets
	Right-of-way	Right-of-way negotiations and documentation
Planning and environmental	Transportation planning	Plans and reports
	Regional growth forecasts	Population and employment growth projection data
	Community engagement and outreach	Public meeting promotional materials, informational items, comment forms; websites and social media
	Environmental (CEQA/NEPA)	NEPA documents (CE, EA, EIS); CEQA documents (CE, IS, EIR)
Geographic Information Systems (GIS)	GIS services	GIS data and maps
	Aerial imagery	Aerial images
Other	Traffic counts / simulation	Modal counts and traffic simulations
	Project or program admin.(non-construction)	Meeting agendas, summaries
	Funding administration	Reimbursement requests, documentation for federal and state funding
	Grant writing (SB-1 Hwy, Active Trans, Other State/Federal)	Prepare high quality competitive grant applications for a range of state and federal programs
	Graphics / Visual Simulation / Photography	Graphic design products depending on project
	Wayfinding / Signage	Preparing site plans and consulting services for wayfinding and signage

Conflicts of interest

Procurement via the QCL will be subject to conflict of interest provisions included in LAPM, Ch. 10.

Qualification criteria

In contrast to a project-specific RFQ, this RFQ does not select a single most-qualified firm. The evaluation results in a yes-no decision about each firm’s qualifications for each category for which they are proposing to be qualified.

Category-specific rating

Each SOQ will be rated for each qualification category sought using the weighted criteria in the following table. This method sets both minimum point thresholds for each criteria and a minimum total point threshold as a way of informing a decision about a firm’s qualifications.

Criteria specific to <u>each qualification category</u>		Max. points	Min. points to be qualified for a category
40%	Experience of staff <ul style="list-style-type: none"> • Pertains to staff reasonably likely to work on SLOCOG projects 	10	5
20%	Demonstrated technical ability	5	3
20%	Firm’s overall experience	5	2
20%	Capability of developing innovative or advanced techniques	5	2
Total		25	14

For example, if an SOQ scores 3 out of 10 on “Experience of staff” for a category, the firm will not be qualified for that category (*individual criterion threshold*). Or, if an SOQ gets the minimum points to be qualified for each category – but no more – the firm will not be qualified for the category because they will have 12 points, 2 short of the 14 total points needed for qualification (*total points threshold*).

The following matrix relates an SOQ rating to a decision about qualification.

Score	Decision
Gets minimum points for each criterion AND at least 14 total points	Firm is qualified for the category
Fails to get minimum points for any one criterion OR fails to get at least 14 total points	Firm is not qualified for the category

General criteria

Firms should also demonstrate a basic level of competence in the general criteria in the following table. This is not a category-specific rating.

General criteria	Decision
Familiarity with state and federal procedures	yes or no
Financial management and accounting system * Federally-funded contracts shall not be awarded to a consultant without an adequate financial management and accounting system as required by 48 CFR Part 16.301-3, 49 CFR Part 18, and 48 CFR Part 31	yes or no
Quality control and assurance	yes or no
Approach to project scheduling and efficient delivery of services	yes or no

Any “no” decision on any single general criterion will result in the firm being ineligible to be on the QCL. SLOCOG sees these criteria as being essential to performing quality consulting services without unwarranted delays or issues related to applicable federal and state regulations.

Evaluation process

Each SOQ will be evaluated by a technical committee of staff from SLOCOG. SLOCOG may contact the firm to obtain further information that would be helpful in determining qualification for one or more categories. If a firm receives between 1-2 disqualifying category-specific scores, or a disqualifying general criteria “no” decision, SLOCOG will contact the firm to allow an opportunity for the score(s) to be appealed. The appeal will be evaluated by all panel members.

The final scores will be an average of the panel member scores, including any corrections based on successful appeals. The QCL is subject to SLOCOG Board approval. The draft QCL recommended by the review panel is expected to be presented to the Board for approval at its June 5, 2019, meeting.

Required content of SOQ (suggested # of pages)

1. Cover letter (1-2 pp.)
2. List of qualification categories for which your firm is applying (1 p. form; see table 1)
3. Background of firm (1-2 pp.)
4. Key staff experience (summary, 1-2 pp.)
5. How firm is qualified for your selected categories (summary, 1-3 pp.)
6. How firm meets general criteria (1 p.)
7. Example projects, including the role fulfilled by the firm for each project (3-15 pp.)
8. Key staff resumes (up to 15 pp.)
9. Additional info
 - a. References (min. 3)
 - b. Hourly direct labor rates by position
 - c. Organizational chart
 - d. Statement regarding conflicts of interest
 - e. Statement acknowledging addendums, if any
 - f. Applicable licenses and certifications
 - i. Note: A listing is sufficient. Copies of licenses are not required. Firms should list firm or staff licenses that are applicable to this RFQ. However, if staff licenses/certifications are included in resumes, they don't need to be repeated in the listing.
 - g. Certificate of liability insurance

Format and mailing requirements

Electronic copies are required.

Electronic copy in PDF format - Email Statements of qualifications (electronic copies .PDF)
To: John DiNunzio, jdinunzio@slocog.org

Electronic copies must be received by the due date and time. A reply will be sent to confirm the file was received.

It is recommended, but not required, that the PDF copies include searchable text.

However, a CD mailed or dropped-off paper copies is an acceptable alternative.

OR Send via mail or drop off at the SLOCOG office.

SLOCOG
Attn: John DiNunzio, Regional Transportation Planner
1114 Marsh St.
San Luis Obispo, CA 93401

Dropped off copies at the office by the due date and time, or postmarked by the due date.

Addendums

To ensure all firms have access to complete information, questions about this RFQ that may affect the evaluation of qualifications will be answered via addendums that will be posted on the SLOCOG website and may amend original text in the RFQ. All questions warranting an addendum must be received by Tuesday, April 5, 2019, at 5:00 pm PDT. Minor, editorial changes to the RFQ may be made without notice.

All questions should be directed to John DiNunzio, Regional Transportation Planner, at jdinunzio@slocog.org

Category disqualification and QCL removal

Firms who are included on the QCL will remain on it until the end of the QCL term, which, as noted above, is June 30, 2022. However, exceptional circumstances may warrant the disqualification of a firm for a certain category or removal from the QCL.

- Firms subject to disqualification for one or more categories in the case of:
 - Personnel changes rendering the firm lacking in sufficient staff experience in a category (does not apply to temporary vacancies to be filled by a new hire)
 - Loss of professional licensure or certification, if the license/certification is applicable to the qualification category
 - Poor performance on a project related to a qualification category based on unwarranted delays, recurring unresponsiveness, or an unprofessional product, plus substantial evidence that such poor performance would be reasonably likely to remain for subsequent services
- Firms subject to QCL removal in the case of:
 - Liquidation
 - Debarment or suspension
 - Substantial evidence that a change has occurred to render the firm ineligible based on at least one of the general evaluation criteria listed above

Prior to a decision on category disqualification or QCL removal, SLOCOG will make every effort to gather information – including, but not necessarily limited to, communicating with the firm in question – before presenting the change to the SLOCOG Board for approval.

Firms removed from the QCL may be reinstated, upon request and subject to SLOCOG Board approval, if they demonstrate that the cause for removal has been remedied. Firms disqualified for a category may be re-qualified, upon request and subject to SLOCOG Board approval, if they demonstrate that the cause for disqualification has been remedied.

Attachment A

Qualified Consultant List – Qualification Categories

Name of firm: _____

Please select all the categories for which you are seeking qualification.

General class of service	Qualification category (15)	Check all that apply
General class of service Architecture, engineering, and project development	Qualification category (15)	
	Preliminary engineering	
	Surveying	
	Construction engineering and management	
Planning and environmental	Landscape architecture	
	Right-of-way	
	Transportation planning	
	Regional growth forecasts	
Geographic Information Systems (GIS)	Community engagement and outreach	
	Environmental (CEQA/NEPA)	
Other	GIS services	
	Aerial imagery	
	Traffic counts / simulation	
	Project or program admin.(non-construction)	
	Funding administration	
	Grant writing (SB-1 Hwy, Active Trans, Other State/Federal)	
	Graphics / Visual Simulation / Photography	
Wayfinding / Signage		