



Request for Proposal

RFP 56A0651

PART 1 – BIDDER INSTRUCTIONS

FOR

Transportation Asset Management System

(TAMS)

Issued by:

**State of California, California Department of Technology (CDT), on behalf
of the**

California Department of Transportation (Caltrans)

Part 1 of the solicitation contains the Bidder and bidding instructions, proposal form instructions, and all other instructional/compliance information that the Bidder must meet in order to be considered responsive and responsible to the solicitation.

Part 2 of the solicitation contains all forms a Bidder must complete and return with its Proposal Submission, including the CDT/STP administrative forms, qualification forms, requirement responses, and all exhibits/attachments discussed in Part 1.

Disclaimer: The original version and any subsequent solicitation addenda released by the Procurement Official of this solicitation remain the official version. In the event of any inconsistency between the Bidder's versions, articles, attachments, specifications or provisions (which constitute the Contract), the official State version of the solicitation in its entirety shall take precedence.

RFP

PART 1 – BIDDER INSTRUCTIONS

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1. INTRODUCTION

This solicitation is being conducted under the authority of California Department of Technology (CDT) pursuant to Public Contract Code (PCC) §6611 et seq. The format that bid information is to be submitted and the material to be included therein follows. This solicitation also addresses the requirements that Bidders must meet to be eligible for consideration, as well as addressing Bidders' responsibilities before and after award.

1.1. PURPOSE OF THIS REQUEST FOR PROPOSAL

The purpose of this Request for Proposal (RFP) (hereafter referred to as "solicitation") is to obtain proposals from qualified bidders to provide the California Department of Transportation and the State of California (hereafter referred to as "State") with a Transportation Asset Management System (TAMS), hereafter referred to as "TAMS". These services will include implementation of the TAMS solution, software licensing and maintenance and optional post-implementation services.

The TAMS Systems Integrator will develop and implement a solution that will be a centralized data repository and tools to improve transportation asset management, project nomination, project prioritization, scoping, funding, and decision support.

The proposed technology does NOT seek to replace source asset systems such as pavement, bridge and integrated maintenance (field work order) management.

Caltrans desires a cloud-based, Commercial Off the Shelf (COTS) solution. The TAMS solution must:

- Implement the Transportation Asset Management Plan (TAMP) and integrate data across assets, systems and NEEDs (see RFP Part 2, SOW Section 1.5 for complete description of NEED),
- Establish an asset and performance management system that unifies analytics, strategies, and modeling for decision support,
- Integrate project planning, scoping, programming and establish funds and performance management across multiple programs in the department, and
- Integrate performance outcomes, business intelligence, reporting and dashboards.

In order to effectively execute the TAMP, a TAMS solution is needed to bring together applicable data from multiple databases to complete the analysis, planning and projections necessary to meet the TAMP objectives.

Key components of the TAMP that TAMS must address include:

- Summary listing of assets
- Description of the condition of those assets
- Asset management objectives and measures
- Performance gap identification
- Life cycle planning and risk management analysis
- Financial plan
- Investment strategies

In the simplest of terms, Caltrans requires a solution able to identify and manage all assets and NEEDs efficiently in their respective locations, geospatially map them, bundle these NEEDs into transportation projects, and then logically prioritize them into project portfolios to maximize available funding.

Responses to this solicitation will be evaluated based on the bidder's total proposal in response to the requirements of this solicitation. The Contract award, if made, will be to the single bidder awarded the highest points as calculated in accordance with the methodology defined in Section 7, Evaluation.

1.2. BACKGROUND

Caltrans manages more than 50,000 miles of California's highway and freeway lanes, provides inter-city rail services, permits, inspects and maintain bridge structures, permits more than 400 public-use airports and special-use hospital heliports, and works with local agencies to address highway congestion and incidents and collaborate on new modes of transportation and highway management systems. Caltrans carries out its mission of providing a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability, with six primary programs: Aeronautics, Highway Transportation, Mass Transportation, Transportation Planning, Administration and the Equipment Service Center.

Within Caltrans, the Directors Office of Asset Management is responsible for all aspects of Transportation Asset Management (TAM), a strategic and systematic process of operating, maintaining, upgrading, and expanding highway system physical assets effectively throughout their life cycles. It focuses on business and engineering practices for resource allocation, evaluating highway system condition/performance, and utilization, with the objective of better decision making based on quality information and well-defined objectives. Advancing Asset Management across an organization requires self-assessment, alignment, goal setting, and support.

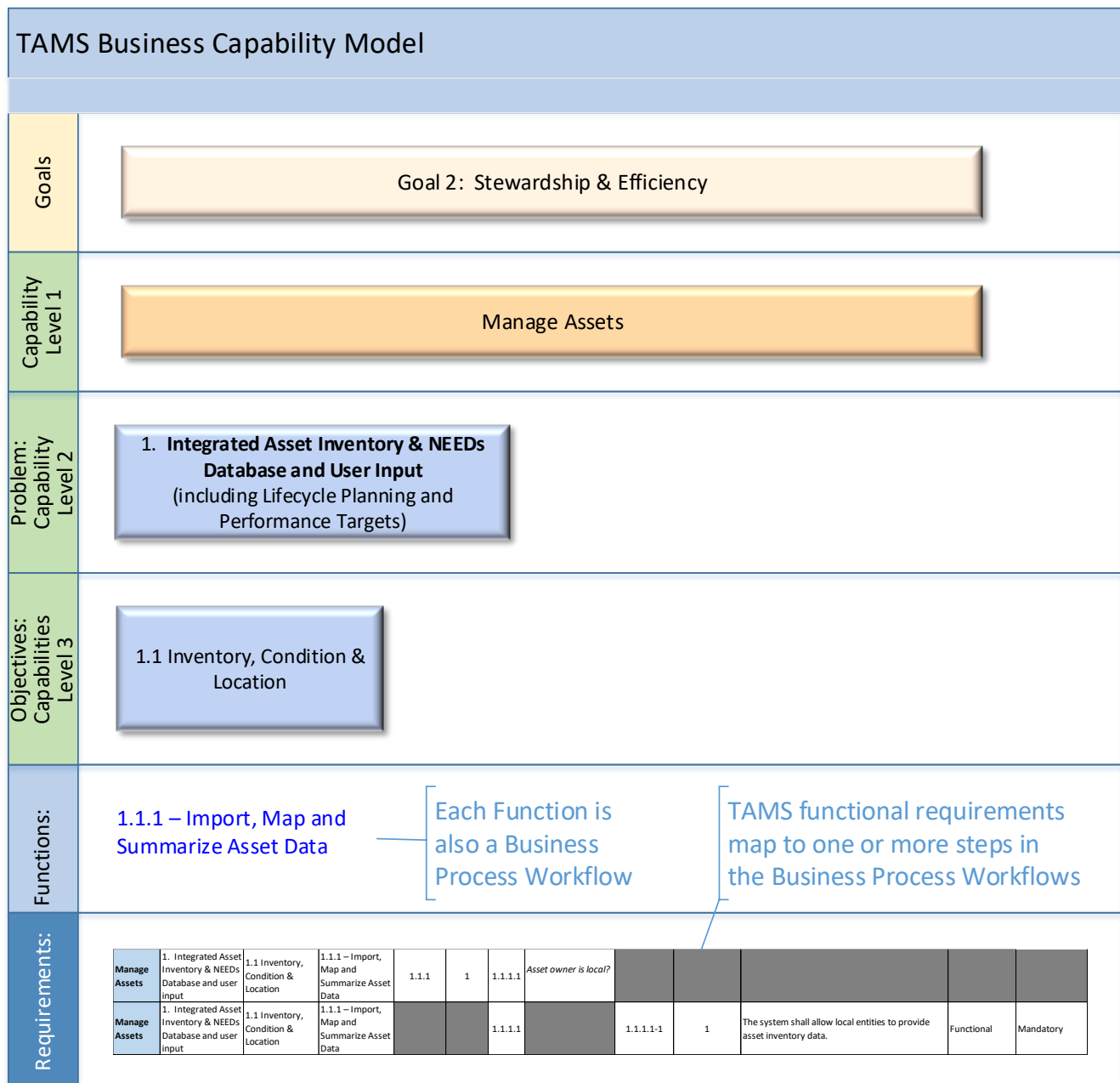
What will TAMS Accomplish?

The TAMS requirements (see Exhibit 19: TAMS Requirements) are organized according to a Business Capability Model (BCM). TAMS is using the BCM to:

- Identify and group mid-level requirements (requirements used to get project approval and determine scope, not design).
- Ensure required business capabilities are addressed with the solution.
- Communicate the scope of TAMS effectively to stakeholders and vendors.

The TAMS BCM is composed of the following layers (boxes) with an example provided for each layer shown below in Figure 1.

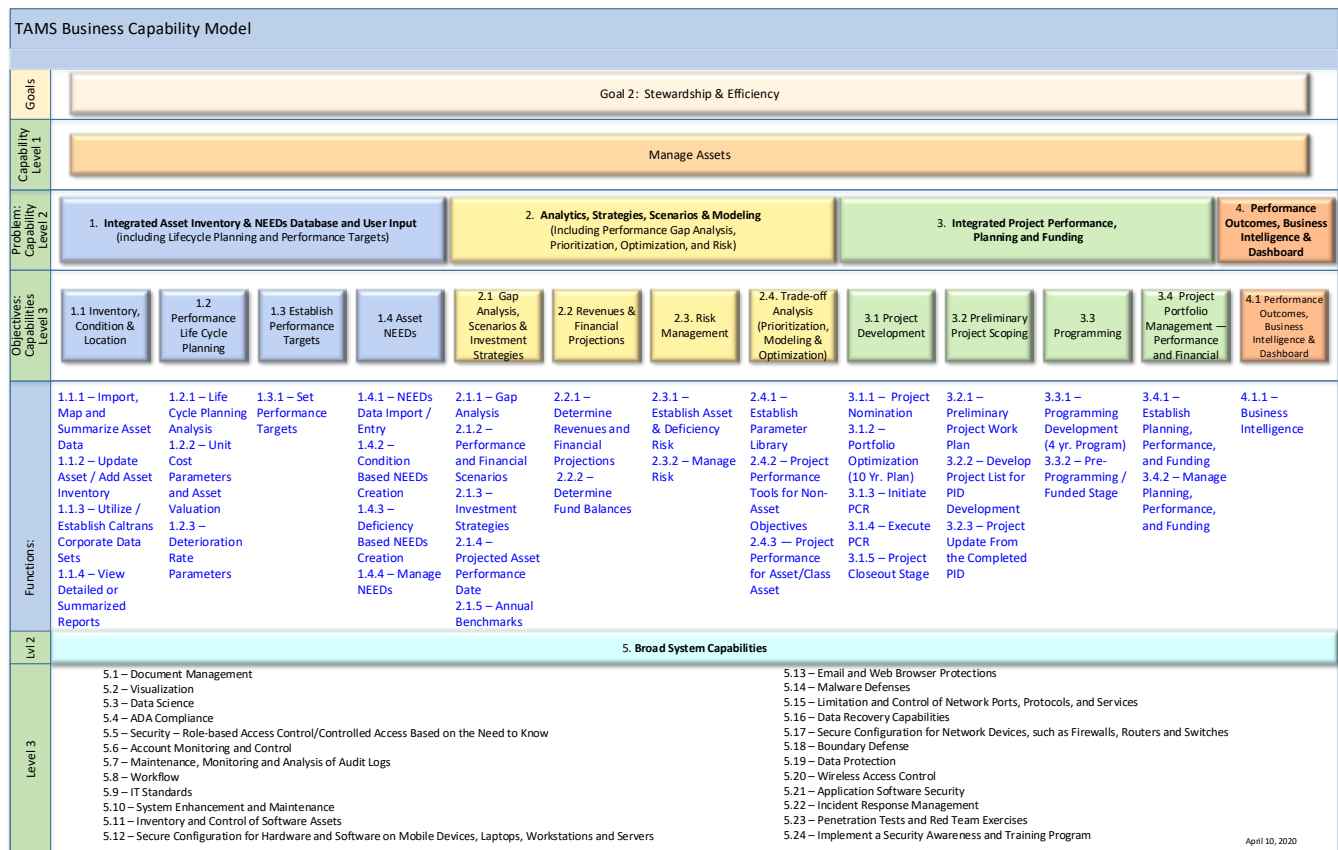
Figure 1, Business Capability Model Layers



Based on the CDT Stage Gate PAL process and the State and Federal requirements, the business needs of the project are outlined in the TAMS Capability Model. The detailed requirements and business process flows can be found in Exhibit 19: TAMS Requirements.

The requirements for TAMS are tied to the functions in the Capability Level 3 layer. They are numbered and organized according to the TAMS Business Capability Model depicted below in Figure 2. Please note that Business Capability Model 5.0, Broad System Capabilities does not have Business Process Workflows and the requirements are associated with Capability Level 3.

Figure 2, TAMS Business Capability Model



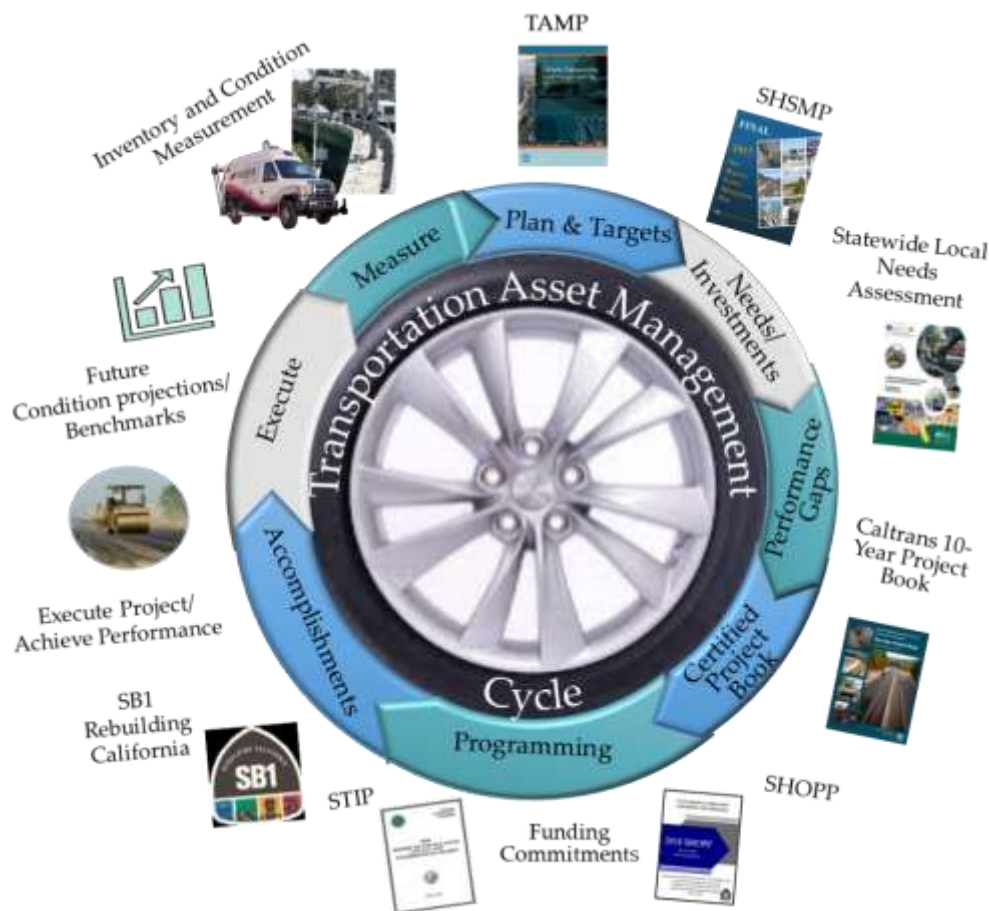
April 10, 2020

1.3. CURRENT ENVIRONMENT

Caltrans established the Director's Office of Asset Management (Office), under the direction of the State Asset Management Engineer to address federal and state asset management mandates. The initial asset management focus was on gathering input from and educating local partners, districts, and program staff about asset management while establishing performance criteria. As required by state and federal law, Caltrans developed the California TAMP. The 2018 California TAMP was the first comprehensive TAMP in the nation and the first to get initial certification.

The TAMP forms the basis of Caltrans' asset management framework and initiates a cycle of dependent business processes as shown in Figure 3, Transportation Asset Management Cycle.

Figure 3, Transportation Asset Management Cycle



1.4. PROPOSED ENVIRONMENT

TAMS will not replace existing asset management systems and should not be confused with Enterprise Asset Management (EAM). APM is designed for decision support; EAM is designed for maintenance execution. Asset Performance Management (APM), as defined by Gartner in their Market Guide for Asset Performance Management Software:

APM is a market of software tools and applications for optimizing operational assets (such as plants, ~~equipment~~ and infrastructure) essential to the operation of an enterprise. Organizations invest in APM tools and technologies to reduce unplanned repair work, increase asset availability, minimize maintenance costs and reduce the risk of failure for critical assets. These products can also improve an organization's ability to comply with regulations that prescribe how assets are inspected and maintained. APM uses data capture, integration, visualization and analytics to improve operations and maintenance timing, and to identify which maintenance and inspection activities to perform on mission-critical assets.

APM should not be confused with EAM, although integration between the two is common for triggering work orders in all levels of functional capabilities listed above, and many EAM vendors have invested in some level of APM.

An inventory of NEEDs is a primary entity and concept of the TAMS. A NEED (capitalized to differentiate from the word "need" with a broader, TAMS specific meaning and not denoting an acronym) is a nonconformity (e.g., condition), functional failure (e.g., crack in bridge substructure), incident (safety), or deficiency (congestion) associated with a specific asset or asset system. A NEED is the link between the root cause and treatments (corrective actions). See the Exhibit 24: Conceptual TAMS Information Architecture for the relationship of the NEED entity with other TAMS entities.

Most TAMS entities, including NEEDs, have both temporal and spatial attributes. Condition-based NEEDs, for example, are located through association with an asset (linear or non-linear) and within time (past condition, current condition, and predicted condition). A deficiency-based NEED may be tied to an asset like pavement for an ADA deficiency, or to a broader location encompassing many assets for greenhouse gas deficiency. Several NEEDs may be bundled to create a project nomination.

The bundling of multiple types of NEEDs into a project that utilizes multiple Funding Programs is at the core of TAMS project nomination.

1.5. TERM OF CONTRACT

Effective upon approval of the CDT, Statewide Technology Procurement (STP), and the California Department of Transportation, the term of the Contract is three (3) years, with an estimated start date of 10/30/2020.

The State, at its sole discretion, may exercise its option to two (2), one-year extensions to perform for a maximum Contract term of five (5) years.

1.6. AMERICANS WITH DISABILITIES ACT (ADA)

To comply with the nondiscrimination requirements of the ADA, it is the policy of the State of California to make every effort to ensure that its programs, activities, and services are available to all persons, including persons with disabilities.

For persons with a disability needing a reasonable accommodation to participate in the procurement process or for persons having questions regarding reasonable accommodations of the procurement process, you may contact the Procurement Official identified in Section 2.2.1. You may also contact the State of California at the numbers listed below.

Important: To ensure that we can meet your need, it is best that we receive your request for reasonable accommodations at least ten (10) working days before the scheduled event, e.g., meeting, conference, workshop, etc., or deadline due-date for procurement documents.

The California Relay Service Telephone Numbers are:

TTY/VCO/HCO to Voice	English	1-800-735-2929
	Spanish	1-800-855-3000
Voice to TTY/VCO/HCO	English	1-800-735-2922

	Spanish	1-800-855-3000
From or to Speech-to-Speech	English & Spanish	1-800-854-7784

2. BIDDING INSTRUCTIONS

2.1. BIDDER ADMONISHMENT

This procurement will follow a phased approach designed to increase the likelihood that Proposal Submissions will be received without disqualifying defects. The additional steps:

- 1) Ensure that the Bidder clearly understand the State's requirements before attempting to develop its Proposal;
- 2) Ensure that the State clearly understands what each Bidder intends to propose before those proposals are finalized;
- 3) Provide an opportunity for the State and each Bidder to discuss weaknesses or potentially unacceptable elements of a Bidder's proposal and gives the Bidder an opportunity to modify its proposal to correct such problems;

Specific information regarding such steps is found in Section 2.5, BIDDING STEPS, Section 2.7, NEGOTIATIONS, and Section 7, EVALUATION, of the solicitation.

The Bidder should refer to Section 2.5, BIDDING STEPS, to understand the steps applicable to this solicitation. It is the Bidder's responsibility to:

- 1) Carefully read the entire solicitation;
- 2) Ask appropriate questions in a timely manner, if clarification is necessary;
- 3) Submit all required responses by the required dates and times;
- 4) Make sure that all procedures and requirements of the solicitation are accurately followed and appropriately addressed;
- 5) Carefully re-read the entire solicitation before submitting a Proposal Submission.

2.2. COMMUNICATIONS AND CONTACTS

The State uses an online procurement system known as *Cal eProcure* to communicate with prospective Bidders and suppliers. Information and ongoing communications for this solicitation will be posted by the State on the *Cal eProcure* website, www.caleprocure.com.

Only questions submitted in writing and answered in writing by the Procurement Official shall be binding and official. Written questions must be submitted by email to the Procurement Official identified in Section 2.2.1, PROCUREMENT OFFICIAL, using Attachment 2, FORM FOR SUBMITTING QUESTIONS. All written questions submitted by the deadline specified in Section 2.3, KEY ACTION DATES, will be responded to at the same time with all questions and answers posted to *Cal eProcure* in the form of a question and answer set.

Oral communications by Agency/state entity officers and employees concerning this solicitation shall not be binding on the State and shall in no way excuse the Bidder of any obligations set forth in this solicitation.

2.2.1. PROCUREMENT OFFICIAL

The Procurement Official is the State's designated authorized representative regarding this procurement.

Bidders are directed to communicate, submit questions, deliver proposals, and submit all other correspondence regarding this procurement to the Procurement Official at the address below in Table 2-1: Procurement Official.

Table 2-1: Procurement Official

Department Name:	California Department of Technology, Statewide Technology Procurement
Procurement Official:	Emily Klahn
Email:	Emily.Klahn@state.ca.gov
Phone:	916-628-5661
Secondary Procurement Official:	David Sanchez
Email:	David.Sanchez@state.ca.gov
Phone:	916-224-4417

Emily Klahn, Procurement Official

Phone: (916) 628-5661, Email: Emily.Klahn@state.ca.gov

2.2.2. QUESTIONS REGARDING THE SOLICITATION DOCUMENT

Bidders requiring clarification of the intent, terms and conditions, content of this solicitation, or on procedural matters regarding the competitive proposal process may request clarification by submitting questions using Attachment 2, FORM FOR SUBMITTING QUESTIONS, in an email (using the solicitation identification information from the solicitation title page) to the Procurement Official listed in Section 2.2.1. To ensure a response, questions must be received in writing by the scheduled date(s) specified in Section 2.3, KEY ACTION DATES. Question and answer sets will be provided to all bidders without identifying the submitters. At the sole discretion of the State, questions may be paraphrased by the State for clarity.

If a Bidder who desires clarification or further information on the content of the solicitation, but whose questions relate to the proprietary aspect of its proposal and disclosure exposes its proposal to other Bidders, the question may be submitted using the same criteria above with the notation, "CONFIDENTIAL." The Bidder must explain why the question is sensitive in nature. If the State concurs that the disclosure of the question or answer would expose the proprietary nature of the proposal, the question will be answered, and both the question and answer will be confidentially maintained. If the State does not concur with the proprietary aspect of the

question, the question and answer will not be confidentially maintained, and the Bidder will be so notified.

2.2.3. MANDATORY INTENT TO BID

Bidders that want to participate in the solicitation must submit a completed Exhibit 2: Intent to Bid by the date specified in Section 2.3, Key Action Dates.

This document shall be emailed to the Procurement Official identified in Section 2.2.1. Only those Bidders acknowledging interest in this solicitation will receive invitations and correspondence applicable to the solicitation (e.g., scheduling dates for confidential discussions, Office of Technology services (OTech) meetings, etc.) throughout this procurement. Correspondence to a Bidder regarding this solicitation will only be given to the Bidder's designated contact person.

It shall be the Bidder's responsibility to immediately notify the Procurement Official identified in Section 2.2.1, in writing, regarding any revision to the contact person information by the proposal submission date. The State shall not be responsible for proposal correspondence not received by the Bidder if the Bidder fails to notify the State, in writing, about any change pertaining to the designated contact person.

A Bidder must notify the Procurement Official whenever its intent to bid changes or whenever there is a change in the Bidder's designated contact information.

2.2.4. BIDDERS' LIBRARY (NOT APPLICABLE)

2.2.5. BIDDERS' CONFERENCE

The State will be conducting an online Bidders' Conference at the date and time specified in Section 2.3 Key Action Dates. Bidders that want to attend the Bidders' Conference must email the Procurement Official for web meeting information at least 2 days prior to the Bidders' Conference. Participation in the Bidders' Conference is not a mandatory step in the bidding process.

2.2.6. CONCEPTUAL DISCUSSIONS

The State will be conducting Conceptual Discussions individually with Bidders that submitted an Intent to Bid. The State's agenda topics for discussion will be sent to each Bidder in advance of the meeting. Each Bidder should be prepared to discuss their approach to implementing their solution, the projected timeline and phasing of implementation, challenges they foresee, and any other detailed or proprietary questions they wish to discuss with the State.

2.2.7. CLOUD COMPUTING SERVICES

Per the State's Cloud Computing Policy, whenever feasible, Agencies/state entities will utilize the CalCloud services provided by the CDT. The State has determined that CalCloud services are not feasible for this solution. Bidders will be required to host their own solution.

2.3. KEY ACTION DATES

Table 2-3: KEY ACTION DATES provides the key action dates and times by which actions must be taken or completed. If the State finds it necessary to change these dates or times, it will be accomplished via an addendum to this solicitation with the exception of dates listed after the Last day to submit Final Proposal. Dates listed after the Bidder's submission of Proposal Submission are estimated and may be adjusted without addendum to this solicitation. All times listed are for California Pacific Time/Pacific Standard Time. Key Action Dates following Last day to submit Final Proposals may be modified without written addendum.

Table 2-3: Key Action Dates (KAD)

Key Action Dates		
Item	Action	Date and Time
▪	Release Pre-Solicitation	February 14, 2020
▪	Pre-Solicitation Feedback Due	March 23, 2020
▪	Confidential meetings with potential bidders	April 6-10, 2020
▪	Release Solicitation	June 26, 2020
▪	Bidder's Conference	July 9, 2020 1:00-3:00 PM
▪	Last Day to submit (a) Exhibit 2: Intent to Bid, Exhibit 3: Confidentiality Statement, and Exhibit 30: Follow-on Contract Certification. (b) Last day to submit written questions using Attachment 2	July 17, 2020
▪	State's response to Bidders' questions, Bidders' request for changes to the requirements and release of potential addendum ¹	July 28, 2020
▪	Conceptual Discussions	August 5-10, 2020
▪	Last day to submit Proposal ²	August 26, 2020, 4:00 PM
▪	Final Proposal Evaluation Period ³	August 27-September 10, 2020
▪	Negotiation Invitations Sent	September 11, 2020
▪	Negotiation (may include demo)	September 21-25, 2020
▪	Best and Final Offer due	TBD
▪	Contract Award Estimated	October 30, 2020

Key Action Dates		
Item	Action	Date and Time
¹ All dates approximate and may be adjusted as conditions indicate. ² All dates after submission of proposal are approximate and may be adjusted as conditions indicate without addendum to this solicitation. ³ Based on the number of proposals received.		

2.4. RULES GOVERNING COMPETITION

This solicitation, the evaluation of responses, and the award of any resultant Contract shall be made in conformance with current competitive bidding procedures as they relate to the procurement of Information Technology (IT) goods and services by public bodies in the State of California.

2.4.1. IDENTIFICATION AND CLASSIFICATION OF SOLICITATION REQUIREMENTS

The State has established certain requirements with respect to proposals to be submitted by prospective Contractors. The use of "shall," "must," or "will" (except to indicate simple futurity) in the solicitation indicates a requirement or condition which is mandatory.

A deviation of any mandatory requirement must be resolved to the State's satisfaction during negotiations and corrected in the bidder's Best and Final Offer (BAFO).

The words "should" or "may" in the solicitation indicate desirable attributes or conditions, but are non-mandatory in nature. See RFP Section 4 Proposal Requirements for complete list of Requirements definitions.

2.4.2. SOLICITATION DOCUMENTS

This solicitation document includes, in addition to an explanation of the State's requirements which must be met, instructions which prescribe the format and content of proposals to be submitted and the model of the Contract to be executed between the State and the successful Bidder.

If a Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this solicitation document, the Bidder shall immediately notify the Procurement Official identified in Section 2.2.1, of such error in writing and request clarification or modification of the document.

Modifications will be made by addenda issued pursuant to Section 2.4.6, ADDENDA. Such modifications shall be given by written notice to all parties who have identified themselves as Bidders to the Procurement Official without divulging the source of the request. Insofar as practicable, the State will give such notices to other interested parties, but the State shall not be responsible therefore.

If the solicitation document contains an error known to the Bidder, or an error that reasonably should have been known, the Bidder shall bid at its own risk. If the Bidder fails to notify the State of the error prior to the date fixed for submission of proposals, and is awarded the Contract, the Bidder shall not be entitled to additional compensation or time by reason of the error or its later correction.

2.4.3. EXAMINATION OF THE WORK

The Bidder should carefully examine the entire solicitation document and any addenda thereto, and all related materials and data referenced in the solicitation document or otherwise available to the Bidder, and should become fully aware of the nature and location of the work, the quantities of the work, and the conditions to be encountered in performing the work. Specific conditions to be examined may be listed in Section 3, ADMINISTRATIVE REQUIREMENTS and/or Section 4, PROPOSAL REQUIREMENTS.

2.4.4. EXCLUSION FOR CONFLICT OF INTEREST

No consultant shall be paid out of State funds for developing recommendations on the acquisition of IT products or services or assisting in the preparation of the project approval lifecycle documents (stages 2, 3, or 4) or feasibility study, while in effect, if that consultant is to be a source of such acquisition or could otherwise directly and/or materially benefit from State adoption of such recommendations or the course of action recommended in the project approval lifecycle documents (stages 2, 3, or 4) or feasibility study. Further, no consultant shall be paid out of State funds for developing recommendations on the disposal of State surplus IT products if that consultant would directly and/or materially benefit from State adoption of such recommendations.

A consultant shall not be eligible to serve as the Prime Contractor or subcontractor pursuant to this solicitation if the Contractor/subcontractor is currently working on the solicitation in an Independent Verification and Validation (IV & V) role.

2.4.4.1. FOLLOW-ON CONTRACT CERTIFICATION

The Bidder must complete and submit Exhibit 30: Follow-on Contract Certification with Exhibit 2: INTENT TO BID. When completing the attachment, the Bidder must indicate all Caltrans' contracts held in the past five (5) years. If the bidding Prime Contractor or subcontractor(s) have not been part of a Caltrans contract in the past five (5) years, Exhibit 30: Follow-on Contract Certification is still required.

The completed Exhibit 30: Follow-on Contract Certification must be submitted with Exhibit 2: INTENT TO BID, as indicated in Section 2.3, KEY ACTION DATES.

2.4.5. CONFIDENTIALITY

Bidder material becomes public only after the contract(s) has been executed. If material marked "confidential," "proprietary," or "trade secret" is requested pursuant to the Public Records Act, the State will make an independent assessment whether it is exempt from disclosure. If the State disagrees with the Bidder, the State will notify the Bidder and give them a reasonable opportunity to justify their position or obtain a court order protecting the material from disclosure.

The Bidder should be aware that marking a document "confidential" or "proprietary" in a Proposal may exclude it from consideration for award and will not keep that document from being released after notice of award as part of the public record, unless a court has ordered the State not to release the document. The content of all working papers and discussions relating to the Bidder's proposal shall be held in confidence indefinitely, unless the public interest is best served by an item's disclosure because of its direct pertinence to a decision, agreement or the evaluation of the proposal.

Any disclosure of confidential information by the Bidder is a basis for rejecting the Bidder's proposal and ruling the Bidder ineligible to further participate. Any disclosure of confidential information by a State employee is a basis for disciplinary action, including dismissal from State employment, as provided by Government Code §19570 et seq. Total confidentiality is paramount; it cannot be over emphasized.

2.4.6. ADDENDA

The State may modify the solicitation at any time prior to submission of Final Proposal submission by issuing an addendum. Addenda will be numbered consecutively.

2.4.7. BIDDER'S COST TO DEVELOP RFP

Costs for developing proposals are the responsibility entirely of the Bidder and shall not be chargeable to the State.

2.4.8. DISCOUNTS

In connection with any discount offered, except when a provision is made for a testing period preceding acceptance by the State, time will be computed from the date of delivery of the supplies or equipment as specified, or from date correct invoices are received in the office specified by the State if the latter date is later than the date of delivery. When a provision is made for a testing period preceding acceptance by the State, the date of delivery shall mean the date the supplies or equipment are accepted by the State during the specified testing period. Payment is deemed made, for the purpose of earning the discount, on the date of mailing the State warrant or check.

Cash discounts offered by Bidders for the prompt payment of invoices will not be considered in evaluating offers for award purposes; however, all offered discounts will be taken if the payment is made within the discount period, even though not considered in the evaluation of offers.

2.4.9. SIGNATURE OF PROPOSAL

A cover letter shall be considered an integral part of the Proposal and any proposal form requiring signature, must be signed by an individual who is authorized to bind the bidding firm contractually. The signature block must indicate the title or position that the individual holds in the firm. An unsigned Proposal may be rejected. The draft proposal, if applicable, must also contain the cover letter, including the title of the person who will sign, but need not contain the signature.

2.4.10. IRREVOCABLE OFFER

A Bidder's proposal submission is an irrevocable offer 180 days following the scheduled date of Contract award date specified in Section 2.3, KEY ACTION DATES. A Bidder may elect to extend the offer in the event of a delay of Contract award.

2.4.11. FALSE OR MISLEADING STATEMENTS

Proposals which contain false or misleading statements, or which provide references that do not support an attribute or condition claimed by the Bidder, may be rejected. If, in the opinion of the State, such information was intended to mislead the State in its evaluation of the proposal, and the attribute, condition, or capability is a requirement of this solicitation document, it will be the basis for rejection of the Bidder's proposal.

2.4.12. JOINT PROPOSALS (NOT APPLICABLE)

2.4.13. BONDS

The State reserves the right to require a performance bond or other security document as specified in the solicitation from the Bidder in an amount not to exceed the amount of the Contract. In the event the State requires a surety bond that has not been expressly required by the solicitation, the State will reimburse the Bidder as an addition to the purchase price in an amount not exceeding the standard premium on such bond.

2.4.14. UNFAIR PRACTICES ACT AND OTHER LAWS

Bidder warrants that its proposal complies with the Unfair Practices Act (Business and Professions Code §17000 et seq.) and all applicable state and federal laws and regulations.

2.4.15. FAIR EMPLOYMENT AND HOUSING COMMISSION REGULATIONS

The California Government Code §12990 requires all state Contractors to have implemented a Nondiscrimination Program before entering into any Contract with the State. The Department

of Fair Employment and Housing (DFEH) randomly selects and reviews state Contractors to ensure their compliance with the law. DFEH periodically disseminates a list of Contractors who have not complied. Any Contractor so identified is ineligible to enter into any state contract.

2.4.16. PLASTIC TRASH BAG CERTIFICATION VIOLATIONS

Public Resources Code §42290 et seq. prohibits the State from contracting with any supplier, manufacturer, or wholesaler, and any of its divisions, subsidiaries, or successors that have been determined to be noncompliant to the recycled content plastic trash bag certification requirements. This includes award of a state contract or subcontract or renewal, extension, or modification of an existing contract or subcontract. Prior to award, the State shall ascertain if the intended awardee or proposed subcontractor is a business identified on the current California Department of Resources Recycling and Recovery (CalRecycle) noncompliant list(s). In the event of any doubt of the status or identity of the business in violation, the State will notify the CalRecycle of the proposed award and afford the CalRecycle the opportunity to advise the State. No award will be made when either the Bidder or a subcontractor has been identified either by published list or by advice from the CalRecycle, to be in violation of certification requirements.

2.4.17. AIR OR WATER POLLUTION VIOLATIONS

Unless the Contract is less than \$25,000 or with a non-competitively bid Contractor, Government Code §4477 prohibits the State from entering into any contract for the purchase of supplies, equipment, or services from any person, including a corporation or other business association who is in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district, or is subject to a cease and desist order not subject to review issued pursuant to Water Code §13301 for violation of waste discharge requirements or discharge prohibitions, or is finally determined to be in violation of provisions of federal law relating to air or water pollution.

2.5. BIDDING STEPS

The procurement process may require multiple types of steps or compliance phases, as specified in the RFP that may include: Conceptual Proposal, Detailed Technical Proposal, Draft Proposal, and/or Preliminary proposal (draft submission of only State identified parts or sections of the Proposal Submission phase). The procurement process requires a mandatory final phase consisting of a proposal submission.

At any point during the procurement phase, the State reserves the right to add a compliance phase to the solicitation.

2.5.1. COMPLIANCE PHASE

The State reserves the right to hold a compliance phase prior to award. The compliance phase is an iterative, conversational mode of proposal and Contract development. It requires the

State, working together in confidence with each Bidder, to assess and discuss the viability and effectiveness of the Bidder's proposed methods of meeting the State's needs as reflected in the solicitation. It is a departure from the rigid "either accept or reject" philosophy of traditional competitive bidding, yet it is highly competitive in nature. It provides the flexibility needed for the Bidder to present a preliminary proposal prior to formal submittal of the Proposal Submission, and it facilitates the correction of defects before they become detrimental to the proposal. The compliance phase proposals or preliminary proposals may include the submission of a conceptual proposal and/or a detailed technical proposal and/or a draft proposal by the Bidder and/or confidential discussions of the Bidder's proposal(s), and revised draft proposals to address the correction of defects.

The additional compliance phase step(s) will (1) ensure that the Bidders clearly understand the State's requirements before attempting to develop its Proposal Submission; (2) ensure that the State clearly understands what each Bidder intends to propose before those proposals are finalized; and (3) give the State and each Bidder the opportunity to discuss weaknesses or potentially unacceptable elements of a Bidder's proposal and give the Bidder the opportunity to modify their proposal to correct such problems.

The Bidder is strongly encouraged to follow the scheduled steps of this procurement document in order to increase the chance of submitting a compliant Proposal Submission.

2.5.2. CONCEPTUAL PROPOSAL (NOT APPLICABLE)

2.5.3. DETAILED TECHNICAL PROPOSAL (NOT APPLICABLE)

2.5.4. DRAFT PROPOSAL (NOT APPLICABLE)

2.5.5. PROPOSAL SUBMISSION PHASE

The purpose of the final phase is to obtain proposals that are responsive in every respect. The Final Proposal submission is a mandatory step for all Bidders; all other steps are optional unless otherwise stated in Section 2.3, KEY ACTION DATES.

The Proposal Submission must be complete and include all required signatures, Contract changes issued by the State via an addendum, if any.

2.5.6. WITHDRAWAL AND RESUBMISSION / MODIFICATION OF PROPOSALS

A Bidder may withdraw its conceptual proposal, detailed technical proposal or draft proposal at any time by written notification. A Bidder may withdraw their Final Proposal submission at any time prior to the Final Proposal submission date and time specified in Section 2.3, KEY ACTION DATES, by submitting a written notification of withdrawal signed by an authorized representative of the Bidder in accordance with Section 2.4.9, SIGNATURE OF PROPOSAL. The Bidder may thereafter submit a new or modified proposal prior to the respective proposal submission date and time specified in Section 2.3, KEY ACTION DATES. Modification offered in any other manner,

oral or written, will not be considered. Other than as allowed by law, Proposal Submissions cannot be changed or withdrawn after the deadline date and time designated for receipt, except as provided in the solicitation.

2.5.7. DISPOSITION OF PROPOSALS

All materials submitted in response to this solicitation will become the property of the State of California and will be returned only at the State's option and at the Bidder's expense. At a minimum, the master copy of the Final Proposal submission shall be retained for official files and will become a public record after the Notification of Award is posted. However, materials the State considers as confidential information (such as confidential financial information submitted to show Bidder responsibility) will be returned upon request of the Bidder.

2.6. PROTESTS (NOT APPLICABLE)

This solicitation is being conducted under (PCC) §6611 et seq, protests are not applicable to this solicitation.

2.7. NEGOTIATIONS

The State will conduct negotiations under PCC §6611. The purpose of the negotiation process is to maximize the State's ability to obtain value effective solution. At the discretion of the State, up to three (3) of the highest scoring bidders may be determined eligible to participate in the negotiation process.

The State will invite and proceed with negotiations with up to the top three (3) highest scoring compliant bidders.

Negotiated items will be determined by the State after final proposals are evaluated. Any deviation of any requirement must be resolved to the State's satisfaction during negotiations and corrected in the bidder's BAFO, if requested.

3. ADMINISTRATIVE REQUIREMENTS

Section 3 contains the mandatory administrative requirements that must be met in order to be considered responsive to this solicitation.

Unless designated otherwise, all of the requirements in this section are mandatory. The documents that must be submitted with the Bidder's Final Proposal submission are noted as "Mandatory" or "(M)" in this section.

The administrative requirements listed in this section are denoted as follows:

(M) – All sections labeled as "Mandatory" or "M" are not negotiable. To be considered responsive and responsible to these requirements, all requirements identified as (M) must be responded to. The responses will be evaluated in accordance with Section 7, Evaluation.

(O) - All sections labeled as "Optional" or "O" are not required to be offered by the Bidder in order to be compliant to the solicitation requirements. A Bidder may choose whether to meet administrative requirements labeled as (O) such as those relating to preference points. However, if a Bidder offers any of these (O) requirements, the Bidder must meet the minimum requirements as stated in the section. The State will review responses to optional requirements and apply points, if applicable, per criteria stated in Section 7, Evaluation.

3.1. ABILITY TO PERFORM

Prior to award of the Contract, the State must be assured that the Bidder selected has all of the resources to successfully perform under the Contract. This includes, but is not limited to, personnel in the numbers and with the skills required; equipment of appropriate type and in sufficient quantity; financial resources sufficient to complete performance under the Contract; and experience in similar endeavors. If, during the evaluation process, the State is unable to assure itself of the Bidder's ability to perform under the Contract if awarded, the State has the option of requesting from the Bidder any information that the State deems necessary to determine the Bidder's responsibility. If such information is required, the Bidder will be so notified and will be permitted five (5) state business days to submit the information requested in writing. Examples of the type of financial responsibility information requested may include annual reports and current audited balance sheets for the Bidder's firm.

3.2. PRIMARY BIDDER

The awarded Bidder will be responsible for successful performance of all subcontractors and support services offered in response to this solicitation. All State policies, guidelines, and requirements that apply to the primary Bidder also apply to subcontractors, as applicable to the products and services they provide and to their role as a subcontractor. Furthermore, the State will consider the primary Bidder to be the sole point of contact regarding contractual matters for the term of the resulting Contract. The Bidder shall not assign financial documents to a third-party without prior written approval by the State, and an amendment to the resulting Contract.

3.3. SUBCONTRACTORS

Nothing contained in the resulting Contract shall create any relationship between the State and any subcontractors, and no subcontract shall relieve the Bidder of its responsibilities and obligations. The Bidder is fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by them.

The Contractor shall not change subcontractor(s) and/or Disabled Veteran Business Enterprise (DVBE) subcontractor(s) if such changes conflict with the work to be performed under this Contract. For DVBE subcontractor changes, the Contractor shall utilize another DVBE subcontractor. The State recognizes that changes to subcontractor(s) may be necessary and in the best interests of the State, however, advance notification of a contemplated change and the reasons for such change must be made to the State no more than five (5) business days

prior to the existing subcontractor's termination. If this should occur, the Contractor should be aware that the State Contract administrator or designee must approve any changes to the subcontractor(s) prior to the termination of the existing subcontractor(s). This also includes any changes made between submittal of the Final Proposal submission and actual start of the Contract.

The State will not compensate the Contractor for any of the Contractor's time or effort to educate or otherwise make the new subcontractor(s) ready to begin work on the Contract.

The Bidder's obligation to pay its subcontractors is an independent obligation from the State's obligation to pay or to enforce the payment of any money to any subcontractor. Contractor is solely responsible for any payments to or claims made by subcontractors.

3.3.1. BIDDER DECLARATION FORM (M)

The Bidder must complete and submit Exhibit 5: BIDDER DECLARATION GSPD 05-105, with its Final Proposal submission. When completing the declaration, the Bidder must identify all subcontractors proposed for participation in the Contract. The Bidder awarded the Contract is contractually obligated to use the subcontractors for the corresponding work identified, unless the Agency/state entity agrees to a substitution and it is incorporated, in writing. If the Bidder is not using subcontractors, the Bidder must still complete Exhibit 5, BIDDER DECLARATION GSPD 05-105, answering the applicable questions on the form, and submit it with its Final Proposal submission. The form is available at:

<https://www.documents.dgs.ca.gov/dgs/fmc/gspd/gspd05-105.pdf>

3.4. AMENDMENT

Any Contract executed as a result of this solicitation may be amended consistent with the terms and conditions of the Contract and by mutual consent of both parties, subject to approval by the Statewide Technology Procurement.

3.5. FINANCIAL RESPONSIBILITY INFORMATION

3.5.1. FINANCIAL STABILITY

In order to minimize the potential risk of default due to financial issues, the State reserves the right to request additional documentation throughout the life of the awarded Contract.

The State must be assured that the Bidder continues to have the financial resources to sustain its operations during system planning, development implementation and maintenance and operations phases.

3.5.2. RESPONSIBILITY CERTIFICATION (M)

The Bidder must certify in writing, to the best of its knowledge and belief that the Bidder, the Bidder's subcontractor(s) or any personnel related to the Contract to be awarded are not

presently debarred, suspended, proposed for debarment or declared ineligible for the award of Contracts by any state or federal agency. The Bidder must submit its certification as Exhibit 16: RESPONSIBILITY CERTIFICATION WITH ITS PROPOSAL SUBMISSION.

3.6. GENERAL PROVISIONS

The Bidder is advised that deviations from the State approved Terms and Conditions may be the basis for rejection of the Bidder's proposal.

3.6.1. GENERAL PROVISIONS – INFORMATION TECHNOLOGY (GSPD-401IT-09/05/2014)

Not Applicable. See SaaS GPs below.

3.6.2. CLOUD COMPUTING SOFTWARE AS A SERVICE GENERAL PROVISIONS

The Contract awarded as a result of this solicitation shall automatically incorporate by reference the *Cloud Computing Software as a Service (SaaS) General Provisions*, which can be found at the following URL:

[SaaS General Provisions](#)

3.6.3. CLOUD COMPUTING SPECIAL PROVISIONS

If the Bidder's solution includes commercial Software as a Service (SaaS) as part of the solution, the Contract awarded as a result of this solicitation shall automatically incorporate by reference the "Cloud Computing Special Provisions for SaaS," which can be found at the following URL: [Cloud Computing Special Provisions for Software as a Service \(SaaS\)](#)

3.7. COMMERCIAL GENERAL LIABILITY

The Contractor shall maintain general liability with limits of not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined. The policy shall include coverage for liabilities arising out of premises, operations, independent Contractors, products, completed operations, personal and advertising injury, and liability assumed under an insured Contract. This insurance shall apply separately to each insured against whom a claim is made or suit is brought subject to the Contractor's limit of liability.

The policy must include the State of California, its officers, agents, employees and servants as an additional insured, but only insofar as the operations under the Contract are concerned.

In accordance to GSPD-401IT 09/05/2014, Provision 20, Insurance, the Contractor must furnish insurance certificate(s) evidencing required insurance coverage acceptable to the State, including endorsements showing the State as an "additional insured" if required under the Contract. Any required endorsements requested by the State must be separately provided; merely referring to such coverage on the certificates(s) is insufficient for this purpose. When

performing work on state owned or controlled property, Contractor shall provide a waiver of subrogation in favor of the State for its workers' compensation policy.

The prime Contractor shall agree to furnish the State satisfactory evidence of insurance within ten (10) calendar days of Contract award.

3.8. WORKERS' COMPENSATION/EMPLOYER'S LIABILITY (M)

The Prime Contractor shall maintain statutory workers' compensation and employer's liability coverage for all its employees who will be engaged in the performance of the Contract, including special coverage extensions where applicable. Employer's liability limits of \$1,000,000 shall be required. The Bidder is required to sign Exhibit 7: WORKERS' COMPENSATION CERTIFICATION and submit it with its Proposal.

3.9. ADMINISTRATIVE REQUIREMENTS DOCUMENT (M)

The Bidder must indicate its agreement, willingness and ability to satisfy these requirements by checking the box on Exhibit 4: RESPONSE TO ADMINISTRATIVE REQUIREMENTS the Bidder affirms it agrees to comply with the requirements. Not checking the box in agreement with any of the mandatory administrative requirements or not submitting the required documents with its Final Proposal submission may result in the proposal being deemed non-responsive.

3.10. COVER LETTER (M)

The Bidder must complete and submit Exhibit 8, COVER LETTER FORM and submit with their Proposal Submission.

3.11. STD 213, STANDARD AGREEMENT SAMPLE

Exhibit 1, STD 213, STANDARD AGREEMENT SAMPLE form, is included as a sample. Once contract award is complete, the State will enter all required information prior to moving forward to the signature process step. The Bidder, will be contacted to designate the name and title of the party authorized to bind the Bidder contractually. The State will send the completed finalized Exhibit 1, STD 213, STANDARD AGREEMENT, to the Bidder for signing and return to the State for signature and approval.

3.12. STATEMENT OF WORK (M)

Appendix A, STATEMENT OF WORK (SOW) identifies and describes the tasks and responsibilities of the Contractor and the responsibilities of the State during the term of the Contract.

The Bidder must document its agreement with the State's SOW in its entirety by checking each box on Exhibit 4, RESPONSE TO THE ADMINISTRATIVE REQUIREMENTS.

3.13. CONFIDENTIALITY STATEMENT (M)

The Bidder must agree to the State's confidentiality requirements by submitting a signed Exhibit 3: CONFIDENTIALITY STATEMENT, for the Bidder's company. The completed confidentiality statement must be submitted with Exhibit 2: INTENT TO BID, as indicated in Section 2.3, KEY ACTION DATES.

The Bidder engaging in services pertaining to this solicitation, requiring contact with confidential State information or State customer information will be required to exercise security precautions for all such data that is made available and must accept full legal responsibility for the protection of this confidential information. This includes all statistical, personal, technical, and/or other confidential personal data and information relating to the State's operations that are designated confidential by the State.

The Bidder will also be required, upon Contract award, to submit a signed confidentiality statement from all personnel, agents, and subcontractors assigned to the awarded Contract.

3.14. SECRETARY OF STATE CERTIFICATION (M)

If required by law, the Prime Contractor must submit a certificate of status from the California Secretary of State, showing that the Prime Contractor is certified with the California Secretary of State to do business in the State of California. If the Bidder does not currently have this certification, the firm must be certified before a Contract award can be made, and must provide information in the Proposal Submission to support the status of its application to be certified to do business in the State of California.

Domestic and foreign corporations, Limited Liability Companies (LLCs), Limited Liability Partnerships (LLPs) and Limited Partnerships (LPs) must be registered with the California Secretary of State to be awarded the Contract. The California Secretary of State Certificate of Status must be included with the proposal. The required document(s) may be obtained through the California Secretary of State, Certification and Records Unit at (916) 657-5448 or through the following website: <https://businesssearch.sos.ca.gov/>. The Bidder must complete and submit the required documentation as Exhibit 6: Secretary of State Certification, with its Proposal Submission.

3.15. SELLER'S PERMIT (NOT APPLICABLE)

3.16. PAYEE DATA RECORD (STD 204) (M)

Exhibit 9, PAYEE DATA RECORD indicates the Bidder is subject to state income tax withholdings pursuant to California Revenue and Taxation Code §18662.

The Bidder must complete and submit the Exhibit 9, PAYEE DATA RECORD with its PROPOSAL SUBMISSION as Exhibit 9, PAYEE DATA RECORD. The Bidder must provide the company's Federal Employer Identification Number (EIN) on this form. The form can be located at the following website: <http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>

3.17. IRAN CONTRACTING ACT OF 2010 (M)

Division 2, Part 1, Chapter 2.7 of the Public Contract Code (PCC) is the Iran Contracting Act of 2010. This Act §2203 requires that no one shall submit a proposal for a Contract, or enter into or renew a contract, with a public entity for goods or services valued at \$1,000,000 or more if that person (i.e., Bidder or Contractor) engages in investment activities of \$20,000,000 or more as described in PCC §2202.5 pursuant to all provisions of the Iran Contracting Act of 2010. The Iran Contracting Act of 2010, at §2204 requires Bidders to certify at the time the proposal is submitted or the Contract is renewed, that the person is not identified on a list created pursuant to subdivision (b) of PCC §2203 as a person engaging in investment activities in Iran described in subdivision (a) of PCC §2202.5, or as a person described in subdivision (b) of PCC §2202.5, as applicable.

The Bidder must complete and submit Exhibit 10: IRAN CONTRACTING ACT OF 2010, with its Proposal Submission, and, if the Bidder is selected, again each time their awarded Contract is renewed.

3.18. CALIFORNIA CIVIL RIGHTS LAWS (M)

For Contracts over \$100,000 executed or renewed after January 1, 2017, the Contractor certifies compliance with the Unruh Civil Rights Act (Section 51 of the Civil Code) and the Fair Employment and Housing Act (Section 12960 of the Government Code); and

For Contracts over \$100,000 executed or renewed after January 1, 2017, if a Contractor has an internal policy against a sovereign nation or peoples recognized by the United States government, the Contractor certifies that such policies are not used in violation of the Unruh Civil Rights Act (Section 51 of the Civil Code) or the Fair Employment and Housing Act (Section 12960 of the Government Code).

The Bidder must complete and submit Exhibit 11: CALIFORNIA CIVIL RIGHTS LAWS CERTIFICATION, with its Proposal Submission, and, if the Bidder is selected, again each time their awarded Contract is renewed.

3.19. BONDS AND OTHER SECURITY DOCUMENTS (NOT APPLICABLE)

3.20. SOCIOECONOMIC PROGRAMS

3.20.1. BIDDER'S PREFERENCE AND INCENTIVE DECLARATION (M)

The Bidder must complete and submit Exhibit 13: BIDDING PREFERENCE AND INCENTIVES, with its proposal. The Bidder must indicate on Exhibit 13, BIDDING PREFERENCE AND INCENTIVES whether it is or is not claiming each preference and/or incentive. Refer to Section 7, EVALUATION, for details on the amount and application of preference and incentive points during proposal evaluation.

3.20.2. DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PROGRAM

The Disabled Veteran Business Enterprise (DVBE) Participation Goal Program for State Contracts are established in Public Contract Code (PCC), §10115 et seq., Military and Veterans Code (MVC), §999 et seq., and California Code of Regulations (CCR), Title 2, §1896.60 et seq.

Information regarding the DVBE Program Requirements may be viewed at:

<https://www.dgs.ca.gov/sitecore/content/Home/-/media/Divisions/PD/OSDS/Certification/CUF/DVBEIncentiveRequireGoodIT.pdf>

The Bidder who has been certified by California as a DVBE (or who has obtained the participation of subcontractors certified by California as a DVBE) must submit a completed form(s) STD.843 DISABLED VETERAN BUSINESS DECLARATIONS for each DVBE. All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign a form for each DVBE and submit as Exhibit 13: BIDDING PREFERENCE AND INCENTIVES. The form is available at:

http://www.documents.dgs.ca.gov/dgs/fmc/gsp/pd/pd_843.pdf

The Office of Small Business and DVBE Services offer program information and may be reached at:

Office of Small Business and DVBE Services
707 Third Street, 1st Floor, Room 400
West Sacramento, CA 95606
Receptionist: (916) 375-4940 Fax (916) 375-4650

<https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>

3.20.2.1. DVBE PARTICIPATION REQUIREMENT

The Bidder must fully comply with DVBE Participation Program requirements in the Final Proposal and BAFO. The Bidder's response must include a minimum DVBE participation goal of three percent (3%) of the Bidder's net proposal price with one (1) or more DVBE.

The Bidder must complete the Bidder Declaration GSPD 05-105 form and submit as Exhibit 5: Bidder Declaration GSPD 05-105, with Final Proposal. This form and completion instructions is available at: www.documents.dgs.ca.gov/dgs/fmc/gsp/pd/gspd05-105.pdf

3.20.2.2. DVBE INCENTIVE (O)

For Contract award evaluation purposes only, the State shall apply the incentive amount based on the amount of DVBE participation obtained above three percent (3%). The incentive is only given to those Bidders who are responsive to the DVBE program requirement and propose DVBE participation in the resulting Contract that exceeds three percent (3%) participation. If the

Bidder is claiming a DVBE incentive, the Bidder must complete Exhibit 5 BIDDER DECLARATION GSPD-05-105, a separate Exhibit 12 DVBE Declaration for each DVBE, and Exhibit 13: BIDDING PREFERENCES AND INCENTIVES, and submit with its Proposal Submission. If the Bidder is not using subcontractors, the Bidder is still required to complete Exhibit 5: BIDDER DECLARATION GSPD-05-105 form, answering the applicable questions on the form and submit with Proposal Submission. See Section 7, EVALUATION, for details on the amount and application of the incentive during proposal evaluation.

The GSPD 05-105 form and its completion instructions are available at: <https://www.documents.dgs.ca.gov/dgs/fmc/gspd/gspd05-105.pdf>

3.20.3. SMALL BUSINESS PREFERENCE (O)

§14835 et seq. of the California Government Code requires that a five percent (5%) preference be given to Bidders who qualify as a small business. The rules and regulations of this law, including the definition of a small business, or qualifying non-small business, are contained in Title 2, California Code of Regulations, §1896 et seq. The definition of nonprofit veteran service agencies qualifying as a small business is contained in §999.50 et seq. of the Military and Veterans Code (MVC). The Bidder must complete and submit Exhibit 13: BIDDING PREFERENCES AND INCENTIVES, and the BIDDER DECLARATION GSPD-05-105 form and submit as Exhibit 5: BIDDER DECLARATION GSPD 05-105, with Proposal Submission. If the Bidder is not using subcontractors, the Bidder must complete the Bidder Declaration GSPD-05-105 form answering the applicable questions on the form and submit it as Exhibit 5: BIDDER DECLARATION GSPD 05-105, with Proposal Submission. More information regarding the Small Business Preference may be found at:

<https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>

3.20.4. NON-SMALL BUSINESS SUBCONTRACTOR PREFERENCE (O)

A five percent (5%) proposal preference is available to Bidders who qualify as a non-small business claiming at least 25 percent (25%) California-certified small business subcontractor participation. If claiming the non-small business subcontractor preference, the Bidder's response must include a list of the small businesses with which the firm commits to subcontract in an amount of at least 25 percent (25%) of the net proposal price with one (1) or more California-certified small businesses. Each listed certified small business must perform a "Commercially Useful Function" (CUF) in the performance of the Contract as defined in Government Code §14838(b)(1)(2).

Bidders claiming the five percent (5%) preference must commit to subcontract at least 25 percent (25%) of the net proposal price with one (1) or more California-certified small businesses. Completed certification applications and required support documents must be submitted to the Office of Small Business and DVBE Services (OSDS) no later than 5 p.m. of the proposal due

date, and the OSDS must be able to approve the application as submitted. Questions regarding certification should be directed to the OSDS at (916) 375-4940.

The preference to a non-small business firm that commits to small business or microbusiness subcontractor participation of 25 percent (25%) of its net proposal price shall be given five percent (5%) of the highest responsive, responsible firm's total score. A non-small business that qualifies for this preference, may not take an award away from a certified small business.

If claiming a small business preference or using small business subcontractors, the Bidder must complete the Exhibit 5: BIDDER DECLARATION GSPD 05-105 form and submit as Exhibit 5: BIDDER DECLARATION GSPD 05-105, and Exhibit 13: BIDDING PREFERENCES AND INCENTIVES and submit with Proposal Submission. If the Bidder is not using subcontractors, the Bidder must complete the Exhibit 5: BIDDER DECLARATION GSPD 05-105, answering the applicable questions on the form and submit as Exhibit 5: BIDDER DECLARATION GSPD 05-105 with Proposal Submission.

3.20.5. COMMERCIALLY USEFUL FUNCTION (M) IF APPLICABLE

All certified small business, micro business, and/or DVBE Contractors, subcontractors or suppliers must meet the Commercially Useful Function (CUF) requirements under Government Code Section 14837 (for SB), Military and Veterans Code Section 999 (for DVBE), and Title II California Code of Regulations, Section 1896.4 and 1896.62.

A Contractor, subcontractor, or supplier will not be considered to perform a CUF if the Contractor's, subcontractor(s), or supplier's role is limited to that of an extra participant in the transaction, the awarded Contract, or project through which funds are passed to obtain the appearance of small business or micro business participation.

The Bidder must complete Exhibit 14: CUF CERTIFICATION for each Small Business and/or DVBE (prime and/or subcontractor(s)). All Bidders and subcontractors identified in the proposal response to fulfill the requirements for one (1) or more of the socio-economic programs (DVBE and small business) must perform a CUF in the resulting Contract. CUF is defined pursuant to MVC §999(b)(5)(B) and Government Code §14837(d)(4)(A) for the DVBE and small business programs, respectively.

Bidders claiming one (1) or more of the socio-economic programs must complete the Exhibit 5: BIDDER DECLARATION GSPD 05-105 form and submit as Exhibit 5: BIDDER DECLARATION GSPD-05-105, with its Proposal Submission. If the Bidder is not using subcontractors, the Bidder must complete the Exhibit 5: BIDDER DECLARATION GSPD-05-105 form answering the applicable questions on the form, and submit it as Exhibit 5: BIDDER DECLARATION GSPD 05-105 and submit with Proposal Submission. The Exhibit 5: BIDDER DECLARATION GSPD 05-105 is available at:

<http://www.documents.dgs.ca.gov/dgs/fmc/gspd/gspd05-105.pdf>

Bidder(s) may be required to submit additional written clarifying information regarding CUF on Exhibit 14: CUF CERTIFICATION. Failure to submit the requested written information as specified may be the basis for rejection of the Bidder's Proposal Submission.

3.20.6. TARGET AREA CONTRACT PREFERENCE ACT (TACPA) (O)

Target Area Contract Preference Act (TACPA) will be granted to California-based firms in accordance with Government Code §4530 whenever Contracts for goods or services are in excess of \$100,000 and the Bidder meets certain requirements as defined in the California Administrative Code (Title 2, §1896.30 et seq.) regarding labor needed to produce the goods or provide the services being procured. The TACPA is optional on the part of the Bidder (not mandatory), is for proposal evaluation purposes only, and does not alter the amount of the awarded Contract.

Bidders wishing to take advantage of this preference will need to review the website below and submit the appropriate response forms as Exhibit 17: STD 830 TACPA Preference Request Forms, with its Proposal Submission.

The required applications/forms are as follows:

- TACPA (Std. 830)
- Bidder's Summary of Contract Activities and Labor Hours (DGS/PD 525)
- Manufacturer Summary of Contract Activities and Labor Hours (DGS/PD 526).

<https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference#@ViewBag.JumpTo>

3.21. PRODUCTIVE USE REQUIREMENTS

The productive use requirements protect the State from being an experimentalist for new equipment and software having no record of proven consistent performance. The State will only accept proven technology products.

The proposed solution must include only equipment and off-the-shelf software that is currently supported by its manufacturer for at least the time specified in Table 3-2, Productive Use Timeframes. No equipment and/or software may be proposed, specified, or employed if the manufacturer has announced an end to support. The productive use requirements defined in this section do not apply to any portion of the custom software developed for the State or to modifications to custom software that was developed for the State under this Contract prior to proposed submittal and throughout Contract duration.

3.21.1. CUSTOMER IN-USE

The bidder must comply with the following Customer In-Use requirements for each requirement the Bidder indicates is met "Out of the Box" in Exhibit 19: TAMS Requirements:

1. Product has been installed and in productive use or is a new version of software otherwise meeting this requirement;
2. For a paying customer external to the Bidder's organization; and

3. For at least the number of months shown in Table 3.21-1, Productive Use Timeframes below and prior to the required date of Final Proposal submission.

Table 3.21-1, Productive Use Timeframes

Product	Project Cost	Final Proposal Submission
Category 1 - Critical Software Software that is required to control the overall operation of a computer system or peripheral equipment. Included in this category are operating systems, data base management systems, language interpreters, assemblers and compilers, communications software, and other essential system software.	Less than \$10,000	1 month
	\$10,000 up to \$100,000	3 months
	More than \$100,000	6 months
Category 2 - All Information Technology Equipment and Non-critical Software. Information technology equipment is defined in SAM §4819.2.	Less than \$10,000	1 month
	\$10,000 up to \$100,000	3 months
	More than \$100,000	4 months

Design changes in required system control modules or in components critical to the processing requirements of the State's workload are also subject to the In-Use Requirement. Increases or decreases in numbers of components or minor alteration in equipment or minor modifications or updates to software to provide improvements or features, to correct errors, or to accommodate hardware changes may be exempt from the In-use requirement by CDT STP, if no changes in logic, architecture or design are involved.

3.21.2. CUSTOMER REFERENCES FOR PRODUCTIVE USE REQUIREMENTS (M)

The purpose of the customer reference requirement is to provide the State the ability to verify the claims made in the proposal by the Bidder.

The Bidder must provide a list of customers who presently have the bid equipment and/or software installed and operating. If Section 3.21.1, Customer In-Use, is used, the list must include at least one (1) customer meeting that requirement. However, at least

one customer reference must be included for each type of machine and feature bid that is subject to the requirements of that section (i.e., one customer having the specific CPU).

The State has the option to request from the Bidder supporting evidence of compliance to the customer in-use requirements. Supporting evidence could include, but is not necessarily limited to, one or more of the following:

- Customer purchase order or Contract showing installation dates for subject equipment or software;
- Acceptance document containing verification of installation by a paying customer;
- Customer invoice for subject equipment or software;
- Shipping invoice or bill of lading;
- Dated maintenance records;
- Sworn notarized statement from an officer of the bidding firm and/or a paying customer;
- State visit to the site of a paying customer.

3.21.3. HARDWARE/EQUIPMENT (M)

All equipment must be new and the latest model in current production. Used, shopworn, refurbished, demonstrator, prototype, or discontinued models are not acceptable.

4. PROPOSALS REQUIREMENTS

Section 4 contains the mandatory qualifications and requirements pertaining to the required services that must be met in order to be considered responsive and responsible to this solicitation. In addition to meeting these requirements, the Bidder must adhere to Appendix A: STATEMENT OF WORK of this solicitation.

Unless designated otherwise, all of the requirements in this section are mandatory. The documents that must be submitted with the Bidder's Proposal Submission are noted as Mandatory "(M)" and Mandatory Scored "(MS)".

The Bidder qualifications and requirements listed in this section are denoted as follows:

- 1) (M) Sections labeled as "Mandatory" or "M" require a bidder response. To be considered responsive and responsible to these qualifications/requirements, all requirements identified as (M) must be responded to.
- 2) (MS) Sections labeled as "Mandatory Scored" or "MS" require bidder response. To be considered responsive and responsible to these qualifications/requirements, all requirements identified as (MS) must be responded to. The State's evaluation team will review responses to (MS) requirements and apply points, if applicable, per criteria stated in Section 7, EVALUATION.

- 3) (DS) Sections labeled as "Desirable Scored" are not required to be offered by the Bidder in order to be compliant with the solicitation requirements. The Bidder may choose whether to meet requirements labeled as (DS). However, if a Bidder offers any of these (DS) requirements, the Bidder must meet the minimum requirements as stated in the section. The State will review responses to (DS) requirements and apply points, if applicable, per criteria stated in Section 7, Evaluation.

4.1. QUALIFICATION REQUIREMENTS

The Bidder is expected to have a proven record of success and be responsible for all aspects of the service, including any management of subcontractors and the project team/staff proposed.

The Bidder must meet the minimum Bidder Qualification Requirements. Failure to meet any of the minimum requirements shall result in a proposal being deemed non-responsive and therefore disqualified.

4.1.1. BIDDER QUALIFICATIONS (M)

The Bidder must complete and submit as part of the proposal response, Exhibit 20: BIDDER QUALIFICATIONS forms, to confirm that the Bidder's experience meets all the minimum requirements identified in Exhibit 20: BIDDER QUALIFICATIONS. It is incumbent upon the Bidder to provide enough detail in Proposal Submission for the state to evaluate the Bidder's ability to meet the requirements and perform the services as described in this solicitation.

The Bidder must provide information for a minimum of two (2) projects and not more than five (5) projects. A separate Exhibit 20: BIDDER QUALIFICATIONS form must be submitted for every project used to meet the minimum required experience. Any given project may meet multiple requirements, but not more than two (2) projects may be used to meet a single requirement.

Experience must have occurred within five (5) years prior to the solicitation release date for all projects.

4.1.2. BIDDER REFERENCES (M)

The Bidder must complete and submit as part of Proposal Submission, Exhibit 20.1: BIDDER REFERENCE FORM, for each of the projects cited on the corresponding Exhibit 20: BIDDER QUALIFICATIONS form.

The purpose of the Bidder reference requirement is to provide the State the ability to assess the Bidder's experience in providing similar or relevant services to other organizations through a satisfaction rating provided by the Bidder's previous project clients. The description of their projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects to the work anticipated for the Contract resulting from this solicitation.

Exhibit 20.1: BIDDER REFERENCE FORM, must be completed in its entirety, signed, and dated by a reference that perform a management or supervisory role that can attest and validate its performance for the referenced project to be considered responsive. The Exhibit 20.1: BIDDER REFERENCE FORM must be included in the submission with Proposal Submission. Photocopies may be accepted as long as the form, response, and signature are legible. No information corrections or changes may be made on the reference form by the Bidder.

References may be contacted by the State to validate submitted responses based on customer satisfaction in accordance with Section 7, EVALUATION. References must be external to a Bidder's organization and corporate structure.

If the reference is not allowed either legally or by company/organization policy to sign the reference form, the reference must type in its full name with a brief statement on the form outlining the reason they are not permitted to sign the State's reference form. If needed, the State may contact either the Bidder and/or staff references to validate the reference submitted. The evaluation team will make two (2) attempts via phone and/or email to validate Bidder and/or staff experience using the information provided in the Bidder and/or staff reference forms, as applicable.

4.1.3. STAFF QUALIFICATIONS (M)

The Bidder is fully responsible for all necessary staffing resources to successfully provide the services required in this solicitation within the agreed upon schedule. A minimum of eight (8) Contractor Key Personnel is required to fill the roles required in the SOW.

The bidder must complete and submit as part of Final Proposal Exhibits 21.1.1 through 21.1.8: Staff Qualifications Forms. The Bidder must provide complete information to confirm that each of the eight (8) proposed lead staff possess the experience and qualifications as specified for their project roles described in Exhibits 21.1.X: Staff Qualifications Forms. The Bidder must cite a minimum of one to a maximum of four (1-4) projects as required per proposed lead staff to meet the requirements. Each cited project for each staff must be submitted separately on Exhibits 21.1.X: Staff Qualifications Forms. It is incumbent upon the Bidder to provide enough detail in the response for the State to evaluate the Bidder's proposed staff's ability to meet the requirements and perform the services as described in this solicitation. Other staff and more than four projects per lead staff will not be considered and the first four for each will be used for evaluation.

The Bidder's proposed staff must meet all of the mandatory minimum qualification requirements. All experience used to meet the minimum requirements must have occurred within the last five (5) years prior to the solicitation release date, unless stated otherwise. Points will be awarded to Bidders that meet the criteria set forth in the desirable experience qualifications as specified in Section 7, Evaluation.

The following key personnel are required to perform the services as described in Part 2 – Bidder Response, Appendix A, SOW. Additional Contractor Staff may also be necessary (for adherence

to the implementation schedule and SLA), but do not require completion of Staff Qualification Forms. The key personnel identified are:

- Project Manager
- Project Controller
- Functional Lead
- Data Scientist
- Data and Integration Lead
- Technical Lead
- Quality Assurance Lead
- Training Lead

4.1.4. STAFF REFERENCES (MS)

The Bidder must complete and submit as part Final Proposal, Exhibit 21.2: Staff Reference Form. The Bidder must submit a completed staff reference form for each project cited in Exhibits 21.1.1 through 21.1.8.

The purpose of the staff reference requirement is to provide the State the ability to assess the staff's experience in providing similar or relevant services to other organizations through a satisfaction rating provided by the staff's previous clients. The description of their projects must be detailed and comprehensive enough to permit the State to assess the similarity of those projects to the work anticipated for the Contract resulting from this solicitation.

References must complete all required information on the staff reference forms. Exhibits must be completed in their entirety, signed, and dated by the staff's reference contact who performed a management or supervisory role on the referenced project to be considered responsive. Photocopies may be accepted as long as the form, response, and signature are legible. No information corrections or changes may be made on the staff reference forms. Forms with alterations or changes to the entered information may be rejected.

References may be contacted to verify staff's experience qualification information submitted. References must be external to a Bidder's organization and corporate structure. Failure to provide verifiable references may deem the Bidder non-responsive and may be the basis for rejection of the Bidder's proposal.

If the reference is not allowed either legally or by company/organization policy to sign the reference form, the reference must type in its full name with a brief statement on the form outlining the reason they are not permitted to sign the States reference form. If needed, the State may contact either the Bidder and/or staff references to validate the reference submitted. The evaluation team will make two (2) attempts via phone and/or email to validate Bidder

and/or staff experience using the information provided in the Bidder and/or staff reference forms, as applicable.

4.1.4.1 Full-Time/Part-Time Month Equivalents Definition

For each experience requirement (marked by "x") that is met or partially met on the referenced project, specify the number of full-time month equivalents experience that the staff person accrued on the referenced project. For each period in which the staff person performed work applicable to the claimed experience for a minimum of twenty (20) work days of a minimum total of 140 hours (the minimum required to represent working full-time), the staff accrues one (1) full-time month equivalent experience. To calculate and report the full-time month equivalents experience for staff who worked part-time (partial) on a referenced project, use the following calculation:

If the staff worked half ($\frac{1}{2}$) time on a referenced project, experience should be pro-rated to one-half ($\frac{1}{2}$) or 0.5 month full-time month equivalent experience for each period in which the staff person worked a minimum of seventy (70) hours over twenty (20) State Business Days in a month.

For each experience requirement that the staff's work on a referenced project addresses, report the total number of full-time month equivalent experience the staff's work represents using the calculations as previously described in this section, which depend upon the time period (calendar period) during which the staff worked on the referenced project and whether he/she worked on a full-time or some other basis.

4.1.4.2 Staffing Evaluation

Staffing evaluation information can be found in Exhibit 21: Key Staff Qualifications Form – Instructions and Exhibits 21.1.1-21.1.8.

4.2. NARRATIVE RESPONSE REQUIREMENTS

This section discusses the Narrative Response the Bidder will provide to describe their approach to providing the product and implementation services to the State as defined in the Statement of Work. In addition to meeting these requirements, the Bidder must adhere to Exhibit A: STATEMENT OF WORK of this solicitation.

4.2.1. NARRATIVE RESPONSE REQUIREMENTS (MS)

The Bidder must provide narratives for the response items identified in Exhibit 22: Narrative Response Items and include with its Final Proposal in accordance with Section 6, Proposal Format and Submission Requirements. Bidder must adhere to the maximum page limits identified for each Narrative Response Item.

4.3. FUNCTIONAL AND NON-FUNCTIONAL REQUIREMENTS RESPONSE

As defined in SIMM 170B, Project Requirements Development Instructions, two requirement types for TAMS are provided; functional and non-functional:

Functional requirements generally are “what” the business has identified they want.

Non-functional requirements generally are what/how non-business (i.e., technologists) want or need to satisfy what the business has identified they want.

SIMM 170B also defines Project or Transitions requirements:

Project/transition requirements generally are temporary in nature and exist while the project is progressing through project phases prior to project close and the solution becomes the new “as-is” (e.g., contractor requirements, solution transition requirements, training, and project specific requirements).

These Project/Transition Requirements are provided within the context of this Statement of Work.

In submitting its proposal, Bidder must indicate if its proposed solution will meet each requirement listed in Exhibit 19: TAMS Requirements. Requirements classified as Mandatory (M) must be met by the proposed solution and are scored on a Pass/Fail basis. Optional (O) requirements are not mandatory; however, points are awarded based on the manner in which the requirement is met. Mandatory Optional (MO) is mandatory for the proposed solution but is optional for Caltrans to require/accept. Bidder must indicate how it can meet each requirement.

Bidder is permitted to use only one (1) Response Code from Table 4.3-1, Requirements Response and Definition. Use of more than one (1) Response Code for a single requirement may result in disqualification.

Table 4.3-1, Requirements Response and Definition

Response	Definition
Out of the Box	The requirement can be met in its baseline form without any configuration, customizations, additional software, or processes of any kind. Requirement is met “Out of the Box.”
Configuration (< 17 hours)	The requirement can be met through minor configuration. An example of minor configuration is the flexibility to add fields, change field names, define drop down lists, etc.

Response	Definition
Major Configuration (>= 17 hours)	The requirement is met, but requires journey-level staff knowledgeable of processes, data structures, and systems integration, or requires the implementation/integration of third-party software. Major configuration may require configuration in multiple modules and more complex planning and testing to ascertain the full impact of the configuration. No scripting or programming language is required.
Customization (with Description)	<p>The requirement can be met with code changes that create functionality that is not available through configuration. If the requirement is met through customization, rework is expected for future system upgrades.</p> <p>The description shall include the type of work required for the customization work itself and a rough order of magnitude estimate of effort (do not include design, testing, or other effort beyond the customization work).</p> <p>If a 3rd Party application or development tool is indicated, name the application/tool and indicate why it is not included in the proposed solution. An example might be an Integrated Development Environment already broadly available at Caltrans and not requiring additional licensing.</p>
Unable to Meet	The requirement cannot be met by the proposed solution.

The State's Evaluation Team will review Bidder's requirements response and award points pursuant to the criteria specified in Part 1, 7.3. FINAL PROPOSAL EVALUATION.

The following Table 4.3-2, TAMS Requirements Spreadsheet Column Definitions provides a description of each column in Exhibit 19: TAMS Requirements response spreadsheet and the instructions for completing responses to each Functional and Non-Functional Requirement:

Table 4.3-2, TAMS Requirements Spreadsheet Column Definitions

Column	Definition
C	Correlates to the TAMS Business Capability Model (level 2)
D	Correlates to the TAMS Business Capability Model (level 3)
E	Correlates to the TAMS Business Capability Model (function) - Business Process Workflow number and name

Column	Definition
F	Same as Column D, but without the name (only used to concatenate with the process step number to get the full process step). There is a caveat here. Some of these are sub-processes and do not have a process step. In the case of row 7, this is a reference to process 1.1.2, Update Asset/Add Asset Inventory (see BCM for an easy reference)
G	Business Process Workflow step number (serial integer identifying the process step number within the flow)
I	Concatenation of Columns E and F
N	Name of the process step OR called process
O	Full requirement number (concatenates G and O)
P	Requirement index number (sequential integer or integer-letter)
V	The Requirement
W	Requirement Type (Functional, or Non-Functional)
X	Priority of the Requirement (Mandatory, Optional, or Mandatory/Optional)
Y	Requirement Response Code (Out of the Box, Configuration (<17 hours), Major Configuration (>=17 hours), Customization/3rd Party (with Description), Unable to Meet)
Z+	Requirement Response Description. This column must be completed for any requirements with a Requirement Response Code of "Customization/3rd Party (with Description)"

5. COST

Cost is a primary evaluation criterion weighted at 30% (300 points) of the 1000 total RFP Points. Evaluation in this category will be based on the lowest total estimated net cost as calculated according to the methodology in this section and Section 7, Evaluation.

All proposed costs for all line items must be all inclusive, thereby including the cost of any and all services required in this solicitation.

The intent is to structure the pricing format to facilitate a straightforward comparison among all Bidders and foster competition to obtain the best market pricing. Consequently, the State requires that each Bidder's cost be in the format outlined in this section. Therefore, the Bidder is advised that failure to comply with the instructions listed in this section, such as submission of

an incomplete proposal, use of alternative pricing structures or different formats than the one requested, will be deemed a deviation from the bid requirements.

Important Note: It is imperative that no cost information is included in the body of the proposal. Cost information must only be submitted in the Bidder's Response, Volume 2, Cost in accordance with Section 6, Proposal/Bid Format and Submission Requirements.

5.1. COST WORKBOOK (M)

Services, features, and costs included in the Exhibit 18: Cost Workbook are those that the Bidder must provide for the term of the Contract as identified in the SOW. All Bidders must provide individual costs as indicated in the cost worksheets and submit with the bidder's Final Proposal. Items submitted with no price will be considered as offered at no cost.

- Tab 1, Instructions
- Tab 2, Deliverables
- Tab 3, Hardware (HW) – Software (SW) Costs
- Tab 4, Hosting Services
- Tab 5, Unanticipated Costs
- Tab 6, Costs Summary

5.2. COST WORKBOOK INSTRUCTIONS

The cost workbook includes multiple cost worksheets that must be completed by the Bidder and submitted with its Final Cost Proposal to be considered responsive. The cost worksheet lists all cost elements required to provide the services and deliverables outlined in the SOW. The Bidder must include the completed cost worksheets sealed in Volume 2 Final Proposal.

The Bidder is required to enter all cost data in the format prescribed by the cost workbook, even if there are no costs for the item indicated on the worksheet(s). In these instances, the Bidder must indicate the cost as a zero (\$0). In addition, if any character other than a numeral is used (e.g., a dash), the State will assume the cost of the item to be zero (\$0). All other fields must not be modified. The Cost Workbook must be filled out completely and the Bidder must not modify any cells or formulas unless specifically instructed to do so. Costs must be rounded to the whole number.

The State has populated some of the cells with formulas, however it is the responsibility of the Bidder to ensure worksheets and calculations are correct and accurate. The State will not assume responsibility for any cost figures that do not calculate properly. Bidders must notify the State during the Question and Answer period of any errors found. Cells highlighted in yellow or green, indicate the cells in which the Bidders must enter its information or cost.

The State expects that during the Contract period, legislative and/or program changes may necessitate modifications to the system and/or software. Modifications may result in unanticipated tasks and be structured based on the Bidder's hourly labor rates identified on Tab 5. These rates will be used to support change requests or modifications to the Contract.

Unanticipated tasks are for additional work that must be performed and is within scope, but was not identified in the State's solicitation document or SOW. Both the State and the Contractor must agree upon the work that needs to be performed which will result in unanticipated costs through the TAP process. No work can be performed in advance of State's agreement of unanticipated tasks.

5.3. PROJECT PAYMENT TERMS

In accordance with Public Contract Code, §12112, the State will withhold, from each invoiced payment amount to the Contractor, an amount equal to thirty percent (30%) of the payment per the SOW.

The payment schedule for the TAMS project is deliverables-based.

5.4. SALES TAX

Sales tax is not to be included in the Cost Worksheets. If awarded the Contract, sales tax, if applicable, should be added at time of invoicing. The sales tax rate applied should be based on the rate of the area where the service is to be provided. See California Department of Tax and Fee Administration 1502 (f) (1) (D).

6. PROPOSAL FORMAT AND SUBMISSION REQUIREMENTS

These instructions identify the mandatory proposal format and the approach for the development and presentation of proposals. The format instructions must be followed, all requirements and questions in the solicitation must be completed and all requested data must be supplied. The Bidder shall carefully examine the solicitation and be satisfied with the compliance conditions prior to submitting a proposal.

The State will not be liable for any costs incurred by any Bidder in responding to this solicitation, regardless of whether the State awards the Contract through this process, decides not to move forward with the project, cancels this solicitation for any reason, or Contracts for the project through other processes or by issuing another solicitation.

6.1. PREPARATION

Proposals are to be prepared in such a way as to provide a straightforward, concise delineation of capabilities to satisfy the requirements of this solicitation document. Emphasis should be concentrated on conformance to the solicitation document instructions, responsiveness to the solicitation document requirements, and completeness and clarity of content. Proposals shall not include any marketing information (unless specifically requested and provided as instructed) and shall focus on how the Bidder will satisfy the requirements of this solicitation.

6.2. COMPLETION OF PROPOSALS

Proposals must be complete in all respects as required by this section. A Proposal Submission may be rejected if it is conditional or incomplete, or if it contains any alterations of form or other irregularities of any kind. The Proposal Submission must contain all requirement as stated in the RFP.

6.3. DATE, TIME, AND ADDRESS OF SUBMITTALS

Submit all proposals to the Procurement Official listed in Section 2.2.1: PROCUREMENT OFFICIAL. No hard copy submittals will be required for this bid. The Bidder must email the procurement official no more than 2 contacts for proposal upload. An invitation for a file sharing site will be sent to these individuals approximately 2 weeks prior to Proposal Submission Key Action Date. It is the bidder's responsibility to confirm receipt with the Procurement Official.

Proposals must be received no later than the date and time specified in Section 2.3, KEY ACTION DATES. A proposal not received by the date and time specified in Section 2.3, KEY ACTION DATES, shall be rejected.

6.4. UPLOAD AND NAMING

Once the Bidder has emailed the Procurement Official for file sharing site access, the Procurement Official will send the Bidder instructions for the folder structure and upload requirements. Bidders must follow the instructions provided by the Procurement Official for bid upload.

6.5. FORMATTING

It is the Bidder's responsibility to ensure its proposal is submitted in a manner that enables the State to easily locate all response descriptions and exhibits for each requirement of this solicitation. Page numbers should be located in the same page position throughout the proposal. Figures, tables, charts, etc., should be assigned index numbers and should be referenced by these numbers in the text and in the Table of Contents. Figures, tables, charts, etc., should be placed as close to text references as possible. The proposal should be organized to identify the volume and section.

Proposals should be submitted in the native file format.

1) The following must be shown on each page of the Proposal:

- a) RFP 56A0635;
- b) Name of Bidder;
- c) Volume number;
- d) Exhibit Number;
- e) Page number (Page # of ##).

- 2) Soft copies of the proposals must be in Microsoft O365 format including Word 2016 and Excel 2016 as appropriate, or compatible, except electronic files of drawings must be compatible with Microsoft Visio 2016.
- 3) Submittals should be organized into appropriate files and folders designed for easy access.

As stated in Section 2.5.5, CONFIDENTIALITY, the Bidder should be aware that marking the Proposal Submission "confidential" or "proprietary" may exclude it from consideration for award.

6.6. FINAL PROPOSAL FORMAT AND CONTENT

Each volume of the proposal must be submitted in its own folder, labeled by volume number, and must be structure in the following manner:

6.6.1. VOLUME 1: RESPONSE TO ADMINISTRATIVE REQUIREMENTS AND PROPOSALS REQUIREMENTS

- Exhibit 4, Response to Administrative Requirements
- Exhibit 5, Bidder Declaration
- Exhibit 6, Secretary of State Certification
- Exhibit 7, Worker's Compensation Certificate
- Exhibit 8, Cover Letter Form
- Exhibit 9, Payee Data Record
- Exhibit 10, Iran Contracting Act of 2010
- Exhibit 11, California Civil Rights Laws Certification
- Exhibit 12, DVBE Declarations
- Exhibit 13, Bidding Preference and Incentives
- Exhibit 14, CUF Certification
- Exhibit 15, Intentionally Blank
- Exhibit 16, Responsibility Certification
- Exhibit 17, STD 830 TACPA Preference Request (if applicable only)
- Exhibit 19, TAMS Requirements
- Exhibit 20, Bidder Qualifications

- Exhibit 20.1, Bidder Reference Form
- Exhibit 21.1.1-21.1.8 Key Staff Qualifications Forms
- Exhibit 21.2 Staff Reference Forms
- Exhibit 22, Narrative Response Items
- Exhibit 25, Deliverables Workbook

6.6.2. Volume 2: COST

This volume must be in a separate folder containing:

Exhibit 18: COST WORKBOOK.

7. EVALUATION

This section presents the evaluation process and scoring procedures the State will follow when evaluating proposals submitted in response to this solicitation. The evaluation process is multi-step, comprised of a thorough review of each Bidder's proposal response to determine that it is responsive and responsible, and provides a value effective solution to the State. The value effective proposal is the proposal that meets all requirements set forth in this solicitation and any State identified negotiated items.

After the State has evaluated Final Proposals and determined which bidders are eligible for an invitation to negotiate, the State will enter into negotiations with those invited bidders. Negotiated items will be determined by the State and will be included in the invitation to negotiate with each bidder. During negotiations all deviations from RFP requirements must be resolved to the State's satisfaction, in addition to agreement on any other negotiated items.

Upon conclusion of negotiations, the State may request a bidder provide a BAFO to revise any negotiated items or deviations from their Final Proposal.

The State will evaluate all BAFO submissions for compliance with RFP requirements and negotiated items, and to determine which BAFO provides a value effective solution to the State. The contract resulting from this solicitation will be awarded to the value effective BAFO.

The State reserves the right to modify or cancel this procurement in its entirety or in part at any time.

The Bidder is required to thoroughly review the solicitation to ensure that its proposal and its proposal responses are fully compliant with the solicitation requirements.

A deviation of any mandatory requirement must be resolved to the State's satisfaction during negotiations and corrected in the bidder's BAFO.

7.1. EVALUATION TEAM

This procurement is being conducted under the guidance of a Procurement Official from the CDT STP (refer to Section 2.2.1, PROCUREMENT OFFICIAL). The Procurement Official will serve as the Bidder's point of contact for questions and clarification, and will identify the rules governing this procurement.

The State will establish an Evaluation Team consisting of Caltrans with Stakeholders, as necessary in partnership with the CDT. The State's Procurement Official will provide guidance to the Evaluation Team and provide oversight of the evaluation process. The State may engage additional qualified individuals or subject matter experts (SME's) during the evaluation process to assist the State in gaining a better understanding of technical, financial, legal, contractual, or program issues. These other individuals do not have voting privileges or responsibility for the evaluation process and will serve solely in an advisory capacity.

7.2. EVALUATION STEPS

7.2.1. EVALUATION OF REQUIRED INFORMATION AND REQUIREMENTS

Proposals must be complete and meet all format and submission requirements as identified in Section 6, PROPOSAL FORMAT AND SUBMISSION REQUIREMENTS. A Proposal Submission may be rejected if it is conditional or incomplete, contradicts the requirements, contains any alterations of form, or contains other irregularities of any kind, including alterations to any terms and conditions.

A deviation of any mandatory requirement must be resolved to the State's satisfaction during negotiations and corrected in the bidder's BAFO.

7.2.2. RECEIPT AND PRELIMINARY REVIEW

All proposals received by the time and date specified in Section 2.3, KEY ACTION DATES, will be acknowledged as having been received on time.

The Procurement Official will check all proposals for the proper identification and to ensure that required information conforms to the proposal format and submission requirements of Section 6, PROPOSAL FORMAT AND SUBMISSION REQUIREMENTS.

7.2.3. MANDATORY REQUIREMENTS EVALUATION

The State will review each proposal to determine its compliance with all of the requirements set forth in Section 3, ADMINISTRATIVE REQUIREMENTS, and Section 4, PROPOSAL REQUIREMENTS.

The Evaluation Team will evaluate and score each submitted proposal by consensus for compliance with the requirements designated in Section 3 and Section 4.

7.2.4. VALIDATION AGAINST REQUIREMENTS

The State will check each proposal in detail to determine its compliance with the solicitation requirements. The State reserves the right to use multiple means to validate and determine the Bidder's response to a requirement. This may be through details in its description and/or supporting documentation provided or material that is publicly available, that may either support or contradict the Bidder's claim of intended compliance.

During the proposal evaluation, the State may request that the Bidder clarify any area of the proposal that the State determines to be unclear. This request for clarification will not be an opportunity for the Bidder to substantially change its proposal; however, the clarification provided by the bidder will replace the proposal section identified in the State's request for clarification.

7.3. FINAL PROPOSAL EVALUATION

This section outlines how the State will evaluate a Proposal Submission and award points in a manner that preserves the integrity of the competitive procurement process.

Proposals will be evaluated according to the procedures contained in this solicitation section.

There is a total of 1,000 points available in the evaluation with 70% of the points assigned to Bid Requirements and 30% of the points assigned to Cost. All point calculations will be rounded to two (2) decimal places (the nearest hundredth). Bidders that have a deviation will be required to resolve the deviation in negotiations. The distribution and allocation of maximum points possible for each proposal element is provided in Table 7-1: Scoring and Point Distribution, which identifies each evaluation component, the scoring methodology, and the maximum points available for scored components.

Table 7-1: Scoring and Point Distribution

Evaluation Area	Maximum possible Scores
Section 3, Administrative Requirements	Pass/Fail
DVBE Participation Requirement (3% Required)	Pass/Fail
Section 4, Proposal Requirements (Qualification)	
Exhibit 20: Bidder Qualifications forms	Pass/Fail
Exhibit 20.1: Bidder Reference Forms	Pass/Fail
Exhibit 21.1.X: Key Staff Qualification Forms – Mandatory (M)	Pass/Fail
Exhibit 21.1.X: Key Staff Qualification Forms – Desirables (DS)	100 points
Exhibit 21.2: Staff Reference Forms	Pass/Fail

Exhibit 22: Narrative Response Items	300 points
Exhibit 19: TAMS Requirements	300 points
Section 5, Cost	
Exhibit 18: Cost Workbook	300 points
Maximum Total Score (Points)	1000

7.3.1.1. ERRORS IN THE PROPOSAL SUBMISSION

An error in the Proposal Submission may cause the rejection of that proposal; however, the State may, at its sole option, retain the proposal and make certain corrections. In determining if a correction will be made, the State will consider the conformance of the proposal to the format and content required by the solicitation, and any unusual complexity of the format and content required by the solicitation.

- 1) If the Bidder's intent is clearly established based on review of the complete Proposal Submission submittal, the State may, at its sole option, correct an error based on that established intent;
- 2) The State may, at its sole option, correct obvious clerical errors;
- 3) The State may, at its sole option, correct discrepancy and arithmetic errors on the basis that, if intent is not clearly established by the complete proposal submittal, the master copy shall have priority over additional copies, the proposal narrative shall have priority over the Contract.

Within each of these, the lowest level of detail will prevail. If necessary, the extensions and summary costs will be recomputed accordingly, even if the lowest level of detail is obviously misstated.

The State may, at its sole option, correct errors of omission. In the following four (4) situations, the State will take the indicated actions if the Bidder's intent is not clearly established by the complete proposal submittal:

- a) If an item is described in the narrative but omitted from the Contract and cost data provided in the proposal for evaluation purposes, it will be interpreted to mean that the item will be provided by the Bidder at no cost, as applicable;
- b) If a minor item is not mentioned at all in the Proposal Submission and is essential to satisfactory performance, the proposal will be interpreted to mean that the item will be provided at no cost, as applicable;
- c) If a major item is not mentioned at all in the Proposal Submission, the proposal will be interpreted to mean that the Bidder does not intend to supply that item;

- d) If a major item is omitted, and the omission is not discovered until after Contract award, the Bidder shall be required to supply that item at no cost. The determination of whether an item is minor or major is the responsibility of the State;
- 4) If a Bidder does not follow the instructions for computing costs not related to the Contract, if any, (e.g., State personnel costs), the State may reject the proposal, or at its sole option, re-compute such costs based on instructions contained in the solicitation, as applicable;
- 5) If the re-computations or interpretations, as applied in accordance with this section, result in significant changes in the cost described or in a requirement of the Bidder to supply a major item at no cost, the Bidder will be given the opportunity to promptly establish the grounds legally justifying relief from its proposal, as applicable;
- 6) It is absolutely essential that the Bidder carefully review the cost elements in the Proposal Submission, since the Bidder will not have the option to correct errors after Proposal Submission;
- 7) The State may request clarification of items in the Bidder's proposal if the meaning is not clear to the State. Responses to requests for clarification must be confirmed in writing by the Bidder as instructed by the State's Procurement Official at the time of the request;
- 8) At the State's sole discretion, it may declare all Final Proposals to be Draft Proposals. Bidders may not protest the State's determination of all Final Proposals being declared Draft Proposals. If all proposals are declared to be Draft Proposals, the State may issue an addendum to this RFP. Should this occur, confidential discussions may be held with Bidders who are interested in continuing to be considered. Each Bidder will be notified of the due date for the submission of a new Final Proposal to the State. This submission must conform to the requirements of the original RFP as modified by any addenda. The new Final Proposals will be evaluated as required by Section 7.

7.3.1.2. ADMINISTRATIVE REQUIREMENTS EVALUATION

All Section 3, ADMINISTRATIVE REQUIREMENTS labeled with (M) are mandatory, with the exception of those labeled with (O) which are optional, in Section 3, ADMINISTRATIVE REQUIREMENTS and Bidders are not required to respond. Review of the proposals will begin with ensuring that the Bidder has responded to Section 3, ADMINISTRATIVE REQUIREMENTS that require proposal submittal documents.

7.3.1.3. QUALIFICATION REQUIREMENTS EVALUATION

The Evaluation Team will consider all information in the Bidder's proposal to evaluate the Bidder and Staff Qualifications. Narrative descriptions on the Bidder and Staff Qualification forms must be clear and apply directly to the solicitation requirements. Narrative descriptions may be used to validate other information provided on any form. Any conflicting information will be noted as a deviation and must be resolved to the State's satisfaction in negotiations and corrected in the Bidder's BAFO.

The State will evaluate Bidder and Staff Qualifications using the information contained in the completed Exhibit 20: Bidder Qualifications form and Exhibits 21.1.X: Staff Qualification Forms, that the Bidder submits with the Final Proposal. Reference contacts may be contracted to verify Bidder and Staff information and claimed experience.

To aid the State in evaluating Bidder and Staff Qualifications, the Bidder should use a MM/DD/YYYY format when indicating project start and end dates. If a Bidder submits a proposal in any other date format, the State will count only the whole months or years between the start and end dates. For example, Bidder "A" cites start and end dates for a project as 6/2011 to 12/2011. The Bidder or staff member would only be credited with five (5) months of experience.

If a project end date is ongoing or exceeds the Final Proposal due date, then the Bidder or staff member will receive credit for only the experience acquired up to the Final Proposal due date. Concurrent project timeframes (overlapping dates) will only count once for calculating the number of years and months of qualification experience for the staff.

If the number of years and months for a project was not indicated on the Bidder or staff qualification form "Experience gained on this cited Project" and the Bidder or staff checked "yes" to meeting the total experience on the project cited, then the Bidder or staff will only receive experience credit for the minimum number of years required for that requirement or will receive the number of years indicated on the header of the Bidder or staff qualification form, whichever is less.

The evaluation team will consider all information in the Bidder's proposal to evaluate the Bidder Qualifications. Narrative descriptions on the Bidder Qualification forms must be clear and apply directly to the solicitation requirements. Narrative descriptions may be used to validate other information provided on any form. Any conflicting information will be noted as a deviation and must be resolved to State's satisfaction in negotiations and corrected in the bidder's BAFO.

7.3.1.4. BIDDER QUALIFICATIONS AND REFERENCE FORMS

The evaluation team will evaluate the completed Exhibit 20: Bidder Qualifications and all Exhibit 20.1 Bidder Reference Forms for compliance with the mandatory requirements specified in Section 4.1.1, Bidder Qualifications. The evaluation team will validate claimed experience on the associated Bidder Reference Form for each project Bidder identifies to meet the requirements.

The Bidder must provide for a minimum of two (2) projects and not more than five (5) projects. The Bidder must submit one (1) completed Bidder and Staff Qualifications Form for each of the projects cited.

The Evaluation Team will also evaluate the Bidder qualifications and reference forms to ascertain whether the Bidder qualifies for any of the Desirable Scored (DS) experience points, in accordance with the criteria specified in Exhibit 20: Bidder Qualifications.

If the State is unable to validate that the information supplied by the Bidder qualifies for (DS) experience points, no points will be awarded for such experience. Any desirable scored experience points awarded will be added to the Bidder's qualification score. Reference contacts listed on attachments may be contacted to verify information provided by the Bidder. The Caltrans TAMS project team cannot be listed as a reference.

7.3.1.5. KEY STAFF QUALIFICATIONS AND REFERENCE FORMS

For each key staff, the Evaluation Team will first evaluate the completed Staff Qualification Form for compliance with the mandatory requirements specified in Section 4.1.3, Staff Qualifications. The State will evaluate the Bidder's key staff experience using the information provided in Exhibits 21.1.X: Staff Qualifications Forms. The Evaluation Team will validate claimed experience on the associated Staff Reference Form for each requirement. Any conflicting information will be noted as a deviation and must be resolved to State's satisfaction in negotiations and corrected in the bidder's BAFO.

The Evaluation Team will next evaluate the completed Staff Qualification forms to ascertain whether any proposed staff qualifies for any of the desirable scored (DS) experience points for the specific staff member. If the State is unable to validate that the information supplied qualifies for any (DS) experience points, no points will be awarded for such experience. Any desirable scored experience points awarded will be added to the staff's qualification score. Reference contacts listed on attachments may be contacted to verify information provided by the Bidder. Caltrans' staff on the TAMS Project or Evaluation Team cannot be listed as a reference.

7.3.1.6. BIDDER AND STAFF REFERENCE CHECKS

If needed to verify information submitted by Bidders on the Bidder or Staff Qualification and Reference Form, the State will make two (2) attempts via phone or email to the reference contact identified on the Bidder Qualification and References Form, to validate the claimed information and experience. The Bidder should ensure that its reference contacts are available for validation during the evaluation period identified in Section 2.3, KEY ACTION DATES.

If the State has not received a response from the reference contact after the first attempt, a second attempt will be made. If no response is received after the second attempt, the State will contact the Bidder and request that the Bidder assist the State by having the reference respond to the State within a 24-hour period from the second attempted contact. If the evaluators are still unable to contact the reference, the Bidder's proposal may be deemed non-responsive for failure to provide verifiable references, and the Bidder may be disqualified.

7.3.1.7. NARRATIVE RESPONSE EVALUATION

The table below will be used to evaluate the narrative response the Bidder provides to the narrative response items in Part 2 – Exhibit 22: Narrative Response Items:

Table 7-3.2 Scoring Type: Mandatory Scored (MS) Narrative Responses Evaluation Criteria	Evaluation Outcome	Score
<ul style="list-style-type: none"> • Response and supporting information: • Demonstrates in the Bidder's own words a thorough, detailed, and comprehensive understanding of the requirement. • Demonstrates the ability and intent to meet or <u>exceed</u> the requirement in full. • Provides evidence of proven ability to meet or <u>exceed</u> the requirement or detailed plans or methodology that further demonstrates how the requirement will be optimally met or exceeded. • Provides an approach that is fully achievable, applies best practices, is clearly and concisely presented, and is logically organized and well-integrated. 	Exceeds (E)	100% of the max points available for that Req. Number
<ul style="list-style-type: none"> • Response and supporting information: • Demonstrates in the Bidder's own words a comprehensive understanding of the requirement. • Demonstrates the ability and intent to meet the requirement in full. • Provides some evidence of proven ability to meet the requirement or detailed plans or methodology that further demonstrates how the requirement will be met. • Provides an approach that is mostly achievable, suitable, acceptably presented, sufficiently organized and integrated. 	Good (G)	75% of the max points available for that Req. Number
<ul style="list-style-type: none"> • Response and supporting information: • Simply repeats or paraphrases the requirement. • Meets or partially meets the RFP requirement without supporting description or literature. • Does not demonstrate that the Bidder fully understands the requirement. • Provides an approach that is not fully achievable, somewhat suitable, less than acceptably presented, somewhat unorganized, and partially integrated. 	Marginal (M)	50% of the max points available for that Req. Number
<ul style="list-style-type: none"> • Response is not relevant; or • Response does not demonstrate an understanding of, or inaccurately interpreted the requirement; or • The approach is not achievable; or • The Bidder failed to provide narrative to support the requirement; or • The Bidder provided a narrative that counters or softens the "Yes" response to a mandatory requirement with a statement that "intends" to support the mandatory requirement. 	Unacceptable (U)	0%

7.3.1.8. COST EVALUATION

After Section 3, Administrative Requirements and Section 4, Proposal Requirements have been evaluated, the Evaluation Team will evaluate cost.

All cost worksheets will be validated to verify completeness and mathematical accuracy. If appropriate, errors will be corrected in accordance with Section 7.4, Negotiations.

The Proposals will be evaluated using 700 possible points for the technical evaluation and 300 points for the cost evaluation. The technical points will be assigned based on Section 7. The Cost points will be awarded based on the Best Value Factor. The Best Value Factor is calculated by assigning a weighting factor that is proportionate to the number of technical points received in order to ensure that Cost aligns with the Technical requirements. This Best Value Score will be calculated by multiplying the Best Value Factor times the Lowest Cost Bid divided by the Cost Bid. Please refer to the table for detailed formulas.

A	B	C	D	E	F	G	H
	Variable Name	Description	Example 1 Bidder 1	Example 2 Bidder 2	Example 3 Bidder 3	Example 4 Bidder 4	Example 5 Bidder 5
2	Technical Points	Maximum technical points	700	700	700	700	700
3	Technical Points	Technical points received by bidder	650	600	530	500	630
4	Cost Points	Maximum Cost Points	300	300	300	300	300
5	Cost Bid	Cost bid by the bidder	\$19,200,000	\$15,000,000	\$18,500,000	\$17,000,000	\$17,500,000
6	Lowest Cost Bid	Lowest cost bid	\$15,000,000	\$15,000,000	\$15,000,000	\$15,000,000	\$15,000,000
7	Best Value Ratio	Normalized score based on technical proposal ($=D4/D3$)	0.93	0.86	0.76	0.71	0.90
8	Best Value Factor	Normalized score for Cost proposal ($=D8*D5$)	278.57	257.14	227.14	214.29	270.00
9	Best Value Score	Cost Value in terms of Best Value ($=D9*(D7/D6)$)	217.63	257.14	184.17	189.08	231.43
10	NEW SCORE	Total Points earned ($=D10+D4$)	867.63	857.14	714.17	689.08	861.43
11	Bidder Rank		1	3	4	5	2

7.3.2. SOCIOECONOMIC PROGRAMS

Bidders who claim preference points will be evaluated to determine whether they submitted the required forms, documents, exhibits, and/or the responses necessary to validate their qualification and eligibility for the claimed preference(s). If the State determines that the submitted information is insufficient or that the required documents do not otherwise validate the eligibility for points in any of the claimed programs, then the points for that program will not be added to the Bidder's final overall proposal score. If the State is able to validate the Bidder's claim, the qualified preference points will be applied to the Bidder's final overall proposal score.

7.3.2.1. TACPA PREFERENCE

The State will give preferences in accordance with the GC 4530-4535.3, for Bidders who are California home based and who qualify for claimed preferences under the Target Area Contract Preference Act (TACPA) by computing and returning the appropriate forms described in the RFP. Where multiple preferences are claimed, the State will verify eligibility for the preferences and evaluate and apply preferences in accordance with the law.

Available evaluation preferences under TACPA are limited to nine percent (9%), five percent (5%) worksite, and one percent (1%) up to four percent (4%) workforce of the lowest total

proposal price or \$50,000.00, whichever is less. The TACPA preference is a dollar preference, applied against the Bidder's proposed cost, before cost is evaluated and converted to points.

The State will verify TACPA preference and apply the TACPA preference accordingly. The TACPA preference does not apply when the worksite is fixed by the terms of the Contract.

7.3.2.2. SMALL BUSINESS PREFERENCE

The State will verify Small Business/Non-Small Business preference claim and apply the five percent (5%) preference accordingly.

In accordance with Government Code §14835 et seq., Bidders who qualify as a small business will be given a five percent (5%) preference for evaluation purposes only. The five percent (5%) preference is calculated on the total number of points awarded to the highest scoring non-small business that is responsible and responsive to the proposal requirements. The rules and regulations of this law, including the definition of a small business for the delivery of goods and services, are contained in the California Code of Regulations, Title 2, § 1896 et seq.

This five percent (5%) small business preference is also available to a non-small business claiming 25% California certified small business subcontractor participation. The five percent (5%) preference is calculated on the total number of points awarded to the highest scoring non-small business that is responsible and responsive to the proposal requirements and that is not subcontracting a minimum of 25% to a small business. Non-small business Bidders claiming the five percent (5%) small business preference must commit to subcontract at least 25% of the net proposal price with one (1) or more California certified small businesses.

Completed certification applications and required support documents must be submitted to the Department of General Services Office of Small Business and DVBE Services (OSDS) no later than 5:00 p.m. on the Proposal due date, and the OSDS must be able to approve the application as submitted. Questions regarding certification should be directed to the OSDS at (916) 375-4940.

For an illustration of this process, refer to the example in Table 7-5, Small Business Preference Points Calculation. Points in this example explain the calculations and have no other significance.

The preference points for bidders A and B are based on five percent (5%) of the Bidder proposal score of Bidder C, the highest scorer of a non-small business, which is (1500.00 points) x (.05) = 75.00 points (rounded). Bidder C, which is neither a small business nor a non-small business subcontracting a minimum of 25 percent (25%) to a small business, receives no small business preference points.

Table 7-5: Small Business Preference Points Calculation

Bidder	Bidder Total Proposal Score	Small Business	Non-Small Business	Small Business Preference Points Awarded
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		Preference Claim?	Preference Claim?	
A	900.00 pts	Yes	No	47.50 pts
B	850.00 pts	No	Yes	47.50 pts
C	950 pts	No	No	0.00 pts

NOTE: Calculation is based on 5% of the Bidder with the highest "Bidder proposal score" that is a non-small business. In the example Table 7-5, Bidder C has the highest non-small business score.

7.3.2.3. DVBE INCENTIVE

In accordance with §999.5(a) of the MVC, for evaluation purposes only, the State shall provide an incentive to Bidders who provide California-certified DVBE participation that exceeds the mandatory California-certified DVBE participation goal in the amounts shown below.

The State will verify DVBE and apply the incentive accordingly. The DVBE incentive points are a percentage of the total possible points. The maximum incentive for this procurement is five percent (5%) of the total points available, and is based on the amount of DVBE participation confirmed. The below table is an illustration of this calculation:

Table 7.3.2.3-1: DVBE Participation Incentive Formula

Confirmed DVBE Participation of:	DVBE Incentive
5% or more	5% of available points
4% up to 4.99%	4% of available points
3% up to 3.99%	3% of available points

7.3.3. BIDDER FINAL PROPOSAL SCORE CALCULATION AND RANK DETERMINATION

The evaluation team will calculate the Bidder's final score. Table 7.3.3-1: Bidder Final Score Calculation example illustrates the Bidder's final score that incorporates both preference and incentive points:

Table 7.3.3-1: Bidder Final Score Calculation

Bidder	Bidder Total Proposal Score	Small Business Preference Points Awarded	Verified DVBE %	DVBE Incentive Points Awarded	Bidder Final Score
A	900.00 pts	47.50 pts	3%	45.00 pts	992.50 pts
B	850.00 pts	47.50 pts	4%	60.00 pts	957.50 pts
C	950.00 pts	0.00 pts	5%	75.00 pts	1025.00 pts

NOTE: Bidder Final Score Calculation in **Table 7.3.3-1** is an example that explains the calculations and has no other significance.

7.4. NEGOTIATIONS

The State of California intends to enter into negotiations as set forth in Section 2.7, Negotiations under PCC §6611.

Negotiations allow the State and Bidder an opportunity to discuss items that could, in the State's opinion, enhance the Bidder's proposal and potential for award. Negotiations are not intended to allow a Bidder to completely rewrite their proposal. The negotiations are exchanges between the State and the Bidder, which are undertaken with the intent of allowing the Bidder to revise their Proposal only in areas determined by the State during the negotiation process. Negotiations will be conducted either orally or in writing. These negotiations may include bargaining, such as persuasion, and alteration of assumptions and positions.

The State may discuss any aspect of the Bidder's proposal that could, in the opinion of the State, be altered or explained to materially enhance the proposal's potential for award. However, the State is not required to discuss every area where the Bidder's proposal could be improved. The scope and extent of negotiation exchanges are the matter of the State's judgment.

The state reserves the right to determine the topics for negotiation and revise the scoring criteria to the State's discretion to obtain a value effective solution.

All aspects of the Bidder's proposal are confidential until after the issuance of the notification of award.

7.4.1. NEGOTIATION INVITATION

Once eligible Bidders are determined, based on the criteria set forth in Section 2.7, Negotiations, the State will notify those bidders in writing: (1) that the State is initiating negotiations pursuant to Public Contract Code 6611(a); (2) the general purpose and scope of the negotiations; (3) the anticipated schedule for the negotiations; and (4) the procedures to be followed for negotiations. Bidder(s) who have been invited to participate in negotiations must confirm attendance, in accordance with the invitation instructions, within two (2) State business days of invitation.

7.4.2. BIDDER DEMONSTRATION

All eligible Bidders will be notified via email of the date, time, and location of the demonstration of requirements no less than five (5) calendar days prior to the demonstration date. The State will provide a web meeting invitation to be utilized for the Bidder Demonstration. Detailed instructions and rules will be sent to the Bidder along with the negotiation invitation.

Costs for developing and providing the demonstration, including any travel, if necessary, are entirely the responsibility of the Bidder and shall not be reimbursed by the State.

Demonstration of Requirements – Phase One

Demonstrations will provide the State the ability to verify Bidder's claims in response to the requirements of this RFP. Selected Bidders passing the administrative as well as the Exhibit 19: TAMS Requirements will be invited to demonstrate its proposed solution.

The Demonstration will consist of a Functional Requirements Demonstration where Bidder shall demonstrate how requirements will be met for TAMS Business Capability Model 1.1, Inventory, Condition, & Location. The Business Process Workflows and associated requirements:

- 1.1.1 – Import, Map, and Summarize Asset Data
- 1.1.2 – Update Asset / Add Asset Inventory
- 1.1.3 – Utilize / Establish Caltrans Corporate Data Sets
- 1.1.4 – View Detailed or Summarized Reports

These processes and data form the basis for all subsequent TAMS Business Capabilities and Requirements and will help evaluate the Bidder's solution.

The State anticipates that each Bidder will be allotted three (3) hours for the demonstration. Demonstrations will be held between the hours of 8:00 am – 5:00 pm, Pacific Time. The 3-hour session includes any time required for set-up or break-down Bidder equipment. It is Bidder's responsibility to determine how to best present its products and materials within the allotted time. Bidder is fully responsible for all aspects of Bidder Demonstration.

Publicly available Caltrans' data may be utilized. Asset data is available from Federal sources for both pavement and bridge inventory. Accuracy of inventory is not required, but would assist in Caltrans' better understanding the functionality demonstrated.

If Bidder's response indicates that a requirement will be met Out of the Box, as defined in the instructions included with Exhibit 19: TAMS Requirements, such functionality must be demonstrated. Failure to demonstrate the Out of the Box functionality may result in Bidder disqualification.

Bidders will receive evaluation score modifications based on their Demonstration and may proceed to 7.4.3, Best and Final Offer Submission (BAFO), based on their overall score.

7.4.3. BEST AND FINAL OFFER SUBMISSION (BAFO)

At the conclusion of negotiations, the State may request a BAFO submission. The intent of the BAFO is to clarify and document understandings reached during negotiations. The State will

establish a date and time for receipt of the BAFOs based on when the Bidder's BAFO negotiations occur. A Bidder's BAFO is an irrevocable offer for 120 calendar days following the scheduled date for submission of a final accepted BAFO. A Bidder may extend the offer in the event of a delay in Contract award.

BAFOs must be submitted to the location identified in Section 2.2.1, Procurement Official, by the specific date and time that will be communicated to each Bidder individually in writing.

The BAFO submission must address the following:

1. A supplemental proposal containing all negotiated/revised section(s) of the Bidder's original Final Proposal, any other revised area specifically required by the State to be included in the BAFO, and revisions made necessary in accordance therewith.
2. The supplemental proposal must include all changes made to negotiated section(s) of the Bidder's original Final Proposal in tracked changes. Changes to the Bidder's original Final Proposal that are not tracked in the supplemental proposal or otherwise identified may result in rejection of the proposal or cause for termination of the Contract.
3. An executive summary must accompany the supplemental proposal, identifying a list of all changes (other than non-substantive changes to formatting, punctuation and grammar) that have been made to the Bidder's original Final Proposal. The Bidder must include and attest to the following statement within the Executive Summary:

"This Best and Final Offer (BAFO) is in response to RFP 56A0635 and the changes identified in this executive summary represent all changes made to {Bidder's name} Final Proposal previously submitted to the State. Any substantive change not included in this list is non-operative, non-binding, and will not be considered a part of the {Bidder's name} BAFO."

7.4.4. EVALUATION OF BAFO SUBMISSION

The State will evaluate the BAFO submissions, based on topics negotiated and obtaining the value effective solution for the State. The State will document the evaluation process and selection criteria in its final selection documents.

7.5. DEBRIEFING

A debriefing may be held within three (3) months after Contract award at the request of any Bidder for the purpose of receiving specific information concerning the evaluation. The discussion will be based primarily on the qualifications, solution requirements and cost evaluations of the Bidder's Proposal Submission. A debriefing is not the forum to challenge the solicitation specifications or requirements.

8. INFORMATIONAL ATTACHMENTS

The following attachments to this solicitation are informational for use in the solicitation process and do not need to be submitted with the Bidder's proposal response. They can be found in Part 1 – Bidder Instructions:

- 1) RFP Attachment 1: BID SUBMISSION CHECKLIST. This attachment references items to be submitted as part of the Proposal submission, but is not guaranteed to include all necessary items.
- 2) RFP Attachment 2: FORM FOR SUBMITTING QUESTIONS. This attachment provides the format for a Bidder to submit questions regarding this solicitation.

ATTACHMENT 1 – BID SUBMISSION CHECKLIST

Page 1 of 2

Has your firm submitted the following pre-bid information?

- ☐ Exhibit 2, Intent to Bid form
- ☐ Exhibit 3, Confidentiality Statement
- ☐ Exhibit 30, Follow-On Contract Certification

Does your Final Bid follow the format specified in RFP Section 6 of the RFP?

- ☐ Organized and Uploaded as identified in Section 6.4.
- ☐ No cost data provided in any volumes, except Volume 2.

Volume 1 – Response to Administrative and Proposal Requirements

- ☐ Exhibit 4: Response to Administrative Requirements
- ☐ Exhibit 5: GSPD 05-105, Bidder Declaration
- ☐ Exhibit 6: Secretary of State Certification
- ☐ Exhibit 7: Workers' Compensation Certification
- ☐ Exhibit 8: Cover Letter Form
- ☐ Exhibit 9: Payee Data Record
- ☐ Exhibit 10: Iran Contracting Act of 2010
- ☐ Exhibit 11: California Civil Rights Laws Certification
- ☐ Exhibit 12: STD 843, DVBE Declarations
- ☐ Exhibit 13: Bidder Preferences and Incentives
- ☐ Exhibit 14: Commercially Useful Function Certification (required if claiming a Small Business contracting/subcontracting preference or DVBE contracting/subcontracting incentive per Section 3.20)
- ☐ Exhibit 16: Responsibility Certification

- ☐ Exhibit 17: STD 830, TACPA Preference Request (required if claiming TACPA preference per Section 7.3.2.1)
- ☐ Exhibit 20: Bidder Qualifications
- ☐ Exhibit 20.1: Bidder Reference Form
- ☐ Exhibit 21.1.1: Project Manager – Qualification Form
- ☐ Exhibit 21.1.2: Project Controller – Qualification Form
- ☐ Exhibit 21.1.3: Functional Lead – Qualification Form
- ☐ Exhibit 21.1.4: Data Scientist– Qualification Form
- ☐ Exhibit 21.1.5: Data and Integration Lead – Qualification Form
- ☐ Exhibit 21.1.6: Technical Lead – Qualification Form
- ☐ Exhibit 21.1.7: Quality Assurance Lead – Qualification Form
- ☐ Exhibit 21.1.8: Training Lead – Qualification Form
- ☐ Exhibit 21.2: Staff Reference Form
- ☐ Exhibit 22: Narrative Response Items
- ☐ Exhibit 25: Deliverables Workbook

Volume 2 Cost

- ☐ Exhibit 18: Cost Workbook

The State makes no warranty that the checklist is a full and comprehensive listing of every requirement specified in the solicitation. Checking off the items on the checklist does not establish your firm's intent nor does it constitute responsiveness to the requirements. The checklist is only a tool to assist participating Bidders in compiling the Final Bid response. Bidders are encouraged to carefully read the entire solicitation. The need to verify all documentation and responses prior to the submission of Final Bids cannot be over emphasized.

ATTACHMENT 2 – FORM FOR SUBMITTING QUESTIONS

Bidders are requested to use the form below when submitting questions to the Procurement Official listed in Section 2.2.1 Instructions are as follows:

Name of Bidder – Provide the name of the Bidding firm

Contact Person – Provide the name of the person to contact if the State needs clarification about the question.

Contact Email and Phone # – Provide the email and phone number (including area code) for the listed contact person.

Q # – Sequentially number each question, always starting at one for each submission.

Document(s) – Identify the document(s) the question pertains to, such as, RFP Part 1; 4.2.1 Narrative Response Requirements, Item #3.

Section # – Identify the section number(s) that the question pertains to.

Question – Write the question/request in this column.

Expand or reduce the number of rows in the form to accommodate the number of questions of each submission.

RFP 56A0635 Bidder Question Form

Name of Bidder:

Contact Person:

Contact Email and Phone Number:

Question Format

Q#	Document(s)	Section #	Question
1			
2			
3			
4			
5			