

County of Yolo

PLANNING AND PUBLIC WORKS DEPARTMENT

John Bencomo
DIRECTOR

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Opening notice
cover page with the
Published Date

TO: Interested Materials Testing and Geotechnical Engineering Firms

FROM: Yolo County Department of Planning and Public Works

DATE: November 21, 2013

Subject: Request for Qualifications Notice – On-Call Materials Testing and Geotechnical Engineering Services

I. GENERAL INFORMATION

- A. The Yolo County Planning and Public Works Department is soliciting Statements of Qualifications (SOQs) from qualified firms that may lead to the award of a contract for On-Call Materials Testing and Geotechnical Design Services associated with County roads and bridges at various locations within Yolo County, California. In submitting your Statement of Qualification (SOQ), you shall comply with the instructions found herein.
- B. Request for Qualification (RFQ) information can be downloaded at no cost at www.bidsync.com. It is the respondent's responsibility to register at www.bidsync.com to ensure notification of all addenda. It is the respondent's responsibility to arrange for printing services to obtain printed copies of documents.
- C. Submit all questions concerning this RFQ in writing via Bidsync by 5:00 p.m. December 10, 2013. Answers to submitted questions will be posted on Bidsync by 5:00 p.m. on December 12, 2013. You may also reach the Contract Administrator, Mark Christison by email at Mark.Christison@yolocounty.org. Consultants contacting the County directly seeking information about this RFQ may jeopardize the integrity of the selection process and risk possible disqualification. Any oral communication between the County and a firm submitting a SOQ is not binding, nor will it modify the RFQ in any way.
- D. The estimated contract amount is \$300,000 to \$600,000.
- E. The estimated contract term is 5 years, beginning approximately February 28, 2014. The County may choose to contract with more than one consulting firm.
- F. Interviews will be held in Woodland, CA on January 13-17, 2014. Confirmation letters will be sent to those firms sort-listed.
- G. Negotiations will be held with the top-ranked firm in Woodland, CA during the week of January 20-24, 2014.

Max
Contract
\$ Amount

Procurement
Schedule

Term of Contract (Not to
Exceed 5 Years for On-call)

- H. Following successful negotiations with the top ranked consultant, the County may select the second ranked consultant to enter into negotiations with, to ensure availability of qualified consultant staff during peak construction periods.
- I. Federal and/or State prevailing wage rates apply to portions of the work. This requirement will be included in the contract.
- J. During the performance of a contract that may result from this RFQ, consultant and its subconsultant shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (e.g., cancer), age (over 40), marital status, and denial of family care leave. Consultant and subconsultants shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Consultant and subconsultants shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this contract by reference and made a part hereof as if set forth in full. Consultant and its subconsultants shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement. Consultant shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the contract.
- K. This contract is subject to 49 CFR, Part 26 entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs". Refer to Attachment 1 for DBE information. The County has not established a DBE goal for this contract However, consultants who obtain DBE participation for this contract are requested to report it using Exhibit 10-O1.
- L. This RFQ is not an offer to contract, and does not commit Yolo County to pay any costs incurred in the preparation and presentation of submittals and interviews, or to select any interested firm, which responds. The County does not guarantee, either expressly or by implication that any work or services will be required under any contract issued as a result of this RFQ. Established a DBE goal for this contract
- M. A contract shall not be awarded to a consultant that does not have an adequate financial management and accounting system as required by 48 CFR Part 16.301-3, 49 CFR Part 18, and 48 CFR Part 31. The successful consultant must be able to certify that all costs included in the contract are allowable in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of Title 48, Code of Federal Regulations (CFR), Part 31 and that the cost proposal does not include any costs which are expressly unallowable under the cost principles of the FAR of 48 CFR, Part 31. The consultant's demonstrated financial responsibility, and familiarity with federal cost principles, will be used as an evaluation criterion during the evaluation and selection process.

- N. The County reserves the right to reject any and all submittals and to waive any informality, technical defect or clerical error. The SOQ will become part of the contract for furnishing the services. Proposers are bound by the responses contained in their SOQ. SOQs shall be submitted at each firm's own risk. If any errors exist in a submittal and the firm fails to notify the County prior to the deadline for submission, the firm shall not be entitled to additional compensation as a result of any errors or later corrections.

II. SCOPE OF WORK/DELIVERABLES

The work to be performed for this RFQ is described in the Scope of Services incorporated as Attachment 2.

III. SUBMISSION OF STATEMENTS OF QUALIFICATIONS (SOQs)

- A. SOQs must be prepared in accordance with Attachment 3 "SOQ CONTENT AND FORMAT."
- B. SOQ package submittal instructions:

1. Three (3) copies of the SOQ containing all the indicated information shall be submitted. Faxed or electronic copies will not be accepted. SOQs will be accepted until **3:00 p.m. on December 19, 2013** and must be directed to:

Planning & Public Works Department
292 West Beamer Street
Woodland, CA 95695
Attention: Mr. Mark Christison

2. The SOQs must be submitted in a sealed package labeled as follows:
- "RFQ for Materials Testing"
 - "Submittal deadline December 19, 2013"
 - "DO NOT OPEN"
3. SOQ submittals will be considered non-responsive if all copies are not received in the specified location by the date and time specified in this RFQ.

C. Conflicts of Interest

The consultant and subconsultants shall disclose in the Transmittal Letter that accompanies the SOQ, potential or actual conflicts of interest as described below. Failure to submit the required information in the SOQ shall result in rejection of the SOQ for noncompliance with the RFQ requirements, or if later discovered during the term of the contract, the County may terminate the contract for default.

It is the County's practice to utilize the services of a different firm than the design firm to furnish construction engineering, testing and/or inspection services, to provide another level of review and reduce the risk of, or potential for, a conflict of

**Suggest
Submittal
Deadline
be on
Cover
page**

**Submittal
Deadline
(Date and Time)
Minimum of 14
days from
Published Date
No Late submittal
will be accepted**

interest. If applicable, the consultant and subconsultant shall include a statement about any current design work, or the potential for future design work that the consultant or subconsultant may become involved with, on road or bridge projects administered by Yolo County.

Prospective consultants shall disclose any financial, business or other relationship with the County that may have an impact upon the outcome of the contract. Prospective consultants shall also list current clients who may have a financial interest in the outcome of the contract.

The consultant and subconsultant shall notify the County in the event that any County employee has directly, or indirectly, any financial or other personal interest in connection with this contract or subcontract.

The existence of potential or actual conflicts of interest will be used as an evaluation criterion during the evaluation and selection process.

Signed by,
Mark T. Christison, P.E.
Associate Civil Engineer

John Beromo,
Director, Yolo County Planning and Public Works

PKIMC:

List of Attachments:

1. Attachment 1- DBE Information
2. Attachment 2- Scope of Services
3. Attachment 3- SOQ Content and Format
4. Attachment 4- Work Proposal Form
5. Attachment 5- Quality Assurance Plan
6. Attachment 6- Selection Criteria
7. Attachment 7- Consultant Certification of Costs and Financial Management System
8. Attachment 8- Sample Consultant Agreement

**List of Required Forms
and Attachments**



ATTACHMENT 1 - DBE INFORMATION

EXHIBIT 10-1 NOTICE TO PROPOSERS DBE INFORMATION

The Agency has not established a goal for this Contract. However, proposers are encouraged to obtain DBE Participation for this contract.

1. TERMS AS USED IN THIS DOCUMENT

- The term "Disadvantaged Business Enterprise" or "DBE" means a for-profit small business concern owned and controlled by a socially and economically disadvantaged person(s) as defined in Title 49, Code of Federal Regulations (CFR), Part 26.5.
- Term "Agreement" also means "Contract."
- Agency also means the local entity entering into this contract with the Consultant.
- The term "Small Business" or "SB" is as defined in 49 CFR 26.65.

DBE Goal Requirement

2. AUTHORITY AND RESPONSIBILITY

- A. DBEs and other small businesses are strongly encouraged to participate in the performance of Contracts financed in whole or in part with federal funds (See 49 CFR 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs"). Title Consultant must ensure that DBEs and other small businesses have the opportunity to participate in the performance of the work that is the subject of this solicitation and should take all necessary and reasonable steps for assurance. The proposer must not discriminate on the basis of race, color, national origin, or sex in the award and performance of subcontracts.
- B. Proposers are encouraged to use services offered by financial institutions owned and controlled by DBEs.

No DBE Goal Determination Must be Justified and Documented

3. SUBMISSION OF DBE INFORMATION

If there is a DBE goal on the contract, Exhibit 10-01 *Consultant Proposal DBE Commitment* must be included in the Request for Proposal. In order for a proposer to be considered responsible and responsive, the proposer must make good faith efforts to meet the goal established for the contract. If the goal is not met, the proposer must document adequate good faith efforts. All DBE participation will be counted towards the contract goal; therefore, all DBE participation shall be collected and reported.

Exhibit 10-02 *Consultant Contract DBE Information* must be included with the Request for Proposal. Even if no DBE participation will be reported, the successful proposer must execute and return the form.

4. DBE PARTICIPATION GENERAL INFORMATION

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

- A. A DBE must be a small business firm defined pursuant to 13 CFR 121 and be certified through the California Unified Certification Program (CUCP).

- B. A certified DBE may participate as a prime consultant, subconsultant, joint venture partner, as a vendor of material or supplies, or as a bucking company.
- C. A DBE proposer not proposing as a joint venture with a non-DBE, will be required to document one or a combination of the following:
 - 1. The proposer is a DBE and will meet the goal by performing work with its own forces.
 - 2. The proposer will meet the goal through work performed by DBE subconsultants, suppliers or bucking companies.
 - 3. The proposer, prior to proposing, made adequate good faith efforts to meet the goal.
- D. A DBE joint venture partner must be responsible for specific contract items of work or clearly defined portions thereof. Responsibility means actually performing, managing, and supervising the work with its own forces. The DBE joint venture partner must share in the capital contribution, control, management, risks and profit of the joint venture commensurate with its ownership interest.
- E. A DBE must perform a commercially useful function pursuant to 49 CFR 26.55, that is, a DBE firm must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work.
- F. The proposer shall list only one subconsultant for each portion of work as defined in their proposal and all DBE subconsultants should be listed in the bid/cost proposal list of subconsultant.
- G. A prime consultant who is a certified DBE is eligible to claim all of the work in the Contract toward the DBB participation except that portion of the work to be performed by non-DBE subconsultants.

5. **RESOURCES**

- A. The CUCP database includes the certified DBEs from all certifying agencies participating in the CUCP. If you believe a firm is certified that cannot be located on the database, please contact the Caltrans Office of Certification toll free number 1-866-810-6346 for assistance.
- B. Access the CUCP database from the Department of Transportation, Office of Business and Economic Opportunity Web site at: <http://www.dot.ca.gov/hq/bep/>.

Contract toward the DBB participation except that portion of the work to be performed by non-DBE subconsultants.

- 1. Click on the link in the left menu titled Disadvantage Business Enterprise
- 2. Click on Search for a DBE Firm link;
- 3. Click on [Access to the DEE Query Form](#) located on the first line in the center of the page.

Searches can be performed by one or more criteria. Follow instructions on the screen.

6. **MATERIALS OR SUPPLIES PURCHASED FROM DBES COUNT TOWARDS THE DBE GOAL UNDER THE FOLLOWING CONDITIONS:**

- A. If the materials or supplies are obtained from a DBE manufacturer, count 100 percent of the cost of the materials or supplies. A DBE manufacturer is a firm that operates or maintains a factory, or establishment that produces on the premises the materials, supplies, articles, or equipment required under the Contract and of the general character described by the specifications.
- B. If the materials or supplies purchased from a DBE regular dealer, count 60 percent of the cost of the materials or supplies. A DBE regular dealer is a firm that owns, operates or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a DBE regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the

purchase and sale or lease of the products in question. A person may be a DBE regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone or asphalt without owning, operating or maintaining a place of business provided in this section.

- C. If the person both owns and operates distribution equipment for the products, any supplementing of regular dealers' own distribution equipment shall be, by a long-term lease agreement and not an ad hoc or Agreement-by-Agreement basis. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transaction are not DBE regular dealers within the meaning of this section.
- D. Materials or supplies purchased from a DBE, which is neither a manufacturer nor a regular dealer, will be limited to the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies or fees or transportation charges the delivery of materials or supplies required on the job site, provided tilted fees are reasonable and not excessive as compared with fees charged for similar services

EXHIBIT 10-01 CONSULTANT PROPOSAL DBE COMMITMENT

(Inclusive of all DBEs listed at bid proposal Refer to instructions on the reverse side of this form)

Consultant to Complete this Section			
1. Local Agency Name: Yolo County			
2. Project Location: _____			
3. Project Description: _____			
4. Consultant Name: _____			
5. Contract DBE Goal %: _____			
DBE Commitment Information			
6. Description of Services to be Provided	7. DBE Firm Contact Information	8. DBE Cert. Number	9. DBE%
Local Agency to Complete this Section			
16. Local Agency Contract Number: _____			
17. Federal-aid Project Number: _____			
18. Proposed Contract Execution Date: _____		11. Preparer's Signature 12. Preparer's Name (Print) _____ 13. Preparer's Title _____ 14. Date _____ IS. (Area Code) Tel. No. _____	
Local Agency certifies that all DBE certifications are valid and the information on this form is complete and accurate:			
19. Local Agency Representative Name (Print) _____			
20. Local Agency Representative Signature _____	21. Date _____		
22. Local Agency Representative Title _____	23. (Area Code) Tel. No. _____		

- 1) Distribution : (1) Original – Consultant submits to local agency with proposal
- (2) Copy – Local Agency files

EXHIBIT 10-02 CONSULTANT CONTRACT DBE INFORMATION

(Inclusive of all DBEs listed at contract award. Refer to instructions on the reverse side of this form)

Consultant to Complete this Section			
1. Local Agency Name: Yolo Cow1tv			
2. Project Location: _____			
3. Project Description _____			
4. Total Contract Award Amount \$ _____			
5. Consultant Name: _____			
6. Contract DBE Goal %: _____			
7. Total Dollar Amount for <u>all</u> Subconsultants: \$ _____			
8. Total Number of <u>all</u> Subconsultants: _____			
Award DBE/DBE Information			
9. Description of Services to be Provided	10. DBE/ DBE Firm Contact Information	11. OBB Cert. Number	12. DBE Dollar Amount
Local Agency to Complete this Section		13. Total Dollars Claimed \$ _____	14. Total % Claimed _____ %
20. Local Agency Contract Number: _____			
21. Federal-Aid Project Number _____		Local Agency certifies that all DBE certifications are valid and the information on this form is complete and accurate:	
22. Contract Execution Date: _____			
23. Local Agency Representative Name (Print) _____		15. Preparer's Signature _____	
24. Local Agency Representative Signature _____	25. Date _____		
26. Local Agency Representative Title _____		16. Preparer's Name (Print) _____	
27. (Area Code) Tel. No. _____		17. Preparer's Title _____	
Caltrans to Complete this Section		18. Date _____ 19. (Area Code) Tel. No. _____	
Caltrans District Local Assistance Engineer (DLAE) certifies that this form has been reviewed for completeness: _____		28.1 DLAE Name (Print) _____	
29. DLAE Signature _____		30. Date _____	

Distribution: (1) Copy – Email a copy to the Caltrans District Local Assistance Engineer (DLAE) within 30 days of contract award. Failure to send a copy to the DLAE within 30 days of contract award may result in delay of payment.
 (2) Copy – Include in award package sent to Caltrans DLAE
 (3) Original – Local agency files

INSTRUCTIONS- CONSULTANT CONTRACT AWARD DBE INFORMATION**Consultant Section***(The Consultant shall)*

1. **Local Agency Name** – Enter the name of the local or regional agency that is funding the contract.
2. **Project Location**- Enter the project location as it appears on the project advertisement.
3. **Project Description** - Enter the project description as it appears on the project advertisement (Bridge Rehab, Seismic Rehab, Overlay, Widening, etc).
4. **Total Contract Award Amount** - Enter the total contract award dollar amount for the prime consultant
5. **Consultant Name**- Enter the consultant's firm name.
6. **Contract DBE Goal %** - Enter the contract DBE goal percentage, as it was reported on the Exhibit 10-1. *Notice to Proposers DBE Information* from. See LAPM Chapter 10.
7. **Total Dollar Amount for all Subconsultants** – Enter the total dollar amount for all subcontracted consultants. SUM= (DBE's + all Non-DBE's). Do not include the prime consultant information in this count.
8. **Total number of all subconsultants**- Enter the total number of all subcontracted consultants. SUM= (DBE's + all Non-DBE's). Do not include the prime consultant information in this count.
9. **Description of Services to be provided**- Enter item of work description of services to be provided. Indicate all work to be performed by DBEs including work performed by the prime consultant's own forces, if the prime is a DBE. If 100% of the item is not to be performed or furnished by the DBE, describe the exact portion to be performed or furnished by the DBE. See LAPM Chapter 9 to determine how to count the participation of DBE firm.
10. **OBE Firm Contact Information**- Enter the name and telephone number of all DBE subcontracted consultant. Also, enter the prime consultant's name and telephone number, if the prime is a DBE.
11. **DBE Cert. Number** - Enter the DBE's Certification Identification Number. All DBEs must be certified on the date bids are opened (DBE subcontracted consultants should notify the prime consultant in writing with the date of the decertification if their status should change during the course of the contract.)
12. **DBE Dollar Amount** - Enter the subcontractor dollar amount of the work to be performed or service to be provided. Include the prime consultant if the prime is a DBE and include DBEs that are not identified as subconsultants on the Exhibit—OI *Consultant Proposal DBE Commitment* form. See LAPM Chapter 9 for how to count full/partial participation.
13. **Total Dollars Claimed** – Enter the total dollar amounts for column 13.
14. **Total % Claimed**- Enter the total DBE participation claimed for column 13. SUM= (item "14. Total Participation Dollars Claimed "divided by item "4. Total Contract Award Amount"). If the Total % Claimed is less than item "6. Contract DBE Goal", an adequately documented Good Faith Effort (GFE) is required (see Exhibit 15-H *DBE Information- Good Faith Effort of the LAPM*).
15. **Preparer's Signature** – The person completing this section of the form for the consultant's firm must sign their name.
16. **Preparer's Name (Print)** – Clearly enter the name of the person signing this section of the form for the consultant.
17. **Preparer's Title**- Enter the position/title of the person signing this section of the form for the consultant.
18. **Date**- Enter the date this section of the form is signed by the preparer.
19. **(Area Code) Tel.No.**- Enter the area code and telephone number of the person signing this section of the form for the consultant.

Local Agency Section:*The Local Agency representative shall:*

21. **Local Agency Contract Number** - Enter the Local Agency Contract Number.
21. **Federal-Aid Project Number** - Enter the Federal-Aid Project Number.
22. **Contract Execution Date**- Enter the date the contract was executed and Notice to Proceed issued. See LAPM Chapter 10, page 23.
23. **Local Agency Representative Name (Print)** - Clearly enter the name of the person completing this section.
24. **Local Agency Representative Signature** The person completing this section of the form for the Local Agency must sign their name to certify that the information in this and the Consultant Section of this form is complete and accurate.
25. **Date** - Enter the date the Local Agency Representative signs the form.
26. **Local Agency Representative Title**- Enter the position/title of the person signing this section of the form.
27. **(Area Code) Tel. No.**- Enter the area code and telephone number of the Local Agency representative signing this section of the form.

Caltrans Section:*Caltrans District Local Assistance Engineer (DLAE) shall:*

28. **DLAE Name (Print)** – Clearly enter the name of the DLAE.
29. **DLAE Signature** – DLAE must sign this section of the form to certify that it has been reviewed for completeness.
30. **Date** - Enter the date that the DLAE signs this section of the form

**ATTACHMENT 2
SCOPE OF SERVICES**

**Description of
As-needed
(on-call) Work**



A. PURPOSE OF WORK

The County undertakes a modest number of road rehabilitation and bridge replacement construction projects each year (from 3 to 6 on average), using a variety of state and federal funding sources. Because the County does not have the in-house facilities or staff to complete the following services, the successful firm will have the capability to:

1. Perform Caltrans certified field and laboratory testing, and
2. Perform road base reclamation and stabilization design work including, but not limited to traditional pavement design, cold foam in place recycling, lime stabilization, and cement treatment.

The consultant shall perform professional and technical services required to support the County in the development and construction of County road and bridge projects, on an “as-needed” basis.

The on-call quality assurance material testing work consists, in general, of performing Caltrans standard field and laboratory testing to evaluate the construction contractor’s compliance with the project specifications. ***For all testing work on federal and state aided projects, the laboratory and testing personnel must be certified by the Caltrans Independent Assurance Program.***

The on-call road structure evaluation and design work consists, in general, of performing field and laboratory testing necessary to evaluate the remaining service life of an existing road’s structural section. The results of this work may be used by County staff in pavement design work. If specialized geotechnical analysis is requested by the County, this work may also include the preparation of a design report by a licensed geotechnical or civil engineer, with recommendations for rehabilitation alternatives.

Other geotechnical, design, and construction assistance services related to the tasks described above may also be required, as agreed to in writing by the Director of Planning and Public Works, or his designee.

B. LOCATION OF WORK

Field work will performed at various road and bridge construction sites in the unincorporated County, or material supply sites throughout the region. Laboratory testing will be performed at the consultant’s facilities.

C. REQUIRED SERVICES

All work under this task shall be performed in accordance with the directives given by the County Contract Administrator, or designee.

For each project where services under this contract are required, the County Contract Administrator, or designee, shall request that the consultant prepare a Work Proposal Form. (WPF) (Attachment 4) The County Contract Administrator shall confer with the consultant to identify and refine the scope of services required. The WPF shall detail the tasks required for a particular project, the schedule, and projected costs. The costs will be based on the specified rates of compensation in the contract. The County Contract Administrator shall confer with the consultant to establish the maximum fee, including expenses, for the specific project, and to establish the completion date. Consultant will only perform work that is assigned in an authorized WPF, and award of a contract does not guarantee that any WPF will be issued. Work shall not begin until a WPF has been approved by the County Contract Administrator and Assistant Director of Public Works. Each project will have an individual schedule. Work on project will be authorized individually as funding becomes available with a specific work order and the respective WPF. Consultants

schedule shall allow for a minimum of two weeks for County to review draft documents.

**Staff
Qualifications
Requirements**

TASK 1 – ON-CALL QUALITY ASSURANCE TESTING SERVICES

- a. Quality assurance materials sampling and testing work consists of performing Caltrans or ASTM test methods to evaluate a construction contractor's compliance with the project specifications, generally at the minimum frequency as specified in the County's Quality Assurance Plan (see Attachment 5). Reports shall be provided to the County by facsimile, email, or hand delivery, within one day of test completion. Laboratory tests shall be begun by the next business day after samples are received at the lab. Test reports shall indicate County job number and project name. A monthly summary of tests performed by job number shall be submitted at the end of each month.
- b. The field and laboratory testing required for assurance testing must be performed by individuals certified through the Caltrans Independent Assurance Program. Current certificates (Caltrans Form TL-0111) demonstrating each individual's qualification to perform any Caltrans tests requested by the County shall be provided to the County prior to the work.
- c. The laboratory in which all necessary Caltrans tests are performed for assurance testing shall be certified through the Caltrans Independent Assurance Program. The qualification form (Caltrans Form TL-0113) shall be kept current at all times and shall be provided to the County prior to the work.
- d. The range of tests that may be required for County's projects, is provided in the County's Quality Assurance Plan, and may also include the following tests:

- Direct Shear Test (at Natural Moisture--One Point)
- Direct Shear Test (Saturated and Consolidated--One Point)
- Direct Shear Test (Remolded, Saturated and Consolidated--Three Points)
- Consolidation Test (Without Rate Data)
- Consolidation Test-Rate Data on Single Load Increment
- Unconfined Compression Test (Tube Samples)
- Unit Dry Weight-Moisture Content (Undisturbed Samples)
- Moisture Content
- Specific Gravity - Fine Grain (ASTM D854)
- Specific Gravity - Bulk Soils (ASTM C97)
- Maximum Dry Density-Optimum Moisture (AASHTO T-99, ASTM D698)
- Maximum Dry Density-Optimum Moisture (AASHTO T-180, ASTM D1557)
- Maximum Dry Density-Optimum Moisture (CTM 216)
- Grain Size Analysis (ASTM C136)
- Grain Size Analysis-Wet Sieve (Coarse or Fine Series - CTM 202)
- Wash-Minus 200 Sieve (ASTM D1140)
- Hydrometer Grain Size Analysis (ASTM D422)
- Sand Equivalent (CTM 217)
- Plasticity Index (Includes Liquid & Plastic Limits - ASTM D4318)
- Shrinkage Limit
- Expansion Test (Undisturbed Samples) Expansion
- Index Test (Remolded - UBC 29-2) Corrosively Test
- (pH/Minimum Resistivity - CTM 643) Corrosively Test
- (CTM 532)
- Resistance Value (CTM 301)
- Los Angeles Abrasion Test
- Durability Index (Coarse and Fine - CTM 229F)

**Typical Tasks
Descriptions and
requirements
And
Construction
Material Testing
Methods
And
Deliverables**

Triaxial Compression (Unconsolidated, Undrained)
Triaxial Compression (Consolidated, Undrained)
Permeability (Fixed Wall)
Permeability (Flexible Wall)
Concrete Cylinder Compression (Break or Hold)
Compressive Strength, Cast Cylinders (C39)
Compressive Strength, Cores (C42)
Sodium/Magnesium Sulfate Soundness (ASTM D5240)
Stabilometer Value (CTM366)
Bitumen Content, Ignition Furnace (CTM310, CTM382)
Bitumen Content (ASTM D2172)
Unit Weight of Compacted Asphalt (ASTM D2726)
Marshall Compaction, set of 3 (ASTM D1559) Marshall
Flow and Stability, per point (ASTM D1559) Maximum
Theoretical Specific Gravity (ASTM D2041)
Moisture Content of Soil and Rock by Mass (ASTM D2216)
Percentage of Crushed Particles (CT 205)
L.A. Rattler (CT 211)
Bulk Specific Gravity and Density (CT 308)
Theoretical Maximum Specific Gravity and Density (CT 309)
Field Compaction Testing (CT 375)
Method of Tests for Mechanical and Welded Reinforcing Steel Splices (CT 670)
Full Depth Recycling Strength Testing
AWS Certified Welding Inspector (CWI)
Nondestructive Testing (NDT) Technician certified in conformance with the requirements of
the American Society for Nondestructive Testing (ASNT) Recommended Practice No.
SNT-TC-1A

Deliverables:

As agreed upon by County and consultant in a WPF for each project.

Schedule:

As agreed upon by County and consultant in a WPF for each project.

Method of Payment:

Since material testing is an item of work, which is similar, repetitive and measurable, the Consultant will be paid based on specific item of work performed (cost per unit of work).



TASK 2 – ON-CALL PAVEMENT / ROAD STRUCTURE EVALUATION

Consultant shall evaluate existing pavement and road structure conditions. This evaluation may include, but is not limited to visual inspection of pavement and drainage conditions, photographing existing road conditions, pavement deflection testing in accordance with standard testing methods, investigating existing structural section thickness, laboratory testing of existing road structure materials, and R value testing of existing base and sub base using standard testing methods. Consultant's work may include traffic control necessary for field work.

If requested by County, consultant shall prepare a draft report with their findings of road condition evaluation and recommendations for road rehabilitation. The report shall include, but not be limited to, test locations, test procedures; test results; findings; information related to the rehabilitation of any excessive pavement damage, defects, and failed sub-base; review of results of deflection tests; review of results of laboratory tests; options for rehabilitation; cost comparison between rehabilitation options; consultant's recommendation for rehabilitation strategy; and preliminary

engineer's estimate for construction of the recommended option. As requested by the County, consultant's evaluation of options shall include, but is not limited to, asphalt concrete overlay, traditional reconstruction, cold-foam in place recycling, full depth recycling, reuse of the existing road section for reconstruction of road, rubberized AC, additional base stabilization required for construction, pavement reinforcing fabric, and base repair prior to overlay. As requested by the County, consultant's recommendation for any overlay design shall be presented for various design lives. Consultant's recommendation shall include proposed limits for each recommended strategy.

The Rehabilitation Design Report may include recommendations for any additional investigation or design work deemed necessary for base stabilization.

Consultant's report shall recommend whether or not, in the consultant's opinion, additional design work such as cold-foam in place recycling or additional base stabilization is necessary to provide a more cost effective design of the pavement structure.

Consultant shall prepare final report after receiving comments from County. The final report shall include technical specifications to implement proposed design.

Materials provided by County:

- Current traffic data for the project roads
- As-built plans, where available

Deliverables:

As agreed upon by County and consultant in a WPF for each project.

Schedule:

As agreed upon by County and consultant in a WPF for each project.

Method of Payment:

The Consultant will be paid at an agreed and supported specific fixed hourly rate for each class of employee engaged directly in the work (specified rates of compensation). Such rates of pay include the consultant's estimated costs and net fee (profit). Federal regulations require that profit be separately negotiated from contract costs. The specific rates of compensation, except for an individual acting as a sole proprietor, are to include an hourly breakdown, direct salary costs, fringe benefits, indirect costs, and net fee. Other direct costs may be included, such as travel and equipment rentals, if not already captured in the indirect cost rate.

TASK 3 - OTHER ON-CALL GEOTECHNICAL SERVICES

Geotechnical engineering and technical services required to support the County in the development and construction of County road and bridge projects, on an "as-needed" basis.

Deliverables:

As agreed upon by County and consultant in a WPF for each project.

Schedule:

As agreed upon by County and consultant in a WPF for each project.

Method of Payment:

The Consultant will be paid at an agreed and supported specific fixed hourly rate for each class of employee engaged directly in the work (specified rates of compensation). Such rates of pay include the consultant's estimated costs and net fee (profit). Federal regulations require that profit be separately negotiated from contract costs. The specific rates of compensation, except for an

individual acting as a sole proprietor, are to include an hourly breakdown, direct salary costs, fringe benefits, indirect costs, and net fee. Other direct costs may be included, such as travel and equipment rentals, if not already captured in the indirect cost rate.

ATTACHMENT 3
SOQ CONTENT AND FORMAT

**Submittal Format and
Required Information**

SOQs submitted for the requested services described in the RFQ must meet the following criteria to be considered for this project:

- 1. Transmittal Letter:** The letter shall state the names of the Project Manager and subconsultants, if any, that will perform the work including responsibilities of each. The letter shall include a statement regarding any conflicts of interest, and shall be signed by a principal of the firm.
- 2. Approach to Work:** Using the Scope of Services as a guide, describe firm's experience with similar work in the industry, and the firm's typical managerial approach to this type of work. Describe the firm's operations in sufficient detail to present the proposed method of approach to meet the objectives of the work. Discuss any unique ideas/concerns relating to the project.
- 3. Specialized Experience and Qualifications:** Indicate experience gained from recent work similar to the proposed work. A list of current and past work on similar projects, staff who worked on these projects and corresponding client's names, titles, and phone numbers are to be included. Describe the qualifications and availability of staff and other professional, technical, and administrative resources which will be used to perform the work. Provide a list of all laboratory and field testing and Caltrans certification, segregating tests to be performed by a subconsultant.
- 4. Project Team:** List of personnel directly assigned to the project, along with responsibilities on this project and resumes. Resumes shall be limited to one page per person, and shall include dates of degrees, professional certifications, and laboratory certifications, dates, titles and location of relevant employment, and specific accomplishments relevant to the scope of work. Include an organizational chart of personnel involved in the project. Indicate the portion of the time key staff will be available to work on the project and the availability of the project team to continue through the completion of the project. Describe major projects where key team members have worked together previously. Yolo County reserves the right to approve consultant's project manager and any requested personnel and subconsultant changes during the course of the project.
- 5. Familiarity with state and federal procedures:** Describe the firm's experience on state or federally funded road or bridge projects. Describe the status or provide a copy of any Indirect Cost Rate Evaluation, Cognizant Letter of Approval or audit report on a prior Caltrans or local agency contract for the Consultant and all subconsultants.
- 6. References:** Provide at least three, but no more than five, references (public agencies preferred) who can comment on the past performance of the firm(s) and key staff on a project comparable to the proposed work completed within the last five years.

The SOQ shall be no longer than the following page lengths:

Letter of transmittal:	2 pages
Sections 2-6 Descriptions:	20 pages (double sided)
Figures and illustrations:	5 pages

ATTACHMENT 4
WORK PROPOSAL FORM

Yolo County Planning, Resources and Public Works Department
 Work Proposal Form for Long Form or Short Form Agreements
 (TYPE OF SERVICES with CONSULTANT NAME) Agreement
 Number: _____, Amendment Number: - - -

Type of Service: _____
 Consultant Name: _____
 Project Description: _____

County's Additional Work Project Number: _____ Consultant's Project No: - - - - -
 Contract Task No: _____ Fund No: _____ Budget No: - - - - - Account No: _____
 Completion Date: _____ Vendor No: - - - - - Work Order No: _____ Cost Center: - - - - -

Estimated Hours and Cost Proposal(not including contingency)					
Task No:	Task Description	Projected Hours	Cost Per Hour/Item	Average Cost?	Projected Costs
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
Total Hours		0	TOTAL NOT TO EXCEED COST (excludes contingency)		\$0.00

Additional Services/Contingency Estimated Hours and Costs					
Task	Task Description	Projected Hours	Cost Per Hour/Item	Average Cost?	Projected Costs
					\$0.00
					\$0.00
					\$0.00
Total Hours		0	TOTAL CONTINGENCY COSTS		\$0.00

Percent Retention as per Agreement: _____ Amount of Retention Withheld to Date: _____
 FY 20XX/XX Contract Amount+ Conting: _____ Total Contract Amount (X
 FY 20XX/XX Spent to Date: _____ yrs.) Total Contract Spent to
 Date: _____

Notes:

_____ <i>CONSULTANT'S NAME Approval</i>	_____ Date
_____ Contract Manager Recommendation for Approval	_____ Date
_____ County Approval Assistant Director of Public Works	_____ Date

ATTACHMENT 5
QUALITY ASSURANCE PLAN

QUALITY ASSURANCE PROGRAM (QAP)
COUNTY OF YOLO
PLANNING AND PUBLIC WORKS DEPARTMENT

The purpose of this program is to provide assurance that the materials incorporated into the construction projects are in conformance with the contract specifications. To accomplish this purpose, the following terms and definitions will be used:

DEFINITION OF TERMS

- Acceptance Testing (AT)- Sampling and testing, or inspection, to determine the degree of compliance with contract requirements.
- Independent Assurance Program (IAP)- Verification that AT is being performed correctly by qualified testers and laboratories.
- Quality Assurance Program (QAP)- A sampling and testing program that will provide assurance that the materials and workmanship incorporated into the construction project are in conformance with the contract specifications. The main elements of a QAP are the AT, and IAP.
- Source Inspection -AT of manufactured and prefabricated materials at locations other than the job site, generally at the manufactured location.

MATERIALS LABORATORY

Yolo County will use a private consultant materials laboratory to perform AT on Federal-aid and other designated projects. The materials laboratory shall be under the responsible management of a California registered Engineer with experience in sampling, inspection and testing of construction materials. The Engineer shall certify the results of all tests performed by laboratory personnel under the Engineer's supervision. The materials laboratory shall contain certified test equipment capable of performing the tests conforming to the provisions of this QAP.

The materials laboratory used shall provide documentation that the laboratory complies with the following procedures:

1. Correlation Testing Program-The materials laboratory shall be a participant in one or more of the following testing programs:

- a. AASHTO Materials Reference Laboratory (AMRL)
- b. Cement and Concrete Reference Laboratory (CCRL)
- c. Caltrans' Reference Samples Program (RSP)

2. Certification of Personnel-The materials laboratory shall employ personnel who are certified by one or more of the following:

- a. Caltrans District Materials Engineer
- b. Nationally recognized non-Caltrans organizations such as the American Concrete Institute, Asphalt, National Institute of Certification of Engineering Technologies, etc.

- c. Other recognized organizations approved by the State of California and/or recognized by local governments or private associations.

3. Laboratory and Testing Equipment – The materials laboratory shall only use laboratory and testing equipment that is in good working order. All such equipment shall be calibrated at least once each year. All testing equipment must be calibrated by impartial means using devices of accuracy traceable to the National Institute of Standards and Technology. A decal shall be firmly affixed to each piece of equipment showing the date of the last calibration. All testing equipment calibration decals shall be checked as part of the IAP.

ACCEPTANCE TESTING CAD

AT will be performed by a materials laboratory certified to perform the required tests. The tests results will be used to ensure that all materials incorporated into the project are in compliance with the contract specifications.

Testing methods will be in accordance with the CT Methods or a national recognized standard (i.e., AASHTO, ASTM, etc.) as specified in the contract specifications.

Sample locations and frequencies may be in accordance with the contract specifications. If not so specified in the contract specifications, samples shall be taken at the locations and frequencies as specified in Appendix O, "Acceptance Sampling and Testing Frequencies" of the Caltrans QAP Manual.

INDEPENDENT ASSURANCE PROGRAM (IAP)

IAP shall be provided by personnel from Caltrans, the Agency's certified materials laboratory, or consultant's certified materials laboratory. IAP will be used to verify that sampling and testing procedures are being performed properly and that all testing equipment is in good condition and properly calibrated.

IAP personnel shall be certified in all required testing procedures, as part of IAP, and shall not be involved in any aspect of AT.

IAP shall be performed on the materials tests required for the project. Proficiency tests shall be performed on Sieve Analysis, Sand Equivalent, and Cleanness Value tests. All other types of IAP shall be witness tests.

Poor correlation between acceptance tester's results and other test results may indicate deficiencies with the acceptance sampling and testing procedures. In cases of unresolved discrepancies a complete review of all shall be performed by IAP personnel, or an independent materials laboratory chosen by the Agency. IAP samples and tests are not to be used for determining compliance with contract requirements. Compliance with contract requirements is determined only by AT

REPORTING ACCEPTANCE TESTING RESULTS

The following are time periods for reporting material test results to the Resident Engineer:

- When the aggregate is sampled at material plants, test results for Sieve Analysis, Sand Equivalent and Cleanness Value should be submitted to the Resident Engineer within 24 hours after sampling.

When materials are sampled at the job site, test results for compaction and maximum density should be submitted to the Resident Engineer within 24 hours after sampling.

- When soils and aggregates are sampled at the job site:

(1) Test results for Sieve Analysis, Sand Equivalent and Cleanness Value should be

submitted to the Resident Engineer within 72 hours after sampling.

(2) Test results for "R" Value and asphalt concrete extraction should be submitted to the Resident Engineer within 96 hours after sampling.

When sampling products such as Portland Cement Concrete (PCC), cement-treated base (CTB), hot mix asphalt (HMA), and other such materials; the time of such sampling shall be varied with respect to the time of the day insofar as possible, in order to avoid a predictable sampling routine. The reporting of AT results, if not performed by the Resident Engineer's staff, shall be done on an expedited basis such as by fax or telephone.

TESTING OF MANUFACTURED MATERIALS

During the Design phase of the project, the Project Engineer may submit a "Source Inspection Request" (Exhibit 16-V of the LAPM) to the Agency, consultant, or Caltrans for inspection and testing of manufactured and prefabricated materials by their materials laboratory. A list of materials that can be typically accepted on the basis of certificates of compliance during construction is found in Appendix F of the Caltrans QAP Manual. All certificates of compliance shall conform to the requirements of the contract specifications.

Should the Agency request Caltrans to conduct the source inspection, and the request is accepted, all sampling, testing, and acceptance of manufactured and prefabricated materials will be performed by Caltrans' Office of Materials Engineering and Testing Services.

For Federal-aid projects on the National Highway System (NHS), Caltrans will assist in certifying the materials laboratory, and the acceptance samplers and testers. For Federal-aid projects off the NHS, Caltrans may be able to assist in certifying the materials laboratory, and the acceptance samplers and testers.

PROJECT CERTIFICATION

Upon completion of a Federal-aid project, a "Materials Certificate" shall be completed by the Resident Engineer. The Agency shall include a "Materials Certificate" in the Report of Expenditures submitted to the Caltrans District Director, Attention: District Local Assistance Engineer. A copy of the "Materials Certificate" shall also be included in the Agency's construction records. The Resident Engineer in charge of the construction function for the Agency shall sign the certificate. All materials incorporated into the work which did not conform to specifications must be explained and justified on the "Materials Certification", including changes by virtue of contract change orders.

RECORDS

All material records of samples and tests, material releases and certificates of compliance for the construction project shall be incorporated into the Resident Engineer's project file. If a Federal-aid project:

- The files shall be organized as described in Section 16.8 "Project Files" of the Local Assistance Procedures Manual.
- It is recommended that the complete project file be available at a single location for inspection by Caltrans and Federal Highway Administration (FHWA) personnel.
- The project files shall be available for at least three years following the date of final project voucher.
- The use of a "Log Summary," as shown in Appendix H of the Caltrans QAP Manual, facilitates reviews of material sampling and testing by Caltrans and FHWA and assists the Resident Engineer in tracking the frequency of testing.

When two or more projects are being furnished identical materials simultaneously from the same plant, it is not necessary to take separate samples or perform separate tests for each project; however, copies of the test reports are to be provided for each of the projects to complete the records.

Approved By: _____ C 42401 EXP. March 31, 2010
 (Signature) (CE# and Expiration Date)

NAME: PANOS KOKKAS DATE: 25 JUNE 2009

TITLE: ASSISTANT DIRECTOR. PUBLIC WORKS



Appendix D -Acceptance Sampling and Testing Frequencies

Note: It may be desirable to sample and store some materials. If warranted, testing can be performed at a later date.

Portland Cement (Hydraulic Cement)

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Cement/fly ash (Sampling only)	8-lb. sample	If possible, take a least one sample per job, even if the material is accepted based on a Certificate of Compliance.	AS1MD75, C494 CT125 AASIIITO TI27, M85,M295	Standard for sampling hydraulic cement or fly ash.
Cement (Testing Only)	8-lb. sample	If the product is accepted based on a Certificate of Compliance, testing is not required. If the product is not accepted using a Certificate of Compliance, test at least once per job.	AS1MC109 CT515 AASIIITO T106	If testing appears warranted, fabricate six 2-in. mortar cubes using the Portland (or hydraulic cement). Test for compressive strength.

Portland Cement Concrete (Hydraulic Cement Concrete)

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Aggregate for Hydraulic Cement Concrete (Sampling & Testing)	50-lb. sample	Take one aggregate sample for each 1000 cu. yd. of PCCIHCC concrete. Test at least one sample per job.	ASTM D75 CT125 AASHTOM6, T1, M80	Sample aggregate from belt or hopper (random basis).
Water (Sampling & Testing)	Take a two-quart sample using a clean plastic jug (with lining) and sealed lid. Sample at the point of use.	If the water is clean with no record of chlorides or sulfates greater than 1%, no testing is required. If the water is dirty do not use it. Test only when the chloride or sulfates are suspected to be greater than 1%.	CT405, CT422, CT417 AASIIITOR23	If testing appears warranted, test for chlorides and sulfates.

Appendix D (continued)

Portland Cement Concrete (Hydraulic Cement Concrete)-Continue

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description of Comments
Air Entraining Admixtures (Sampling & Testing)	Take a one-quart sample using a clean, lined can or plastic bottle, if liquid. If powder take a 2.5 lb. sample.	If the product is accepted based on a Certificate of Compliance, testing is not required. Take one sample per job. Prior to sampling, check with Caltrans (METS) for acceptable brands and dosage rates.	ASTMC233 AASHrOM154, T157, C260	If testing appears warranted, test for sulfates and chlorides Admixtures with sulfates and chlorides greater than 1% should not be used.
Water Reducers or Set Retarders (Sampling & Testing)	If liquid, take a 1-qt. sample using a clean plastic can. If powder, take a 2.5 lb. sample.	If the product is accepted based on a Certificate of Compliance, no testing is required. If not, test once per job. Prior to using this product, please check with Caltrans (METS) for acceptable brands and dosage rates.	ASTMC494 AASHfO M194	If testing appears warranted, test for sulfates and chlorides. Admixtures with sulfates and chlorides greater than 1% should not be used.
Freshly-Mixed Concrete (Sampling)	Approx. 150lb. (or 1 cu. ft.) near mixer discharge.	When tests are required. Take at least one sample for each 500 to 1000 cu. yd. of <i>PCCIHCC</i> .	ASTM C172, C685 CT 539 AASHfOT141, M157	This describes a method to sample freshly-mixed concrete.
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge.	On projects with 500 cu. yd., or more, test at least one sample per job.	ASTM C143 AASHfOT119	This test determines the slump of the freshly-mixed concrete.
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	On projects with 500 cu. yd., or more, test at least one sample per job.	ASTMC360 CT 533	This test determines the ball penetration of the freshly-mixed concrete.
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	On projects with 500 cu. yd., or more, test at least one sample per job.	ASTMC231 CT 504 AASHfOT152	This test determines the air content of freshly-mixed concrete (pressure method).
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	On projects with 500 cu. yd., or more, test at least one sample pre job.	ASTMC138 CT 518 AASHfOT121	This test determines the unit weight of freshly mixed concrete.

Appendix D (continued)

Portland Cement Concrete (Hydraulic Cement Concrete) -Continued

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description or Comments
Freshly-Mixed Concrete (Testing) Soils and Aggregates	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	Fabricate at least two concrete cylinders per project. Test for compressive strength at least once for each 500 to 1,000 cu. yd. of structural concrete.	ASTM C39 CT 521 AASHTOT22	This test is used to fabricate 6' x 12" concrete cylinders. Compressive strengths are determined, when needed.
Freshly-Mixed Concrete (Testing)	Approximately 210 lb. of concrete are needed to fabricate three concrete beams.	One sample set for every 500 to 1,000 cu. yd. of concrete.	ASTM C78 CT 31 AASHTO T97 & T23	This test is used to determine the flexural strength of simple concrete beams in third-point loading

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description or Comments
Aggregate (Sampling)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTMD75 CT 125 AASHTOT2	This test describes the procedures to sample aggregate from the belt or hopper (random basis).
Fine Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C128 CT 208 AASHTO T84	This test determines the apparent specific gravity of fine aggregates for bituminous mixes, excellent treated bases and aggregate bases.
Fine Aggregate (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTMC128 CT 207 AASHTO T84	This test determines the bulk specific gravity (SSD) and the absorption of material passing the No. 4 sieve.
Coarse Aggregate (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	CT 206	This test determines the cleanness of coarse aggregate.

Appendix D (continued)

Soils and Aggregates - Continued

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description or Comments
Coarse Aggregate (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C127 CT 227 AASHTOT85	This test determines the specific gravity and absorption of coarse aggregate (material retained on the No. 4 sieve).
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C136 CT 202 AASHTOT27	This test determines the gradation of soils and aggregates by sieve analysis.
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D2419 CT 217 AASHTO T176	This test determines the Sand Equivalent of soils and aggregates.
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C117 AASHTOT11	This test determines the gradation for materials finer than the No. 200 sieve (by washing method).
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D3744 CT 229 AASHTO T210	This test determines the Durability Index of soils and aggregates.
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D2844 CT 301 AASHTO T190	This test determines the Resistance Value (R-) and expansion pressure of compacted materials.
Soils and Aggregates (Testing)	One random location for every 2,500 sq. ft	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D2922 CT 231 AASHTO T238	This test determines field densities using the nuclear gage.
Soils and Aggregates (Testing)	One random location for every 2,500 sq. ft	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D3017 CT 231 AASHTO T239	This test determines the water content using the nuclear gage.

Appendix D (continued)

Asphalt Binder

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Binder (Sampling)	One 0.5-gal. sample placed in a clean, sealed can.	Sample once per job at the asphalt concrete plant.	CT 125 AS1MD979 AASHfOT 168, T48	This procedure describes the proper method to sample the asphalt binder.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Sample once per job at the asphalt concrete plant	ASTMD92, D117 AASHTOT48	This test determines the flash point of the asphalt binder (by Cleveland open cup).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD2872& D92 CT346 AASHTOT240 &T48	This test determines the rolling thin-film oven test (RTFO).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	AS1MD2042 AASHTOT44	This test determines the solubility of asphalt material in trichloroethylene.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD2171 AASHTOT202	This test determines the dynamic viscosity, (absolute viscosity of asphalt @ 140 degrees F by the Vacuum Capillary Viscometer Poises).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD5 AASHTOT49	This test determines the penetration of bituminous material @ 77 degrees F and percentage of original penetration from the residue.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD113 AASHTOT51	This test determines the ductility of asphalt @ 77 degrees F.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD2170 AASHTOT201	This test determines the kinematic viscosity of asphalt @275 degrees F (Centistoke).

Appendix D (continued)

Asphalt Binder-- Continued

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD2171 AASHfOT202	This test determines the dynamic viscosity. (absolute viscosity of asphalt @ 140 degrees F by the Vacuum Capillary Viscometer Poises).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD36 AASHfOT53	This test determines the softening point of asphalt.

Asphalt Emulsified

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description or Comments
Emulsified Asphalt (Sampling)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD140, D979 CT 125 AASHfOT40, T168	This test describes the procedure to sample the emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD244 AASHTO T59	This test determines the sieve retention of emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD244 AASHfOT59	This test determines the weight per gallon of emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD244 AASHfOT59	This test determines the penetration of the emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD244 CT 330 AASHfOT59	This test determines the residue @ 325 degrees F evaporation of emulsified asphalt.

Appendix D (continued)

Asphalt Emulsified - Continued

Materials to be Sampled or Tested	Sample Size	Sampling Testing Frequency	Typical Test Methods	Description or Comments
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD4402 AASHTO T201	This test determines the Brookfield viscosity.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTMD88 AASHTOT72	This test determines the Saybolt-Furol viscosity of emulsified asphalt @ 77 degrees F (seconds).

Hot Mix Asphalt (Asphalt Concrete) -Concrete

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Concrete (Sampling)	Obtain one 30-lb. sample each day of production	Obtain one sample at the asphalt concrete plant for each 5,000 tons of asphalt concrete placed.	ASTM D75, D140, D979 CT 125 AASHTO T 40, T168	This test describes the procedure to sample the asphalt concrete.
Asphalt Concrete (Testing)	4" x 8" cores	Take one 4" x 8" core for every 500 ft of paved roadway.	ASTMD1188, D1560, D1561, D5361 CT 304 AASHTO T246, T247	This test determines the field density of street samples.
Asphalt Concrete (Testing)	Obtain one 30-lb. sample for each day of production	Obtain one sample for every five cores taken.	ASTMD1188, D1560, D1561, D5361 CT 304 AASHTO T246, T247	This test determines the laboratory density and relative compaction of asphalt concrete.
Asphalt Concrete (Testing)	4" x 8" cores	Obtain one sample for every five cores taken.	ASTMD2726, D1188, D5361	This test determines the specific gravity of compacted bituminous mixture dense- graded or non-absorptive.

Appendix D (continued)

Hot Mix Asphalt (Asphalt Concrete) -Continued

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Concrete (Testing)	One 30-lb sample	Obtain one sample for every 1,000 tons of asphalt concrete.	ASTMD1559 AASHTOT245	This test determines the resistance to plastic flow of prepared mixes as determined by the Marshall Method.
Asphalt Concrete (Testing)	One 30-lb sample	Obtain one sample for every 1,000 tons of asphalt concrete.	ASTM C117, D2172 (use Method B) AASHTOT164	This test determines the screen analysis of aggregates recovered from asphalt materials.
Geotextile Fabric (Placed Under the Asphalt Concrete) (Testing)	One 12ft. x 3ft. sample	Obtain one sample per job.	ASTMD4632 AASHTOM288	This test determines the weight per sq. yd. and grabs strength of geotextile fabrics.
Asphalt Concrete (Testing)	Sample any test location (random basis)	Obtain one sample for every 1,000 tons of asphalt concrete.	ASTMD2950 CT 375	This test determines the nuclear field density of in-place asphalt concrete.
Asphalt Concrete (Testing)	One 10-lb sample	Obtain one sample during every day of production.	ASTMD1560, D1561 CT 366 AASHTO T246, T247	This test determines the stability value of asphalt concrete.
Slurry Seals (Sample)	One 0.5 gal. sample in a clean, dry plastic container.	Obtain one sample per truck	ASTMD979 CT 125 AASHTOT40, T168	This test describes the procedure for sampling the slurry seal.
Aggregate for Slurry Seals (Testing)	One 30-lb. sample.	Obtain at least one sample per project from the belt or hopper or stockpile and test for Sand Equivalent	ASTMD2419 CT 217 AASHTOT176	This test determines the Sand Equivalent of aggregates.

**ATTACHMENT 6
SELECTION CRITERIA**

**Evaluation Criteria with Weights
(Level of Importance)**



The selection committee shall review the SOQs and select the most qualified consultants for further evaluation. The selection of the most qualified consultants shall be based solely on the information provided in the SOQ.

Evaluation Criteria:

1. Understanding of the work to be done (25%)

The consultant's understanding of the work described in the RFQ and their role in construction quality assurance on agency projects.

2. Experience with similar kinds of work (20%)

The consultant's experience directly relating to the services described in the RFQ and evidence of ability to complete the work to a high standard, within schedule, and on budget.

3. Quality of staff for work to be done (15%)

The education, training, and commitment of personnel (Project Manager, Project Engineer(s), Lead Discipline Engineers, Field and lab testing staff, and sub-consultants) and their experience in the areas assigned.

4. Capability of developing innovative or advanced techniques (10%)

This includes the approach to the project scope outlined in the RFQ, the understanding of the project scope, level of effort, schedule of work, proposed project management, and unique/creative technical approaches, in particular with regards to full depth reclamation techniques.

5. Familiarity with state and federal procedures (10%)

The consultant's demonstrated familiarity with Caltrans certification of field and laboratory methods, certified personnel and the scope of their test certification, consultant's familiarity and compliance with prevailing wage laws and certification requirements.

6. Financial Responsibility (10%)

The consultant's demonstrated understanding of, and the compliance of its financial management and accounting system with, the cost principles of the Federal Acquisition Regulations of Title 48, Code of Federal Regulations (CFR) Part 31, 48 CFR Part 16.301-3, and 49 CFR Part 18. The consultant's and subconsultant's experience with indirect cost rate audits related to the above, and ability to execute the Consultant Certification of Contract Costs prior to award of contract. (Attachment 7)

7. Demonstrated Technical Ability (10%)

The consultant's ability to utilize geotechnical principles to solve technical problems that arise on road and bridge projects.

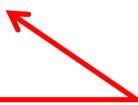
Consultant selection will be based solely on information provided in the SOQ. Be sure to include all relevant information and evidence of the firm's record of performance and ability to perform the work, including satisfactory experience in working with Caltrans and Federal agencies. As indicated above, the project team is the key element of the SOQ.

Interview Evaluation Criteria

Note: Interviews will be conducted to clarify information and to resolve selection dilemma.

The presentation duration shall be a maximum of 15 minutes which will be followed by questions and answers session lasting approximately 15 minutes. At the beginning of the interview, the County would prefer to receive a small (8-1/2" by 11") flip chart style handout to be used during the presentation.

1. Presentation (25%) – This includes content of presentation, demonstrated ability to meet time constraints on previous projects, and presentation effectiveness.
2. Project Team and Approach (40%) – This includes key people committed to this project, time commitment of key people, ability to interact with County personnel and project team qualifications and related experiences. Moreover, this includes the discussion of project approach and how the consultant will complete the assigned project tasks on schedule.
3. Questions and Answers (35%) – This will address technical and managerial experiences, creativity and communication skills, and other related questions regarding the SOQ.



**Evaluation Criteria with Weights
(Level of Importance)
For Oral Interview Portion**

Missing from the RFP:

- **Financial Management System Requirements and Certifications**
- **Caltrans Audit and Investigation Consultant Contract Audit and Review Process Requirements. Although Exhibit 10-K is attached as a requirement, however the process is not described fully.**
- **No indication as to when a cost proposal (in a sealed envelope must be submitted**
- **Missing State Prevailing Wage, Prohibition against Rebates, Kickbacks and Lobbying, Collusion, Debarment and Suspension certification notifications.**

ATTACHMENT 7

EXHIBIT 10-K CONSULTANT CERTIFICATION OF CONTRACT COSTS AND FINANCIAL MANAGEMENT SYSTEM

(Note: If requesting to utilize the Safe Harbor Indirect Cost Rate Submit Attachment 1 of DLA-08 13-07-Safe Harbor Indirect Cost Rate for Consultant Contract found at http://www.dot.ca.gov/hq/Local Programs/DLA_obDLA_.htm in lieu of this form)

Certification of Final Indirect Costs:

Consultant Firm Name: _____

Indirect Cost Rate: _____

Fiscal Period Covered for Indirect Cost Rate Developed (mm/dd/yyyy to mm/dd/yyyy): _____

Date of Proposal Preparation (mm/dd/yyyy to mm/dd/yyyy): _____

I, the undersigned, certify that I have reviewed the proposal to establish final indirect cost rates for the fiscal period as specified above and to the best of my knowledge and belief:

1. All costs included in this proposal to establish final indirect cost rates are allowable in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of Title 48, Code of Federal Regulations (CFR), Part 31.
2. This proposal does not include any costs which are expressly unallowable under the cost principles of the FAR of 48 CFR, Part 31.

All known material transactions or events that have occurred affecting the firm's ownership, organization and indirect cost rates have been disclosed as of the date of proposal preparation noted above.

Certification of Financial Management System:

I, the undersigned, certify to the best of my knowledge and belief that our financial management system meets the standards for financial reporting, accounting records, internal and budget control as set forth in the FAR of Title 49, CFR, Part 18.20 to the extent applicable to Consultant.

Certification of Financial Management System

I, the undersigned, certify that the approximate dollar amount of all A&E contracts awarded by Caltrans or a California local agency to this firm within the last three (3) calendar years for all State DOT and Local Agencies is \$ _____ and the number of States in which the firm does business is _____

Certification of Direct Costs

I, the undersigned, certify to the best of my knowledge and belief that all direct costs identified on the cost proposal(s) in this contract are reasonable, allowable and allocable to the contract in accordance with the cost principles of the FAR of Title 48, CFR Part 31. Allowable direct costs to a Government contract shall be:

1. Compliant with Generally Accepted Accounting Principles (GAAP) and standards promulgated by the Cost Accounting Standards Board (when applicable).

- 2. Compliant with the terms of the contract and is incurred specifically for the contract.
- 3. Not prohibited by 23 CFR, Chapter 1, Part 172 –Administration of Engineering and Design Related Service Contracts to the extent requirements are applicable to Consultant.

All costs must be applied consistently and fairly to all contracts. All documentation of compliance must be retained in the project files.

Subconsultants (if applicable)

Proposed Contract Amount (or amount not to exceed if on-call contract): \$ _____

Prime Consultant (if applicable)

Proposed Total Contract Amount (or amount not to exceed if on-call contract): \$ -----

Prime, list all subconsultants and proposed subcontract dollar amounts (attach additional page if necessary):

_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____

* Consultant Certification Signature: -----

Consultant Certifying (Print Name and Title):

Name: _____

Title: -----

Consultant Contact Information:

Email: -----

Phone number: _____

Date of Certification (mm/dd/yyyy): -----

*An individual executive or financial officer of the consultant's organization at a level no lower than a Vice President or Chief Financial Officer, or equivalent, who has authority to represent the financial information utilized to establish the indirect cost rate proposal submitted in conjunction with the contract.

Note: Per 23 U.S.C. 112(b)(1)(B), Subconsultants must comply with the FAR Cost Principles contained in 48 CFR, Part 31. 23 CFR Part 172.3 Definitions state: Consultant means the individual or firm providing engineering and design related services as a party to the contract. Therefore, subconsultants as parties of a contract //Just complete a certification and send originals to A&I and keep copies in Local Agency Project Files.

Distribution: 1) Original to Caltrans Audits and Investigations
2) Retained in Local Agency Project Files

ATTACHMENT 8
SAMPLE CONSULTANT AGREEMENT

**Attach a copy of
Standard
Agreement/Contract
with boilerplate
language**

The attached sample agreement is the County's standard contract.

The final agreement will incorporate the consultant's scope of services, responsibilities, deliverables, and costs, as negotiated prior to execution. Submittal of a SOQ constitutes an agreement to all provisions and conditions set forth in the Sample Agreement, unless noted otherwise in the SOQ.

If any firm submitting an SOQ requests changes to the Sample Agreement, the firm must include a list of all such requested changes in their SOQ. The County reserves the right to accept or reject any requested changes. The County will not accept any requested changes not included in the SOQ.

The successful consultant must agree that no information developed or gathered as part of this project will be released to any party without prior written approval of the County.

**Ensure all Mandatory Federal and
Fiscal Provisions are included (See
LAPM Exhibit 10-R)**