



**Santa Cruz County Regional Transportation Commission**

**--NOTICE--  
Request for Proposals (RFP)  
for Professional Services**

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**CLASSIFICATION AND COMPENSATION  
STUDY**

The Santa Cruz County Regional Transportation Commission (RTC) requests proposals from qualified and experienced consulting firms to design and conduct a comprehensive classification and compensation study and analysis for the RTC's employees.

**Issue Date: December 11, 2017,  
Closing Date: Tuesday, January 2, 2018 2:00 pm PST**

Interested parties must deliver one (1) unbound reproducible original, five (5) double-sided paper copies, as well as one (1) electronic PDF version of the proposal by the closing date.

Proposals relating to this RFP shall be submitted to:

**Santa Cruz County Regional Transportation Commission (RTC)  
Attention: Yesenia Parra  
Mail: 1523 Pacific Avenue, Santa Cruz, CA 95060  
Electronic: [yparra@sccrtc.org](mailto:yparra@sccrtc.org)  
Phone: 831-460-3200**

*This notice, along with its enclosures, comprises the Request for Proposals (RFP) for this project. Responses should be submitted in accordance with the instructions set forth in this RFP. Email inquiries relating to this RFP should include "Compensation-Study RFP" in the subject header. The RTC reserves the right to amend the RFP by addendum before the final proposal submittal date. This RFP and addenda will be available at: <http://www.sccrtc.org/about/opportunities/rfp/>.*

# Request for Proposals: Classification and Compensation Study

## **ABOUT THE RTC**

The Santa Cruz County Regional Transportation Commission (RTC) is the state-designated regional transportation planning agency for Santa Cruz County, California. Santa Cruz County is a coastal area, south of the San Francisco Bay Area with a population of approximately 270,000. The RTC is responsible for planning, developing and managing multi-modal transportation projects that include highway, bicycle, pedestrian, freight rail, passenger rail, and transportation demand management projects. The RTC is responsible for securing and administering local, state, and federal funds to implement projects and programs consistent with approved transportation policies. Implementation of federally-mandated activities is done in coordination with the region's Metropolitan Planning Organization (MPO) - the Association of Monterey Bay Area Governments (AMBAG) and the state department of transportation (Caltrans). The RTC is governed by a board of directors comprised of all 5 County Supervisors, a representative from each of the 4 cities in the county (Capitola, Santa Cruz, Scotts Valley, and Watsonville), and 3 representatives from the Santa Cruz Metropolitan Transit District. Additional information about the RTC is available at [www.sccrtc.org](http://www.sccrtc.org).

The RTC desires to be an "Employer of Choice" and understands that compensation and benefits play a significant role in attracting and retaining talent. As a result, the RTC is seeking an independent external firm to review the RTC's existing team member classifications, identify appropriate labor market, perform a comprehensive survey of the classifications and compensation and, compare those to the RTC's current classifications and compensation program.

## **CURRENT RTC STAFFING AND COMPENSATION**

- 3 Transportation Planner IV
- 1 Transportation Planner III
- 1 Transportation Planner II
- 2 Transportation Planner I
- 2 Transportation Planning Technicians
- 2 Administrative Assistants
- 1 Accountant
- 1 Fiscal Officer
- 1 Communications Specialist
- 1 Transportation Engineer
- 1 Administrative Services Officer
- 1 Deputy Director
- 1 Executive Director

Of the 18 employees, 13 are represented by SEIU Local 521 and 4 are self represented. The Executive Director is an "at will" employee under an employment agreement.

The RTC's existing Classification & Salary Schedule includes a salary range for each classification consisting of 7 steps. Attached is the existing Classification and Salary Schedule (Appendix A) and an organizational chart (Appendix B). Employee benefits at the RTC include:

- Medical insurance through CalPERS
- Dental insurance through SDRMA
- Vision insurance through SDRMA
- Life insurance
- Employee assistance program
- Short and long term disability insurance
- Retirement through CalPERS
- Generous time off with a combination of holidays, personal time off (PTO), vacation, sick leave, administrative leave, bereavement leave, jury duty leave, etc. with some variations depending on employee categories and service years.
- Education reimbursement
- Transportation benefits for employees who use alternative transportation
- Vacation cash out for some employees
- Cellular phone allowance for some employees

## **SCOPE OF WORK**

### ***Market***

The RTC wishes to be competitive in the recruitment and retention of qualified personnel. However, it is challenging to identify a logical and defensible set of transportation agencies similar in size, operations and service area, etc.

The selected firm will, in collaboration with RTC staff and the RTC Board, identify a set of local or regional agencies (transportation or otherwise) considered logical and defensible to ensure good sound comparisons on a variety of variables and result in a high quality compensation and classification study that can be acceptable to main line employees, management and board members. Variables for comparison could include but are not limited to size of agency, type of operations, scope of responsibilities, community served, etc.

### **Compensation and classification study**

The scope of work shall include but is not limited to:

- Review background materials including organizational charts, personnel rules, labor and employment agreements, and related information.
- Review all current job descriptions, pay ranges and additional compensation and conduct employee interviews as needed.

- Develop and distribute a job analysis questionnaire to each employee as appropriate.
- Conduct internal salary relationship analysis and make appropriate recommendations
- Recommend relevant salary survey benchmarks
- Recommend logical and defensible comparable agencies
- Conduct a compensation survey of the agencies identified in the appropriate market. Survey should also include compensation components the RTC does not offer.
- Recommend changes to existing compensation schedule. This should include changes to pay ranges following the market survey and incorporate best practices strategies.
- Recommend changes to existing classifications or new classifications as appropriate.
- Recommend deletion of outdated or unnecessary classifications.

## **REQUEST FOR PROPOSALS (RFP): GENERAL INFORMATION**

**Inquiries:** Inquiries will be accepted by phone, mail or email. All inquiries related to this RFP should be directed to:

Yesenia Parra  
1523 Pacific Avenue, Santa Cruz, CA 95060  
Phone: 831-460-3200 / Email: [yparra@sccrtc.org](mailto:yparra@sccrtc.org)

Information obtained from other sources is not official and should not be relied upon for completion of the RFP. Inquiries and answers may be documented and available on the RTC website to all potential respondents at the RTC's option.

**Pre-Proposal Meeting:** A pre-proposal meeting will be held on **Wednesday, December 20 at 1:30 pm PST** in the RTC's Conference Room, 1523 Pacific Avenue, Santa Cruz, California. Participation will also be available by teleconference call. Participation in the pre-proposal meeting is not mandatory, but is highly recommended. To ensure that sufficient resources are available for this meeting, **RSVPs to [info@sccrtc.org](mailto:info@sccrtc.org) or (831) 460-3200 are required by Monday, December 18, 2017, 10:00 am PST. As part of your RSVP please provide your name, email, phone number, company name and indicate whether you plan to attend in person or by phone.** Interested parties are encouraged to submit questions or requests for clarification by email in advance of the meeting to [yparra@sccrtc.org](mailto:yparra@sccrtc.org). Responses to questions raised at the Pre-Proposal Meeting will be posted on the RTC website (see below).

**Questions, Requests for Clarification and Additional Information on the RFP:** The RFP and any subsequent information regarding this RFP, including changes made to this document and questions/responses on this RFP, will be posted on the RTC's website: <http://www.sccrtc.org/about/opportunities/rfp/>. It is the sole responsibility of the respondent to check the website for addenda to the RFP documents. Any questions, requests for clarification or exceptions to RFP requirements must be received by RTC no later than **4:00 pm PST on December**

**22, 2017** to guarantee response. Email questions or requests for clarification to: [yparra@sccrtc.org](mailto:yparra@sccrtc.org). Responses to questions concerning this RFP posed before this deadline will be posted on the RTC website (<http://www.sccrtc.org/about/opportunities/rfp/>) by **4:00 pm PST on December 26, 2017**.

**Closing Date for RFP Responses:** By **2:00 pm PST, on Tuesday, January 2, 2018 at 2:00 PM** send 1) unbound reproducible original, five (5) hard copies, and one (1) electronic copy to the mail and email addresses listed on the cover of this RFP. Proposal materials received after this time will not be considered. If electronic copies are too large to email, please submit on a compact disk or flash drive with the hard copy of your proposal.

**Addenda to RFP:** The RTC reserves the right to amend this RFP at any time. Any amendments to or interpretations of the RFP shall be described in written addenda posted on the RTC website. All addenda issued shall become part of the RFP.

If the RTC determines that the addenda may require significant changes in the preparation of proposals, the deadline for submitting the proposals may be postponed by the number of days that the RTC determines will allow Proposers sufficient time to revise their proposals. Any new due date shall be included in the addenda.

### **Scope of Services, Budget and Schedule**

A scope of services detailing the tasks associated with this consulting effort is included in this RFP. The final deliverable will be a Classification and Compensation Study and recommendations.

### **Proposal Format**

Respondents to this RFP must submit the appropriate number of copies of the proposal in response to this RFP as described above and on the cover sheet. In keeping with RTC's resource conservation policy, proposers are asked to print proposals double-sided and are encouraged to use recycled paper with no plastic inserts for all proposals and reports. Covers and binding are not required, however, if provided they should be of recyclable material.

In order to simplify the review process and to facilitate comparative analysis, the proposal shall be organized in the following manner. Proposal content and completeness are extremely important; however, effort should be made to produce a complete, competitive, and qualifying response that is also concise. Proposers are encouraged to submit proposals that do not exceed 25 pages. The RTC, at its option, may require a Proposer to provide additional information and/or clarify requested information. The screening of proposals will determine which proposers will be invited to an interview, if necessary.

**The following information must be included in the proposal submitted in response to this RFP:**

1. Signed Transmittal Letter: Proposals must include a maximum 2-page transmittal letter indicating the name of the organization submitting the proposal; whether the proposing entity is an individual, partnership, corporation, company, or joint venture; the name, telephone number, email, and business address of the contact person who will be authorized to respond to questions regarding the proposal; and the name of the individual authorized to negotiate the contract on behalf of the consulting entity. The transmittal letter should refer to this RFP by title and date, include statement of California licensing (if applicable), and be signed by a person authorized on behalf of the consulting firm to solicit business for the firm.
2. Work plan: Describe the firm's proposed approach to accomplish each task in the scope of work and deliver items identified included in this RFP. The contents of this section should demonstrate the Proposer's understanding of the services required.
3. Schedule: Include a proposed schedule, highlighting key deadlines and milestones for implementing this project.
4. Cost Proposal: Include a cost proposal that outlines the budget for each task and related deliverables as outlined in this RFP. The cost proposal shall include all costs to RTC, including all labor, profit, administrative and overhead fees and other costs, such as obtaining insurance, if needed. Provide fully burdened hourly rates broken down by personnel and task. Also provide estimates for travel, materials, expenses and any other direct costs. A sample is provided as Attachment A to this RFP.
5. Firm Qualifications: This section should provide information about the proposer's company so that the RTC can evaluate the firm's stability and ability to support the commitments set in response to the RFP. Include a description of the firm's overall qualifications to provide the specified services and previous experience on similar or related engagements. Provide a company profile (including size of firm) and summary of the firm's, and subconsultant's qualifications in relation to this project.
6. Project Team, Organization Chart, and Staffing Plan: Identify a consultant project manager and project team that are capable of handling the scope of services for this project. This may include a team of various firms and/or consultants, with the prime consultant or team leader clearly identified. Include an organizational chart of the names of personnel, including partners, lead and technical staff proposed to provide services to the RTC for this contract. This should include the role of each person working on this project. Clearly indicate the senior individual who will act as the supervisor/project manager responsible for the delivery of services. Also include a one-page chart of any sub-consultants, including identification of any Disadvantaged Business Enterprises (DBE) firms, and their relevant expertise. Key team members and subconsultants cannot be changed for the duration of the project without prior approval by the RTC Contract Manager. Personnel resumes, while not required, may be included as an appendix to the proposal. Include information on the number of years of experience, and number of staff available to work on this project.

7. Qualifications and Relevant Experience: Describe work performed on relevant, recent projects by the firm, lead staff person and technical staff proposed for this project, including for each member of the project team their areas of expertise, relevant experience, and the length of their work experience. Include a description of the project team's familiarity with compensation studies that would be applicable. Descriptions of relevant projects should be no longer than two paragraphs per project and identify the client, client contact information, purpose, year of completion, total project budget, and the names of consultant staff included in this Proposal who worked on each project.
8. Federally/State-funded Transportation Project Experience: The consultant must be able to meet requirements for contracts using state and federal transportation funds. Provide a summary (no more than one page) of the proposed team's experience with projects funded with federal and state transportation revenues.
9. Management Approach: Describe how the Proposer intends to provide and manage the resources necessary to deliver this public project in accordance with the project budget and schedule. Indicate how the firm will apply its management techniques and resources to achieve project delivery goals, and provide quality control. Include information on how the firm will manage costs, schedule delays, and subconsultant deliverables. Also describe your current workload and include information on the firm's approach to managing projects of several different clients at once.
10. References: Provide a list of at least three (3) past clients who can attest to the firm's experience in performing work substantially similar to the services covered by this RFP. Include the entity/agency/company name, brief description of the services provided, and the email address and telephone number of the client's point of contact. Letters of endorsements may also be included as an appendix.
11. Additional Information: Additional information considered by proposers to be pertinent to this project that will assist RTC in selecting the most qualified consultants, and which has not been specifically solicited in any of the aforementioned sections, may be placed in a separate appendix section. This appendix should be brief and a total of 5 pages maximum. Respondents may also provide internet links to additional information which would help the evaluation committee in their evaluation efforts.
12. Exceptions and Deviations: Proposers wishing to propose alternative approaches to meeting the technical or contractual requirements, should thoroughly explain their reasoning, note as to whether they are "technical" or "contractual" exceptions and reference the relevant section(s) of the RFP. Failure to provide express, detailed exceptions and deviations together with its proposal shall be deemed acceptance by proposer of all technical and contractual requirements included in this RFP.
13. Required Forms: Proposal must include the following completed forms:
  - a. "California Levine Act Statement" regarding conflict of interest – Appendix C
  - b. "Consultant Proposal DBE Commitment" – Attachment B (*Exhibit 10-O1 LAPM*)

## **Method and Criteria for Selection**

**RFP Response Review and Selection:** An evaluation committee comprised of RTC senior staff and other individuals that the RTC deems appropriate will review each proposal for completeness and content. The evaluation committee will analyze responses based on the needs described in this Request for Proposals (RFP) and the Scope of Services, including relevant experience of the consultant with federal- and state-funded projects. The evaluation committee will review and rank the Proposals and may conduct interviews.

Responsive proposals will be evaluated as follows:

- **UNDERSTANDING OF WORK and METHOD PROPOSED, Up to 40 POINTS:** Proposed method to fulfill the project description, meet the project objectives and accomplish the work included in this RFP including a thorough understanding of project, and capacity to perform the work within budget and time limitations.
- **QUALIFICATIONS, EXPERIENCE, and TECHNICAL ABILITY Up to 35 POINTS:** Quality of personnel proposed to provide services to the RTC for this contract, including experience, qualifications and technical ability of the firm, project manager, partners, technical staff, and other key staff. Appropriateness of proposed team structure, coordination, communication flow, demonstrated technical ability, and location of key personnel. Specialized experience with similar kinds of work, including experience with state and federal procedures, capability of developing innovative or advanced techniques, past record of performance on contracts with RTC, other public agencies, and with private industry such as control of costs, quality of work, and ability to meet schedules.
- **COST, Up to 15 POINTS:** Appropriateness and clarity of the cost proposal and budget calculations per task. Appropriateness of allocation of non-labor resources. Cost effectiveness, including hours and appropriateness of personnel assigned to each task; hourly rates; reasonableness of task budget including value-added services.
- **COMMUNICATIONS, Up to 10 POINTS:** Clarity, structure, and readability of the proposal and all submitted materials. Ability to communicate and present information clearly.

Any proposal that the evaluation committee determines does not include enough information to permit the evaluators to rate the proposal in any one of the listed evaluation criteria will be considered non-responsive and may not be further evaluated. A proposal that fails to include one or more items requested above under "Proposal Format" may be considered complete and generally responsive, if evaluation in every criterion area is possible.

Following review of Proposals, the evaluation committee may recommend award to a particular proposer or may establish a list of specific respondents for further discussion and interviews in order to make a final selection leading to negotiations



for a contract for provision of professional services. It is expected that key staff proposed to work on the project will attend interviews conducted as part of the selection process.

**Authority to Commit RTC:** Based on the findings of the evaluation committee, the RTC Contract Manager and the Executive Director of the RTC may recommend to the RTC board that one or more consultants be selected to perform the work.

The contract will be awarded to the firm that presents the proposal that in the opinion of the RTC board is the most advantageous to the RTC, based on the evaluation criteria. Upon approval by the RTC board, the Executive Director will be authorized to enter into an agreement with the selected consultant. The RTC may accept or reject any and all proposals and waive any and all formalities and irregularities at any stage of the evaluation as it may deem to be in the best interest of the RTC.

### **Selection Disputes**

Respondents not selected for interview or contract award will be informed by mail and/or email. Upon request, the RTC will offer a debriefing to respondents who were not selected, at a mutually agreeable time after award of the contract.

A proposer may object to a provision of the RFP on the grounds that it is arbitrary, biased, or unduly restrictive, or may object to the selection of a particular consultant on the grounds that RTC procedures, the provisions of the RFP or applicable provisions of federal, state or local law have been violated or inaccurately or inappropriately applied. Any objection must be submitted in writing to the RTC Contract Manager and must include an explanation of the basis for the objection:

1. No later than 4:00 pm on the fifth business day prior to the date proposals are due, for objections to RFP provisions; or
2. No later than 4:00 pm on the fifth business day after the date the proposer is notified that its Proposal was found to be non-responsive or did not meet the minimum qualifications; or
3. No later than 4:00 pm on the fifth business day after the date on which a proposer is notified that it was not recommended for selection, or that another proposer is recommended for selection, or if applicable, the date the RTC board authorizes award, whichever is later, for objections to consultant selection.

Except with regard to initial determinations of non-responsiveness, the evaluation record shall remain confidential until the RTC authorizes the award.

Protests of recommended awards must clearly and specifically describe the basis for the protest in sufficient detail. The RTC Contract Manager will respond to the objection in writing within thirty days. No contract to a consultant shall be executed until the expiration of the objection period or, if an objection is filed, the issuance of a written response to the protest by the RTC Contract Manager.

The proposer may appeal the decision of the RTC Contract Manager by filing a written appeal with the RTC Executive Director, no less than three (3) working days after receipt of the written response from the RTC Contract Manager. The Executive Director's decision will be final.

**Consultant Selection Timetable**

The RTC intends to adhere to the following timeline, but it is subject to change at the discretion of the RTC. All times shown are in Pacific Time.

Classification and Compensation Study Timeline

Release RFQ for 3 weeks	12/11/17
RSVP for Pre-Proposal Conference	12/18/17
Pre-Proposal Conference	12/20/17
Questions/request for clarification due	12/22/17
Proposals Due	01/02/2018
Review Proposals	01/05/18
Interviews	01/10/18
RTC Selects Consultant and Authorizes Contract	01/18/18
Finalize Contract Negotiations	1/19/18
Notice to Proceed	1/19/18
Complete Scope of work	3/9/18

**General Conditions**

**Respondent's Proposal Preparation Expenses:** Respondents are solely responsible for their own expenses in preparing and submitting a response to this RFP as well as for subsequent interviews and contract negotiations with the RTC. The RTC will not be liable to any respondent for any costs or damages incurred by the respondent in preparing the RFP response, loss of anticipated profit, or for any other claim.

**Ownership of RFP Responses:** All documents, including specific RFP responses, submitted to the RTC become the property of the RTC. All materials submitted by proposers are subject to public inspection under the California Public Records Act (Government Code § 6250 *et seq.*), except that the RTC may withhold from disclosure clearly marked confidential trade secret information contained in any proposal, and proposer's submission of information so marked shall constitute its agreement to defend and indemnify the RTC from any claim or liability for nondisclosure thereof. After award of the contract (or if not awarded, after rejection of all proposals), all responses will be regarded as public records and will be subjected to review by the public. Any language purporting to render all or portions of the proposal confidential will be regarded as non-effective and will be disregarded.

**Collection and Use of Personal Information:** Respondents are solely responsible for familiarizing themselves and ensuring that they comply with the laws applicable for the collection and dissemination of personal information, including resumes and other personal information concerning respondent employees and employees of any proposed subconsultants.

**Acceptance of RFP Responses:** This RFP is not an agreement to purchase or contract for services. The RTC reserves the right to modify or cancel in whole or in part this RFP, to reject any and all proposals, to accept the proposal they consider most favorable to the RTC's interests in their sole discretion, and to waive irregularities or informalities in any proposal or in the proposal procedures. The RTC reserves the right, in its sole discretion, not to enter into a contract as a result of this RFP. The RTC further reserves the right to reject all proposals and seek new proposals when the RTC considers such procedure to be in their best interests. All responses will be assessed in light of the needs described in this RFP, including the Scope of Services. The RTC is under no obligation to receive further information, written or oral, from any respondent. Any award will be to the consultant(s) whose Proposal is, in the sole judgment of the RTC board on the basis of the evaluation criteria herein, most advantageous to RTC.

**Changes to Proposals Prior to Closing Date:** Any proposals received prior to the due date and time specified above may be modified by written request of the proposer. Any modification must be received by the proposal due date and time specified in this RFP. After that date, no additional wording or comments will be added to the response unless requested by the RTC for purposes of clarification.

**Modification of RFP Terms:** The RTC reserves the right to modify the terms of this RFP at any time, and may cancel this RFP or further review of responses at any time without entering into a contract. It is the sole responsibility of prospective and actual respondent to check for modifications of and additional information pertaining to the RFP on the RTC website:  
<http://www.sccrtc.org/about/opportunities/rfp/>.

**Notification of Further RFP Respondent Review and Interview Not Binding:** A respondent may withdraw from consideration at any time by notifying the RTC in writing, by phone or by email. The RTC may, at its sole discretion, withdraw the

name of a respondent for further review by notifying the respondent in writing, by phone or by email. Notice in writing, by email or by phone to a respondent that it has been identified as a candidate for further review and an interview will neither constitute a contract, nor give the respondent any legal or equitable rights or privileges relative to this RFP.

**Contract:** Any contract proposed with a selected respondent shall comply with all public contracting statutes applicable in the State of California. For your reference, a sample agreement is enclosed as **Appendix G**.

The RTC may accept the proposal or negotiate the terms and conditions of the Agreement with the highest-ranked firm. If mutual agreeable terms are not reached, the RTC reserves the right to terminate negotiations and may open negotiations with the next highest ranked firm. RTC further reserves the right to terminate negotiations at any point without obligation to contract for services with any firm. If a proposer wishes to recommend a change to any standard RTC contract provision, the provision and any proposed alternative language must be requested in writing prior to the closing date for receipt of requests for clarifications/exceptions listed above. If no such change or exception is requested in writing, the consultant will be deemed to accept RTC's standard contract provisions. In addition, if the project will be funded by Federal funds, federal required contract provisions will be included in the RTC standard agreement.

**Past and Future Contracts:** Firms that have participated in past studies or other activities associated with the current RFP are not precluded from submitting proposals for this study. Additionally, based on the findings of this project and the availability of funding, the RTC may circulate future proposal requests to continue development and implementation of this work. The firm selected to conduct the work under this RFP, will not be precluded from participating in future projects and RFPs that may be needed. In light of this, best faith efforts must be used by the contracted consultant to prepare a study that is objective and unbiased in its findings.

**State and Federal Regulations:** Any contract awarded under this request for professional proposals is subject to state and federal regulations, including those set forth for FTA 5304 grants and by Caltrans. Caltrans and FTA will not be a party to this request for professional proposals or any resulting contract. The consultant must be able to meet requirements for contracts using state and/or federal transportation funds, and state and federal grant language will be incorporated into the contract, as applicable. This includes, but may not be limited to, applicable provisions set forth in the Caltrans *Local Assistance Procedures Manual (LAPM)* and Caltrans Division of Transportation Planning: *Master Fund Transfer Agreement*.

**Non-discrimination and Disadvantaged Business Enterprise (DBE)**

**Participation:** It is the policy of the RTC to ensure nondiscrimination in the award and administration of all contracts and to create a level playing field on which firms can compete fairly for contracts and subcontracts relating to the RTC's construction, procurement and professional services activities. The contractor, sub recipient or subcontractor shall not discriminate on the basis of race, color, national origin,

religion, age, disability, or sex in the performance of this contract. This applies to all consultant's and subconsultant's employment, solicitations, selection of subconsultants and procurement of materials.

As a recipient of federal financial assistance from the Federal Transit Administration (FTA) and the Federal Highway Administration (FHWA), the RTC is also committed to and has adopted a Disadvantaged Business Enterprise (DBE) Program for contracts in accordance with federal regulations. This solicitation is subject to Title 49, part 26, Code of Federal Regulations (49 CFR 26) entitled "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs."

The Caltrans' DBE Program applies to this contract. While there are no contract specific goals for DBE participation on this contract, the RTC strongly encourages the participation of Disadvantaged Business Enterprises (DBEs). Where subcontracting opportunities exist, consultants should utilize the Caltrans DBE Database to find certified DBEs to consider for their team:

[http://www.dot.ca.gov/hq/bep/find\\_certified.htm](http://www.dot.ca.gov/hq/bep/find_certified.htm). For more information on the Caltrans Disadvantaged Business Enterprise Program visit [www.dot.ca.gov/hq/bep](http://www.dot.ca.gov/hq/bep) which includes the Caltrans DBE Business Outreach Plan providing advice to contractors on involving DBEs.

In order to ascertain whether RTC and statewide overall DBE goals are being achieved, Caltrans tracks DBE participation on all Federal-aid contracts. The selected consultant will be required to complete DBE reporting forms, including the form provided in **Appendix D** even if there is no DBE participation. Failure by CONTRACTOR to carry out DBE requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate.

**Financial Management and Accounting System Requirements:** Contracts shall not be awarded to a consultant without an adequate financial management and accounting system as required by 48 CFR Part 16.301-3, 49 CFR Part 18, and 48 CFR Part 31.