



CALIFORNIA
High-Speed Rail Authority

REQUEST FOR PROPOSALS

FINANCIAL ADVISOR SERVICES

RFP HSR15-92

State of California

April 22, 2016

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1 OVERVIEW AND GENERAL INFORMATION

CALIFORNIA HIGH-SPEED RAIL AUTHORITY BACKGROUND

The California High-Speed Rail Authority (Authority) is responsible for planning, designing, building, and operation of the first high-speed rail system in the nation. California High-Speed Rail will connect the mega-regions of the State, contribute to economic development and a cleaner environment, create jobs and preserve agricultural and protected lands. By 2029, the system will run from San Francisco to the Los Angeles basin in under three hours at speeds capable of over 200 miles per hour. The system will eventually extend to Sacramento and San Diego, totaling 800 miles with up to 24 stations. In addition, the Authority is working with regional partners to implement a state-wide rail modernization plan that will invest billions of dollars in local and regional rail lines to meet the state's 21st century transportation needs.

Any services or work performed must be consistent and/or compliant with the conditions set forth within the following:

- California State Budget Act 2012-13, SB1029 (Chapter 152, Statutes of 2012) http://www.leginfo.ca.gov/pub/11-12/bill/sen/sb_1001-1050/sb_1029_bill_20120718_chaptered.pdf
- California High-Speed Rail Program 2014 Business Plan (2014) http://www.hsr.ca.gov/About/Business_Plans/2014_Business_Plan.html
- California High-Speed Rail Program Draft 2016 Business Plan (2016) http://www.hsr.ca.gov/About/Business_Plans/Draft_2016_Business_Plan.html

2 PURPOSE AND OVERVIEW OF RFP

The following list provides a general overview of information related to the subject of this Request for Proposals (RFP):

- The California High-Speed Rail Authority (Authority) is issuing this RFP to receive Proposals from qualified firms (Proposers) to provide Financial Advisor Services.
- This procurement will be based on the combined Technical, Cost, and Interview scores. Responsive Proposals submitted in response to this RFP will be evaluated with the intent of awarding up to two (2) Agreements to successful Proposers as Primary and Secondary Contractors to provide financial analysis of the Authority's existing funding plans and prospective funding sources, business planning and analysis of delivery models, and procurement options and potential financing sources, among other tasks appropriate for the System.
- The selected Proposers may be working with the Federal Railroad Administration (FRA), Surface Transportation Board (STB), California Public Works Board (PWB), California Department of Transportation (Caltrans), California Department of General Services



(DGS), California Department of Finance (DOF), and other partnering agencies and contractor(s) on the California High-Speed Rail Project.

- The contract period will start upon DGS approval of the contract and execution by all parties, and will extend up to four (4) years. The Work will start with a Notice to Proceed (NTP) and will be managed through Task Orders.
- Each of the awarded Agreements for the Primary or Secondary contractors will be issued Work on a Task Order basis. Task Orders will be issued to the Primary Contractor first; if the Primary Contractor refuses, or is unable to perform the Work, then the Secondary Contractor will receive the Task Order.
- The total dollar value for all Work performed under the Primary and Secondary Agreements will not exceed \$40 million. These Agreements are 100 percent state funded.
- Proposers are encouraged to commit to achieving the Authority's 30 percent utilization goal for Small Business participation.
- Proposers will be required to meet the mandatory three (3) percent utilization requirement for Disabled Veteran Business Enterprises (DVBE).
- The RFP will be available in electronic format on the State's Contract Register at ([Cal eprocure](#)) and on the Authority's website at (www.hsr.ca.gov).
- All questions regarding this RFP must be submitted in writing through the State's Contract Register ([Cal eprocure](#)) and by email to the Authority's Designated Point of Contact: Richard Vanderzanden, at richard.vanderzanden@hsr.ca.gov, by the date and time listed in Table 1, for the benefit of all Proposers.

2.1 BRIEF DESCRIPTION OF SERVICES

The Authority plans to award up to two (2) Agreements to provide financial advisor services to the Authority, which may include: financial analysis of existing and prospective funding sources; business planning; analysis of delivery models, procurement options, and funding sources; provide financial procurement assistance; and develop revenue analyses and plans. See Standard Agreement, Attachment H, for the full Scope of Work.

2.2 DEFINITIONS

Whenever used in this RFP, the following terms have the definitions indicated:

Authority – California High-Speed Rail Authority, which may include the Authority's consultants and other representatives including the RDP

Authority Board – California High-Speed Rail Authority Board of Directors



Authority Contract Manager – The representative from the Authority managing the Agreement resulting from this procurement

Business day – Monday through Friday, except for federal or State holidays, between the hours of 8:00 a.m. and 5:00 p.m., Pacific Time. Lists of federal and State holidays can be found at <https://www.opm.gov/policy-data-oversight/snow-dismissal-procedures/federal-holidays> and <http://www.calhr.ca.gov/employees/pages/state-holidays.aspx>

Commercially Useful Function – In collective consideration of Commercially Useful Function (CUF) standards set forth by Government Code 14837, California Code of Regulations § 1896.4(h), Military and Veteran Code 999(b) (5) and 49 CFR Parts 26.53(b) and 26.55 (1), the Authority will uniformly apply CUF Best Practices standards. A small, disabled veteran business, and microbusiness is deemed to perform a commercially useful function if the business meets the following CUF standards:

1. Performs a commercially useful function when a SB is responsible for the execution of a distinct element of work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved.
2. Performs work that is normal for its business services and functions.
3. Be responsible, with respect, to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material and installing and paying for the material itself.
4. A SB does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of SB participation.
5. A SB does not perform a CUF if it does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own work force, or the SB subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved.

Day – Calendar day, unless otherwise noted

Disabled Veteran Business Enterprise – A for-profit small business concern that is at least 51 percent owned by a veteran of the United States Military who has at least a 10 percent service-connected disability. To qualify as a Disabled Veteran Business Enterprise, the business must have received the appropriate certification issued by the California Department of General Services

Grant/Cooperative Agreements – Agreement numbers FR-HSR-009-10-01-05 and FR-HSR-0118-12-01-00 between the Authority and the FRA providing terms for expenditure of federal funds provided for the Project

Microbusiness – A for-profit small business concern with gross annual receipts of less than \$3,500,000 or, if the small business is a manufacturer, with 25 or fewer employees. The



Authority recognizes Microbusiness (MB) certifications issued by the California Department of General Services

Open Government Laws – Collectively, the California Public Records Act (Government Code section 6250, *et seq.*), the Bagley-Keene Open Meeting Act (Gov. Code section 11120, *et seq.*), and the Freedom of Information Act (5 U.S.C. section 552, as amended by Public Law No. 104-231, 110 Stat. 3048) and other applicable State and federal open records laws

Person – Any individual, corporation, company, joint venture, partnership, trust, unincorporated organization, or governmental agency including the Authority

Project – The planning and construction of the California High-Speed Rail system

Proposer – A Person that submits a Proposal in response to this Request for Proposals

Public Records Act – The California Public Records Act, Government Code Section 6250 *et seq.*

Small Business – For purposes of 100 percent State-funded contracts, a Small Business is independently owned and operated, with its principal office located in California, and with owners living in California, has grossed \$14 million or less over the previous three (3) tax years, and is not dominant in its field of operations. This certification is issued by the California Department of General Services

State – The State of California

Subcontractor – Defined as follows:

- a. Prior to award of any Agreement resulting from this RFP, any Person with whom the Proposer proposes to enter into a subcontract for any part of the Work, or that will enter into a subcontract for any part of the Work, at any tier; or
- b. After award of any Agreement resulting from this RFP, any Person with whom the Proposer has entered into a subcontract for any part of the Work, or with whom any Subcontractor has further subcontracted any part of the Work, at all tiers

Work – All of the tasks required under the Agreement resulting from this RFP

2.3 ACRONYMS

ARRA	American Recovery and Reinvestment Act of 2009
CalSTA	California State Transportation Agency
Caltrans	California Department of Transportation
DGS	California Department of General Services
DVBE	Disabled Veteran Business Enterprise
FOIA	Freedom of Information Act
FRA	Federal Railroad Administration
MB	Microbusiness
NTP	Notice to Proceed
P3	Public-Private Partnership



PRA	Public Records Act
RDP	Rail Delivery Partner
RFP	Request for Proposals
SB	Small Business
U.S. DOT	United States Department of Transportation

3 PROCUREMENT SCHEDULE AND PROCESS

Table 1 Key RFP Dates:

Key Dates	Activity Description
April 22, 2016	RFP advertised
April 27, 2016	Last day to submit written questions
April 29, 2016	Response posted to written questions
May 6, 2016	Proposals due to Authority's office by 12:00 PM Pacific Time.*
May 11, 2016	Invitations to Interview sent
May 16, 2016 to May 17, 2016	Interviews with Proposers held in Sacramento, CA
May 18, 2016	Notice of Proposed Award released
June 14, 2016	Proposed contract Start Date
* All dates subsequent to the Proposal due date may be modified at the discretion of the Authority without issuing a formal addendum to this RFP.	

3.1 AUTHORITY'S DESIGNATED POINT OF CONTACT

The Authority's Designated Point of Contact for communications concerning this RFP shall be as follows:

Richard Vanderzanden, Contract Analyst
California High-Speed Rail Authority
 770 L Street, Suite 620, MS 3
 Sacramento, CA 95814
 Phone: (916) 669-6617
 Fax: (916) 322-0827
 Email: richard.vanderzanden@hsr.ca.gov

Persons intending to submit Proposals in response to this RFP shall not contact or discuss any items related to this process with any Board member or Authority staff other than the Point of Contact identified above. Failure to comply with this communication prohibition may result in disqualification.



3.2 ADDENDA TO RFP

The Authority reserves the right to amend the RFP by addendum before the final date of Proposal submission.

3.3 NON-COMMITMENT OF AUTHORITY

This RFP does not commit the Authority to award an Agreement, to pay any costs incurred in the preparation of a Proposal, or to procure or contract for services or supplies. The Authority reserves the right to accept or reject any or all Proposals received as a result of this RFP, or to modify or cancel in part or in its entirety the RFP if it is in the best interests of the Authority to do so.

3.4 PROPERTY RIGHTS

Proposals received within the prescribed deadline become the property of the Authority and all rights to the contents therein become those of the Authority. All material developed and produced for the Authority under the Agreement resulting from this RFP shall belong exclusively to the State of California. All products used or developed in the execution of any Agreement resulting from this RFP will be governed in accordance with the Ownership of Data Rights section in Attachment H.

3.5 IMPROPER COMMUNICATIONS AND CONTACTS

The following rules of contact shall apply during this procurement that began upon the date of issuance of this RFP and will be completed with either the execution of any Agreement resulting from this procurement or the cancellation of the procurement. These rules are designed to promote a fair and unbiased procurement process. Contact includes face-to-face, telephone, facsimile, electronic mail (e-mail), or formal written communication.

The specific rules of contact are as follows:

- A. After submittal of Proposals, no Proposer or any of its team members may communicate with another Proposer or its team members with regard to the RFP or any other team's Proposal with the exception of Subcontractors that are shared between two (2) or more Proposer teams. In such cases, those Subcontractors may communicate with their respective team members so long as those Proposers establish a protocol to ensure that the Subcontractor will not act as a conduit of information between the teams (contact among Proposer organizations is allowed during Authority sponsored informational meetings). Protocols established to ensure that Subcontractors do not act as conduits of information between teams are subject to Authority review and approval, at the Authority's discretion.
- B. Proposers shall correspond with the Authority regarding the RFP only through the Authority's Designated Point of Contact (see Section 3.1 of this RFP).
- C. Except for communications expressly permitted by the RFP or approved in advance by the Authority's Chief Counsel, in his or her sole discretion, no Proposer or representative thereof shall have any ex parte communications regarding the RFP or the



procurement described herein with any member of the Authority Board or with any Authority staff. This includes, but is not limited to, any of the Authority's advisors, contractors, or consultants (and their respective affiliates) that are involved with the procurement.

- D. The Proposers shall not contact the entities listed below regarding this procurement, including any employees, representatives, and members:
 - 1. Federal Railroad Administration (FRA)
 - 2. California State Transportation Agency (CalSTA)
 - 3. California Department of Transportation (Caltrans)
 - 4. California Department of General Services (DGS)
 - 5. California High-Speed Rail Authority (except as provided in this RFP)
- E. The foregoing restriction shall not, however, preclude or restrict communications with regard to matters unrelated to the RFP or the procurement or from participating in public meetings of the Authority or any Authority workshop related to this RFP.
- F. Any communication determined to be improper, at the sole discretion of the Authority, may result in disqualification.
- G. The Authority will not be responsible for any oral exchange or any other information or exchange that occurs outside the official RFP process.

3.6 ORGANIZATIONAL CONFLICTS OF INTEREST

The Authority has adopted an Organizational Conflicts of Interest Policy (Policy) that will apply to this procurement and the resulting Agreement, in addition to the Authority's Conflict of Interest Code and other applicable requirements. The Policy can be found on the Authority's website at

http://www.hsr.ca.gov/docs/about/doing_business/Organizational_Conflict_Interest_Policy_Final9152011.pdf

Proposers are advised to carefully review the Policy, and to have their team members review the Policy, since it includes provisions that:

- 1. Preclude certain firms from participation in this procurement; and
- 2. Affect the ability of the Proposers, their subcontractors and their Affiliates (as defined in the Policy) to enter into business relationships with Authority consultants.

Failure to comply with the Policy in any respect, including the failure to disclose any actual, perceived or potential organizational conflict of interest, may result in serious consequences as described in Section V(2) of the Policy.

An organizational conflict of interest is a circumstance arising out of a Proposer's existing or past activities, business or financial interests, familial relationships, contractual relationships, and/or organizational structure (i.e., parent entities, subsidiaries, Affiliates, etc.) that results in:



(i) impairment or potential impairment of a Proposer's ability to render impartial assistance or advice to the Authority or of its objectivity in performing work for the Authority; (ii) an unfair competitive advantage for any Proposer submitting a Proposal on an Authority procurement; or (iii) a perception or appearance of impropriety with respect to any of the Authority's procurements or contracts, or a perception or appearance of unfair competitive advantage with respect to a procurement by the Authority (regardless of whether any such perception is accurate). If any such conflict of interest is found to exist, the Authority may:

1. Disqualify the Proposer, or
2. Determine that it is otherwise in the best interest of the Authority to contract with such Proposer and include appropriate provisions to mitigate, neutralize or avoid such conflict in the Agreement awarded.

Each Proposer shall fully disclose organizational conflicts of interest in its Proposal, using Form B. Form B shall be filled out by each member of a Proposer Team, including the prime contractor, all joint venture prime members if operating as a joint venture, and all Subcontractors. The refusal to provide the required disclosure, or any additional information required, may result in disqualification of the Proposer. If nondisclosure or misrepresentation is discovered after award of the Agreement through this procurement process, the resulting Agreement may be terminated.

By submitting its Proposal, each Proposer agrees that, if an organizational conflict of interest is discovered following submittal of the Proposal, the Proposer will make an immediate and full written disclosure to the Authority that includes a description of the action that the Proposer has taken or proposes to take to avoid or mitigate such conflicts.

3.7 CONFIDENTIALITY OF PROPOSALS

Proposers shall not submit confidential information in their Proposals. Any information submitted during the procurement process will be discoverable under a California Public Records Act request after the procurement is complete.

4 SUBMITTAL OF THE PROPOSALS

4.1 PROPOSAL SUBMITTAL INFORMATION

Proposals submitted in response to this RFP shall be mailed or hand delivered to:

Attention: Richard Vanderzanden
California High-Speed Rail Authority
770 L Street, Suite 620, MS 3
Sacramento, CA 95814



The following information must be placed on the lower left corner of the submittal shipping packages:

RFP No.: HSR15-92

California High-Speed Rail Authority
Financial Advisor Services Proposal

Proposer: _____

4.2 LATE SUBMITTALS

In accordance with California Public Contract Code § 10344(a), Proposals received after the specified date and time are considered late and will not be accepted. There are no exceptions to this law. Postmark dates of mailing, e-mail and facsimile (FAX) transmissions are not accepted under any circumstances and are not acceptable toward meeting the submission deadline for Proposal delivery. A Proposal is late if received any time after the date and time listed in Table 1. Proposals received after the specified time will not be considered and will be returned to the Proposer.

4.3 MODIFICATION OR WITHDRAWAL OF PROPOSALS

Any Proposal received may be withdrawn before the Proposal submittal date by written request to the Authority. The only method for a Proposer to modify its Proposal is by withdrawing its submission in its entirety prior to the Proposal Due Date, by written notification to the Authority. A complete, corrected submission package may be resubmitted prior to the Proposal Due Date. Modifications offered in any other manner will not be considered.

5 PROPOSAL REQUIREMENTS

This section contains the format requirements and instructions on how to submit a Proposal. The format is prescribed to assist the Proposer in meeting State bidding requirements and to enable the Authority to evaluate each Proposal uniformly and fairly. Proposers must follow all Proposal format instructions, answer all questions, and supply all requested data.

Proposals shall not contain false or intentionally misleading statements, or references which do not support an attribute or condition contended by the Proposer.

5.1 REQUIRED FORMAT FOR A PROPOSAL

1. Documents should be prepared in single-spaced type, 12 point font, on 8-1/2" x 11" sheets printed double-sided. A page is considered to be a single side of an 8-1/2" x 11" sheet. Should the Proposer wish to submit materials that benefit from larger format paper sizes such as charts, drawings, graphs, and schedules then they should do so sparingly.
2. The Technical Proposal shall be no longer than 50 pages in length, exclusive of the Administrative Response (Part 1), Attachment E: Task Order (Technical), and the Cost



Proposal (Part 3). Proposers may also submit up to 250 additional pages of examples of prior work as described in Section 5.3.2 of this RFP.

3. Pages should be numbered at the bottom to show the page numbers and total number of pages in the response (e.g., Page 1 of 10, Page 2 of 10, etc.).
4. Brochures and miscellaneous materials not specifically requested will not be evaluated.
5. Unnecessarily elaborate responses and/or lengthy presentations are not desired or required by the Authority.
6. Unless otherwise provided, all names and applicable titles shall be typed or printed below the signatures.

5.2 NUMBER OF COPIES

Proposers must submit the original and seven (7) copies of their Proposal, including the Administrative Response (Part 1), the Technical Proposal (Part 2), and the Cost Proposal (Part 3). The original should be clearly marked "Original" on its face and spine, and each copy should be marked with the Proposer's name and numbered 1 through 7 on their spines.

Each Proposer shall include one (1) electronic version of its Proposal in a printable and searchable .pdf format on a CD or DVD. The .pdf should not be password protected, and must contain all certifications and forms listed in this RFP. Electronic files submitted via e-mail will not be accepted.

5.3 PACKAGING AND LABELING

The original and copies of the Proposal must be labeled "Request for Proposal HSR15-92," and include the title of the Proposal, the name of the Proposer, and the appropriate copy number.

5.3.1 PART 1, ADMINISTRATIVE RESPONSE

5.3.1.1 TRANSMITTAL LETTER

The RFP shall be transmitted with a Transmittal Letter with the following elements:

- The Transmittal Letter must be signed by an official authorized to bind the Proposer contractually and shall contain a statement that indicates the RFP is complete and accurate. The cover letter shall provide the names, titles, addresses, and telephone numbers of individuals authorized to negotiate and contractually bind the Proposer.
- The Transmittal Letter shall identify a primary contact person. This person will be required to attend the interview session. Prior to the interviews, the Authority may issue additional instructions regarding number of participants or information regarding capacity of the room.
- Resumes (Section 5.3.2(D)), references (Section 5.3.2(F)), certifications and business license, and the Forms and Certifications described in Section 5.3.1.2 should be attached to the Transmittal Letter.



- The Proposer shall affirm in the Transmittal Letter that it has, or is able to obtain, the required insurance specified in Exhibit E of Attachment H, Standard Agreement, before execution of Agreement(s) resulting from this RFP. The Proposer shall also affirm in the Transmittal Letter that it has not been terminated from another contract for default, and that the Proposer has not received a civil judgment or criminal conviction against the Proposer in the past five (5) years.

5.3.1.2 FORMS AND CERTIFICATIONS

The Forms and Certifications shall be manually signed and properly executed, and included as follows, in the order provided here. All Forms and Certifications shall be included in the original Technical Proposal and on the electronic version of the Proposal.

Attachment 1: Required Proposer Checklist – One (1) copy of this form shall be completed and included with the Proposal to ensure that all required elements are included in the Proposer’s proposal.

Form A: Bidder Declaration – One (1) copy of this form shall be completed for the Proposer. All team members shall be listed on this form, including the prime, joint venture members (if applicable), and all Subcontractors.

Form B: Organizational Conflict of Interest Disclosure Statement – This form shall be completed for the Proposer, as well as each team member identified on Form A, Bidder Declaration.

Form C: DVBE Declaration – This form shall be completed for each DVBE Proposer team member.

Form D: California Disabled Veteran Business Enterprise (DVBE) Declaration, STD 843 - Proposers shall complete or collect STD 843(s) when the following situations occur:

- Proposer is a DVBE (Prime) Contractor.
- Proposer subcontracts with any DVBE firm. Proposer collects and submits with its proposal package a completed and signed STD 843 from each of the DVBE Subcontractor(s) listed on Form A, Bidder Declaration.

For each certified DVBE Subcontractor listed on Form A, Bidder Declaration, the Proposer shall submit a copy of the quotes from each DVBE (on the DVBE’s company letterhead) as proof of commitment. Failure to provide required DVBE information will result in the bid being rejected as non-responsive. The Proposer shall also submit copies of current DVBE certifications for all DVBEs claimed towards the three (3) percent DVBE participation requirement.

Certification 1: Contractor Certification Clauses (CCC-307) – This form shall be completed for each Proposer team member identified on Form A, Bidder Declaration.

Certification 2: Consultant’s Overall Contract Small Business Goal Commitment Affidavit – One (1) copy of this form shall be completed for the Proposer.



Certification 3: Iran Contracting Certification – This form shall be completed for each Proposer team member identified on Form A, Bidder Declaration.

Certification 4: Darfur Contracting Act Certification - This form shall be completed for each Proposer team member identified on Form A, Bidder Declaration.

Certification 5: Major Participant Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification – This form shall be completed for the Proposer and each joint venture member (if applicable).

Certification 6: Subcontractor Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification – This form shall be completed for each Subcontractor with a subcontract value of \$25,000 or greater.

Certification 7: Non-Collusion Affidavit – One (1) copy of this form shall be completed by the Proposer.

Certification 8: Equal Employment Opportunity Certification - This form shall be completed for each Proposer team member identified on Form A, Bidder Declaration.

Certification 9: Non-Discrimination Certification – This form shall be completed for the Proposer and each joint venture member (if applicable).

Certification 10: Certification Regarding Lobbying – This form shall be completed for the Proposer and each joint venture member (if applicable).

5.3.2 PART 2, TECHNICAL PROPOSAL

The Proposer should use the structure and directions within this section to organize and complete its Proposal, with reference to the scoring criteria in Attachment A and Attachment H, Standard Agreement, Scope of Work.

A. Minimum Requirements

Proposers must satisfy all of the Minimum Qualifications listed below. Failure to satisfy all of the Minimum Qualifications at the time of Proposal submission may result in the immediate rejection of the submission.

The Minimum Requirements for this RFP are:

1. The Proposer prime firm, or project managers, must have a minimum of 15 years' experience working as the prime or lead on major international infrastructure projects, at least one of which is directly related to high-speed rail.
2. At least one (1) of these projects must be a Public-Private Partnership (P3).
3. The Proposer must have experience as a Prime Contractor with at least one (1) project exceeding \$1 billion, and directly related to high-speed rail.
4. The Proposal team must have at least 10 years' experience as a prime or lead in financial and economic analysis and planning.

B. Approach / Methodology



The Authority has identified four (4) major areas that will be covered by the successful Proposer(s). These areas are:

Back Office Operations – This includes developing, implementing, managing, monitoring, and reporting on internal controls, and validating and maintaining the integrity of financial data.

Financial and Performance Reporting – The successful Proposer(s) shall provide transparent, timely, and accurate financial reporting that allows the Board and the Authority’s senior management to make strategic decisions based on quality financial data and actively manage operational performance using timely and accurate information.

Development of Financial System – This will meet the needs of a project the size and scale of High-Speed Rail Project.

Development of Funding Analysis, Plans, Revenue, and Procurement Strategies – Successful Proposer(s) will be responsible for the development and delivery for the High-Speed Rail Project.

The Proposer shall describe:

1. An overall approach of how the Proposer will deliver a combination of the four (4) major areas identified above and tasks 2.1 through 2.9 described in the Scope of Work (Attachment H);
2. Specific methodologies, processes, structures, or technology that may be used to complete the tasks; and
3. Specific administrative, operational, and management expertise that will be employed and description of the team’s competence and capability to meet time and budget requirements, internal procedures for quality control, timely project completion, and cost control.

C. Team Organizational Structure

The Proposer must have experience developing financing programs for large infrastructure projects.

1. Describe the organizational structure of the Proposal team, including an organization chart showing the hierarchy of key personnel assigned to this Agreement. The organization chart must show the relationship between the project manager and key personnel of the Proposer’s firm, and all other parties, including Subcontractors.
2. The Authority anticipates having part of the successful Proposal team(s) integrated with the Authority’s financial operations, which will require having staff located at the Authority’s office in Sacramento, CA. Proposers shall identify how the Proposer and its Subcontractor(s) will accommodate this requirement.



3. Provide a short description of each firm and key members of the team. Describe the organization, composition, and functions to be performed by the different parties. Indicate any history of a working relationship between the team members noting any significant success stories.
4. Include a description or summary of the Proposer's Small Business Performance Plan (described in Section 7).

D. Proposal Team Experience and Qualifications

1. The Proposal shall list all key personnel who will be working on the project including key personnel of Subcontractors. Proposers shall include resumes for key personnel with their titles, qualifications, the role they will serve, where they are headquartered, a summary of similar work or studies performed, any special expertise, a statement indicating the allocation of resources to various tasks as a percentage of the total budget, and what tasks each professional will perform.
2. The selected Proposer(s) shall not cause members of the Proposal team to be substituted without prior approval of the Authority.
3. Describe how the proposed team has the experience and qualifications to be the financial advisor for the Authority's High-Speed Rail Project.

E. Past Performance and Experience

The Proposal must demonstrate the ability of the Proposal team to deliver a project of this magnitude. Specific reference and explanation should be made for prior work on high-speed rail projects, P3s, and financial and economic analysis and planning for public clients. The Proposer must provide detailed descriptions of work performed, whether the firm was a lead or prime, coordination with other program management, legal and engineering teams, and the results of this previous work and experience.

The Proposer shall describe and provide at least one (1) example of a similar financial analysis plan that demonstrates successfully completed relevant work by its organization or team.

The Proposal shall also include experience relevant to financial operations, procurement support, the development, implementation, and reporting of administration and support processes, and use of systems or technology in financial operations and reporting.

F. Client References

1. Names, current addresses, and telephone numbers for a minimum of three (3) clients for whom the Proposer (i.e. the prime Proposer submitting a Proposal, the joint venture submitting a Proposal, or each individual prime member of a joint venture) has performed similar work.
2. All references must have been from multi-million dollar engagements.



3. At least one (1) reference must be a public entity with a similar type of infrastructure requirement.
4. At least one (1) reference must be for a P3.
5. Include the title of the project or assignment, scope of the assignment, name of each proposed team member working on that project or assignment, and the date of service of the agreement.
6. Briefly describe how the past project or assignment identified provide the experience preferred in this RFP.

G. Task Order (Technical)

The Proposer must review and complete Attachment E, Task Order (Technical). This Task Order is based off of Task Orders that will be assigned during the term of the Agreement. Proposers shall complete the Task Order as though this Task Order was binding, and shall not underbid the Work. Proposers will be scored on their ability to demonstrate its competence of the Work outlined in the Task Order, and anticipate the hours and classifications needed to complete the Work.

5.3.3 PART 3, COST PROPOSAL

The Proposer must submit Cost Proposal information as required in Attachment F: Cost Proposal Format, and Attachment G: Task Order (Cost), and will be deemed the equivalent of a formal bid submission under the Public Contract Code. Rates and personnel shown must reflect rates and personnel to be charged if the Proposer was chosen as the Contractor for this RFP.

NOTE: The cost information provided will **not** be kept confidential.

The Authority shall compensate the successful Proposer for actual hours worked. The cost information provided in Attachment F: Cost Proposal Format will become a part of the final Agreement. The entire term of the Agreement and projected rate increases must be considered when preparing the rates in Attachment F. The rates bid are considered capped and shall not change during the term of the Agreement, with the exception of the projected onetime escalation in years 3-4. The Contractor shall only be reimbursed for the rates up to the rate cap identified in the Cost Proposal.

All Cost Proposals must include anticipated reimbursable expenses. The rates listed on the Cost Proposal Worksheet shall be fully loaded and include all direct and indirect costs, excluding travel, including overhead and taxes incidental to the specified rates. Proposers shall review Attachment H, Sample Agreement, for information regarding allowable costs.

6 EVALUATION

This section explains how the Proposals will be evaluated and scored. Proposals will be evaluated and scored based on their responses to the information requested in this RFP.



The entire evaluation process from receipt of Proposals to the posting of the Notice of Proposed Award is confidential.

6.1 PROPOSAL EVALUATION

Proposals received will be evaluated and the Agreement awarded in the following manner, in accordance with Public Contract Code section 10344(c).

6.1.1 STAGE ONE: FULFILLMENT OF RFP MANDATORY FORMAT

Each Proposal received in accordance with the time and date set for receipt of Proposals is opened and examined to determine compliance with the RFP format requirements and administrative requirements (Part 1), including Attachment 1, Required Proposer Checklist. If a Proposal is not rejected for technical reasons, it may still be rejected if it is deemed non-responsive.

6.1.2 STAGE TWO: EVALUATION OF PROPOSALS

6.1.2.1 TECHNICAL PROPOSAL

Proposals that meet the Stage One evaluation requirements shall be submitted to the Authority for Stage Two, Technical Evaluation. The Authority will evaluate and score Proposals using the methods specified in this RFP. Proposals that do not meet the Minimum Qualifications listed in Section 5.3.2.A, shall be deemed nonresponsive and will not move forward to Technical Evaluation.

The Authority will evaluate and score all eligible Proposals based on the Evaluation Criteria in Attachment A. There are 500 points possible for the Technical Proposal, distributed as identified in Attachment A. The Authority may, at its discretion, seek clarification in writing of any point in the written Technical Proposal. Only those Proposals that pass Stage One of evaluation will have their Cost Proposals evaluated and scored.

6.1.2.2 COST PROPOSAL

The Proposer shall submit a Cost Proposal comprised of Attachment F: Cost Proposal Format, and Attachment G: Task Order (Cost).

A. Attachment F: Cost Proposal Format

For Attachment F, Proposers shall list all billed classifications, depicting their projected percentage of time allocated to the Agreement during the anticipated four-year term to complete tasks 2.1 through 2.9 of the Scope of Work, Attachment H. Proposers shall complete hourly rates for years 1-2 and years 3-4, with up to a onetime three (3) percent escalation in rates for years 3 and 4. Proposers shall calculate their Average Hourly Rate by determining the average rate for all four (4) years for each classification (rates a+b+c+d/4). Proposers shall attach to their Cost Proposal Format (Attachment F) a list of Key Personnel to be used on this Agreement, identifying their name, classification, and hourly rate to support the ranges for each classification. Attachment F: Cost Proposal Format, carries a maximum total score of 150 points, with the Proposer with the lowest Blended Rate receiving the maximum number of points.



A Proposer's Blended Rate will be determined by taking the average of all Average Hourly Rates for all classifications. The Authority will verify all calculations made on Attachment F. In the case of a discrepancy, the Authority's calculation shall prevail. The lowest Blended Rate submitted will be awarded the full 150 points. The remaining Proposers will be awarded Blended Rate points based on the formula below.

$(\text{Lowest Blended Rate} / \text{Other Blended Rates}) \times 150 \text{ points} = \text{Other Blended Rate Score}$

B. Attachment G: Task Order (Cost)

The Proposer shall complete Attachment G: Task Order (Cost), which carries a maximum total score of 150 points.

The Proposer with the lowest Total Cost on Attachment G: Task Order (Cost), by adding the hourly rates extended costs and total for each classifications, will be awarded the full 150 points. The remaining Proposers will be awarded Total Cost points based on the formula below:

$(\text{Lowest Total Cost} / \text{Other Total Cost}) \times 150 \text{ points} = \text{Other Total Cost}$

The Cost Proposal (attachments F and G) can receive a maximum total of 300 points.

The Cost Proposal score will be added to the Technical Proposal score, for a maximum possible score of 800 points.

6.1.3 STAGE THREE: INTERVIEW

Proposers passing the technical and cost evaluation will be scheduled for a mandatory interview to be conducted at the Authority headquarters, 770 L Street, Suite 620, Sacramento, California. The Authority will use standard questions to conduct the interviews. Proposer responses will be scored in accordance with the criteria contained in Attachment C. There are 200 points possible for the interview.

6.2 PROPOSAL SCORING

The Authority will award points based upon the information provided in the Proposal according to the criteria included in this RFP. Proposals will be evaluated and scored by the Authority on a consensus basis.

6.3 NOTICE OF PROPOSED AWARD

After scoring, the Notice of the Proposed Award will be posted for five (5) Business Days at the Authority's headquarters in Sacramento, and on the Authority's website. Proposers will be notified when the Notice of Proposed Award has been posted.

6.4 AGREEMENT REQUIREMENTS AND EXECUTION PROCESS

The Agreements for both Primary and Secondary contractors will be awarded to the responsive Proposers whose Proposals are given the first and second highest total scores by the Authority. The responsive Proposer with the highest total score will be invited to contract with the Authority for the Primary Agreement under this RFP, and the responsible Proposer with the



second highest total score will be invited to contract with the Authority for the Secondary Agreement under this RFP.

The rates submitted in the Cost Proposal will be incorporated into the Agreement as the Budget Detail.

The Authority will not consider any changes to the Standard Agreement “terms and conditions” contained in this RFP. If, for any reason, a successful Proposer does not sign the Agreement documents within a reasonable time, the Authority may eliminate that Proposer from its award list and select the next highest ranked Proposer.

If the Authority cannot reach an Agreement with the highest ranked Proposer, the Agreement will be offered to the second highest ranked Proposer, and so on, until the Primary Agreement is executed. At the point, the next highest ranked Proposer will be invited to execute the Secondary Agreement.

6.5 NO AGREEMENT UNTIL SIGNED AND APPROVED

No Agreement between the Authority and the successful Proposer is in effect until the Agreement is signed by the Contractor, signed by the Authority, and approved by the Department of General Services.

6.6 SUBCONTRACTORS

The Proposer must submit the information required in the Proposal Team Experience and Qualifications section of the Proposal for all Subcontractors, including SBs, MBs, and DVBES. Cost Proposals shall also be submitted for all Subcontractors and comply with the requirements in Section 5.3.3.

6.7 DEBRIEFINGS

After the Notice of Proposed Award is posted, Proposers may request a debriefing with the Authority Contracts Office. The meeting shall be requested within 10 business days from the date of the Notice of Proposed Award. The debriefing meeting may provide insight to improving proposal preparation for future solicitations.

6.8 PROPOSERS' ADMONISHMENT

This RFP contains the instructions governing the requirements for a firm quotation to be submitted by interested Proposers, the format in which the technical information is to be submitted, the material to be included, the requirements which must be met to be eligible for consideration, and Proposer responsibilities. Proposers must take the responsibility to carefully read the entire RFP, ask appropriate questions in a timely manner, submit all required responses in a complete manner by the required date and time, make sure that all procedures and requirements of the RFP are followed and appropriately addressed, and carefully reread the entire RFP before submitting a Proposal.

The Authority may reject any Proposal if it is conditional, incomplete, or contains irregularities.



6.9 COST OF DEVELOPING PROPOSAL

The Proposer is responsible for the cost of developing a Proposal, and this cost cannot be charged to the State.

6.10 ERRORS IN THE RFP

If a Proposer discovers any ambiguity, conflict, discrepancy, omission, or other error in the RFP, the Proposer shall immediately notify the Authority of such error in writing and request modification or clarification of the document. Modifications or clarifications will be given by written notice to all parties who requested the RFP, without divulging the source of the request for clarification. The Authority shall not be responsible for failure to correct errors.

6.11 IMMATERIAL DEFECT

The Authority may waive any immaterial defect or deviation contained in a Proposal. The Authority's waiver shall in no way modify the Proposal or excuse the successful Proposer from full compliance.

7 SMALL BUSINESS PARTICIPATION

The Authority's Small and Disadvantaged Business Enterprise Program, August 2012 (SB Program) establishes an overall 30 percent Small Business (SB) participation goal. On this 100 percent State-funded Agreement, the goal is inclusive of Small Business (SB), Microbusiness (MB) and Disabled Veteran Business Enterprise (DVBE).

7.1 SMALL BUSINESS REQUIREMENTS

For this procurement, the Authority has established the following criteria:

- **DVBE Requirement:** There is a mandatory three (3) percent DVBE requirement for this Agreement. Proposers are responsible for ensuring that Form C reporting DVBE participation is completed fully as this requirement is considered a pass/fail element.

A qualifying DVBE for this procurement is defined as a person or entity that has 1) been certified by the Department of General Services' Office of Small Business and Disabled Veteran Business Enterprise Services; and 2) that performs a commercially useful function, as defined herein, in providing services or goods that contribute to the fulfillment of the contract requirements for this procurement.

- **SB Performance Plan for 30 Percent Goal:** Proposers are required to present within the Technical Proposal a narrative describing a SB Performance Plan that shall include how each qualified small business will be utilized under the agreement to meet the Authority's 30 percent SB participation goal. The SB Performance Plan will be scored as a component of the requirements for the Team Organizational Structure (Section 5.3.2(C)).
- **Small Business Preference:** The SB Preference will be calculated as five (5) percent of the highest scored responsive proposal based on the total combined Technical Proposal



score, Cost Proposal score, and Interview score. The criteria for applying the SB Preference are below.

7.2 DEFINITIONS

For the purposes of this procurement, the following definitions apply:

Commercially Useful Function (CUF): In collective consideration of CUF standards set forth by Government Code 14837, California Code of Regulations § 1896.4(h), Military and Veteran Code 999(b) (5) and 49 CFR Parts 26.53(b) and 26.55 (1), the Authority will uniformly apply CUF Best Practices standards. A small business, disabled veteran business, and microbusiness is deemed to perform a commercially useful function if the business meets the following CUF standards:

1. Performs a commercially useful function when a SB is responsible for the execution of a distinct element of work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved.
2. Performs work that is normal for its business services and functions.
3. Be responsible, with respect, to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material and installing and paying for the material itself.
4. A SB does not perform a CUF if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of SB participation.
5. A SB does not perform a CUF if it does not perform or exercise responsibility for at least 30 percent of the total cost of its contract with its own work force, or the SB subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved.

Disabled Veteran Business Enterprise (DVBE) – A for-profit small business concern that is at least 51 percent owned by a veteran of the United States Military who has at least a 10 percent service-connected disability. To qualify as a Disabled Veteran Business Enterprise, the business must have received the appropriate certification issued by the California Department of General Services.

Microbusiness (MB) – A for-profit small business concern with gross annual receipts of less than \$3,500,000; or, if the small business is a manufacturer, with 25 or fewer employees. The Authority recognizes Microbusiness certifications issued by the California Department of General Services.

Small Business (SB) – For purposes of 100 percent State-funded contracts, a Small Business is independently owned and operated, with its principal office located in California, and with owners living in California, has grossed \$14 million or less over the previous three (3) tax years, and is not dominant in its field of operations. This certification is issued by the California Department of General Services.



7.3 SMALL BUSINESS PREFERENCE

The preference will be awarded according to the criteria listed below based on the information included on Form A, Bidder Declaration.

7.3.1 SMALL BUSINESS PRIME PROPOSER

If there is at least one (1) California certified SB competing as the lead or prime contractor, the SB Preference shall be computed as follows:

1. The Authority shall qualify a Proposal to be deemed responsive that achieves the Minimum Requirements (per Section 5.3.2(A) of the RFP). If a SB does not achieve the Minimum Requirements, it shall not be entitled to the five (5) percent preference.
2. Five (5) percent of the score of the highest scored responsive Proposal submitted by a responsible non-SB is computed as specified in the procurement. The result of the calculation is a number that represents the preference points.
3. The preference points are then included in the formula as specified in the procurement to determine the highest scored Proposer.

If, after application of the SB preference to the Proposal of a SB, that Proposal is equal to the highest scored Proposal offered by a responsible non-SB, as applicable, the Agreement shall be awarded to the SB for the amount of its Proposal.

In the event of a precise tie between the Proposal of a SB and the Proposal of a DVBE that is also a California certified SB, the award shall go to the DVBE that is also a California certified SB.

7.3.2 NON-SMALL BUSINESS PROPOSER

If there is not a responsive California certified SB competing as the lead or prime contractor, then the following scoring criteria will apply and not Section 7.3.1.

If there is at least one (1) non-SB competing that has 30 percent Small Business (SB) participation, as defined above in Section 7.2, the preference shall be computed as follows:

1. The Authority shall qualify a Proposal to be deemed responsive that achieves the Minimum Requirements (per Section 5.3.2(A) of the RFP). If a non-SB does not achieve the specified Minimum Requirements, it shall not be entitled to the five (5) percent preference.
2. Each Proposer that meets the 30 percent Small Business (SB) participation will be awarded five (5) percent of the score of the highest scored responsive Proposal.
3. The preference points are then included in the formula as specified in the procurement to determine the highest scored Proposer.

If, after application of the non-SB Subcontractor preference, a responsible non-SB that has submitted a responsive Proposal is the highest scoring Proposer, and does not displace a SB from winning the award, the Agreement shall be awarded to the non-SB for the amount of its Proposal.



7.3.3 SMALL BUSINESS PROGRAM CONTRACTUAL REQUIREMENTS

The successful Proposers will be required to comply with other SB Program requirements, including, but not limited to, SB utilization reporting, substitution/termination processes, and other performance related factors as identified in the Authority's SB Program.

Proposers are advised to become familiar with the Authority SB Program, which may be found on the Authority's Small Business Policy and Program web page:

http://www.hsr.ca.gov/Programs/Small_Business/policy.html

8 PROTEST PROCEDURES

A Proposer may file a protest against the proposed awarding of an Agreement. Once a protest has been filed, contracts will not be awarded until the protest is withdrawn, the Authority cancels the RFP, or DGS decides the matter.

Please note the following:

- Protests are limited to the grounds contained in the California Public Contract Code § 10344(c).
- There is no jurisdiction for the DGS to consider a protest if:
 - A. The protestant was not a Proposer;
 - B. The protestant has not alleged that it was the highest-scored Proposer;
 - C. The protestant is not in a position to make a supportable assertion that it should have been the highest-scored Proposer;
 - D. The protest was not submitted timely; or
 - E. The grounds for the protest do not meet the permissible grounds stated above.
- If an eligible Proposer wishes to protest the intended Agreement award, the Proposer must file a "Notice of Intent to Protest" with both the Authority and the Department of General Services within five (5) Business Days after the Notice of Proposed Award is posted. The Notice of Intent to Protest may be brief. Any Notice of Intent to Protest filed more than five (5) working days after the Authority posts the Notice of Proposed Award shall be untimely.
- Within five (5) days after filing the Notice of Intent to Protest, the protesting Proposer must file with the DGS and the Authority's designated Point of Contact a full and complete written protest statement specifying the grounds for the protest. The statement must contain, in detail, the reasons, law, rule, regulation, or practice that the protesting Proposer believes the Authority has improperly applied in awarding the Agreement.
- All Proposals and all evaluation and scoring sheets will be available for public inspection at the Authority's office in Sacramento after the Notice of Proposed Award is posed.



- If the protest is not withdrawn or the solicitation is not canceled, DGS will decide the matter. There may be a formal hearing conducted by a DGS hearing officer or there may be briefs prepared by the Proposer and the Authority for the DGS hearing officer consideration.
- All Protests must be made in writing, signed by an individual authorized to bind the Proposer and contain the initial Notice of Intent to Protest, and a detailed written statement of protest, including the RFP number, the name of the State agency involved, the agency Point of Contract, and all contact information for the Protester, including fax number(s), if available. The protester must provide facts and evidence to support the claim. Protests may be sent by regular mail, facsimile, courier, or personal delivery to:

Department of General Services
Office of Legal Services
Attention: Protest Coordinator
707 Third Street, 7th Floor, Suite 7-330
West Sacramento, CA 95605
FAX: (916) 376-5088

California High-Speed Rail Authority
770 L Street, Suite 620, MS 3
Sacramento, CA 95814
Fax: (916) 322-0827



Attachment 1: Required Proposer Checklist

In accordance with Section 5, Proposal Requirements, a proposal will consist of the items identified below. Complete this checklist to confirm the items in your proposal. Proposers shall place a check mark or "X" next to each item that you are submitting to the Authority. For your Proposal to be responsive, all required attachments must be returned. This checklist must be returned with your Proposal package with the Transmittal Letter, per Section 5.3.1.1.

Proposer: _____

Proposal _____

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RESPONSIVE ELEMENT	Included
General Requirements	
One (1) original and seven (7) printed copies (for a total of 8), per Section 5.2.	<input type="checkbox"/>
All required forms (Forms A, B, C, D), certifications (Certification Nos. 1-10), and letters (5.3.1.1 Transmittal Letter) are submitted in the prescribed format, complete and signed by the prescribed signatories.	<input type="checkbox"/>
One (1) electronic versions of the Proposal in a printable and searchable .pdf format on a CD or DVD, per Section 5.2.	<input type="checkbox"/>
Submittals are prepared on 8-1/2" x 11" sheets except for charts, drawings, graphs, or schedules, for which large format pages are allowed per Section 5.2. The font size is no smaller than 12-point font and in the required format outlined in Section 5.1.	<input type="checkbox"/>
Proposal consists of an Administrative Response, Technical Proposal, and Cost Proposal, and meets all requirements listed in Section 5 of this RFP.	<input type="checkbox"/>
5.3.1 Part 1, Administrative Response	
5.3.1.1 Transmittal Letter	<input type="checkbox"/>
Form A: Bidder Declaration	<input type="checkbox"/>
Form B: Organizational Conflicts of Interest Disclosure Statement	<input type="checkbox"/>
Form C: DVBE Declaration	<input type="checkbox"/>
Form D: California Disabled Veteran Business Enterprise (DVBE) Declaration, STD 843	<input type="checkbox"/>
Cert. 1: Contractor Certification Clauses (CCC-307)	<input type="checkbox"/>
Cert. 2: Offeror's Overall Project Small Business Goal Commitment Affidavit	<input type="checkbox"/>
Cert. 3: Iran Contracting Certification	<input type="checkbox"/>
Cert. 4: Darfur Contracting Act Certification	<input type="checkbox"/>
Cert. 5: Major Participant Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification	<input type="checkbox"/>
Cert. 6: Subcontractor Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion Certification	<input type="checkbox"/>
Cert. 7: Non-Collusion Affidavit	<input type="checkbox"/>
Cert. 8: Equal Employment Opportunity Certification	<input type="checkbox"/>
Cert. 9: Non-Discrimination Certification	<input type="checkbox"/>
Cert. 10: Certification Regarding Lobbying	<input type="checkbox"/>



RESPONSIVE ELEMENT	Included
5.3.2 PART 2, Technical Proposal	
A. Minimum Requirements	<input type="checkbox"/>
B. Approach / Methodology	<input type="checkbox"/>
C. Team Organizational Structure	<input type="checkbox"/>
D. Proposal Team Experience and Qualifications	<input type="checkbox"/>
E. Previous Work Products	<input type="checkbox"/>
F. Client References (Attached to the Transmittal Letter per Section 5.3.1.1)	<input type="checkbox"/>
G. Task Order (Technical), Attachment E	<input type="checkbox"/>
5.3.3 Part 3, Cost Proposal	
H. Cost Proposal Format, Attachment F	<input type="checkbox"/>
I. Task Order (Cost), Attachment G	<input type="checkbox"/>



ATTACHMENT A: CRITERIA FOR AWARDING POINTS TO THE TECHNICAL PROPOSAL

TECHNICAL PROPOSAL CRITERIA		Maximum Score	Actual Score
1.	<p>Approach and Methodology (5.3.2 B)</p> <ul style="list-style-type: none"> Proposal demonstrates an overall approach from the Scope of Work (Attachment H) and the four (4) major areas Proposal demonstrates the specific methodologies, processes, structures, or technology to support the overall approach in delivering the Scope of work (Attachment H) and the four (4) major areas Proposal demonstrates specific administrative, operational and management expertise that will be employed 	100	
2.	<p>Team Organizational Structure (5.3.2 C)</p> <ul style="list-style-type: none"> Proposal describes the organizational structure of the Proposer, including an organizational chart of the entire contract team Proposal demonstrates how the Proposer will fulfill the requirement to maintain staff in Sacramento, CA Proposal contains a short description of each firm and key members of the team, indicating any history of a working relationship between the team members, and noting any significant success stories Proposal describes the functions to be performed by staff members of the Proposer and any Subcontractors Proposal describes and summarizes the Proposer's Small Business Performance Plan 	100	
3.	<p>Proposal Team Experience and Qualifications (5.3.2 D)</p> <ul style="list-style-type: none"> Proposal presents qualified personnel appropriate for the Project and Scope of Work proposed Proposal includes an estimate of allocation of each professional to the tasks assigned to the Agreement as a percentage of the total budget, and what tasks each professional will perform including Subcontractor hours Proposal describes the overall experience and capacity of the proposed team 	100	
4.	<p>Past Performance and Experience/Client References (5.3.2 E)</p> <ul style="list-style-type: none"> Comparative size and quality of prior projects related to high-speed rail, infrastructure and P3 Comparative experience on financial analysis plan Comparative experience on financial operations, procurement support, develop administration and support processes, and use of technology in financial operations and reporting 	100	
5.	<p>Task Order (Technical) (5.3.2 G)</p> <ul style="list-style-type: none"> Proposer demonstrates its competence of Work outlined in Attachment E, Task Order (Technical) Proposed hours and classifications are appropriate for the Work outlined in Attachment E, Task Order (Technical) 	100	
Total Technical Proposal Score		500	



ATTACHMENT B: CRITERIA FOR AWARDING POINTS FOR THE COST PROPOSAL

COST PROPOSAL CRITERIA	Maximum Score	Actual Score
Attachment F: Cost Proposal Format (Lowest Blended Rate/Proposer's Blended Rate) x 150 =	150	
Attachment G: Task Order (Cost) (Lowest Total Cost/Proposer's Total Cost) x 150 =	150	
Total Cost Score	300	
Total Technical Points	500	
Maximum Points (Cost +Technical)	800	



ATTACHMENT C: CRITERIA FOR AWARDING POINTS FOR THE INTERVIEW

INTERVIEW EVALUATION CRITERIA	Maximum Score	Actual Score
<p>1. Interview Presentation:</p> <ul style="list-style-type: none">• Proposer’s presentation provided demonstrated experience and understanding of the critical project success factors of similar projects they have worked on and how this experience and the strength of their team will support a project with the magnitude of the challenges and complexity facing the Authority.• Appropriateness of the team members presenting and level of value. <p>2. Interview Questions and Answers:</p> <ul style="list-style-type: none">• Proposer’s response to the questions demonstrated ability of team to coordinate and provide responses reflecting the necessary subject matter expertise to perform the Scope of Work.• Proposer’s response demonstrated understanding of topics and issues, and an ability to offer a clear response to the questions.	100	
Total Interview Score	200	



ATTACHMENT D: FINAL SCORING WORKSHEET

FINAL SCORING CRITERIA	Maximum Points	Scored Points
Total Technical and Cost Evaluation Score	800	
Total Interview Points	200	
Small Business Preference (Pursuant to Govt. Code §§ 14837-14838) See Section 7, Small Business Participation for Scoring Details		
TOTAL SCORE	1,000	



ATTACHMENT E: TASK ORDER (TECHNICAL)

DIRECTIONS: The Proposer must review and complete Attachment E, Task Order (Technical). This theoretical Task Order is based off of Task Orders that may be assigned during the term of the Agreement. Proposers shall complete the Task Order as though this Task Order was binding, and shall not underbid the Work. Proposers will be scored on their ability to demonstrate its competence of the Work outlined in the Task Order, and anticipate the hours and classifications needed to complete the Work.

Please note: The deliverables listed for this Work are solely for the Proposer's consideration when completing the below Task Order as potential Work that the Proposer's staff would be required to complete. Proposers should not draft or compile these documents as part of their submission of Attachment E: Task Order (Technical)

Task Description:

2.9.3 Provide support for the Financial Office with the implementation activities of the State's new Financial Enterprise Resource Program (ERP) including migration from the existing Financial Accounting System.

The Contractor shall provide a mockup of staffing support to demonstrate that they have the skills and ability to respond to Task Orders provided by the Authority for this type of work and the future deliverables that would be provided as a result of the Task Order. In the following scenario, the Contractor must provide a response to a task order to analyze financial elements of major contracts, financial and construction contract data, processes, systems and alternatives to review and analyze State defined requirements against the ERP solution capabilities and associated business processes performed by the Authority in its Finance and Accounting Office. The Contractor must demonstrate how they would work with Authority staff to leverage the ERP software to enable the Authority's ability to perform Business Process Reengineering (BPR) and associated changes to its business processes with the goal of integrating and maximizing the ERP. The proposed Task Order response must show a methodology that would eventually provide traceability from the Authority's processes to the requirements in a future Requirements Traceability Matrix that will be included in a BPR and Financial System Recommendations Report.

In the Task Order response, the Contractor shall demonstrate how it will document its analysis of the Authority's requirements to establish the Authority's need for a financial system and to resolve any identified gaps with the ERP System prior to proceeding with development of solution requirements.

The future deliverables provided under this task would be:

- 1 Draft-BPR and Financial System Recommendations Report (60 days after receipt of Work Order)
- 2 Final- BPR and Financial System Recommendations Report(90 days after receipt of Work Order)
- 3 Financial System Requirements(120 days after receipt of Work Order)



Proposers are to fill out the following Task Order and provide the following:

- Task Order description with overview of activities and interactions with Authority staff, processes, data points, etc.
- Number of hours by classification to complete the Task Order
- Acceptance criteria
- Proposed Task Order schedule
- Planned deliverable due dates
- The future deliverables listed above are not to be included with the Proposer's Task Order (Technical) submission



TASK ORDER (TECHNICAL)

Task Order Identification			
Task Order ID	Task Order Name	Contract Reference	
FINO-XX-XXX	<i>Financial System Requirements 2.9</i>	HSR15-92	
Task Order Description			
Hours by Classification to complete task			
Classification	Hours	Rate/hr	Costs
		\$	\$
			\$
		TOTAL COST	\$
Acceptance Criteria			
Task Scope:			
Task Order Schedule			
Planned Delivery Date:			
Actual Delivery Date:			
Approved by:		Signature and Date	
Authority Contract Manager <i>Name and Title</i>			
Contractor <i>Name and Title</i>			



ATTACHMENT F: COST PROPOSAL FORMAT

Classification		Hourly Rates				
Classification Title	% of Time Allocated to Project	Years 1-2 Range for Classification		Years 3-4 Range for Classification		Average Hourly Rate $\frac{a+b+c+d}{4}$
		From (a)	To (b)	From (c)	To (d)	
President/Director						
Executive Vice President/Principal						
Senior Vice President						
Managing Consultant						
Vice President						
Senior Consultant						
Associate Vice President						
Senior Associate						
Associate						
Project Manager						
Financial Advisor						
Junior Analyst/ Junior Accountant						

DIRECTIONS: Proposers shall list all billed classifications, depicting their projected percentage of time allocated to the Agreement during the anticipated four-year term in order to complete the tasks outlined in Attachment H. Proposers shall complete hourly rates for years 1-2 and years 3-4, with up to a onetime three (3) percent escalation in rates for years 3 and 4. Proposers shall calculate their Average Hourly Rate by determining the average rate for all four (4) years for each classification $(a+b+c+d/4)$.

Proposers may adjust the classification titles to appropriately match those used by its firm. Hourly rates should be fully loaded and include all direct and indirect costs. Proposers shall provide a rate cap for positions equal to, or lesser than, Junior Analyst and Junior Accountant. The rates included on Attachment F: Cost Proposal Format shall be in effect for the duration of the Agreement. Rates must also include all proposed Subcontractors rates and classifications.

Proposers shall attach to this table a list of Key Personnel to be used on this Agreement, identifying their name, classification, and hourly rate to support the ranges for each classification.



ATTACHMENT G: TASK ORDER (COST)

TASK ORDER (COST)

Task Order ID #XXX-XXXX, Back Office Operations Tasks 2.9

Task Order Identification		
Task Order ID	Task Order Name	Contract Reference
FINO-XX-XXX	<i>Back Office Operations Tasks</i>	HSR15-92

Task Order Description
<p>The Contractor shall provide first year ongoing staff support for the Authority in the following critical areas: a) Back Office Operations which including enhancing internal controls and validating and maintaining the integrity of financial data; b) Financial and Performance Reporting to allow the Board, Stakeholders and Management to make strategic decisions based on quality financial data and actively manage operational performance using timely and accurate information; and c) Development of a Financial Information Technology solution that will meet the needs of a project the size and scale of High-Speed Rail Project.</p>

Hours by Classification to complete task			
Classification	Hours	Rate/hr	Costs
<i>Partner</i>	1560	\$	\$
<i>Managing Director</i>	380	\$	\$
<i>Director</i>	3600	\$	\$
<i>Principal</i>	360	\$	\$
<i>Senior Associate</i>	3600	\$	\$
<i>Associate</i>	4000	\$	\$
<i>Manager</i>	3600	\$	\$
<i>Associate</i>	3600	\$	\$
<i>Professional</i>	600	\$	\$
		TOTAL COST	\$

