



STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION

REQUEST FOR QUALIFICATIONS

Highway 101: South of Salinas Corridor Improvement Project

CONSTRUCTION MANAGER/GENERAL CONTRACTOR SERVICES

**FOR DESIGN AND CONSTRUCTION ON STATE HIGHWAY IN
Monterey County on US Route 101**

**From Main Street overcrossing in the town of Chualar to 0.56 mile south of Airport
Blvd overcrossing in the City of Salinas**

CONTRACT NO. 050H33CM

05-MON-101- 76.55/85.04

Project ID 0513000133

Dated: May 18, 2026

TABLE OF CONTENTS

1	INTRODUCTION AND GENERAL INSTRUCTIONS.....	1
1.1	Abbreviations.....	1
1.2	Definitions.....	2
1.3	Data Room: RFQ and Addenda	5
1.4	Project Opportunity.....	5
1.4.1	Project Description	5
1.4.2	Project Goals	6
1.4.3	Project Authorization	7
1.5	Construction Manager Responsibilities and Project Status	7
1.6	Federal Requirements	7
1.7	Procurement Process.....	7
1.7.1	Single-Phase Procurement.....	7
1.7.2	Contract Types	8
1.7.3	Clarification Questions.....	8
1.7.4	Communications Between the Department and Proposers	8
1.7.5	Rules of Contact.....	8
1.8	Precontractual Expenses.....	10
1.9	Conflict of Interest	10
1.10	Department Consultants.....	12
1.11	Proposer Requirements.....	12
1.11.1	Minimum Requirements	12
1.11.2	Non-Disclosure Requirement	13
1.11.3	Organizational and Personnel Changes.....	13
1.12	Equal Employment Opportunity and Nondiscrimination	13
1.13	Disadvantaged Business Enterprise Goal	13
1.14	Labor Policies.....	14
1.15	Insurance and Bonds.....	14
1.15.1	Bond Requirements.....	14
1.15.2	Insurance Requirements	14
1.16	Work Performed Prior to NEPA Approval.....	14
2	PROCUREMENT SCHEDULE	15

3	CONTENT OF STATEMENT OF QUALIFICATIONS	16
3.1	Proposer's Transmittal Letter	16
3.2	Legal Structure	16
3.2.1	Minimum Requirement for Legal Structure	17
3.3	Financial Capacity	17
3.3.1	Minimum Requirement for Financial Capacity	18
3.4	Safety Program	18
3.4.1	Minimum Requirement for Safety Program.....	18
3.5	Proposer and Each Major Participant Experience and Past Performance.....	19
3.5.1	Proposer and Each Major Participant Experience and Past Performance Evaluation Criteria	20
3.6	Proposer's Key Personnel	21
3.6.1	Key Personnel	23
3.7	Project Understanding and Approach.....	24
3.7.1	Project Understanding and Approach Evaluation Criteria.....	25
4	SOQ SUBMITTAL REQUIREMENTS.....	26
4.1	General Requirements	26
4.2	Quantities, Due Date, Time, and Location.....	26
4.3	Format Requirements.....	27
4.4	Preconstruction Services Cost Proposal	27
4.5	Challenges	28
5	EVALUATION PROCESS	29
5.1	SOQ Evaluation.....	29
5.2	Evaluation Objective.....	29
5.3	SOQ Evaluation Factors.....	29
5.3.1	Initial Responsiveness Review	29
5.3.2	Non-Scored SOQ Categories	29
5.3.3	Scored SOQ Categories	30
5.3.4	Scored Interview.....	30
5.4	Evaluation and Scoring Process.....	30
5.5	Notification of Rankings.....	30
6	PROTEST PROCEDURES AND PUBLIC RECORDS ACT	31
6.1	Protest Procedures.....	31

6.1.1	Protests Regarding RFQ Documents	31
6.1.2	Protests Regarding Final Rankings Decision.....	32
6.2	Public Records Act	32
7	DEBRIEFING MEETINGS	34
8	DEPARTMENT RESERVED RIGHTS	35
8.1	Department Disclaimers	35

APPENDIX

Appendix A:	Project Description, Project Status, and Construction Manager Responsibilities
Appendix B:	Format and Organization of Statement of Qualifications
Appendix C:	Forms
Appendix D:	Disclosure of Potential Conflict of Interest Certification
Appendix E:	Prequalification Questionnaire
Appendix F:	Criteria Weighting

1 INTRODUCTION AND GENERAL INSTRUCTIONS

Pursuant to Public Contract Code §6700 et seq., the California Legislature has authorized the Department of Transportation (Department) to engage in a construction manager/general contractor (CMGC) project delivery method as specified for projects for the construction of highways, bridges, or tunnels.

Proposers interested in providing CMGC services, herein referred to as Construction Manager, will partner with the Department's design team on this Project. As part of the Project team, the selected Construction Manager may provide input on schedule, phasing, constructability, cost and estimates, value engineering, and plan review throughout the design process. In addition to aiding the design process, the selected Construction Manager will be asked to prepare and submit a proposed price for the labor, equipment, and materials that will be required to construct the Project based on the design process, plans, specifications, and estimate packages after the Office Engineer review of the Project. If the proposed price is accepted by the Department, a Construction Contract will be issued to the Construction Manager after the completion of the preconstruction phase so that construction of the Project can begin. If the proposed price is not accepted by the Department, the Department, in its sole discretion, reserves the right to end the Construction Manager's participation in the project development process at the completion of the design phase and advertise the Project. Although the selected Construction Manager will be contracted for both the design and construction services of this Project through this selection process, the selected Construction Manager is not guaranteed to receive a Construction Contract to perform the construction if services are terminated at the completion of the design phase.

The CMGC process for the Project will consist of the following: Request for Qualifications (RFQ) for preconstruction services, submittal of a Statement of Qualifications (SOQ), evaluation of submittals, in person interviews with short-listed Proposers selection of the Construction Manager, award and execution of contract for the performance of preconstruction services. Upon the completion of the design phase of the Project or any portion thereof, the Department will begin the price proposal process to determine the price for the construction phase of the Project with the Construction Manager.

The Department hereby requests SOQs from qualified Proposers interested in entering a contract for preconstruction services, with the potential for continuing to a second contract for construction of all or part of the Work, for the South of Salinas Corridor Improvement Project (Project).

The Project, further defined in [Appendix A](#), is intended to (1) improve corridor freight efficiency and (2) reduce points of conflict in order to enhance safety along US 101 South of Salinas (SOS), in a manner that maintains access to adjacent land-uses and respects local farm operations.

1.1 Abbreviations

The following abbreviations are used in this document and are defined as shown below:

CEQA California Environmental Quality Act

CMGC Construction Manager/General Contractor
DBE Disadvantaged Business Enterprise

FHWA Federal Highway Administration
NEPA National Environmental Policy Act
RFQ Request for Qualifications
SOQ Statement of Qualifications

1.2 Definitions

The following terms are used in this document and are defined as shown below:

Term	Definition
Addenda/Addendum	Supplemental additions, deletions, and modifications to the provisions of the RFQ issued after the release of the RFQ.
Affiliate	Includes parent companies, subsidiary companies and partners (in the reporting entity), and other financially liable parties for that entity. Affiliate is further defined as any one of the following: a) Any firm other than Proposer which owns 25 percent or more of Proposer, such as parent companies or holding companies. b) A subsidiary or a firm in which Proposer owns 25 percent or more. c) A firm in which a major stockholder or owner of Proposer owns controlling interest. d) A firm with which Proposer has or has had an unseverable business or professional identity. e) Any permanent or temporary common business enterprise relationship in which the parties share operating responsibility and profits such as joint ventures.
Agreed Price	The compensation payable to the CMGC Contractor in performance of the construction of the Project, or portions of the Project, as specified in the Construction Contract documents.
Business Day(s)	Day that the Department is officially open for business.
Calendar Day(s)	Every day shown on the calendar, beginning and ending at midnight.
CMGC Contractor	Entity that performs as the Construction Manager during the design phase and as the general contractor during the construction phase if an Agreed Price is reached and a Construction Contract is issued.

Term	Definition
CMGC Program	The State's construction manager/general contractor program codified in California Public Contract Code § 6700 et seq.
Construction Contract	The written agreement between the Department and the Construction Manager setting forth the obligations of the parties with respect to the construction of the Project, including the performance of the Work, the furnishing of labor and materials, and the basis of payment.
Construction Manager	A partnership, corporation, or other legal entity that is able to provide appropriately licensed contracting and engineering services as needed pursuant to a Construction Manager/General Contractor method contract.
Construction Manager/General Contractor	A project delivery method where a Construction Manager is procured to provide preconstruction services during the design phase of the Project and construction services during the construction phase of the Project. The execution of the design and the construction of the Project may be in sequential phases or concurrent phases.
Data Room	The Department has established an electronic data room (Data Room) for the distribution of RFQ documents and Addenda to Proposers.
Department	California Department of Transportation
Designated Contact	The Department's sole contact person and addressee for receiving all communications about the Project during the RFQ procurement process.
Disadvantaged Business Enterprise	A for-profit small business concern as defined in 49 CFR Part 26.
Evaluation Team	Committees that review and assess individual SOQs using the criteria set forth in this RFQ.
Good Faith Efforts	All necessary and reasonable steps to achieve a DBE goal or other requirements which could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.
Key Personnel	Proposer identified qualified personnel for key positions with demonstrated experience and expertise and a record of producing quality work on projects of a similar nature to the Project. The key positions as determined by the Department are identified in <u>Section 3.6.1</u> .

Term	Definition
Major Participant(s)	Each of the following entities on the Proposer's team: a) All partners or joint venture members. b) All individuals, persons, proprietorships, partnerships, limited liability partnerships, corporations, professional corporations, limited liability companies, business associations, or other legal entity however organized, holding (directly or indirectly) a 15 percent or greater equity interest in the Proposer. All Major Participants shall be jointly and severally liable to the Department for performance under the Preconstruction Services Contract. Any entity on the Proposer's team which is not jointly and severally liable to the Department for performance under the Preconstruction Services Contract, does not constitute a Major Participant.
Preconstruction Services Contract	The written agreement between the Department and the Construction Manager setting forth the obligations of the parties with respect to the performance of certain services during the design phase, including scheduling, pricing, and phasing to assist the Department to design a more constructible Project.
Preconstruction Services Cost Proposal	The rates proposed by Construction Manager for performance of preconstruction services as indicated on <u>Form H</u> .
Project	South of Salinas Corridor Improvement Project as described in <u>Appendix A</u> .
Proposer	The entity, comprised of an individual, person, proprietorship, firm, partnership, professional corporation, business association, corporation, joint venture, combination thereof, or other legal entity however organized, participating in the procurement process for the Project and that, if successful, will enter into the Preconstruction Services Contract with the Department to provide CMGC services for the Project. All member entities making up the Proposer shall be jointly and severally liable to the Department for performance under the Preconstruction Services Contract. Proposer includes any Major Participant thereof but does not include other entities which do not fall within the definition of Major Participant.
Proposer Representative	The contact person identified in the Statement of Qualifications submitted in response to the RFQ.
Request for Qualifications	The written solicitation issued by the Department to solicit Statements of Qualifications to provide CMGC services to the Department for the Project.

Term	Definition
Right of Way	The real property (which term is inclusive of all estates and interests in real property, as well as licenses and permits authorizing occupancy) that is necessary for ownership and operation of the Project.
State	The State of California acting through its elected officials and their authorized representative, or the State of California in the geographic sense, depending on the context.
Statement of Qualifications	The information prepared and submitted by a Proposer in response to this RFQ.
Subconsultants, Subcontractors	Any person with whom Construction Manager has entered into any subcontract and any other person with whom any Subcontractor or Subconsultant has further subcontracted any part of the Work, at any tier.
Work	The furnishing of labor, materials, equipment, and other incidentals necessary to, or convenient for the successful completion of, the CMGC services for the Project and the carrying out of the duties and obligations imposed by the Preconstruction Services Contract.

1.3 Data Room: RFQ and Addenda

The Department has established an electronic data room (Data Room) for the distribution of RFQ documents and Addenda and the posting of other documents in the Department's discretion at the Cal eProcure Web site address: <https://caleprocure.ca.gov>. Access to the Data Room will be permitted on approximately the date set out in Section 2.

The Department may add, delete, or amend documents in the Data Room at any time. Each Proposer is solely responsible for ensuring that it has the appropriate software to view and download the materials from the Data Room. Registration to the Web site will enable Proposer to receive notifications of any updates or new documents uploaded to the Data Room; however, each Proposer is solely responsible for checking the Data Room frequently for the addition, deletion, or amendment of the materials in the Data Room. Proposers are responsible for monitoring the Web site identified above for information concerning this procurement as Proposers responding to this RFQ shall acknowledge in the Transmittal Letter (Appendix C, Form A) that they have reviewed all materials posted thereon.

1.4 Project Opportunity

1.4.1 Project Description

The Project is located on Route 101, in the County of Monterey, from Main Street overcrossing in the town of Chualar at PM 76.55 to 0.56 miles south of Airport Blvd overcrossing in the City of Salinas at PM 85.04. The project proposes to convert the segment between project postmiles from existing expressway condition to a full access control freeway; including relocating/reconstructing the existing Chualar and Abbott Street interchanges with separated-grade railroad crossings and constructing new local

frontage roads east and west of the highway mainline connecting the reconstructed interchanges, to provide continued access to adjacent properties. A more detailed description of the Project is contained in [Appendix A](#).

The estimated cost of this CMGC Project (in 2026 US dollars) is \$378 million for construction capital and \$48 million for Right of Way capital (including utility relocation).

1.4.2 Project Goals

The Department's goals for the Project are:

- a) **Safety:** No lost time injuries for the Department and CMGC Contractor employees, and no accidents involving the public during construction of Project. Safety should be considered during all project reviews, specifically traffic handling and detouring.
- b) **Mobility:** Minimize planned impacts and provide sufficient notice to the traveling public, local agricultural operations, businesses, emergency services, and railroad operations; no unplanned events that adversely affect the public; maintain access to all modes of transportation; and maintain proper signs and delineation during construction.
- c) **Quality:** Deliver a completed facility using high quality materials and workmanship meeting stakeholder expectations.
- d) **Public Interaction:** Minimize impacts to quality of life such as dust, noise, road closures and elimination of parking, and always provide accurate and advance information to the public.
- e) **Environmental Compliance:** Meet or exceed all environmental commitments and permits.
- f) **Project Delivery:** Complete the Project from design through construction with all lanes to open traffic without further impacts to the traveling public by Fall 2034.
- g) **Innovation:** Use the expertise of the Project team to continually evaluate the design and construction methods and generate innovative ideas to reduce costs, shorten schedule, and deliver a quality Project while maintaining original purpose and need of project, such as application of Building Information Modeling for Infrastructure Design (BIM4i).
- h) **Local Requirements:** Work with Project team to incorporate and meet local and County of Monterey requirements.
- i) **Proactiveness/Risk Management:** Work collaboratively with the Project team to continually re-evaluate Project risks through all phases of the Project. Strive to minimize risks through careful management.
- j) **Development & Maintenance of Partnerships:** Work cooperatively with the Project team and, at the direction of and in coordination with Caltrans staff, external stakeholders (e.g. landowners, ag operators, permitting agencies, the local businesses and community members, railroad, etc.). Communicate effectively with all partners and strive to understand different perspectives and shared goals.
- k) **Schedule Reliability:** Ongoing coordination between project team and construction manager that addresses proactive and accurate construction

schedules and execution of the work that allows for reliable notification of timelines to the public. Utilize coordinated outreach practices in reliable messaging for larger planned traffic impacts (ramp closures, major detouring) to traveling public with lead time with sensitivity to agricultural operations (one month or more depending on event: timing criteria to be determined with project team and sponsor).

1.4.3 Project Authorization

The Department is using the CMGC project delivery method contemplated under the authority established in Public Contract Code §6700 et seq.

1.5 Construction Manager Responsibilities and Project Status

See Appendix A for general descriptions of the Project, the Construction Manager's responsibilities, and current Project status. These general descriptions are currently under further development by the Department and could be changed, modified, reduced, or expanded with the release of subsequent Addenda.

1.6 Federal Requirements

Proposers are advised that the RFQ is being released based on the assumption that the Project and the Department's plan of finance for the Project will remain eligible for Federal-aid funds. Consequently, the procurement documents and any agreements thereunder shall conform to requirements of applicable federal law, regulations, and policies. These include, but are not limited to, Equal Employment Opportunity (Title VI of the Civil Rights Act of 1964, as amended), Disadvantaged Business Enterprises (Title 49 Code of Federal Regulations Part 26, as amended), Small Business requirements (United States Code § 631 et seq.), Buy America requirements (49 Code of Federal Regulations Part 661), and Davis-Bacon wage rates. Details as to the extent and applicability of federal requirements to the entire Project will be set forth in this RFQ. The Department reserves the right to modify the procurement process described in this RFQ to address any concerns, conditions, or requirements of federal agencies, including the FHWA. Since this is a Federal-aid contract, FHWA Form 1273 will apply and shall be physically incorporated into each resultant Construction Contract, subcontract, and lower-tier subcontracts.

1.7 Procurement Process

1.7.1 Single-Phase Procurement

The Department will use a single-phase procurement process to select a CMGC Contractor to deliver the Project. The RFQ is issued to solicit information, in the form of a SOQ and Proposer interviews that the Department will evaluate to determine which Proposers are qualified to successfully deliver the Project in a two-part contract:

1. Part one: A "Preconstruction Services Contract" which includes consulting services to assist with the design of the Project.
2. Part two: A "Construction Contract" to build the Project, if an Agreed Price is reached.

1.7.2 Contract Types

The Preconstruction Services Contract will be a reimbursement contract at specific rates not to exceed \$7.56 million. As shown in Appendix C, Form H, the Preconstruction Services Contract fee is set at four (4) percent and the Preconstruction Services Contract escalation is set at three (3) percent. The Construction Contract will be a unit price contract.

1.7.3 Clarification Questions

Proposers may submit written clarification questions to the Department at any time before 3 p.m. Pacific Time (PT) on the last day for clarification questions listed in Section 2. Written clarification questions from Proposers may be presented to the Department by submitting them to the Department's Designated Contact. The Department will provide responses to Proposer written clarification questions within a reasonable time following receipt, subject to the cut off dates set forth in Section 2. The Department will post responses to those inquiries that the Department deems to be material and that are not adequately addressed in previously provided documents on Cal eProcure.

1.7.3.1 Responses and Confidential Information

The Department may, in its sole discretion, respond to all, some, or none of the questions submitted under this Section 1.7.3. Any responses to questions submitted under this Section 1.7.3 will be in writing and the Department will make available these responses electronically to all Proposers, except that the Department may in its discretion respond individually to those questions identified by a Proposer or deemed by the Department as containing confidential or proprietary information. The Department reserves the right to disagree with a Proposer's characterization of the confidentiality of any information it may provide. The Department may rephrase or consolidate questions as it deems appropriate.

1.7.4 Communications Between the Department and Proposers

1.7.4.1 Designated Contact

The Department's Designated Contact will serve as the primary point of contact during the RFQ procurement phase of the Project. As the Department point of contact, the Designated Contact is the Department's sole contact person and addressee for receiving all communications about the Project during the RFQ procurement process, and Proposers are prohibited from contacting any Department employee, or any of the groups listed in Section 1.10, regarding the Project or this RFQ. Address any and all inquiries and comments regarding the Project by e-mail or letter. Only written inquiries will be accepted:

California Department of Transportation
Division of Procurements and Contracts
1727 30th Street
Sacramento, California 95816-7006
Attention: Alma Cortez, Contract Analyst
e-mail: alma.cortez@dot.ca.gov

1.7.5 Rules of Contact

Proposers are required to conduct the preparation of their SOQs with professional

integrity and free of lobbying activities. Proposers and their respective agents and consultants are not permitted to contact, directly or indirectly, any member of the Evaluation Team, or officers, administrators, staff or consultants of the Department regarding the subject matter of this RFQ after the issuance date of this RFQ, except as specifically permitted hereby or approved in advance by the Department. Any verified allegation that a responding Proposer team or team member or an agent or consultant of the foregoing has made such contact or attempted to influence the evaluation, ranking, and/or selection of Proposers may be cause for the Department to disqualify the Proposer team from submitting a SOQ, to disqualify the team member from participating in a Proposer team and/or to discontinue any further consideration of such Proposer team.

Except for communications expressly permitted by this RFQ, the Designated Contact, or a representative hereafter designated in writing by the Department, is the Department's single contact and source of information for this procurement. The rules of contact set forth in this Section 1.7.5 shall apply during the Project procurement process. The procurement process begins on the date of issuance of this RFQ and is anticipated to be completed with the award of the Preconstruction Services Contract. These rules are designed to promote a fair and unbiased procurement process. Contact includes face-to-face, telephone, electronic mail (e-mail), or formal written communication.

The specific rules of contact are as follows:

- a) Unless otherwise specifically noted in this RFQ or authorized by the Designated Contact, all Proposer communication with the Department will be between the Proposer Representative and the Designated Contact. All such communication shall be in writing (by mail or e-mail).
- b) Under normal circumstances, the Designated Contact will contact a Proposer in writing through the Proposer Representative.
- c) Commencing with the Department's release of this RFQ and continuing until the earliest of (i) execution and delivery of the Preconstruction Services Contract, (ii) the Department's rejection of all SOQs, or (iii) cancellation of the Project procurement, neither a Proposer nor its agents may have ex parte communications with State officials, the Department employees, members of the Evaluation Team or any other person who will evaluate SOQs, California Transportation Commission, Federal Highway Administration, U.S. Department of Transportation, or any person identified in RFQ Section 1.10, regarding the Project, except for communications expressly permitted in this RFQ or through the process identified above. The foregoing restriction shall not preclude or restrict communications regarding matters unrelated to the Project or from participating in public meetings or any public or Department workshops related to the Project. The Department may, in its sole discretion, disqualify any Proposer engaging in such prohibited communications.
- d) Any contact by a Proposer determined to be improper may result in disqualification of the Proposer.
- e) The Department will disseminate written communications regarding the Project from the Department on Department letterhead. The Designated Contact will sign such communications. Alternatively, the Designated Contact may communicate

via e-mail originating from the Department's server or post information on <https://caleprocure.ca.gov>.

- f) The Department will not be responsible for or bound by (i) any oral communication, or (ii) any other information or contact that occurs outside the official communication process specified herein, unless confirmed in writing by the Designated Contact.
- g) If Proposer has meetings or discussions with agencies or entities other than the Department during the procurement phase, Proposer shall be responsible for verifying with the Department's Designated Contact any Project-related information it so receives.

1.8 Precontractual Expenses

Proposers are solely responsible for all costs and expenses of any nature associated with responding to this RFQ, including attending briefing(s) and providing supplemental information.

1.9 Conflict of Interest

The Department has developed a conflict of interest policy for the CMGC Program. The Proposer, Major Participant, other Subconsultants and Subcontractors, and employees of such entities shall conform to federal and State conflict of interest rules and regulations. The following entities and individuals are precluded from submitting a SOQ and from participating in the Preconstruction Service Contract for the Project:

- a) A Proposer, Major Participant or other Subconsultant or Subcontractor, that has done any of the following:
 - i. Consulted to the Department in the development of the CMGC Program.
 - ii. Managed or assisted in the management of this Project.
 - iii. Conducted preliminary design services for this Project.
 - iv. Performed design Work related to this Project for the Department or other stakeholders.
 - v. Performed work on a previous contract that specifically excludes them from participating as a bidder, Proposer, or joining a CMGC team.
 - vi. Contracted with any other entity or stakeholder to perform oversight on this Project after award.
 - vii. Obtained any advice from, or discussed any aspect relating to this Project or award of this Preconstruction Services Contract with, any person or entity with an organizational conflict of interest, including a consultant of any entity who has provided technical support to the Department on this Project or the CMGC Program.
- b) Any entity that is a parent, Affiliate, or subsidiary of any of the foregoing entities, or that is under common ownership, control or management with any of the foregoing entities.
- c) An employee or former employee of any of the foregoing entities who was involved with this Project while serving as an employee of such entity.

The California Board for Professional Engineers and Land Surveyors has established conflict of interest rules applicable to those professionals licensed by the Board (Board Rules 475 and 476).

The Proposer shall complete the Disclosure of Potential Conflict of Interest Certification included as Appendix D in this RFQ for each Major Participant, or other Subconsultant or Subcontractor, and include it as part of the SOQ submittal. If the Proposer determines a potential conflict of interest exists for itself or a Major Participant, or other Subconsultant or Subcontractor, or an employee, the Proposer shall disclose the relevant facts relating to the potential conflict, including the Work performed or to be performed by the entity associated with the potential conflict, and propose measures to avoid, neutralize, or mitigate the potential conflict. The Department will review the Disclosure of Potential Conflict of Interest Certification and the proposed mitigation measures to determine if the Proposer may submit a SOQ or be awarded the Preconstruction Services Contract. Disclosure of a potential conflict of interest will not necessarily disqualify a Proposer.

If an organizational conflict of interest is identified after award of the Preconstruction Services Contract, the Proposer shall make an immediate and full written disclosure to the Department that includes a description of the action that the Proposer has taken or proposes to take to avoid or mitigate the potential conflict.

The Proposer, Major Participant, other Subconsultants or Subcontractors, and employees of such entities who provide design services for this Project are prohibited from competing or participating in an agreement to provide construction engineering and inspection services for this Project. Subconsultants for surveying and materials testing may provide construction services for other Proposers.

Determination of whether a conflict of interest exists, resulting in an unfair competitive advantage and the resolution of a potential or actual conflict of interest are at the sole discretion of the Department. The Department reserves the right to cancel or amend the resulting Preconstruction Services Contract if the successful Proposer failed to disclose a potential conflict which it knew or should have known about, or if the Proposer provided information on the Disclosure of Potential Conflict of Interest Certification that is false or misleading.

If a Proposer requests to use any Department consultants listed in Section 1.10 as participant(s) on the Proposer's team, the Proposer must provide a written legal opinion from a licensed California attorney advising of whether any actual or potential conflict(s) of interest exist with respect to the consultant's potential participation on this Project. The legal opinion should address whether any actual or potential conflict(s) of interest, exist pursuant to any applicable State or Federal authorities, including, without limitation, California Government Code section 1090 et seq. Additionally, the legal opinion must include, without limitation, the following information:

- a) Disclose all of the work performed in relation to the CMGC Program and/or the Project.
- b) Provide all records of such work performed for the Department so that all information can be evaluated and made available to all potential CMGC Proposers, if necessary.

- c) Provide a list of all Project documents the consultant had access to in connection with their participation on this Project. The Department may request these documents for review, evaluation, and/or dissemination.

The above information must be provided by email to the Department's Designated Contact by 12 p.m. seven (7) business days prior to the Final Date for Receipt of Proposers' Questions specified in Section 2. Submittal of this information in a form other than email will not be accepted.

Upon review of the information provided above, the Department will determine if, in the Department's opinion, the consultant may participate in the Project's procurement. As between the proposers and the Department, the Department will have sole discretion as to this determination.

1.10 Department Consultants

The Department has engaged several consultants to assist and participate in the project development stages and/or assist the Department during the procurement process for the Project. These consultant firms are prohibited from participating in any of the Proposer organizations relating to this Project; providing technical, legal, or financial advice to Proposers; or directly discussing any aspect of the RFQ with any Proposer. The consultant firms prohibited from participating include, but are not limited to, the following:

- a) GHD
- b) Kimley Horn
- c) pointC
- d) Mott MacDonald Group Inc.
- e) Stantec Consulting Services
- f) 4M Analytics Inc
- g) ICF Jones & Stokes, Inc.
- h) Far Western Anthropological Research Group, Inc.
- i) JRP Historical Consulting
- j) TRC Engineers
- k) Towill Inc.

1.11 Proposer Requirements

Only the most highly qualified Proposers that have demonstrated the capability to complete this Project in its entirety will be eligible for short-listing. The number of Proposers that will be short-listed is at the Department's sole discretion.

1.11.1 Minimum Requirements

The Proposer shall submit a completed and verified CMGC Prequalification Questionnaire, Appendix E. Instructions for completing the CMGC Prequalification Questionnaire are included in Appendix E. The Proposer shall also meet all SOQ responsiveness requirements as set forth in Section 5.3.1 and meet the minimum passing criteria for legal, financial, and safety requirements as set forth in Section 5.3.2 for non-

scored elements of the SOQ.

1.11.2 Non-Disclosure Requirement

The Proposer may be given access to records, which are confidential under State laws, solely for the purpose of performing the required services under the Preconstruction Services Contract. The Proposer shall be required to sign a non-disclosure statement prior to its receipt of such documents obligating each employee, agent, or Subcontractor of the Proposer not to make inappropriate use of or improperly disclose any of the contents of such documents.

1.11.3 Organizational and Personnel Changes

For the duration of the procurement process, there shall be no change in Proposers' Major Participant(s), Subcontractor(s), Subconsultant(s), or Key Personnel, as identified in the SOQ, without prior written approval by the Department. To qualify for Department approval of a proposed personnel substitution, Proposers shall immediately submit a written personnel substitution request to the Department's Designated Contract, which explains the reason(s) for proposed substitution and demonstrates that the proposed replacement will be equal to or better than the personnel identified in the SOQ that is intended to be replaced. The Department may provide written approval of a request if, in the Department's sole discretion, it determines that the proposed personnel substitution will be equal to or better than the personnel identified in the SOQ that is intended to be replaced. If any personnel substitution request is approved, the Proposer will still be scored based on its original SOQ. Any Proposer that does not receive approval of a proposed personnel substitution request may be found nonresponsive and ineligible for award.

1.12 Equal Employment Opportunity and Nondiscrimination

Work on the job site shall comply with Labor Code §§ 1727 and 1770-1815 and 8 California Code of Regulations § 16000 et seq. Attention is directed to the "Nondiscrimination Clause" that is required by Chapter 5 of Division 4 of Title 2, California Code of Regulations, and to the Standard California Nondiscrimination Construction Contract Specifications under Gov. Code § 12990.

1.13 Disadvantaged Business Enterprise Goal

This solicitation is subject to 49 CFR 26. Proposers shall be fully informed of the requirements of the regulations and the Department's DBE program developed under the regulations. Construction Manager involved in the performance of Work resulting from this RFQ shall take all necessary and reasonable steps to ensure that DBEs have the maximum opportunity to compete for and perform on any Construction Contract resulting from this Preconstruction Services Contract.

As a part of the SOQ submission, Proposers responding to this RFQ shall include with their submission a signed affidavit acknowledging the Proposer's commitment to comply fully with U.S. DOT DBE provisions as set forth under Title 49 CFR Part 26 and subsequent publication of the Federal Register dated June 16, 2003 (Volume 68, Number 115) and the Project DBE goal requirements as further defined in the Construction Contract when issued. Proposers shall complete and return Appendix C, Form F as part of the SOQ confirming the Proposer will aggressively exercise Good

Faith Efforts to the satisfaction of the Department to meet or exceed the Project DBE goal as set forth in the Construction Contract documents.

1.14 Labor Policies

State prevailing wages will apply to this Preconstruction Services Contract. For Federal-aid contracts, federal prevailing wages will also apply. The applicable prevailing wages will be specified in the Construction Contracts.

1.15 Insurance and Bonds

1.15.1 Bond Requirements

It is currently anticipated that the selected Proposer shall submit payment and performance bonds upon execution of the Construction Contract. The payment bond shall be equal to 100 percent of the Agreed Price and the performance bond shall be equal to 50 percent of the Agreed Price. Proposers shall demonstrate their capacity to obtain the required bonds.

Proposers shall attach a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) authorized to issue bonds in the State of California that states both:

- Proposer's current bonding capacity is sufficient for the Project and referenced payment and performance bonds.
- Proposer's current available bonding capacity.

1.15.2 Insurance Requirements

Proposers shall provide evidence of capability to provide insurance as provided in Section 3.3b. In addition, the selected Construction Manager shall indemnify the Department, the Department's consultants and others with respect to claims arising out of the Preconstruction Services Contract or Work.

1.16 Work Performed Prior to NEPA Approval

Prior to completion of the NEPA approval process, any Work done by the Construction Manager shall comply with the following:

- Shall include all alternatives identified and considered in the EIR/EA.
- Shall not make any commitment to any alternative and all alternatives, including the "no-build" alternative, shall be evaluated and fairly considered.
- Shall not include preparation of any NEPA documentation nor include any decision-making authority.
- Shall not include the development of shop drawings or fabrication plans.

The Department will not proceed with the award of a Construction Contract (including early Work packages such as advanced material acquisition or site Work) and will not proceed or permit any consultant or contractor to proceed with construction until the completion of the NEPA approval process for Project.

2 PROCUREMENT SCHEDULE

The Department anticipates the following dates as Project milestones leading to Preconstruction Services Contract award. This schedule is subject to revision by the future Addenda.

Milestone	Date
Issue RFQ	05/18/2026
Data Room, Access Permitted	05/18/2026
Final Date for Receipt of Proposers' Questions	06/15/2026
SOQ Due Date for Electronic and Hardcopy Submittal	07/01/2026
Notice of Short List	09/23/2026
Proposer Interviews	10/08/2026
Anticipated Ranking Determination	10/16/2026
Anticipated Award of Preconstruction Services Contract	11/09/2026
Anticipated Notice to Proceed	01/15/2027
Request to Return Cost Proposal Deadline	02/05/2027
Request Debriefing Meeting Deadline	02/05/2027
Anticipated Award of Construction Contract	01/22/2030
Construction Complete	09/22/2034

3 CONTENT OF STATEMENT OF QUALIFICATIONS

This Section 3 describes specific information that shall be included in the SOQ. Proposers shall provide brief, concise information that addresses the requirements of the Project consistent with the evaluation criteria described in this RFQ. Failure of a Proposer to submit a complete SOQ may result in the SOQ submittal being determined nonresponsive. Proposers shall only submit the information requested. Details pertaining to the organization and format of the SOQ are outlined in Appendix B.

3.1 Proposer's Transmittal Letter

The Proposer shall complete Appendix C, Form A. A duly authorized representative of the Proposer's organization shall sign the letter. For Proposers that are joint ventures, partnerships, or other associations, authorized representatives of the Proposer and all Major Participant(s) of the Proposer shall sign the Transmittal Letter.

The Proposer shall complete Appendix C, Form G, verifying the accuracy of the information submitted as part of the SOQ. For Proposers that are joint ventures, partnerships, or other associations, authorized representatives of the Proposer and all Major Participant(s) of the Proposer shall sign the Proposer SOQ Certification.

3.2 Legal Structure

In order to demonstrate that Proposer's organization, legal structure, team members, and history demonstrate an ability to remain stable and viable for the duration of the Project, and be contractually bound to the Department, Proposers shall address all the following and submit it under Section 1 of the SOQ (narrative in Section 1 shall be a maximum of two (2) pages):

- a) Legal structure of the Proposer and its organization. If the Proposer organization has already been formed, provide the following:
 - i. Complete copies of the organizational documents that allow, or would allow by the time of Preconstruction Services Contract award, the Proposer and all Major Participant(s) thereof to conduct business in the State of California.
 - ii. Complete documentation of the executed agreement between the Proposer and any Major Participant that shows the Major Participant meets the definition of Major Participant in Section 1.2

If the Proposer organization has not yet been formed, provide a brief description of the proposed legal structure and draft copies of the underlying agreements. In the event that final agreements between Major Participants have not been finalized at the time of the SOQ submittal, Major Participants shall submit letters of agreement signed by an authorized officer of each Major Participant noting the type of relationship to be entered into prior to Preconstruction Services Contract (e.g., joint venture, partnership), and the commitment of the parties to finalize the organizational documents prior to execution of the Preconstruction Services Contract. If Proposer is a partnership, joint venture, or other association, the SOQ shall identify the percentage equity interest of each member.

- b) If the Proposer is a partnership, limited partnership, joint venture, or other

association, all members of the Proposer shall agree to be jointly and severally liable to the Department for the performance under the Preconstruction Services Contract by executing the Transmittal Letter in Appendix C, Form A.

- c) Name and describe all Major Participants as defined in this RFQ.
- d) A statement from the Proposer identifying any actual and/or potential conflicts of interests the firm may have (refer to Section 1.9).
- e) In cases where Major Participants on different Proposer organizations belong to the same parent company, each Proposer shall describe how conflicts of interest would be avoided by the participants through the qualification and proposal phases of the Project. The Department may disqualify a Proposer if any of its Major Participants belong to more than one Proposer organization.
- f) Proposer and any Major Participant(s) shall complete Form E found in Appendix C.
- g) Proposer and any Major Participant(s) shall complete Form F found in Appendix C.

3.2.1 Minimum Requirement for Legal Structure

A Proposer shall demonstrate all the following:

- a) The Proposer has the legal capability to carry out the Project responsibilities potentially allocated to it, as demonstrated by the materials provided in Section 1 of the SOQ.
- b) All Major Participants of the Proposer have agreed to be jointly and severally liable to the Department for performance under the Preconstruction Services Contract, as reflected in the executed Transmittal Letter (Appendix C, Form A).
- c) The Proposer has agreed to adhere to the Project's DBE requirements as provided in Appendix C, Form F.
- d) The information disclosed in the SOQ (including Form D and Form E in Appendix C) does not materially adversely affect the Proposer's ability to carry out the Project responsibilities potentially allocated to it.

3.3 Financial Capacity

To demonstrate that the Proposer's team members possess the financial capacity to enter into a Construction Contract with the Department and possess the resources to successfully complete the Project, the Proposer shall address the following and submit under Section 2 of the SOQ:

- a) Provide a letter or other written documentation from a surety or insurance company stating that the Proposer is capable of obtaining a Performance Bond and Payment Bond (refer to Section 1.15 for bond amounts) covering the Project. Letters indicating "unlimited" bonding capability are not acceptable.
- b) Proposers shall provide insurance certifications, either a certificate of insurance evidencing current policies of, or written evidence from an insurance company or broker indicating that the Proposer is capable of obtaining the following types of insurance: Commercial General Liability, Auto Liability, Workers' Compensation/Employers Liability, and Pollution Liability. Policy limit requirements will be

specified in the Preconstruction Services Contract.

3.3.1 Minimum Requirement for Financial Capacity

A Proposer shall demonstrate its financial capability to carry out the Project responsibilities potentially allocated to it, as demonstrated by the materials provided in Section 2 of the SOQ, including but not limited to all the following:

- a) The surety or insurance company shall be admitted to do business in the State of California.
- b) The surety or insurance company shall be rated in the top two categories by two nationally recognized rating agencies or have a rating from A.M. Best Financial Strength Rating of A- or better and Financial Size Category of VII or better.
- c) Proposer shall demonstrate its ability to comply with the Project's bonding requirements, as provided in Section 1.15.
- d) Proposer's Major Participants shall provide evidence of capability to provide insurance as provided in Section 3.3b.

3.4 Safety Program

The Proposer shall provide its safety record for the most recent three (3) year period, including an average experience modification rate, an average total recordable injury/illness rate, and average lost work rate. The safety record shall also indicate whether Proposer is a party to an alternative dispute resolution system as provided for in Labor Code §3201.5. The Proposer shall also include information on any California Occupational Safety and Health Administration (Cal-OSHA) or Federal Occupational Safety and Health Administration (FOSHA) citations and assessed penalties against the respondent for any serious, willful, or repeat violations of its safety or health regulations in the past five (5) years.

The Proposer shall also provide information on its workers' compensation experience history for the last three (3) years and submit a summary of its worker safety program. The worker safety program shall include a description of how the Proposer will provide protection to prevent damage, injury, or loss to employees of the Proposer and its Subconsultants and Subcontractors and other persons who are on the Project site and will minimize lost or restricted workdays due to injuries.

Safety information shall be submitted under Section 3 of the SOQ.

3.4.1 Minimum Requirement for Safety Program

The Proposer shall demonstrate the following:

- a) The Proposer's safety record shall be deemed acceptable if its experience modification rate for the most recent three-year (3-year) period is an average of 1.00 or less, and its average total recordable injury/illness rate and average lost work rate for the most recent three-year (3-year) period does not exceed the applicable statistical standards for its business category or if the Proposer is a party to an alternative dispute resolution system as provided for in Labor Code §3201.5.
- b) Proposer demonstrates an understanding of an effective safety program.

3.5 Proposer and Each Major Participant Experience and Past Performance

To demonstrate experience, expertise, competence, capability, and capacity in, and a record of producing quality work on projects similar to the Project, the following shall be submitted under Section 4 of the SOQ:

- a) Capability and capacity:
 - i. Provide a brief narrative summary of the capability and capacity of each Major Participant. Summaries shall be a maximum of two (2) pages for each firm, the format is at the discretion of the Proposer.
 - ii. Proposers may also include up to one (1) additional page summarizing the projects submitted in response to Section 3.5 b) and how they compare to the Project and the evaluation criteria listed in Section 3.5.1.
 - iii. Proposers may include a firm summary for each Subconsultant/Subcontractor that is providing Key Personnel which shall be limited to one (1) page in total for each firm. However, for the avoidance of doubt, submission of a brief narrative summary of the capability and capacity of Subconsultants/Subcontractors and other entities which do not meet the specific definition of Major Participant set forth in Section 1.2, will not be permitted under Section 3.5 (a) (i).
- b) Firm Experience: Using Appendix C, Form B, show the firm's experience by providing a minimum of three (3) but no more than five (5) project descriptions for each Major Participant (not to exceed 10 total project descriptions for the Proposer team). If Construction Manager is a joint venture or partnership, each member or partner shall submit independent Form Bs. However, for the avoidance of doubt, submission of any Appendix C, Form B for Subconsultants/Subcontractors and/or other entities which do not meet the specific definition of Major Participant set forth in Section 1.2, will not be permitted under this Section 3.5. For the projects in which several of the proposed Major Participants were involved, Proposers may provide a single project description. If Proposer is a not-yet-existing entity or is a newly formed joint venture provide a total of three (3) to five (5) projects that the Major Participants have managed, designed, or constructed. Highlight experience in the past 15 years on completed projects having a scope comparable to that anticipated for this Project. Describe the experiences that Major Participants could apply to this Project. In particular, demonstrate experiences in each of the following areas and provide contact information for owner representatives on each project for verification of the following:
 - i. Construction of projects of similar size, scope, and complexity.
 - ii. Accelerated construction of major elements common to this Project.
 - iii. Implementation of complicated staging and traffic control handling.
 - iv. Coordination of complex public utility relocation and construction of municipal utilities (i.e., water and sewer).
 - v. Experience of team members working together as an integrated team.

- vi. Construction/reconstruction using innovative designs, methods, and materials.
- vii. Staged bridge construction over existing freeway and railroad.
- viii. Construction of jointed plain concrete pavement and/or continuously reinforced concrete pavement.
- ix. Innovative soundwalls/retaining wall design to reduce construction timeline and impacts.
- x. Coordinating work and traffic control with adjacent contracts performing similar highway work.
- xi. Compliance with environmental regulations and restrictive permit requirements.
- xii. Constructing controversial or highly sensitive public projects, including experience in coordination with local and regional agencies on similar sized projects.

Each project description shall include the following information as appropriate:

- a) Name of the project, contract number, the owner's contact information (construction manager or engineer name, phone number, e-mail address), and project number. If the owner's contact is no longer with the owner, provide an alternative contact at the agency that is familiar with the project. The alternative contact shall have played a leadership role for the owner during the project.
- b) Dates of construction, and/or warranty periods.
- c) A narrative describing the project.
- d) Description of the work or services provided, and percentage of the overall project actually performed by (each of) the Major Participant(s).
- e) Description of scheduled completion deadlines and actual completion dates.
- f) Description of how, if any, the Major Participants have worked together in the past and the experience such Major Participants have in conventional design-bid-build and innovative delivery projects of comparable size.
- g) Initial construction bid price and final construction contract price for the project, including the quantity and dollar value of contract modifications and claims, and an explanation of the causes for construction contract change(s), whether upward or downward.
- h) Record of cost and schedule growth or reduction, cost reduction incentive proposals implemented to minimize cost and schedule growth, and experience with techniques to achieve goals of avoiding delays and minimizing claims.
- i) Claims history, numbers, and dollars submitted and final results.
- j) Dispute Review Board history including subjects and outcomes.

3.5.1 Proposer and Each Major Participant Experience and Past Performance Evaluation Criteria

Successful Proposers and all Major Participant(s) shall demonstrate experience in all the following:

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- a) Experience in successfully managing and constructing projects of the size, scope, and complexity of this Project while assuring quality and safety on time and within budget.
 - b) A record of managing contracts to minimize delays, claims, dispute proceedings, litigation, and arbitration.
 - c) Integrate the different parts of its organization with the owner in a cohesive and seamless manner. A record of resolving third party matters (e.g. permits, utilities, etc.) and working with owner to obtain railroad rights/agreements and leading railroad coordination.
 - d) The ability to develop and implement innovative solutions to accelerate construction and minimize impacts to stakeholders (e.g. agricultural operations, goods movement, traveling public, environmental impacts, community impacts, railroad).
 - e) The ability to develop and implement innovative solutions to accelerate construction and minimize impacts to stakeholders (e.g. local agricultural operations, traveling public, environmental impacts, community impacts).
 - f) Experience coordinating and working with multiple closures and detours while maintaining acceptable local circulation patterns and access.
 - g) Experience completing contracts in a freight corridor with multiple construction contracts and/or contracts occurring concurrently.
 - h) Experience effectively coordinating and communicating with the owner's representatives and local stakeholders to address conflicts and with developing and implementing innovative solutions to problems which arise in the course of delivering complex and/or politically sensitive projects.

3.6 Proposer's Key Personnel

Proposer shall identify the qualified personnel for key positions with demonstrated experience and expertise and a record of producing quality work on projects of a similar nature to this Project. The key positions for the purposes of this RFQ are identified in Section 3.6.1.

The following information shall be submitted under Section 5 (resumes shall be submitted under Appendix A) of the SOQ:

- a) Key Personnel: Using Appendix C, Form D, list appropriate information on each Key Personnel position described in Section 3.6.1.
- b) An organizational chart. A narrative of the Key Personnel may be included. The organizational chart and narrative shall be limited to two (2) pages in total.
- c) Required Resumes: Resumes shall only be submitted for Key Personnel listed in this RFQ and shall be limited to four (4) pages for the Project Manager, four (4) pages for the Project Construction Manager, and three (3) pages for all other Key Personnel. Resumes will not be counted toward the overall SOQ page limit. If an individual fills more than one position, only one (1) resume is required. Resumes for Key Personnel shall include the following items on each resume:
 - i. Relevant licensing and registration.

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- ii. Years of experience performing similar work comparable to that anticipated for the Project.
 - iii. Actual work examples (include the capacity on the project in which the person worked (e.g., lead design engineer, utility coordinator). Include duties performed and percentage of time on the job. For each project listed provide:
 - Name of the project, the owner's contact information (project manager name, phone number, e-mail address), and project number. If the owner project manager is no longer with the owner, provide an alternative contact at the agency that is familiar with the project. The alternative contact shall have played a leadership role for the owner during the project.
 - Dates of work performed on the project.
 - Detailed description of the work or services provided and role on the project. If more than one role was played, identify the dates and duration of each role.
 - iv. Percent time committed to the Project, including percent of time during design and construction activities.
 - v. A table summarizing information on concurrent projects committed to during the Project known as of the SOQ due date. This attachment shall be limited to only one (1) page for each resume submitted and does not count toward the page limit stated in Section 3.6 c). Table shall include the following information on concurrent projects:
 - Role on project
 - Project description
 - Project construction cost estimate
 - Client name
 - Target contract completion date
 - Percent time committed to project
- d) Required Licenses: Evidence that the Proposer and all Major Participants have, or at the time of Preconstruction Services Contract award shall have, all licenses, registrations, and credentials required to construct the Project, including date(s) obtained or anticipated to be obtained, type, number, classification, issuing agency, and expiration date. Such information shall include any information on the revocation or suspension of any license, credential, or registration, and to provide specific details, including date(s) and reason(s) for revocation or suspension, whether same was reinstated, and any conditions thereto. At the time the Preconstruction Services Contract is awarded, the Construction Manager shall be properly licensed in accordance with the laws of this State. The first payment for Work or material under any contract shall not be made unless and until the Registrar of Contractors verifies to the agency that the records of the Contractors' State License Board indicate that the Construction Manager was properly licensed at the time the Preconstruction Services Contract was awarded. Any contractor

not so licensed shall be subject to all legal penalties imposed by law, including, but not limited to, any appropriate disciplinary action by the Contractors' State License Board. Failure of the Proposer to obtain proper and adequate licensing for an award of a contract shall constitute a failure to execute the Preconstruction Services Contract.

3.6.1 Key Personnel

The following provides a brief job description and duties of the Key Personnel functions assigned to the Project. The job descriptions and reporting structure below are suggested only, however all functions identified shall be met by the Proposer in the titles and reporting structure provided. An individual may fill more than one functional position.

The Proposer shall provide job descriptions, responsibilities, and authority for each working title. Identify and discuss the qualifications of the following Key Personnel of the team, describe how they will meet the stated Project goals including building a professional and collaborative Project team. For each working title identify any projects that the person will be involved with concurrently and the time commitment to each:

- a) **Project Manager:** Overall Project Manager for the CMGC services and construction services. This project manager is expected to be involved in the CMGC Services and help with continuity in the construction phases. This person will be the main point of communication to the Project team. The Project Manager will be responsible to ensure adequate personnel and other resources are made available for the Project, will handle contractual matters, and will be responsible for quality and timeliness of the team performance. Identify any projects that person will be involved with concurrently and time committed to each project. List recent similar projects for which this person has performed a comparable function. Discuss relevant experience, professional registrations, education, and other components of qualifications applicable to this Project.
- b) **Project Construction Manager:** Responsible for ensuring that the Project is constructed in accordance with the design and Project requirements. Shall be present at the site of Work at all times construction is in progress. List recent similar projects for which this person has performed a comparable function. Responsible for ensuring project is constructed in accordance with environmental commitments/permits. Responsible for ensuring traffic management sensitivity to agriculture business needs. Must demonstrate experience working on projects with similar agricultural context with specialized ag sensitive detour needs. Must demonstrate experience working on projects with similar disadvantaged community context with specialized community-sensitive detour needs. Discuss relevant experience, professional registrations, education, experience with implementation of BIM or BIM4i, and other components of qualifications applicable to this Project.
- c) **Lead Estimator/Scheduler:** Responsible for the estimating for each milestone Opinion of Probable Construction Cost, the open cost model, and any reports required by the Department regarding estimation. Should be a construction cost estimator with experience in assessing price and risk, and discussion of assumptions. Responsible for creating and updating Project preconstruction and

construction schedules including each Project phase and key milestones, deliverables, and dependencies, along with durations for design, preconstruction, procurement, construction management, and construction work. List recent similar projects for which this person has performed a comparable function. Discuss relevant experience, professional registrations, education and other components of qualifications applicable to this project.

- d) Right of Way Coordinator/Liaison: Responsible for providing information on construction means and methods to project team to inform/support ROW needs (e.g. railroad coordination, utilities relocation, temporary/permanent easements, fee acquisition, impacts to agricultural operations/parcels), including leadership of task teams for railroad, utility and ROW related tasks.
- e) Up to two (2) other persons that the Proposer considers as key to the success of the Project which may include Subcontractors who will provide special expertise or will perform key tasks. Describe their anticipated roles. Discuss their relevant experience, registration, education, and other elements of qualification applicable to this Project.

3.7 Project Understanding and Approach

Proposers shall demonstrate the following:

- a) An understanding of and approach to the management, technical aspects, and maintenance of traffic issues and risks associated with the Project.
- b) An understanding of and approach to how the CMGC process and the Proposer's organization will contribute to the success of the Project and meet the Department's Project goals.
- c) An understanding of the risk sharing and the teaming relationship between the Construction Manager and the Department.

Requirements and information to be submitted under Section 6 of the SOQ shall be a maximum 20 pages and include the following:

- a) A narrative describing the Proposer's understanding of the Project scope.
- b) A narrative description of the Construction Manager's approach to CMGC project contracting to ensure a successful Project, considering the Departments Project goals listed in Section 1.4. The management approach shall reflect an understanding of the use of the CMGC project delivery methodology for transportation projects.
- c) Identification of the top construction, design, Right of Way, environmental and stakeholder risks of the Project in terms of Project constraints, the Proposer's understanding of the risks, and potential solutions to address the risk. A narrative description of the Proposer's approach to managing risks including methods for identifying and pricing risks.
- d) Discussion of any innovative ideas that may assist the Project team in meeting Project goals. Discuss the impacts of the innovations on time, cost, and/or quality.
- e) A narrative description of the safety considerations specific to the Project and the Proposer's overall approach to safety.

3.7.1 Project Understanding and Approach Evaluation Criteria

Successful Proposers shall demonstrate a clear understanding of the following:

- a) Identification of Project elements, Project's local and regional significance, agricultural community context, surrounding agricultural industry transit needs/seasonal traffic patterns, and the relationships of the Project elements and constraints and their effect on the Project.
- b) A proposed methodology for integrating the CMGC entity and associated key personnel into an efficient and effective organization in cooperation with the department's and project sponsor's project team. The management approach reflects an understanding of the use of the CMGC project delivery methodology for transportation projects to ensure a successful Project, considering the Department's Project goals listed in Section 1.4.
- c) The Proposer has carefully considered anticipated top priority construction, design, Right of Way, environmental, and stakeholder risks of the Project in terms of Project constraints; lays out feasible proposed solutions to identified risks; and has developed an approach to managing risk that includes proactive elements and/or tools.
- d) Proposed approach to innovation that demonstrates Proposer's understanding of the Project constraints and the Department's Project goals, such as willingness to collaborate on BIM4i approach.
- e) An approach to safety that will enhance the safety of the workforce and/or traveling public both during and after the construction of the Project.
- f) Explain how the proposer will ensure effective knowledge transfer from preconstruction to construction staff, including documentation of key decisions, project records, project history, and estimate development. Include how project documents, cost assumptions, and proposed and approved innovations will be tracked, communicated, and transitioned to support continuity and successful construction delivery. Including how key personnel will transition from pre-construction to construction implementation, maintaining staff continuity.

4 SOQ SUBMITTAL REQUIREMENTS

This Section 4 describes requirements that all Proposers shall satisfy in submitting SOQs. Failure of any Proposer to submit its SOQ as required in this RFQ may, at the Department's sole discretion, result in rejection of its SOQ. All rejected SOQs will be returned to the Proposers Representative identified in the SOQ.

4.1 General Requirements

Required forms for the SOQ are contained in the Appendix of this RFQ. Any material modification to the forms may result in the SOQ being declared non-responsive. Proposers shall provide brief, concise information that addresses the objectives and the requirements of the Project consistent with the evaluation factors described in Section 5.3. Lengthy narratives containing extraneous information are discouraged. If the Proposer submits information in its SOQ that it believes to be protected records under the Public Records Act and that it wishes to protect from disclosure, the Proposer shall mark such information as provided in Section 6.2.

4.2 Quantities, Due Date, Time, and Location

A hard copy and an electronic submittal of the SOQ shall be provided.

The outside of the sealed SOQ packages shall be clearly identified and labeled as follows:

1. Return address: Proposer's name, contact person's name, mailing address.
2. Date of submittal.
3. Contents labeled as "050H33CM" "Statement of Qualifications," and "DO NOT OPEN."

The hard copy SOQ submittal shall be received by 3 p.m. PT on the day specified in Section 2 and delivered to the following:

State of California Department of Transportation Division of Design, MS-28 1120 N Street Sacramento, CA 95814 Attention: Nin Tran Telephone: (209) 429-1202

One (1) Disclosure of Potential Conflict of Interest Certification (Appendix D) with original signatures, one (1) copy of each completed Prequalification Questionnaire (Appendix E), and one (1) copy of the Preconstruction Services Cost Proposal are to be provided in separate sealed packages and delivered to the address above.

For hand-delivered SOQ submittals to Sacramento, call Nin Tran , at (209) 429-1202 one (1) working day before the SOQ due date specified in Section 2 to prearrange the day and time for SOQ hand delivery.

The electronic SOQ submittal shall be received by 3 p.m. PT on the day specified in Section 2 and can be submitted in one of two ways as follows:

- a) E-mail the downloadable weblink to Innovative.Delivery@dot.ca.gov for the Department to download files.
- b) E-mail Innovative.Delivery@dot.ca.gov requesting access to the Department's file share folder to upload files.

Contents of the electronic SOQ submittal shall include the following:

1. SOQ
2. Pre-Qualification Questionnaire
3. Disclosure of Potential Conflict of Interest

SOQ submittals will be considered non-responsive if all required copies are not received in the specified location by the date and time specified in this RFQ. Fax copies of the SOQ will not be accepted. Any SOQ that fails to meet the deadline will be rejected without opening, consideration, or evaluation and will be returned, unopened, to the sender.

4.3 Format Requirements

A Proposer's SOQ format shall adhere to the requirements outlined in Appendix B. Additional information beyond those requirements contained in Appendix B may be provided; however, members of the Evaluation Team are required to review only those materials identified in Appendix B.

The front cover of each SOQ shall be labeled with "South of Salinas Corridor Improvement Project", "Statement of Qualifications" and the date of submittal.

4.4 Preconstruction Services Cost Proposal

Proposers shall submit a sealed Preconstruction Services Cost Proposal using Form H in Appendix C. Only the cost proposal of the highest ranked Proposer will be opened. All unopened cost proposals will be returned upon request by the date specified in Section 2, otherwise the cost proposals will be destroyed. Proposers shall submit a statement indicating whether or not Proposer's overhead rate has been audited by the Department Division of Audits and Investigations or other equivalent method. The Preconstruction Services Cost Proposal shall also be accompanied by a certification by an official of the Proposer that all costs are allowable in accordance with the federal cost principles. The official shall be an individual executive or financial officer of the Proposer's organization, at a level no lower than a Vice President or Chief Financial Officer, or equivalent, who has authority to make representations about the financial information used to establish the overhead rate submitted. The certification shall read exactly as follows:

"Certificate of Final Indirect Costs

This is to certify that I have reviewed this proposal to establish final indirect cost rates and to the best of my knowledge and belief:

1. All costs included in this proposal (identify proposal and date) to establish final indirect cost rates for (identify period covered by

- rate) are allowable in accordance with the cost principles in 2 CFR part 200 subpart E; and
2. This proposal does not include any costs which are expressly unallowable under applicable cost principles of 2 CFR part 200 subpart E.”

4.5 Challenges

The decision of the Department as to Proposer selection and the subsequent award of the Preconstruction Services Contract shall be final and shall not be appealable, reviewable, or reopened in any way, except as provided in Section 6. Parties participating in the RFQ phase of this procurement shall be deemed to have accepted this condition and the other requirements of this RFQ.

5 EVALUATION PROCESS

This Section 5 outlines the evaluation factors for the RFQ phase of the procurement. This information is intended to assist Proposers in organizing their teams and preparing their SOQs.

5.1 SOQ Evaluation

The Department will evaluate the SOQs based on the rating and scoring information outlined in this Section 5. As a result, each Proposer submitting a responsive SOQ will be ranked. Proposer's ranking will be announced.

5.2 Evaluation Objective

The objective of the RFQ step of the procurement is to identify Proposers with the legal, technical, financial, and management capability, capacity, and experience necessary to successfully undertake and complete the Work. The Department has set high responsibility standards for the Construction Manager, which is reflected in the evaluation factors of this RFQ and will be reflected in the Preconstruction Services Contract.

5.3 SOQ Evaluation Factors

The information submitted in accordance with Section 3 will be evaluated by the Evaluation Team in accordance with the initial responsiveness review as defined in Section 5.3.1, the non-scored categories listed in Section 5.3.2, and the scored categories as set forth in Section 5.3.3.

5.3.1 Initial Responsiveness Review

Each SOQ will initially be reviewed on a pass/fail basis for: (a) minor informalities, irregularities, and apparent clerical mistakes which are unrelated to the substantive content of the SOQ, (b) the SOQ's conformance to the RFQ instructions regarding organization and format, and (c) the responsiveness of the Proposer to the requirements set forth in the RFQ. Proposers submitting SOQs not responsive to this RFQ may be excluded from further consideration. The Department may also exclude from consideration any SOQ that contains a material misrepresentation.

5.3.2 Non-Scored SOQ Categories

Each non-scored category of a responsive SOQ will be evaluated on a non-scored pass/fail basis. For a SOQ to achieve a passing rating, each of the following categories shall meet the minimum requirements as set forth below:

- a) Legal: The SOQ complies with and meets or exceeds the minimum requirements listed in Section 3.2.1.
- b) Financial: The SOQ complies with and meets or exceeds the minimum requirements listed in Section 3.3.1.
- c) Safety: The SOQ complies with and meets or exceeds the minimum requirements listed in Section 3.4.1.

5.3.3 Scored SOQ Categories

Each scored category of a responsive SOQ will be evaluated and scored by the Evaluation Team according to the following, using the criteria weighting outline provided in Appendix F:

- a) Proposer Experience and Past Performance: The SOQ will be evaluated against the criteria established under Section 3.5.
- b) Proposer's Key Personnel: The SOQ will be evaluated against the criteria established under Section 3.6.
- c) Project Understanding and Approach: The SOQ will be evaluated based on the criteria established under Section 3.7.

5.3.4 Scored Interview

The top-ranked Proposers based on their SOQ scores will be short-listed and interviewed. Interviews will be held on the date specified in Section 2 and will consist of a presentation by the Proposer followed by a question-and-answer discussion session. The presentation shall not be used to fill in missing or incomplete information that was required in the SOQ. No new information shall be presented by any Proposer at the interview. An interview invitation letter will provide items for discussion during the interview presentation. Date, time, location, required personnel, allotted time for the interviews, and equipment available to Proposer for the presentation, shall also be provided in the interview letter. Only Key Personnel listed by the Proposer in its SOQ shall participate in the interview. The Proposers will be evaluated based on their presentation and responses to questions and a single score will be established.

5.4 Evaluation and Scoring Process

The Evaluation Team will evaluate the non-scored SOQ categories as defined under Section 5.3.2. The Evaluation Team will evaluate the scored categories as defined under Section 5.3.3 based on the criteria weighting outline in Appendix F. The Evaluation Team will evaluate and score the interview as defined in Section 5.3.4. The overall score for each scored element will be a consensus score from the Evaluation Team based on individual assessment of the SOQs by the Evaluation Team members.

5.5 Notification of Rankings

Upon completion of the SOQ evaluation, interviews, and scoring process, the Department will notify each Proposer in writing of the final rankings. The Department will also publish the names and rankings on its CMGC Program Web site:

<https://dot.ca.gov/programs/design/construction-manager-general-contractor>

Announcement of final rankings may be expected not later than the date specified in Section 2.

6 PROTEST PROCEDURES AND PUBLIC RECORDS ACT

6.1 Protest Procedures

This Section 6 sets forth the exclusive protest remedies available with respect to this RFQ. Each Proposer, by submitting its SOQ, expressly recognizes the limitation on its rights to protest contained herein, and expressly waives all other rights and remedies. Each Proposer agrees that the decision on any protest, as provided herein, will be final and conclusive. These provisions are included in this RFQ expressly in consideration for such waiver and agreement by the Proposers.

All protests and related statements described in this section shall be e-mailed to: Saad.Samani@dot.ca.gov and cc: Innovative.Delivery@dot.ca.gov.

Proposers shall retain the original hardcopy protest and related statements, if applicable. If requested by the Department, the original hardcopy protest and related statements shall be provided to the Department.

6.1.1 *Protests Regarding RFQ Documents*

Proposers may protest the terms of this RFQ on the grounds that (a) a material provision in this RFQ is ambiguous, (b) any aspect of the procurement process described herein is contrary to legal requirements applicable to this procurement, or (c) this RFQ in whole or in part exceeds the authority of the Department. Protests regarding this RFQ shall be filed only after the Proposer has informally discussed the nature and basis of the protest with the Department in an effort to remove the grounds for protest.

Protests regarding the RFQ documents shall completely and succinctly state the grounds for protest and shall include all factual and legal documentation in sufficient detail to establish the merits of the protest. Evidentiary statements, if any, shall be submitted under penalty of perjury.

Protests shall be filed as soon as the basis for protest is known to the Proposer, but in no event later than five (5) Business Days before the SOQ due date specified in Section 2. The protestant shall have the burden of proving its protest by clear and convincing evidence.

No hearing will be held on the protest, but it shall be decided, on the basis of the written submissions, by the Department's Director or designee, whose decision shall be final and conclusive and not subject to legal challenge unless wholly arbitrary. The Department's Director or designee will issue a written decision regarding any protest to each Proposer. If necessary to address the issues raised in a protest, the Department may make appropriate revisions to the RFQ documents by issuing Addenda. Notwithstanding the existence of a protest, the Department may continue the procurement process or any portion thereof.

The failure of a Proposer to file a basis for a protest regarding the RFQ documents within the applicable period shall preclude consideration of that ground in any protest of a selection or qualification unless such ground was not and could not have been known to the Proposer in time to protest prior to the final date for such protests. The Department may extend the SOQ due date, if necessary, to address any such protest issues. If the

protest is granted, the Department shall not be liable for payment of the protestant's costs or attorneys' fees. The Department shall not be liable for any damages to the Proposer filing the protest or to any participant in the protest, on any basis, express or implied.

6.1.2 Protests Regarding Final Rankings Decision

Any protest regarding the final rankings decision shall be filed within five (5) Business Days after the earlier of (a) the public announcement of the rankings of Proposers, or (b) notification of the rankings of Proposers. The Proposer filing the protest shall concurrently file a copy of the protest with the other Proposers whose addresses may be obtained from the Department. The notice of protest shall specifically state the grounds for the protest.

Within five (5) Business Days after delivery of the notice of protest to the Department, the protestant shall file a detailed statement of the grounds, legal authority and facts, including all documents and evidentiary statements in support of the protest. The protestant shall concurrently file a copy of the detailed statement with the other Proposers. Evidentiary statements, if any, shall be submitted under penalty of perjury. The protestant shall have the burden of proving its protest by clear and convincing evidence. Failure to file a protest within the applicable period shall constitute a waiver of the right to protest the final rankings decision other than any protest based on facts not reasonably ascertainable as of such date.

Other Proposers may file statements in support of or in opposition to the protest within five (5) Business Days of the filing of the detailed statement of protest. The Department will promptly forward copies of any such statements to the protestant. Any evidentiary statements shall be submitted under penalty of perjury. The Department may also, at their option, submit a statement regarding the protest.

The Department's Director or designee will only consider, based on a preponderance of the evidence, whether the Department's determination is arbitrary, capricious or contrary to law, and will either affirm the Department's original determination or recommend remedial steps, if appropriate, to address the issues raised in the protest. The Department's Director or designee will issue a written decision regarding the protest within 30 Calendar Days after the filing of the detailed statement of protest. The decision shall be final and conclusive and not subject to legal challenge unless wholly arbitrary. Unless otherwise required by law, no evidentiary hearing or oral argument shall be provided, except, in the sole discretion of the Department's Director or designee, a hearing or argument may be permitted if necessary for the protection of the public interest or an express, legally recognized interest of a Proposer.

The Department shall not be liable for any damages to the entity filing the protest or to any participant in the protest, on any basis, express or implied.

6.2 Public Records Act

Responses to this RFQ are subject to the provisions of the California Public Records Act (Government Code §6250 *et seq.*), PCC §10165 and PCC §6703(a)(2).

Documents provided by the Proposer marked "Trade Secret", "Confidential", or "Proprietary" and any financial records provided by the Proposer shall be submitted in a separate sealed envelope clearly identified, labeled and addressed in the same manner

specified for the CMGC Prequalification Questionnaire provided in Appendix E. Only one (1) copy of each document shall be submitted.

The Department stipulates and expressly acknowledges that the documents marked "Trade Secret", "Confidential", or "Proprietary" constitutes trade secrets and will not be deemed public records. This acknowledgment is based on the Department's express understanding that the information contained in the documents is not known outside the Proposer's business, is known only to a limited extent and only by a limited number of employees of the Proposer, is safeguarded while in the Proposer's possession, is extremely valuable to the Proposer and could be extremely valuable to the Proposer's competitors by virtue of it reflecting the Proposer's contemplated techniques of construction. The Department acknowledges that the documents include a compilation of information used in the Proposer's business, intended to give the Proposer an opportunity to obtain an advantage over competitors who do not know of or use the contents of the documents. The Department agrees to safeguard the documents, and all information contained therein, against disclosure, including disclosure of Subcontractor documents to the Proposer and other Subcontractors to the fullest extent permitted by law. In the event of arbitration or litigation, the documents shall be subject to discovery, and the Department assumes no responsibility for safeguarding the documents unless the Proposer has obtained an appropriate protective order issued by the arbitrator or the court.

Proposers' SOQs, strength and weakness evaluation, and scores are available upon written request after the Department awards and executes the Preconstruction Services Contract. However, if the Preconstruction Services Contract is not awarded or the contract is cancelled, no records will be released.

7 DEBRIEFING MEETINGS

Once the Department awards and executes the Preconstruction Services Contract with the selected Construction Manager, the Department will arrange meetings with each of the Proposer organizations upon written request by Proposer to Innovative.Delivery@dot.ca.gov with “050H33CM–Highway 101: South of Salinas Corridor Improvement Project–Debrief Request” in the subject line by the date noted in Section 2. However, if the Preconstruction Services Contract is not awarded or the contract is cancelled, no debriefing meeting will be provided by the Department. These debriefing meetings give Proposers and the Department an informal setting to discuss the Proposer’s SOQ and the procurement process.

8 DEPARTMENT RESERVED RIGHTS

The Department reserves to itself all rights available to it under the Public Contract Code and applicable law, including without limitation, the following, with or without cause and with or without notice to:

- a) Withdraw or cancel this RFQ in whole or in part at any time prior to the execution by the Department of a Preconstruction Services Contract, without incurring any cost obligations or liabilities.
- b) Issue a new RFQ.
- c) Accept or reject any and all submittals.
- d) Modify dates set or projected in this RFQ.
- e) Terminate evaluations of submittals received.
- f) Waive any informalities, irregularities, or omissions in a SOQ.
- g) Issue Addenda to this RFQ.

SOQs received become the property of the Department and will not be returned to the Proposer.

The Department assumes no obligations, responsibilities, and liabilities, fiscal or otherwise, to reimburse all or part of the costs incurred or alleged to have been incurred by parties responding to this RFQ. All such costs shall be borne solely by the Proposer. In no event shall the Department be bound by, or liable for, any obligations with respect to the Project until such time (if at all) as a Preconstruction Services Contract, in form and substance satisfactory to the Department, has been authorized and executed by the Department and, then, only to the extent set forth therein. The Department makes no representations that the Preconstruction Services Contract will be awarded based on the requirements to this RFQ.

8.1 Department Disclaimers

In issuing this RFQ and undertaking the procurement process contemplated hereby, the Department specifically disclaims the following:

- a) Any obligation to award or execute a Preconstruction Services Contract pursuant to this RFQ.
- b) Any obligation to award or execute a Construction Contract in the event the “no build” alternative is selected during the environmental process.
- c) Subject to Section 1.8, any obligation to reimburse a Proposer for any costs it incurs under this procurement.

In submitting a SOQ in response to this RFQ, the Proposer is specifically acknowledging these disclaimers.

APPENDIX A: PROJECT DESCRIPTION, PROJECT STATUS, AND CONSTRUCTION MANAGER RESPONSIBILITIES

- A1 Project Description**
- A2 Project Status**
- A3 Construction Manager Responsibilities**
 - A3.1 Design-Related Preconstruction Services**
 - A3.2 Construction-Related Preconstruction Services**
 - A3.3 Schedule -Related Preconstruction Services**
 - A3.4 Administrative-Related Preconstruction Services**
- A4 Additional Project Documentation**

A1 Project Description

The Project is located in the County of Monterey on Route 101 from post mile 76.55 to post mile 85.04 extending from the community of Chualar north to the southern edge of the City of Salinas. The Project will reconstruct interchanges at Chualar Main Street and Abbott Street south of Salinas with separated railroad crossings connected to local frontage roads. The Project includes construction of new eastern and western local frontage roads connecting the relocated interchanges.

The Project is expected to include the following scope:

- a) Maintenance of high volume traffic on Highway 101 and local roads during construction.
- b) Coordination with other construction projects within the corridor.
- c) Coordination with the County of Monterey, City of Salinas, Transportation Agency for Monterey County (TAMC), Union Pacific, Public Utilities, the agricultural community, and property owners.
- d) Coordination with various local businesses, emergency services, and school during stage construction.
- e) Compliance with necessary environmental permits, licenses, agreements, certifications (PLACs) and authorizations, National Pollutant Discharge Elimination System (NPDES) permit, etc.

In addition, the Project is anticipated to include the following geometric elements:

Highway 101 Mainline:

- a) Realign Highway 101 mainline east to make space for Chualar interchange.
- b) Realign Highway 101 mainline east to make space for Abbott Street interchange.

West Frontage Road:

- a) Construct new frontage road from terminus of Abbott Street to Chualar IC and Chualar River Road.
- b) Construct intersections of existing local roads to new western frontage road.
- c) Close six at-grade rail crossings.

East Frontage Road:

- a) Construct new frontage road from new Abbott Street IC to Chualar IC. Construct eastern frontage road connection from Chualar IC to existing Chualar town roads.
- b) Construct intersections of existing local roads to new eastern frontage road.

A2 Project Status

The status of the Work being completed for the Project by the Department and TAMC is summarized as follows:

- a) Survey: A topographic survey of the Project is complete.
- b) Preliminary Engineering: A draft Project Report is in development and is targeted for completion in early 2027 along with completion and circulation of a draft Environmental Impact Report. A final Project Report (PR) and Certified Final Environmental Impact Report (FEIR) are targeted in late 2027. Following completion of the PR and FEIR, the Department will begin preparation of plans, specifications and estimates (PS&E) for the Project.
- c) Right of Way and Utilities: A ROW datasheet is being prepared for the project which will evaluate ROW needs and acquisitions. A preliminary Subsurface Utilities Engineering (SUE) analysis is currently underway by the Department. Utilities in conflict have not yet been fully verified. Right of Way mapping for the proposed Right of Way will be developed.
- d) Environmental: The California Environmental Quality Act and National Environmental Policy Act (CEQA/NEPA) reviews for this Project are in progress. The draft Environmental Impact Report is anticipated for circulation in early 2027. An Initial Site Assessment has been completed. A Preliminary Site Investigation (PSI) will be completed during the Project Design Phase. Any parcels identified in the PSI may require Hazardous Waste Remediation prior to construction.

Permit applications for CDFW LSA 1602, RWQCB 401, and a USACE 404 permits are anticipated to be submitted to the applicable agencies at the beginning of the design phase.

Environmental Commitments will be defined during the remainder of the environmental review process and finalized at the end of 2027. Possible measures may include (but are not limited to) the following areas, which would be incorporated into the Construction Contract:

- i. Air Quality: Monitoring to reduce criteria exhaust emissions from construction equipment. Manage dust/debris near agricultural fields.
 - ii. Noise: Measures to reduce construction area noise (Chualar segment).
 - iii. Biology: Monitor construction activities with Jurisdictional waters (constructed basins or ditch relocations).
 - iv. Visual: Nighttime light during construction (Chualar segment). Provide landscape treatments.
 - v. Cultural: Stop Work in event of Archaeological discovery.
 - vi. Hazardous Materials: Proper handling and disposal of identified materials.
- e) Geotechnical: Soil boring information will be collected by the Department.

A3 Construction Manager Responsibilities

The successful Construction Manager will be responsible for furnishing all labor, equipment, services, and support facilities for the Project elements, including those elements identified in Sections A3.1 through A3.4 below.

A3.1 Design-Related Preconstruction Services

- a) Validate Department/consultant design: Construction Manager evaluates the design as it is originally intended and compares it to the scope of Work with both the required budget and schedule to determine if the scope can be executed within those constraints. A validated design is one that can be constructed within the budget and schedule constraints of the Project.
- b) Assist/input to Department/consultant design: Construction Manager offers ideas/cost information to the designer to be evaluated during the design phase. Ultimately, the designer is still responsible for the design.
- c) Design reviews: Construction Manager reviews the plans and documents to identify errors, omissions, and ambiguities to improve the constructability and economy of the design submittal.
- d) Design charrettes: Construction Manager participates in structured brain-storming sessions with the Department to generate ideas to solve design problems associated with the Project.

- e) Constructability reviews: Construction Manager reviews the plans and specifications to determine if the required level of tools, methods, techniques, and technology are available to permit a competent and qualified construction contractor to build the Project feature in question to the level of quality required by the Contract.
- f) Operability reviews: Construction Manager meets with the Department's operations and maintenance personnel and provides them with an opportunity to make suggestions that will improve the operations and maintenance of the completed Project.
- g) Regulatory reviews: Construction Manager verifies that the design complies with current codes and will not have difficulty obtaining the necessary permits.

- h) Market surveys for design decisions: Construction Manager furnishes designers with alternative materials or equipment along with current pricing data and availability to assist them in making informed design decisions early in the process to reduce the need to change the design late in the process resulting from budget or schedule considerations.
- i) Verify/take-off quantities: Construction Manager verifies the quantities generated by the designer for the engineer's estimate.
- j) Assistance in shaping the scope of Work: Construction Manager generates priced alternatives for the Department to ensure that the scope of Work collates to the constraints dictated by the budget and/or schedule.
- k) Feasibility studies: Construction Manager investigates the feasibility of possible solutions to resolve design issues on the Project.
- l) Risk identification and mitigation: Construction Manager identifies risks associated with the Project and proposes response strategies.
- m) Maintenance of Traffic: Construction Manager reviews, validates, and/or proposes alternative traffic handling concepts for the Project.
- n) Staging needs: Construction Manager reviews, validates, and/or proposes alternative stage construction concepts for the Project.

A3.2 Cost-Related Preconstruction Services

- a) Validate Department/consultant estimates: Construction Manager evaluates the estimate as it is originally intended and determines if the scope can be executed within the constraints of the budget.
- b) Prepare Project estimates: Construction Manager provides real-time cost information on the Project at different points in the design process to ensure that the Project is staying within budget.
- c) Cost/benefit engineering reviews: Construction Manager reviews cost to include not only the aspects of pricing but also focuses on the aspect that "time equals money" in construction projects.
- d) Early award of critical bid packages: Construction Manager recommends which design packages should be completed first to ensure that pricing can be locked in on the packages.
- e) Life-cycle cost analysis: Construction Manager provides input for design decisions that impact the performance of the Project over its lifespan.
- f) Value analysis/engineering: Construction Manager identifies aspects of the design that either do not add value or whose value may be enhanced by changing them in some form or fashion. The change does not necessarily reduce the cost; it may actually decrease the life-cycle costs.

- g) Material selection and cost forecasting: Construction Manager utilizes its contacts within the industry to develop estimates of construction material escalation to assist the Department in making decisions regarding material selection and early construction packages.
- h) Cost risk analysis: Construction Manager furnishes the Department with information regarding cost items that have the greatest probability of being exceeded.
- i) Cash flow projections/cost control: Construction Manager conducts earned value analysis to provide the Department with information on how Project financing must be made available to avoid delaying Project progress. This also may include an estimate of construction carrying costs to aid the Department in determining projected cash flow decisions.

A3.3 Schedule-Related Preconstruction Services

- a) Validate Department/consultant schedules: Construction Manager evaluates if the current scope of Work can be executed within the constraints of the schedule.
- b) Prepare and manage Project schedules: Construction Manager prepares and maintains schedules throughout the design phase to ensure that dates will be met and notifies the Department when issues arise.
- c) Develop sequence of design Work: Construction Manager recommends the sequences of the design Work to mirror the construction Work, so early Work packages can be developed.
- d) Construction phasing: Construction Manager develops a construction phasing plan to facilitate construction progress and ensure maintenance of traffic. This includes identification of critical parcel acquisition and utility relocations.
- e) Schedule risk analysis/control: Construction Manager evaluates the risks inherent to design decisions regarding the schedule and offers alternative materials, means, and/or methods to mitigate those risks.

A3.4 Administrative-Related Preconstruction Services

- a) Third-party impact avoidance and reduction strategies: Construction Manager reviews agreements, permits and work around (commitments) made to third parties (i.e., irrigation and flood control districts, adjacent cities, adjacent counties, adjacent construction contracts, railroad, utilities, property owners, and regulatory agencies) and determine and/or identify feasibility of commitment. Advises the Department of impacts and alternative solutions to comply.
- b) Prepare document control: Construction Manager implements a document control process and software solution, as agreed upon by the Department, that will allow for the efficient transmittal, sharing, tracking, approval, and filing of all Project

related documents.

- c) Coordinate contract documents: Construction Manager evaluates each component to the Construction Contract against all other components and identifies conflicts that can be resolved before award of the Construction Contract.
- d) Coordinate with third-party stakeholders: Construction Manager communicates with third parties involved in the Project, including utilities, railroads, and the general public.
- e) Attend public meetings: Construction Manager assists the Department in organizing and/or attends public meetings to answer questions from the public about the construction of the Project.
- f) Biddability reviews: Construction Manager reviews the design documents to ensure that Subcontractor Work packages can be bid out and receive competitive pricing. This action reduces the risk to the subcontractors because they are given the specific design product they need for their bids; not just told to find their work inside the full set of construction documents.
- g) Subcontractor bid packaging: Construction Manager coordinates the design Work packaging to directly correlate with Subcontractor Work packages so that early packages can be easily bid out and awarded.
- h) Assist in Right of Way acquisition/validation: Construction Manager assists the designer in identifying options for Right of Way acquisitions by providing means and methods input. The primary purpose is to minimize the amount of Right of Way actions that must be undertaken and to assist in prioritizing individual parcel acquisition.
- i) Assist in permitting actions: Construction Manager is empowered to meet with resource agencies and develop permit applications with assistance from the Department.
- j) Study labor availability/conditions: Construction Manager furnishes advice during design regarding the availability of specialty trade subcontractors and the impact of that availability on the Project budget and schedule constraints.
- k) Prepare sustainability certification application: Construction Manager prepares the necessary paperwork to submit for certification when certification for sustainability is desired.

- l) Analyze environmental commitments/permits: Construction Manager reviews environmental commitments/permits attached to the Project and identifies feasibility issues of commitments/permits. Advises the Department of impacts and alternative solutions to comply.
- m) Coordinate site visits for subcontractors: Construction Manager coordinates site visits for subcontractors to facilitate the Subcontractor procurement process.
- n) Project Meetings: Construction Manager attends scheduled Project meetings and contributes with comments, provides solutions, and carries needed action items.

A4 Additional Project Documentation

To provide additional information pertaining to Project development by the Department, documents are being made available to potential Proposers. These documents can be found in the Data Room:

- a) Project Notice of Preparation (October 2024)
- b) Advanced Planning Study
- c) Cross Section Exhibits for Frontage Roads
- d) Given the project's current development status, the first formal project documents (Approved Draft Project Report and Draft Environmental Impact Report) are not projected to be released until the end of 2026.

APPENDIX B: FORMAT AND ORGANIZATION OF STATEMENT OF QUALIFICATIONS

B1 Organization

B2 Pages and Binders

B3 Page Format

B4 Clarity and Conciseness

B5 Reproducibility

B6 Submittal

B1 Organization

The SOQ shall be organized as follows and as depicted in Table B-1 below:

1. Transmittal Letter (Form A) and Proposer SOQ Certification (Form G)
2. Six text sections:
 - Section 1 – Legal Structure
 - Section 2 – Financial Capacity
 - Section 3 – Safety Program
 - Section 4 – Proposer and Each Major Participant Experience and Past Performance
 - Section 5 – Proposer’s Key Personnel
 - Section 6 – Project Understanding and Approach
3. Two Appendices:
 - Appendix A: Resumes
 - Appendix B: Legal Documents

B2 Pages and Binders

The sections and appendix shall consist of loose-leaf pages that are 8 ½-by-11 inch and white, except for charts, exhibits, and other illustrative and graphical information, which may be submitted on 11-by-17-inch paper and folded to 8 ½-by-11 inch. The 11-by-17-inch pages will count as two (2) pages. There is a maximum limit of 20 pages total for Section 6 of the Proposer’s SOQ package. Specific page limitations pertaining to Sections 1 through 5 and Appendices A and B of the Proposer’s SOQ package are defined in Table B-1 of this Appendix. The Transmittal Letter, each section, and two (2) appendices shall be combined in one (1) three-ring binder. The sections (and, optionally, subsections) shall be separated with lettered or numbered dividers. Color photographs, renderings, and brochures, if any, shall be adequately bound and suitably protected for handling and circulation during review and evaluation.

B3 Page Format

Text shall be in a standard font that is a minimum of 12-point font, single-spaced, and printed single-sided. A minimum 10-point font is acceptable for captions, tables, charts, and graphic elements. Each page shall be numbered consecutively within each section (i.e., 1-1, 1-2...; 2-1, 2-2...; 3-1, 3-2..., etc.), and the page numbers shall be centered at the bottom of each page.

B4 Clarity and Conciseness

Proposers should make every effort to present information clearly and concisely. Documentation that is difficult to read may be rejected and may lead to disqualification.

B5 Reproducibility

All SOQ pages shall be easily reproducible in black and white by standard photocopying machines.

B6 Submittal

A hard copy and an electronic submittal of the SOQs and appendices shall be provided.

Table B-1: Organization and Content of SOQs

SOQ Section	Section Title and Required Information	RFQ Reference
	Transmittal Letter and Proposer SOQ Certification (no overall page limitation for this section): • <u>Form A</u>: Transmittal Letter (to be signed by duly authorized representatives of the Proposer and all Major Participants). • <u>Form G</u>: Proposer SOQ Certification (to be provided by Proposer and all Major Participants).	3.1
Section 1	Legal Structure (two (2) page narrative limitation for this section): • Executed legal structure agreement or description of proposed legal structure and letters of agreement. • Identification of Major Participants. • Response to <u>Section 3.2 (e)</u> if required. • <u>Form E</u>: Proposer's Organization Information. • <u>Form F</u>: Proposer's DBE Declaration Affidavit.	3.2
Section 2	Financial Capacity (no overall page limitation for this section): • Verification of Proposer's ability to secure Performance Bond and Payment Bond. • Verification of Proposer's ability to secure insurance.	3.3
Section 3	Safety Program (no overall page limitation for this section): • Safety Record for the most recent three (3) year period. • Worker's Compensation experience history for the past three (3) years. • (Cal-OSHA) or (FOSHA) citations and assessed penalties, any serious, willful, or repeat violations of its safety or health regulations in the past five (5) years.	3.4

SOQ Section	Section Title and Required Information	RFQ Reference
Section 4	Proposer and Each Major Participant Experience and Past Performance (page limitation for this section is limited to the following): • A brief narrative summary of Proposer and each Major Participant's capability and capacity, a maximum of two (2) pages for each firm is permitted. • One (1) page summarizing the projects submitted in response to <u>Section 3.5(b)</u>. • One (1) page firm summary for each Subconsultant/Subcontractor that is providing Key Personnel • <u>Form B</u>: Project Description, a limit of five (5) <u>Form Bs</u> per each Major Participant and 10 total <u>Form Bs</u> per Proposer team are permitted, each <u>Form B</u> shall not exceed four (4) pages in length. • Summary of claims for projects described.	3.5
Section 5	Proposer's Key Personnel (page limitation for this section is limited to the following): • <u>Form D</u>: Proposed Key Personnel Information. • An organization chart and optional narrative (maximum 2 pages total) • Evidence of Proposer's ability to meet license requirements.	3.6
Section 6	Project Understanding and Approach (a maximum of 20 pages total for Section 6 is permitted): • Proposed management approach and Project understanding. • Keys to ensuring a successful Project.	3.7
Appendix A	Resumes (page limitation for this section is limited to the following): • Key Personnel resumes, a limit of four (4) pages for the Project Manager, four (4) pages for the Project Construction Manager, and three (3) pages for all other Key Personnel will be permitted. • Percent time committed to the Project, including percent of time during design and construction activities. • Percent time committed to other concurrent projects during the Project, including a description of these other projects.	3.6 (c)
Appendix B	Legal Documents (no overall page limitation for this section): • Powers of attorney. • Proposer and Major Participant(s) organization documents (i.e., documents that allow conducting business in the State of California), letters of agreement, and other documents identified in <u>Section 3.2</u> or addressed in Section 1 of the Proposer's SOQ. • Complete documentation of the executed agreement between the Proposer and the Major Participant that shows the Proposer and the Major Participant(s) thereof, meet the definition of Major Participant in <u>Section 1.2</u>. All Major Participants shall be jointly and severally liable to the Department for performance under the Preconstruction Services Contract.	3.2

APPENDIX C: FORMS

Form A	Transmittal Letter
Form B	Project Description
Form C	Reserved
Form D	Proposed Key Personnel Information
Form E	Proposer's Organization Information
Form F	Proposer's DBE Declaration Affidavit
Form G	Proposer SOQ Certification
Form H	Preconstruction Services Cost Proposal and Instructions

FORM A

TRANSMITTAL LETTER

PROPOSER: _____

SOQ Date: [Note to Proposer: Insert Date]

California Department of Transportation
1120 N Street, MS #28
Sacramento, CA 95814

Attn: Nin Tran, Alternative Delivery Engineer

The undersigned (Proposer) submits this proposal and Statement of Qualification submittal (this SOQ) in response to that certain Request for Qualifications dated as of [Note to Proposer: Insert Date] (as amended, the RFQ), issued by California Department of Transportation (Department) to provide preconstruction services and construct the related facilities within South of Salinas Corridor Improvement Project, as described in the RFQ.

Enclosed, and by this reference incorporated herein and made a part of this SOQ, are the following:

- Transmittal Letter (this Form A)
- Form G, Proposer's SOQ Certification
- Section 1: Legal Structure
- Section 2: Financial Capacity
- Section 3: Safety Program
- Section 4: Proposer and each Major Participant Experience and Past Performance
- Section 5: Proposer's Key Personnel
- Section 6: Project Understanding and Approach
- Appendices A and B (Resumes and Legal Documents)

Proposer acknowledges receipt, understanding, and full consideration of all materials posted on the Cal eProcure Web site as set forth in the RFQ, Section 1.3, "Data Room: RFQ and Addenda," and the following Addenda and sets of questions and answers to the RFQ:

[Proposer to list any Addenda to this RFQ and sets of questions and answers by dates and numbers prior to executing Form A]

Proposer represents and warrants that it has read the RFQ and agrees to abide by the contents and terms of the RFQ and the SOQ. If the Proposer consists of more than one

entity, all members of the Proposer entity agree to accept joint and several liability to the Department for performance under the Preconstruction Services Contract. Proposer understands that the Department is not bound to award a Preconstruction Services Contract and may reject each SOQ the Department may receive. Proposer further understands that all costs and expenses incurred by it in preparing this SOQ and participating in the Project procurement process will be borne solely by the Proposer.

Proposer agrees that the Department will not be responsible for any errors, omissions, inaccuracies, or incomplete statements in this SOQ. This SOQ shall be governed by and construed in all respects according to the laws of the State of California:

Proposer's business address:

_____ (No)	_____ (Street)	_____ (Floor or Suite)

_____ (City)	_____ (State)	_____ (Zip Code)

State or Country of Incorporation/Formation/Organization: _____

1. Sample signature block for corporation or limited liability company:

[Note to Proposers: Insert Proposer's name]

By: _____

Print Name: _____

Title: _____

2. Sample signature block for partnership or joint venture:

[Note to Proposers: Insert Proposer's name]

[Note to Proposers: Insert general partner's or Major Participant's name]

By: _____

Print Name: _____

Title: _____

[Note to Proposers: Add signatures of additional general partners or Major Participant as appropriate]

3. Sample signature block for attorney in fact:

[Note to Proposers: Insert Proposer's name]

By: _____

Print Name: _____

Attorney in Fact

ACKNOWLEDGMENT

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California

County of _____)

On _____ before me, _____,
(insert name and title of the officer)

personally appeared _____
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature _____ (Seal)

ADA Notice: For individuals with sensory disabilities, this document may be available in alternate formats. For alternate format information call (916) 445-1233, TTY 711, or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

FORM B
PROJECT DESCRIPTION

Name of Proposer or Major Participant: _____

Instructions for Form completion: Form B is limited to a maximum of **four (4) pages** for each completed project

Name of Firm: _____	
Project Role: _____	
Firm's Office/Division/District which performed the Work: _____	
Other (Describe): _____	
Years of Experience (provide length of activity as it relates to the following three elements): Roads/Streets: _____ Bridges/Structures: _____ Utility Relocations: _____	
Project Name, Location, and Nature of Work for Which Company Was Responsible: _____	

<i>(Use additional lines within this section as necessary to response to this question)</i>	
Provide Project Description and Describe Site Conditions: _____	

<i>(Use additional lines within this section as necessary to describe project and site conditions)</i>	
List claims history, numbers, dollars submitted and final results. Discuss Dispute Review Board history including subjects and outcomes: _____	

List Any Awards, Citations, and/or Commendations Received for the Project: _____	

Name of Client (Owner/Agency, Contractor, etc.): _____	
Address: _____	
Contact Name: _____	Telephone: _____
Owner's Project or Contract No.: _____	Fax No: _____
Initial Construction Price (US\$): _____	Final Construction Price (US\$): _____
Percent of Total Work Performed by Company: _____	Start Date: _____
Planned Completion Date: _____	Actual Completion Date: _____
Amount of Claims (US\$): _____	Any Litigation? Yes _____ No _____

FORM C

RESERVED

FORM D

PROPOSED KEY PERSONNEL INFORMATION

Name of Proposer _____

Instructions for Form completion: Responses shall be addressed within the table below. If additional space be needed to adequately respond, Proposer is advised to increase the number of lines within the table as appropriate. Form D has no SOQ page limitation. [Note to Proposers: Add additional positions as allowed per Section 3.6.1]

Position	Name	Years of Experience	Education and Registrations	Parent Firm Name
Project Manager				
Construction Manager				
Lead Estimator/ Scheduler				
Right of Way Coordinator/ Liaison				
[Add additional position(s), refer to Section 3.6.1]				
[Add additional position(s), refer to Section 3.6.1]				

FORM E

PROPOSER'S ORGANIZATION INFORMATION

Name of Proposer _____

Instructions for Form completion: Responses to each subject area shall be addressed within the table below. If additional space be needed, Proposer is advised to increase space following question as appropriate. Form E shall have no SOQ page limitation.

Proposer (Individual Firm / Joint Venture / Partnership / LLC)	
Name of Entity:	_____
Address:	_____ _____ _____
Contact Name:	_____
Title:	_____
Telephone Number:	_____
E-mail:	_____ _____
Local / Regional Contact	
Name:	_____
Address:	_____ _____ _____
Telephone Number:	_____
E-mail:	_____ _____

FORM F

PROPOSER'S DBE DECLARATION AFFIDAVIT

Name of Proposer _____

It is understood and agreed by the Proposer that it has carefully examined all documents that form this Request for Qualifications (RFQ) and acknowledges that California Department of Transportation (Department) will establish a Disadvantaged Business Enterprise goal based on the total Project value for this CMGC Project. This affidavit further serves to confirm that [Note to Proposer: Insert Proposer Name] will aggressively exercise Good Faith Efforts to the satisfaction of the Department to meet the proposed Disadvantaged Business Enterprise goal and requirements defined in the Construction Contract documents, when issued.

STATE OF _____)

)

COUNTY OF _____)

Each of the undersigned, being first duly sworn, deposes and says that _____
(Contact Name)

is the _____ of _____ and _____ is the _____
(Title) (Company) (Contact Name) (Title)

of _____, which entity(ies) are the _____ of
(Company) (Joint Venture/Partnership, Other)

_____, the entity making the foregoing Statement of Qualification.
(Joint Venture Company)

The Proposer hereby affirms that it will either meet the Disadvantaged Business Enterprise goals described in this solicitation or exercise and provide demonstrable evidence to the satisfaction of the California Department of Transportation (Department) that it has aggressively exercised Good Faith Efforts to do so in accordance with defined program requirements, including contractual and regulatory provisions.

(Signature)

(Signature)

(Name Printed)

(Name Printed)

(Title)

(Title)

ACKNOWLEDGMENT

[A notary public or other officer completing this certificate verifies]

only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.
--

State of California

County of _____)

On _____ before me, _____,
(insert name and title of the officer)

personally appeared _____
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature _____

(Seal)

[Duplicate or modify this form as necessary so that it accurately describes the entity making the proposal and so that it is signed on behalf of all partners/members of the proposing firm.]

FORM G

PROPOSER SOQ CERTIFICATION

A COPY OF THIS CERTIFICATION SHALL BE COMPLETED AND SIGNED BY PROPOSER AND, IF A PROPOSER IS A PARTNERSHIP, LIMITED PARTNERSHIP, JOINT VENTURE OR OTHER ASSOCIATION, THEN A SEPARATE CERTIFICATION SHALL BE SIGNED BY AN AUTHORIZED REPRESENTATIVE OF EACH MEMBER AND SUBMITTED WITH THE STATEMENT OF QUALIFICATIONS.

DECLARATION

STATE OF _____)
)SS:
COUNTY OF _____)

I, (printed name) _____, being first duly sworn, state that I am the (title) _____ of the Proposer.

I certify that I have read and understood the information contained in the Request for Qualifications issued by the California Department of Transportation for the South of Salinas Corridor Improvement Project and the attached Statement of Qualifications (SOQ), and that to the best of my knowledge and belief all information contained herein and submitted concurrently or in supplemental documents with this SOQ is complete, current, and true. I further acknowledge that any false, deceptive, or fraudulent statements in the SOQ shall result in denial of prequalification status.

(Signature)

(Name Printed)

ACKNOWLEDGMENT

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.
--

State of California

County of _____)

On _____ before me, _____,
(insert name and title of the officer)

personally appeared _____
who proved to me on the basis of satisfactory evidence to be the person(s) whose

name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature_____

(Seal)

NOTICE TO APPLICANTS:

A material false statement, omission, or fraudulent inducement made in connection with this Statement of Qualifications is sufficient cause for denial of the application. In addition, such false submission may subject the person or entity making the false statement to criminal charges. (Title 18 USC 1001, false statements; California Penal Code Section 132, offering altered or antedated or forged documents or records; and Section 134, preparing false documentary evidence).

FORM H

PRECONSTRUCTION SERVICES COST PROPOSAL AND INSTRUCTIONS

This form is posted as a separate Microsoft Word document in the Data Room.

APPENDIX D: DISCLOSURE OF POTENTIAL CONFLICTS OF INTEREST CERTIFICATION

DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST CERTIFICATION

Applicant _____

The Proposer hereby indicates that it has, to the best of its knowledge and belief:

_____ Determined that no potential organizational conflict of interest exists.

_____ Determined a potential organizational conflict of interest as follows:

Attach additional sheets as necessary.

Describe nature of the potential conflict(s):

Describe measures proposed to mitigate the potential conflict(s):

Signature

Print Name

Date

If a potential conflict has been identified, please provide name and phone number for a contact person authorized to discuss this disclosure certification with the Department of Transportation contract personnel.

Name

Phone

APPENDIX E: PREQUALIFICATION QUESTIONNAIRE

INSTRUCTIONS FOR COMPLETING THE PREQUALIFICATION QUESTIONNAIRE

CONTRACT NO. 050H33CM

Name of Applicant: _____

Date Submitted: _____

Preparer's Name: _____

1. Applicant is defined as the Proposer and each Major Participant to the RFQ for this Project. If the Proposer is not yet a legal entity, the Major Participants shall each complete the Prequalification Questionnaire (Questionnaire).
2. The Questionnaire shall be completed by a person in the firm who is knowledgeable of and duly authorized to attest to the past and present operations of the firm and its policies. A corporate officer of the firm, owner or partner, as appropriate, shall sign the Prequalification Certification. This page shall be completed and included with the Questionnaire.
3. All questions shall be answered completely and any "Yes" answers shall be fully explained. Disclaimers, general statements with global qualifications, or notations of Not Applicable (N/A) are not acceptable. If "Yes" to any question in this Questionnaire, Applicant shall provide details including a brief summary of causes of action; indicate if Applicant, Key Person, or Affiliate firms were plaintiffs or defendants; define charges explicitly, by what authority, court or jurisdiction, etc. Please note that a "Yes" answer to any question does not automatically result in denial of prequalification for a particular procurement. In the case of tax liens, please indicate whether the liens were resolved with the tax authorities. Please submit proof of payment or agreements to pay the liens. Complete details are required.
4. For purposes of prequalification, a Key Person is:
 - a) Any person in Applicant firm who owns 10 percent or more of the firm or those who make decisions with respect to its operations, finances, or policies, such as the President, CEO, CFO, COO, Corporate Secretaries, Treasurers, Directors and, in the case of partnerships, the General Partners.
 - b) Division or Regional Business Managers who operate away and independently from the Applicant firm, but only if the division or regional office is the Proposer
5. See Section 4 for the Questionnaire submittal requirements.
6. The Department reserves the right to ask for additional documentation if it is reasonably required to make a determination of integrity and responsibility relevant to the goods or services the Applicant will provide to the Department if awarded a Preconstruction Services Contract.

SECTION I: IDENTIFICATION

Identification of Applicant

Name of Applicant

Address

City

State

Zip Code

(Mailing Address, if different from above)

Tax ID or SSN: _____

(If doing business under a DBA or other name, include legal name of the company and Tax ID No., if different)

Primary Company Telephone Number: (____) ____-____

Fax Number: (____) ____-____

Applicant's Contact Person (see RFQ):

Print or Type Name

Position

E-mail

Telephone Number

Has the Applicant changed its address or has the firm or its owner operated under any other names, including other DBAs in the past five (5) years? If yes, explain fully on a separate sheet of paper.

___ No ___ Yes

Type of business organization:

Year organization established: _____

Number of current employees: _____

Sole Proprietor Corporation

Date and State of Incorporation: _____

Limited Partnership (LP), Limited Liability Partnership (LLP), General Partnership (GP)
Date and State of Partnership filing:

Other (describe):

List general type of business in which Applicant is engaged (may include more than one):

SECTION II - OWNERSHIP/MANAGEMENT, PROJECT TEAM MEMBERS, AND RELATED ENTITIES

Owners/Key Persons

List Owners and Key Persons of Applicant. For large publicly traded companies, list only Key Persons. If the Owner is a partnership, limited partnership, joint venture, or other association, list all of the partners, general partners, or association members known at the time of submission of the SOQ who will participate in the contract.

Full Legal Name	Title	Ownership Percentage %

[Use additional sheets if necessary]

Related Entities (Affiliates/Subsidiaries/Joint Ventures)

List Affiliates, subsidiaries, holding companies, joint ventures, etc., of Applicant. If no Affiliates, state NONE. N/A is not an acceptable answer. Provide organizational, geographical or functional chart, if it would assist in clarifying the lines of authority.

Affiliate Name & Address	Tel. #	% Owned	Top Executive's Name	*Type of Relation

*Type of Relationship: 1. Joint Venture (JV), 2. Parent Co (PC), 3. Holding Co (HC), 4. Subsidiary (S), 5. Other (O), please explain.

SECTION II: OWNERSHIP/MANAGEMENT, PROJECT TEAM MEMBERS, AND RELATED ENTITIES			
QUESTION		NO	YES
At any time during the past five (5) years have any Owners or Key Persons of Applicant (if yes, explain fully):			
	Served as Key Person, Officer or Director, in any other firm not affiliated with Applicant? If so, please explain in a separate sheet.		
	Had any ownership interest in any other firm other than shares of publicly owned companies? If so, please explain in a separate sheet.		

SECTION III - CONTRACTING HISTORY

List the Applicant's three (3) largest government contracts or subcontracts. If none, list the three (3) largest contracts with non-governmental entities.

	Contract #1	Contract #2	Contract #3
Agency/Owner			
Contract No.			
Name/Location			
Describe project			
Were you a Prime or Subcontractor?			
Start Date/Complete Date			
Contract Amount			
Agency/Owner Contact to Verify (Name/Telephone No.)			

Any "Yes" answers to questions in Sections III, IV, V, VI or VII below shall be fully explained on a separate sheet of paper and attached to this application.

SECTION III: CONTRACTING HISTORY			
QUESTION		NO	YES
	Is the Applicant currently certified as a disadvantaged business entity?		
	Is the Applicant currently certified as a CA Small Business?		

SECTION III: CONTRACTING HISTORY			
QUESTION		NO	YES
	Is the Applicant or any of its Affiliates, Key Persons or any other known Subcontractors that Applicant intends to use on the Project ineligible to bid or work on, or be awarded, a public works project pursuant to Labor Code §§ 1777.1 or 1777.7?		
	During the past five (5) years, has Applicant or any of its Key Persons had any certificates or certifications revoked or suspended, including disadvantaged business certifications?		
	In the past five (5) years has the Applicant or any Affiliate been suspended, debarred, disqualified, or otherwise declared ineligible to bid?		
	In the past five (5) years has the Applicant or any Affiliate failed to complete a contract?		
	In the past five (5) years has the Applicant or any Affiliate been denied a low-bid contract in spite of being the responsive low bidder?		
	In the past five (5) years has the Applicant or any Affiliate had a contract terminated for any reason, including default?		
	In the past five (5) years has the Applicant or any Affiliate had liquidated damages assessed against it during or after completion of a contract?		

SECTION IV: CIVIL ACTION			
QUESTION		NO	YES
	Violations of Civil Law: In the past five (5) years has Applicant, any of its Key Persons, or any Affiliate been the subject of an investigation of any alleged violation of a civil antitrust law, or other federal, state or local civil law?		

SECTION IV: CIVIL ACTION			
QUESTION		NO	YES
	Lawsuits with Public Agencies: At the present time is, or during the past five (5) years has the Applicant, any of its Key Persons, or any Affiliate been a plaintiff or defendant in any lawsuit regarding services provided to a public agency?		
	Bankruptcy: During the past five (5) years, has the Applicant or any Affiliate filed for bankruptcy or reorganization under the bankruptcy laws?		
	Judgments, Liens and Claims: During the past five (5) years, has the Applicant been the subject of a judgment, lien or claim of \$25,000 or more by a subcontractor or supplier?		
	Tax Liens: During the past five (5) years, has the Applicant been the subject of a tax lien by federal, state or any other tax authority?		

SECTION V: COMPLIANCE WITH LAWS AND OTHER REGULATIONS			
QUESTION		NO	YES
<i>Criminal</i>	In the past five (5) years has the Applicant, any of its principals, officers, or Affiliates been convicted or currently charged with any of the following:		
	Fraud in connection with obtaining, attempting to obtain, or performing a public contract, agreement or transaction?		
	Federal or state antitrust statutes, including price fixing collusion and bid rigging?		
	Embezzlement, theft, forgery, bribery, making false statements, submitting false information, receiving stolen property, or making false claims to any public agency?		

SECTION V: COMPLIANCE WITH LAWS AND OTHER REGULATIONS			
QUESTION		NO	YES
	Misrepresenting minority or disadvantaged business entity status with regard to itself or one of its subconsultants and/or subcontractors?		
	Non-compliance with the prevailing wage requirements of California or similar laws of any other state?		
	Violation of any law, regulation or agreement relating to a conflict of interest with respect to a government funded procurement?		
	Falsification, concealment, withholding or destruction of records relating to a public agreement or transaction?		
	Violation of a statutory or regulatory provision or requirement applicable to a public or private agreement or transaction?		
	Do any Key Persons employed with the Applicant have any felony charges pending against them that were filed either before, during, or after their employment with the Applicant?		
<i>Regulatory Compliance</i>	In the past five (5) years, has Applicant, any of its Key Persons, or Affiliates:		
	Been cited for a violation of any labor law or regulation, including, but not limited to, child labor violations, failure to pay wages, failure to pay into a trust account, failure to remit or pay withheld taxes to tax authorities or unemployment insurance tax delinquencies?		
	Been cited for a violation of federal, state or local environmental laws or regulations?		
	Been cited for an OSHA or Cal/OSHA "serious violation"?		
	Failed to comply with California corporate registration, federal, State, or local licensing requirements?		

SECTION V: COMPLIANCE WITH LAWS AND OTHER REGULATIONS			
QUESTION		NO	YES
	Had its corporate status, business entity's license or any professional certification, suspended, revoked, or had otherwise been prohibited from doing business in the State of California, in the last three (3) years?		

SECTION VI: ETHICS POLITICAL, CHARITABLE, AND OTHER CONTRIBUTIONS			
QUESTION		NO	YES
<i>Political, Charitable, and Other Contributions</i>	Has the Applicant, any of its Key Persons, or Affiliates ever, regardless of amount? IF YES TO ANY OF THE BELOW, SUBMIT LIST OF CONTRIBUTIONS AND FULL DETAILS		
	Given (directly or indirectly), or offered to give on behalf of another or through another person, money, contributions (including political contributions), or other benefits, to any current State Official?		
	Given or offered to give on behalf of another, money, contributions, or other benefits, directly or indirectly, to any current or former State employee?		
	Been directed by any State employee, State official, or contractor to offer or give money, contributions or other benefits, directly or indirectly, to any current or former State employee or official?		
	Directed any person, including employees or subconsultants or subcontractors, to give money, contributions or other benefits, directly or indirectly, to any current or former State employee or official, or to someone else in order to benefit a State employee or official?		
	Been solicited by any State employee or official to make a contribution to any charitable nonprofit organization?		

SECTION VII: STATUTORY COMPLIANCE		
QUESTION	NO	YES
Has the Applicant, any of its Key Persons, subsidiaries or Affiliates ever been an “expatriate corporation” as that term is defined in Public Contract Code (PCC) §10286.1(b)? IF YES, provide the date such “expatriate corporation” was established: _____ If YES, does the entity meet the requirements of PCC §10286.1(b)(2)(A) or (B)? ___ No ___ Yes, the entity meets the requirements of PCC §10286.1(b)(2)(A); OR ___ Yes, the entity meets the requirements of PCC §10286.1(b)(2)(B).		
Has the Applicant, any of its Key Persons, Affiliates, officers, or any employee who has a proprietary interest in the Applicant ever been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of a violation of law or a safety regulation?		
Has there been a settlement against any member of the Applicant for any serious or willful violation of Part 1 (commencing with Section 6300) of Division 5 of the Labor Code or the federal Occupational Safety and Health Act of 1970 (Public Law 91-596)?		
Has any member of the Applicant been debarred, disqualified, or removed from a federal, state, or local government public works project?		
Has there been any instance where the Applicant, or its owners, officers, or managing employees submitted a bid on a public works project and were found to be nonresponsive or were found by an awarding body not to be a responsible bidder?		
Has there been any instance where the Applicant, or its owners, officers, or managing employees defaulted on a construction contract?		
Has there been any violations of the Contractors' State License Law, as described in Chapter 9 (commencing		

SECTION VII: STATUTORY COMPLIANCE			
QUESTION		NO	YES
	with Section 7000) of Division 3 of the Business and Professions Code, including alleged violations of federal or state law regarding the payment of wages, benefits, apprenticeship requirements, or personal income tax withholding, or Federal Insurance Contribution Act (FICA) withholding requirements settled against any member of the Applicant?		
	Has there been any bankruptcy or receivership of any member of the Applicant, including information concerning any work completed by a surety?		
	Provide a list of contract disputes greater than \$50,000 on public works projects over the last five (5) years that have been resolved or are in the process of being resolved through alternative dispute resolution (e.g., dispute review board), mediation, arbitration or litigation. Please include project owner, short project description, bid price, disputed amount, results of any resolved disputes and status of unresolved disputes.		
	Has any work been completed by a surety during the last five (5) years?		

SECTION VIII: ADDITIONAL DOCUMENTATION REQUIRED

Copies of all the following documents requested are to be submitted with this Questionnaire:

- a) Applicant's Current Local Business Licenses, if required by city, county or state.
- b) Applicant's Financial Statements (see specific requirements below):
 - i. PUBLICLY TRADED COMPANIES: Financial information will be accessed online. However, if additional information is needed, it will be specifically requested from the firm.
 - ii. NON-PUBLICLY TRADED COMPANIES WITH AUDITED OR REVIEWED FINANCIAL STATEMENTS: Statements, including balance sheet, statement of earnings and retained income, with footnotes, for the most recent three (3) years.
 - iii. NON-PUBLICLY TRADED COMPANIES WITHOUT AUDITED OR REVIEWED FINANCIAL STATEMENTS: Company generated financial statements, including balance sheet, statement of earnings and retained income for the most recent three (3) years. The Chief Financial Officer of

the corporation, a partner, or owner, as appropriate, shall certify these financial statements.

- iv. **SOLE PROPRIETORSHIPS:** If financial statements are not generated, please complete and sign the Financial Statement form, attached example. Submit one form for each of the most recent three (3) years.

SECTION IX: FINANCIAL STATEMENT - CONFIDENTIAL

To be completed by Applicants who are Sole Proprietorships and do not produce company-generated financial statements (balance sheet, statement of earnings and retained income). Complete one (1) sheet for each of the most recent three (3) years.

ASSETS

Cash on Hand and in Banks	\$ _____
Accounts and Notes Receivable	\$ _____
Fixed Assets (net of depreciation)	\$ _____
Other Assets	\$ _____
Total Assets	\$ _____

LIABILITIES

Accounts Payable	\$ _____
Notes Payable to Banks in next 12 months	\$ _____
Notes Payable to Others	\$ _____
Taxes Payable	\$ _____
Long Term Liabilities (More than 12 months)	\$ _____
Other Liabilities	\$ _____
Total Liabilities	\$ _____
Net Worth	\$ _____

INCOME FROM OPERATIONS

Revenue	\$ _____
Interest from Bank Accounts	\$ _____
Cost of Goods Sold (if appropriate)	\$ _____
Gross Profit	\$ _____
General and Administrative Expenses	\$ _____
Depreciation	\$ _____
Interest Paid	\$ _____
Net Gain or Loss	\$ _____

This information is provided for prequalification purposes only. It is considered a confidential document not subject to public disclosure under California law.

I hereby certify that the above information is true and accurate to the best of my knowledge and belief. I understand false statements may result in denial of prequalification and possible debarment for a period of five (5) years.

Signature of Owner or Officer

Date Signed

Company Name

For the Year Ended

Federal ID #

PREQUALIFICATION CERTIFICATION

A COPY OF THIS CERTIFICATION SHALL BE COMPLETED AND SIGNED BY A GENERAL PARTNER, OWNER, PRINCIPAL, OR CORPORATE OFFICER AUTHORIZED TO LEGALLY COMMIT THE APPLICANT, AND SUBMITTED WITH THE QUESTIONNAIRE.

The signer of this declaration recognizes that the information submitted in the questionnaire herein is for the express purpose to allow the Applicant to participate in this Project as the CMGC Contractor, Subcontractor, vendor, supplier, or consultant. The signer has read and understands the requirements of the program and has read and understands the instructions for completing this form.

DECLARATION

State of California

County of: _____

I, (printed name) _____, being first duly sworn, state that I am the (title) _____ of Applicant. I certify that I have read and understood the questions contained in the attached Questionnaire, and that to the best of my knowledge and belief all information contained herein and submitted concurrently or in supplemental documents with this Questionnaire is complete, current, and true. I further acknowledge that any false, deceptive or fraudulent statements on the Questionnaire will result in denial of prequalification.

I authorize the Department to contact any entity named herein, or any other internal or outside resource, for the purpose of verifying information provided in the questionnaire or to develop other information deemed relevant by the Department.

Signature of Certifying Individual

Date Signed

ACKNOWLEDGMENT

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California

County of _____)

On _____ before me, _____,
(insert name and title of the officer)

personally appeared _____
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that

he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature_____

(Seal)

ADA Notice: For individuals with sensory disabilities, this document may be available in alternate formats. For alternate format information call (916) 445-1233, TTY 711, or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

NOTICE TO APPLICANTS

A material false statement, omission or fraudulent inducement made in connection with this Prequalification Questionnaire is sufficient cause for denial of the Statement of Qualifications. In addition, such false submission may subject the person or entity making the false statement to criminal charges. (Title 18 USC 1001, false statements; California Penal Code Section 132, offering altered or antedated or forged documents or records; and Section 134, preparing false documentary evidence).

NOTE: Applicant information submitted to the Department in connection with prequalification is not considered a public record under the California Public Records Act, as described in Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the Government Code and shall not be open to public inspection. All such applicant information is confidential business information and will be afforded protection to the fullest extent permitted by law.

APPENDIX F: CRITERIA WEIGHTING

Section	Requirement	Maximum Score
3.5	<u>Proposer and each Major Participant Experience and Past Performance</u>	
3.5.1 (a)	Managing and constructing projects of size, scope, and complexity as Project.	9
3.5.1 (b)	Record of minimizing delays, claims, and disputes.	7
3.5.1 (c)	Cohesive integration with the owner. Record of resolving third party matters.	5
3.5.1 (d)	Experience in developing and implementing innovative solutions.	5
3.5.1 (e)	Experience coordinating and working with multiple closures and detours while maintaining acceptable local circulation patterns and access.	5
3.5.1 (f)	Experience effectively coordinating and communicating with the owner's representatives and local stakeholders to address conflicts and with developing and implementing innovative solutions to problems which arise in the course of delivering complex and/or politically sensitive projects.	9
3.6	<u>Proposer's Key Personnel</u>	
3.6.1 (a)	Qualifications of the proposed Project Manager	10
3.6.1 (b)	Qualifications of the proposed Project Construction Manager	10
3.6.1 (c)	Qualifications of the proposed Lead Estimator/Scheduler	5
3.6.1 (d)	Qualifications of the proposed ROW Coordinator/Liaison	5
3.6.1 (e)	Qualifications of the proposed Other Key Personnel (2 maximum)	10
3.7	<u>Project Understanding and Approach</u>	
3.7.1 (a)	Understanding of Project scope.	14
3.7.1 (b)	Construction Manager's approach to CMGC project contracting to ensure a successful Project, considering the Department's Project goals listed in <u>Section 1.4</u> .	12
3.7.1 (c)	Identification, understanding, and potential solutions to top risks.	12
3.7.1 (d)	Proposed approach to innovation demonstrates Proposer's understanding of Project constraints and the Department goals.	12
3.7.1 (e)	Proposed approach to safety.	5
3.7.1 (f)	Demonstrate plan for transfer of knowledge and transition of key personnel from pre-construction to construction implementation, demonstrating approach for continuity through multiple project years.	5
Subtotal		140

Section	Requirement	Maximum Score
5.3	<u>Proposer Interview</u>	
5.3.4	Interview	60
Total Score		200