

A&E CONSULTANT'S SOQ SUBMITTAL CHECKLIST

DISCLAIMER:

Consultant's SOQ will be evaluated for responsiveness subject to the Request for Qualification notice and the Statement of Qualifications Submittal Instructions & General Contract Process Information. The Department assumes no responsibility or liability for any errors or omissions in this checklist content below. The information contained in this checklist is provided on an "as is" basis with no guarantees of completeness, accuracy, or for determining responsiveness. Notwithstanding any other claim, Department will not respond to any proposer inquiry, protest or claim resulting from this checklist below. Consultant shall refer to the Statement of Qualifications Submittal Instructions for further details and to ensure their SOQ is responsive.

The following checklist is provided as a tool to assist Consultants responding to a Request for Qualifications (RFQ). Solicitations may differ in their requirements; therefore, please read each solicitation carefully to ensure responsiveness. Also refer to "Statement of Qualifications Submittal Instructions and General Contract Process Information posted in [AE Contract Information](#).

- ☐ **SOQ Received by submittal date and time stated in the Request for Qualifications (RFQ)**
- ☐ **SOQ Format:**
 - Electronic and printable in paper size 8 ½" x 11"
 - Minimum 8-point font size used for all documents (except the organizational chart)
- ☐ **SOQ shall include the following seven (7) sections:**

Section 1 – Transmittal Letters and Supporting Attachments

- ☐ **Prime Consultant Transmittal letter shall address the following elements:**
 - Team lists all firms (prime consultant, subconsultants, and vendors) in a table format.
 - Indicate the specific portion of the work to be performed by each firm along with an estimate percentage of utilization for each firm.
 - Indicate whether or not each firm including Vendor(s) is subject to prevailing wage requirements and if applicable reference the DIR certification number and attach a copy of the DIR Web record inserted as an attachment to the transmittal letter.
 - Include verbiage certifying that neither the prime consultant, or its subconsultants, or its vendors is currently or has previously engaged and or will engage in any construction services for the same project(s) for which the prime consultant and/or subconsultant/vendor previously performed Project Construction Support services.
 - List any former and/or current projects that would be directly related to the construction services requested.
 - Provide information for any former Caltrans employee(s).
 - Include verbiage certifying that proposed key and non-key personnel of the entire team meet the minimum qualification requirements specified in the RFQ.
 - Include verbiage certifying that the proposer is in compliance with the State nondiscrimination program requirements (see Americans with Disabilities Act).
 - Include statement certifying under penalty of perjury under the laws of the State of California, that Consultant or any person associated therewith in the

A&E CONSULTANT'S SOQ SUBMITTAL CHECKLIST

capacity of owner, partner, director, officer or manager; is not currently, or pending, or was not within the past three (3) years, under suspension, debarment, voluntary exclusion, indicted, convicted, had civil judgment or determination of ineligibility by any federal agency.

- The following documents shall be added as an attachment to the Transmittal Letter:
 - "Disclosure of Potential Conflict of Interest Form"
 - Goal documentation (unless exempt) - Disabled Veteran Business Enterprise (DVBE) Goal
 - Copy of DVBE certification letter(s) issued by the certifying entity
 - California Disabled Veteran Business Enterprise Requirements form (DGS PD 843)
 - Bidder Declaration Form (GSPD-05-105)
 - Copy of the DIR Web record certification

AND

- Provide a contact name of individual authorized to obligate the firm including mailing address, email address, and phone number.

☐ **Subconsultant and Vendor Transmittal letter shall address the following elements:**

- Subconsultant and Vendor shall state their commitment to the prime consultant,
- Subconsultant and Vendor Letter shall indicate the specific portion of the work to be performed
- Indicate whether subconsultant (including Vendor(s)) is subject to prevailing wage requirements and if applicable, reference the DIR certification number and attach a copy of the DIR Web record inserted as an attachment to the transmittal letter.
- Include verbiage certifying that subconsultant, (including vendors) is currently or has previously engaged and or will engage in any construction services for the same project(s) for which the subconsultant or vendor previously performed Project Construction Support services.
- List any former and/or current projects that would be directly related to the construction services requested.
- Provide information for any former Caltrans employee(s). (Vendor services are excluded from this requirement)
- Include verbiage certifying that proposed key and non-key personnel meet the minimum qualification requirements specified in the RFQ. (Vendor services are excluded from this requirement).
- Include verbiage certifying that that the subconsultant (including vendors with more than 50 employees) is in compliance with the State nondiscrimination program requirements (see Americans with Disabilities Act).
- The person signing the transmittal letter shall be authorized to obligate the firm's commitment to the Prime consultant.

A&E CONSULTANT'S SOQ SUBMITTAL CHECKLIST

- Include statement certifying under penalty of perjury under the laws of the State of California, that Consultant or any person associated therewith in the capacity of owner, partner, director, officer or manager; is not currently, or pending, or was not within the past three (3) years, under suspension, debarment, voluntary exclusion, indicted, convicted, had civil judgment or determination of ineligibility by any federal agency.
- The following documents shall be added as an attachment to the Transmittal Letter:
 - “Disclosure of Potential Conflict of Interest Form” (Vendor services are excluded from this requirement).
 - Copy of DVBE certification letter(s) issued by the certifying entity
 - Copy of the DIR Web record certification

Section 2 – General Services Administration Standard Form SF330

PART ONE-CONTRACT-SPECIFIC QUALIFICATIONS

- Sections D-H to be divided by colored sheets.
- Section A – Contract Information
- Section B – Architect-Engineer Point of Contact – Prime Information
- Section C – Proposed Team Information
- Section D – Organizational Chart
- Section E – Resumes of all Proposed Personnel for this Contract
 - Proposed key personnel
 - Use the same standard resume SF330 as a template for non-key personnel
 - Proposed key personnel shall be grouped by firm and arranged by classification and numbered for each individual firm
 - Proposed non-key personnel shall be grouped by firm and arranged by classification and numbered for each individual firm
 - Personnel resumes shall be arranged by classification and numbered for each individual firm
 - Note: Ensure the transmittal letter Includes verbiage certifying that proposed key and non-key personnel of the entire team meet the minimum qualification requirements specified in the RFQ. (No longer requiring separate letter certifying that proposed personnel meet the requirements specified in the RFQ for their corresponding classification.)
- Section F – Example Projects – Ten (10) example projects
- Section G – Key Personnel Participation in Example Projects.
- Section H – Additional Information
 - Prime consultant is limited to four (4) pages
 - Subconsultant limited to two (2) pages
- Section I – Authorized Representative signature

B. SF330 PART TWO – GENERAL QUALIFICATIONS (NOT APPLICABLE to this solicitation)

Section 3 – Availability Table or Graph for Key Personnel

- Table showing the percentage of staff availability of the team proposed
- Personnel retention strategy and written plan shall be attached

Section 4 – Communication Plan

- Communication Plan showing accessibility of the team
- Outlines the chain of command including after hours and emergency situations

A&E CONSULTANT'S SOQ SUBMITTAL CHECKLIST

Section 5 – Work Force Analysis

- Prime and subconsultants (excluding Vendors) with 50 or more employees shall provide a Work Force Analysis
- Prime and subconsultants with **fewer** than 50 employees shall provide a statement indicating that the firm has fewer than 50 employees
- A Work Force Analysis Chart and/or exemption statement is not required for vendors.

Section 6 – Nondiscrimination Plan

- Prime, subconsultants and vendors with 50 or more employees shall provide a description of the firm's nondiscrimination program
- Prime, subconsultants including vendors with fewer than 50 employees shall provide a description of the firm's nondiscrimination program shall provide a statement indicating that the firm has fewer than 50 employees
- A statement by the prime consultant on the behalf of the subconsultants or vendors is not acceptable.

Section 7 – California Civil Rights Laws

- The CALIFORNIA CIVIL RIGHTS LAWS CERTIFICATION Form ADM-0076 is required from a prime for a contract or amendment in the amount of one hundred thousand dollars (\$100,000) or more.