

## **Addendum No. 1**

### **Request for Qualifications No. 18-01 California State Auditor**

April 19, 2018

The California State Auditor (State Auditor) has determined it is in the best interests of the State of California to allow a greater number of Statement of Qualifications (SOQs) to be submitted in response to Request for Qualifications (RFQ) No. 18-01.

The State Auditor is therefore exercising her discretion to extend the deadline for submissions of SOQs by one week to 11:59pm (Pacific Standard Time) on April 26, 2018. The section titled "Key Action Dates" has been updated and annotated accordingly. Text deleted has been struck through and new text has been underlined for clarity. All other provisions of this RFQ, as clarified by responses to questions provided publically online, remain unchanged.

# **Request for Qualifications**

## **California State Auditor**

**No. 18-01**

The California State Auditor is requesting Statements of Qualifications (SOQ) from firms, pursuant to Government Code §4525 et seq.

### **I. PROJECT DESCRIPTION**

The State of California, through the California State Auditor's office (State Auditor), requests statements of qualifications for the following purpose and in accordance with each of the following terms and conditions.

In this request for qualifications (RFQ), the State Auditor solicits qualified firms who will be able to perform professional consultation services in sustainability policy planning and management for the purposes of evaluating the sustainability policy of the California High Speed Rail Authority (Authority), specifically pertaining to the environmental outcomes of the policy. This expertise will support the State Auditor's report on the efficiency and efficacy of the policies and practices employed by the Authority as requested by the Joint Legislative Audit Committee.

### **II. SCOPE OF SERVICES**

The Contractor will provide the State Auditor with expertise on sustainability planning and policy development for infrastructure projects in support of the State Auditor's audit of the efficiency and efficacy of the policies and practices employed by the Authority.

Under the direction of the State Auditor, the contractor shall:

1. Meet and consult with the audit team at the State Auditor's Office to review and understand prior audit work and the project environment. Conduct regular meetings or teleconferences with State Auditor staff to provide project updates, discuss methodologies, and review progress of work.
2. Review the Authority's sustainability policy, and assess the reasonableness and comprehensiveness of the policy. Evaluate the extent to which the policy is likely to help ensure that the Authority designs, builds, and operates its high-speed rail system in a sustainable manner. Recommend ways the policy could be strengthened to further the Authority's goal of constructing and operating the system sustainably.

3. Consider the metrics the Authority is currently collecting and reviewing in order to monitor compliance with its sustainability policy, and determine whether those metrics are the most appropriate option for measuring each objective of the policy. If the Authority's current metrics are insufficient, recommend more appropriate metrics.
4. Assess the Authority's process for developing thresholds and targets for its sustainability metrics. Evaluate whether the Authority is making sufficient progress toward setting a baseline for the project.

**A. Key Action Dates**

Listed below are the important dates and times by which the actions must be taken or complete. If the California State Auditor finds it necessary to change any of these dates, it will be accomplished by addendum.

Table 1. Key Action Dates

Action	Time	Date
Release RFQ		April 5, 2018
Questions Due	4:00 p.m.	April 12, 2018
Responses to Questions Posted to our Website	4:00 p.m.	April 17, 2018
Submissions Due	11:59 p.m.	<del>April 26, 2018</del> April 19, 2018
Evaluation Period		<del>April 27-May 2,</del> April 20-25, 2018
Interview Period		<del>May 3-9, 2018</del> April 26 – May 2, 2018
Selection		<del>May 11, 2018</del> May 4, 2018
Contract Award and Execution		<del>May 15, 2018</del> May 8, 2018
Contract Work Begins		<del>May 17, 2018</del> May 10, 2018
Final Report Due	4:00 p.m.	<del>June 22, 2018</del> June 15, 2018
Contract Term Ends		December 31, 2018

## B. Deliverables

The contractor shall:

1. Meet with the State Auditor project team at our Sacramento office to confirm initial methodology and procedures prior to starting work and meeting with Authority representatives.
2. Provide the State Auditor with a detailed work plan and methodology for approval prior to the start of substantive work. If the proposed work plan and methodology are not approved as submitted, modify the proposed work plan and methodology as requested by State Auditor.
3. Meet with State Auditor staff in person or by teleconference at least weekly, provide updates regarding the project's status and preliminary findings, discuss upcoming priorities, and coordinate planned work.
4. Provide a detailed written interim update to the State Auditor project team that includes status of findings and recommendations and any changes to the contractor's procedures or methodology.
5. Final Report: The Contractor will deliver a final report and present all supporting working papers to the State Auditor no later than **June 22, 2018** ~~June 15, 2018~~. The report must detail its methodology and conclusions and must describe any project findings and recommendations in line with the Scope of Work detailed above. The final report shall include the following elements:
  - Executive Summary
  - Objective
  - Scope
  - Methodology
    - Planning
    - Assessment Work Plan
  - Findings and Recommendations
6. Acceptance of all work by the contractor, including the contractor's final report, is subject to approval by the State Auditor at her sole discretion.
7. Provide together with the final report sufficient evidence for findings and recommendations that includes supporting workpapers obtained and sufficiently developed to allow an experienced reviewer with minimal knowledge of the workpapers to understand the corresponding findings and recommendations.
8. Meet with State Auditor staff to present and discuss final report and workpapers by **June 22, 2018** ~~June 15, 2018~~. Be available to meet State Auditor staff for follow-up meetings after the date of final report delivery including availability to testify at legislative hearings and brief members of the Legislature regarding the report's findings, conclusions, and recommendations as needed.

9. The State Auditor may request, in writing, for the Contractor to provide additional services to the State Auditor after the release of the final audit report based on questions from the Legislature, executive branch, media, or members of the public. Any such additional services must be approved by the State Auditor in writing prior to their performance and shall be paid in accordance with the contracted hourly rate schedule.

### **C. Acceptance Criteria**

It shall be the State Auditor's sole determination as to whether a deliverable has been successfully completed and is acceptable.

### **D. State Auditor Responsibility**

The State Auditor will provide timely access to the business and technical documents needed by the contractor for completion of the tasks identified in the contract.

## **III. REQUIRED QUALIFICATIONS AND EXPERTISE**

1. Demonstrated experience developing and evaluating effective sustainability policies for large public transportation projects, preferably experience evaluating environmental sustainability projects.
2. Recognized certification in the environmental sustainability field, such as those conferred by the US Green Building Council, the American Institute of Certified Planners, the Institute for Sustainable Infrastructure, or Greenroads International, held by the project supervisor/principal.
3. Experience and ability to employ quality control procedures that ensure its reports and supporting documentation/evidence enable the California State Auditor to comply with Generally Accepted Government Auditing Standards (GAGAS).
4. Ability to complete contract deliverables on timeline contained herein.
5. Ability to conduct work under confidentiality conditions that govern State Auditor audits. The California State Auditor contract template includes a CONFIDENTIALITY/NONDISCLOSURE section and certification page.
6. For each individual that the prospective Contractor proposes to assign to the engagement (excluding administrative support personnel), the Contractor should provide a summary of similar work or studies performed by the individual, a résumé, and a statement indicating his/her planned responsibilities under the contract. Any anticipated limitations on the availability of these individuals should be identified.
7. Prospective Contractors shall provide the State Auditor's Office with a list of projects performed by the Contractor that are similar to this RFQ's scope of work. Specifically, include three examples of projects in which the prospective Contractor conducted similar analyses. The listing shall include:

- Title of the project
  - Name of the entity
  - Brief description of the project
  - Name and telephone number of the entity's contracting officer. (Reference Check information)
8. By furnishing this information, the prospective Contractor gives permission for the State Auditor's Office to contact the parties to the prior projects to obtain information about the Contractor's performance.

#### IV. MINIMUM REQUIREMENTS

1. Firms that are interested in providing professional services for this contracting opportunity shall submit the following information with each of the numbered sections collated in a separate tab.
2. Firms shall ensure that their written responses indicate how they meet the Selection Criteria listed below.
3. Submit **three (3)** sets using 8.5" x 11" paper.
4. The font shall be in Arial or Times New Roman and 12 point.
5. Each set shall be double-sided to conserve paper.
6. Alternatively, we will accept electronic submittals. The file must be submitted as a PDF and is subject to 20 MB in size.
7. Letter of Interest that includes the Federal Identification Number of the firm as well as the person authorized to negotiate and sign all agreements.
8. Executive Summary (2 pages maximum).
9. Written statement of the firm's qualifications that is responsive to the selection criteria below in Section III and IV of this RFQ No. 18-01. Firms shall respond in writing indicating how they believe their qualifications fulfill the requirements of these criteria. **Firms must respond to each numbered criterion with complete and organized responses.**
10. Additional Required Documents:
  - a. Current Statement of Information (found on the California [Secretary of State's](#) website. If operating under a fictitious business name, provide all supporting documentation (i.e. fictitious business name statement certified by the appropriate county clerk
  - b. If applicable, proof of current certification from the Department of General Services Office of Small Business and Disabled Veteran Business Enterprise Services (OSDS). This information can be found at [Cal eProcure](#).
  - c. Completed and signed California Civil Rights Laws Certification, available at the [Department of General Services](#) website.
  - d. Darfur Contracting Act Certification. [This form can be found here.](#)

- e. The Bidder's Declaration Form (GSPD-05-105) is found [here](#). This form documents subcontracted services.

## **V. SUBMISSION INFORMATION AND DEADLINE**

Documents must be received by **4:00 p.m.** on **April 26, 2018** ~~April 19, 2018~~. Electronic submittals must be received by **11:59 p.m.** on **April 26, 2018** ~~April 19, 2018~~. Mail or deliver documents to the address below.

California State Auditor  
Attn: Ana Clark, Manager  
621 Capitol Mall, Suite 1200  
Sacramento, CA 95814

Email: [Proposals@auditor.ca.gov](mailto:Proposals@auditor.ca.gov)

## **VI. SELECTION CRITERIA**

The California State Auditor will evaluate the Statements of Qualifications using the criteria listed below.

1. Professional experience of the firm in relation to the work to be performed – list each person with their role and office location for all staff identified as a part of this proposal (identify staff of sub-consultants similarly but separately).
2. Professional experience of the principals assigned to the project – list the Principals to be assigned to and involved with the project.
3. Professional experience and training of key personnel – list staff education, certification, and training.
4. Demonstrated competence and specialized experience of firm.
5. Nature and quality of completed work.

Consultant team shall be comprised of all disciplines necessary to provide essential and ancillary services for the work described for the project.

## **VII. CONTRACT ADMINISTRATIVE PROCESS**

1. Firms will be selected for interview based on written responses to this RFQ.
2. Submittals will be evaluated based upon the above selection criteria for those firms who have complied with the minimum qualification requirements.
3. Three firms will be selected for the "short list." These firms will be invited for an interview and asked to make an oral presentation on their firm and its qualifications and experience.
4. Upon completion of all interviews, a single firm will be selected. The selected firm will be asked to submit a fee proposal specifying the hourly rates for specific classifications of employees, subcontractors, and/or services to be provided.
5. The State and firm will enter into negotiations to create fixed rates. In the event that a satisfactory agreement cannot be negotiated, the State will terminate negotiations with that firm and begin negotiations with the next firm, and so on.

6. After successful negotiations, a contract will be awarded and executed. The State does not guarantee the amount of services being requested.
7. The State reserves the right to terminate the selection proceedings at any time.

#### **VIII. QUESTIONS AND ANSWERS**

Prospective Contractors requiring clarification or further information on the intent or content of this RFQ shall submit questions in writing to [Proposals@auditor.ca.gov](mailto:Proposals@auditor.ca.gov). We will post question and answer sets to our website by the due date listed in the Key Action Dates table on page 2.

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