

DEPARTMENT OF TRANSPORTATION
DIVISION OF PROCUREMENT AND CONTRACTS
1727 30TH STREET, MS 65
SACRAMENTO, CA 95816
PHONE (916) 227-6000
<http://www.dot.ca.gov/dpac/>



*Making Conservation
a California Way of Life.*

[Current Date]

[Mr./Ms./The Honorable Name]
[Title]
[Organization]
[Address]
[City, ST Zip Code]

Dear [Mr./Ms.]:

As the Most Highly Qualified consultant selected for Contract [##A####], entitled [Insert General Title of Service], Caltrans Division of Procurement and Contracts (DPAC) requires your proposed costs for this contract and the documentation that supports the proposed costs.

The submittal of all requested financial documents in conformance to Federal and State laws and regulations will demonstrate to Caltrans your intent to represent actual costs in good faith.

To benefit the Department and industry, a more streamlined process for negotiating A&E contracts with consultants has been recently implemented.* This process includes four (4) progressive phases (Phase A through D), each with specific requirements. The successful completion of Phase A advances the Most Highly Qualified consultant to Phase B; the successful completion of Phase B advances the consultant to Phase C etc. Each phase is described as follows:

- Phase A – Consultant provides Readily Available Document (RADs). RADs are financial documents that Caltrans expects all firms to have readily available. They are listed on the attached Financial Documents Checklist.
- Phase B - Consultant submits Remaining Financial Documents (RFDs). These documents are listed on the attached Financial Documents Checklist.
- Phase C – Consultant's completed financial documents package is reviewed by Caltrans Independent Office of Audits and Investigations (IOAI).
- Phase D – Consultant meets with DPAC Architectural and Engineering (A&E) Facilitator to resolve issues and submits Final Cost Proposal.

Failure to meet the requirements of any one phase may result in termination of negotiations.

[Mr./Ms./Honorable Full Name]

[Date]

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RADs for Contract [##A####] must be submitted by close of business on [Day, Month, Date, Year] (on the 5th business day from the date of this letter), and the RFDs must be submitted by close of business on [Day, Month, Date, Year] (11th business day from the date of this letter).

It is your responsibility to ensure the required documentation for the entire team is completed and submitted timely. If subconsultants elect to submit financial documents directly to DPAC, you are still responsible for your subconsultants' actions. The failure of any prime or subconsultant (firm) to provide the required documentation by the specified deadline may result in termination of negotiations.

The RADs and RFDs must be emailed in a Zip file to the new A&E Financial Submittal inbox at DPAC.AE.FinancialSubmittal@dot.ca.gov. The DPAC A&E Facilitator, [Facilitator Name], at [e-mail address], and the DPAC A&E Contract Analyst, [Contract Analyst Name], at [e-mail address], must be copied in the email.

Please provide your team with the attached Financial Submittal Folders. All required documents must be submitted in the appropriate folder in accordance with the folders' instructions, the Financial Documents Checklist instructions, and the requirements below:

1. Financial Submittal Folders – Two submittal folders with associated checklists and instructions for the RADs and the RFDs are included. Within the RADs and RFDs folders, each firm must select the appropriate folder based on whether it has a Caltrans Acceptance ID, no Caltrans Acceptance ID or is a Safe Harbor Rate firm (SHR).
2. File naming convention – The main folder must clearly identify the Contract # and prime consultant's name. Within the main folder, there should be a folder for each firm. The naming convention shall be the firm's name followed by either "No Caltrans ID", "Caltrans ID 201X-XXXX", or "SHR". The folder shall include all required documents, and a completed checklist that shows the Caltrans Acceptance ID, if one was previously assigned by the IOAI.
3. Files MUST NOT be password protected.

The DPAC A&E Facilitator may schedule meetings, by teleconference, to discuss your cost proposal and other financial documents.

[Mr./Ms./Honorable Full Name]
[Date]
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You are also required to complete and submit the following additional forms by [Day, Month, Date, Year] (same day as the RADs) to [Contract Analyst Name], DPAC A&E Contract Analyst, at [e-mail address]:

1. Insurance Certificate (provide your insurance carrier's "Acord" version)
 - Must comply with the insurance provisions stated in Exhibit D of the attached Draft Agreement.
 - MUST NOT be password protected.
2. Payee Data Record (Form STD 204) available at <https://www.dgsapps.dgs.ca.gov/osp/StatewideFormsWeb/Forms.aspx>
3. Contractor Certification Clauses (CCC-04/2017) -
The CCC-04/2017 package contains clauses and conditions that may apply to persons doing business with Caltrans under the resulting contractual agreement. The CCC-04/2017 are to be kept on file in a central location and must be renewed every three (3) years and updated as changes occur. The CCC's are available on the Internet at <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language> and may be downloaded and printed for your use. Please sign and return the first page of the CCC- 04/2017. Failure to do so will prohibit Caltrans from doing business with your company.

Please confirm your receipt of this letter and if you have any questions you may contact the DPAC A&E Facilitator at [phone number] or at [e-mail address].

Sincerely,

[CONTRACT ANALYST NAME]
DPAC A&E Contract Analyst
[phone number]
E-mail Address: [e-mail address]

* The status of cost negotiations with your firm may be impacted as a result of the Office of Civil Rights, Consultant Evaluation Unit's review of your firm's proposed DBE or DVBE commitment including the ability to perform a commercially useful function.

[Mr./Ms./Honorable Full Name]

[Date]

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Enclosures: Draft Agreement
Financial Submittal Folders
Financial Documents Checklist (included in the folders)

c: DPAC Facilitator
Caltrans Contract Manager

Kform 57 (Rev. 10/7/21)

By E-mail: