REHABILITATION OF BRIDGE NOS. 02366, 02367, & 02369 IN EAST HARTFORD AND BRIDGE NO. 00847 IN WILLINGTON

Project No. 171-431

DESIGN-BUILD PROCUREMENT

REQUEST FOR STATEMENT OF QUALIFICATIONS

September 13, 2016

CONNECTICUT DEPARTMENT OF TRANSPORTATION
REHABILITATION OF BRIDGES NO. 02366, 02367, 02369,
I-84, ROUTE 2, AND RAMPS IN EAST HARTFORD AND
BRIDGE NO. 00847,
POTTER SCHOOL ROAD OVER I-84 IN WILLINGTON
DESIGN-BUILD PROCUREMENT
REQUEST FOR STATEMENT OF QUALIFICATIONS

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Chapter 1

Introduction

The Connecticut Department of Transportation (Department) invites responses from proposers to design and construct four (4) bridge superstructure replacements and perform related work on I-84 EB and turning ramps in the town of East Hartford and Potter School Road over I-84 in the town of Willington, Connecticut, as further described in Section 1.1 below.

The Best Value Design-Build Procurement Process (BVDB) is being used for the Project. This BVDB Procurement is authorized under Connecticut Public Act 12-70 §1(c) "An Act Concerning Department of Transportation Project Delivery and Project Labor Agreements for Certain Public Works Projects."

The following are common terms used in this document:

Best Value Design-Build Procurement Process (BVDB): A two-phase selection process in which the first phase consists of creating a Short List of qualified Proposers. The second phase consists of the submission of technical and price proposals in response to a Request for Proposal (RFP).

Base Technical Concept (BTC): The requirements included in the RFP (plans, specifications, references codes and standards, etc.) for the design and construction of any roadway, bridge, traffic management, drainage, utilities, and other work that defines the scope of the Project. The BTC forms the basis of the Technical Proposal submissions.

Conflict of Interest: A situation in which, because of existing or planned activities or because of relationships with other persons, a proposer is, or appears to be, unable, or potentially unable to render impartial assistance or advice to the State, the Proposer's objectivity in performing the contract work is or might be otherwise impaired, or the Proposer has an unfair advantage.

Contract Value: The final cost of the Project including design, construction and all change orders

Contractor: Following the award of the Contract between the Connecticut Department of Transportation and a second party, it shall be taken such that when the word is capitalized, it refers to the party of the second part to the Contract, acting directly or through its agents or employees. Following the award of the Contract when this word is not capitalized, it is to be taken in its more general sense. During the procurement process, whether the word is capitalized or not, it shall be taken in the general sense.

Department: The Connecticut Department of Transportation.

Engineer of Record: The design engineer(s) who is (are) responsible for signing and sealing the contract plans and related documents.

Interview List: A group of Proposers that have been selected for qualifications interviews.

Key Personnel: Any position and named persons that occupy roles important to the successful development and implementation of the project (see Chapter 2).

Proposal: A set of documents requested by the Department in the RFP that describes the Proposer's technical approach for the project (Technical Proposal) as well as the proposed cost of the project (Price Proposal).

Proposer: A prime contractor qualified to be involved in the BVDB selection process (prior to contract award). As specified in the Terms and Conditions (Section 1.08.01 of Part 3) of the RFP, the prime contractor must perform a minimum of 50% of the original contract work.

Proposer's Team: The team identified by the Proposer in its Statement of Qualifications that collectively meet the requirements of the Request for Qualifications.

Request for Information (RFI): A formal request from a Proposer for information related to the project**.**

Request for Proposal (RFP): A solicitation by the Department for Short Listed Proposers to submit a Technical Proposal and Price Proposal for consideration by the Department.

Request for Qualifications (RFQ): The official request by the Department to Proposers for submission of a Statement of Qualifications (SOQ).

Short List: A group of proposers that are invited to submit technical proposals and price proposals (Step 2 of the Procurement Process).

Solicitation Letter: This document constitutes the legal advertisement for the project. The solicitation letter will not contain all the project information and requirements for the Proposers. This information is contained in the RFQ document (this document), which supplements this letter. If there is any conflicting information between the letter and this document, the letter will take precedence.

Statement of Qualifications (SOQ): A group of documents described herein that contains information regarding the Proposer's Team. As described further in this RFQ package, interested proposers must submit an SOQ as described herein. Each SOQ submitted must meet the requirements stipulated herein in order for the Department to consider the Proposer for short-listing.

1.1. Project Overview and Goals

1.1.1. Project Overview

The project consists of the replacement of the bridge superstructures on the following bridges:

Bridge No. 02366: Route 2 WB & SR 500-806 over I-84 EB & I-84 TR 828
Bridge No. 02367: I-84 TR 829 over I-84 EB & I-84 TR 828
Bridge No. 02369: Route 2 EB & I-84 TR 828 over I-84 TR 833 & I-84 TR 831
Bridge No. 00847: Potter School Road over I-84

Copies of bridge plan sheets have been extracted from the original plans for these four bridges and are provided on the Department's Design-Build web page for informational purposes. Due to the amount of time that has transpired since their development these plan sheets should be considered general information and may not exactly represent the current condition of the structures.

It is anticipated that the scope of work under this project will be as defined below. Aspects of the project scope are subject to change prior to the issuance of the RFP. Major project elements include, but not limited to the following:

- Survey
- Geotechnical investigation, analysis and design
- Utility investigation, coordination, relocation and/or temporary support in place
- Bridge analysis, design and construction
- Demolition
- Employment of Accelerated Bridge Construction (ABC) techniques
- Highway design and construction
- Traffic engineering
- Contractor Quality Control
- Environmental permit plans if required by design
- Public outreach and coordination
- Hazardous materials assessment, handling and/or remediation

All design shall at a minimum be in accordance with the CTDOT Bridge Manual, CTDOT Highway Design Manual and the requirements outlined in the upcoming RFP to be issued by CTDOT for this Project.

The Base Technical Concept (BTC) that has been developed for this project includes the replacement of the superstructures of all four bridges and other associated work. The three bridges located in East Hartford are each comprised of three simple spans. Each of these bridges will be replaced with three simple spans utilizing link slabs over the piers to eliminate deck joints over the piers. The bridge in Willington is comprised of two simple spans and will be replaced with a two simple span bridge. Existing bearings will be replaced with steel reinforced elastomeric bearings. The piers and abutments of all four bridges will require modification to accommodate the new superstructure and to increase the load carrying capacity. The Department has obtained additional subsurface geotechnical borings which will be provided to the shortlisted proposers as part of the Request for Proposals in the second phase of this procurement. The Contractor will be required to prepare a final Geotechnical Report for this project including the reuse of the existing substructures after rehabilitation.

The phasing of the construction in the BTC includes construction of the bridges in East Hartford proceeding in three phases. The first phase will include work completed on the bridge substructures and strengthening the piers. The second phase will include the superstructure replacement of Bridge No. 02369 with one lane detoured and staged construction. The third phase will include the superstructure replacement of: Bridge No. 02366 utilizing a full bridge closure with traffic detours, and Bridge No. 02367 maintaining traffic utilizing staged construction.

Construction of the bridge in Willington will proceed in two phases. The first phase will include work to the substructure and strengthening the pier and the second phase will include the bridge superstructure replacement with a full closure and detour of Potter School Road.

For all of the bridges, construction of each phase will be limited to a number of consecutive calendar days for each phase. The anticipated time for completion of all phases of construction is during 2017 to 2019.

Due to the limited number of consecutive calendar days for construction described above, some or all of the bridges will need to be built using Accelerated Bridge Construction Technologies. The Proposer will be responsible for developing the most beneficial ABC methodology for each bridge within the limits set forth in the RFP.

Partial reconstruction of intersections and/or modification to existing traffic control signals along the temporary detour routes within East Hartford may be required under this project. Widening of exit ramps or roadways along the temporary detour routes may also be required under this project.

1.1.2. Project Goals

The Department has developed the following goals for this project. The Proposer should take these goals into account when formulating its team and preparing their Statements of Qualifications.

1. Completion of the Project within the allotted contract time
2. Completion of the Project within budget
3. Successful application of Accelerated Bridge Construction (ABC) Technologies
4. The use of innovation in design and construction
5. Adherence to the Project's Contractor Quality Control requirements
6. Minimize the impact of the work on the transportation system and the neighboring community

1.2. **Project Information Website**

RFQ information including addenda will be available on the Departmental website via the following link:

http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=64

Additional project information can be found at the Department's Design Build Program website via the following link:

http://www.ct.gov/dot/cwp/view.asp?a=4453&q=534602

All Proposers are required to inform themselves fully of the conditions relating to the construction and labor under which the work will be or is now being performed. The Proposer shall employ, as far as possible, such methods and means in completing this work as to not cause interruption or interference with any other contractor.

1.3. **Small Business Enterprise (SBE) Set-Aside**

Please be advised that the SBE set-aside assigned for this project is 5% (five percent). This is an aggregate number that pertains to the Contract as a whole (engineering and construction). The Contract set-aside for SBE participation is a percent of the total Contract value. Compliance with this provision may be fulfilled when an approved SBE or any combination of approved SBEs perform work under the Contract in accordance with Contract Specifications and the Connecticut General Statutes as revised.

The SOQ shall include information on how the Proposer intends to fulfill the SBE set-aside for the project. This shall be included in Sections E and I of Form SOQ C255 and/or Sections E and K of form SOQ D255.

The Department hereby notifies all Proposers that it will affirmatively ensure that in any contract entered into pursuant to this advertisement, qualified Small Business Enterprises will be afforded full opportunity to submit bids in response to this solicitation and that they will not be discriminated against on the grounds of race, color, national origin, sex, sexual orientation, mental retardation or physical disability including but not limited to blindness, in consideration for an award of contract.

1.4. **Insurance Requirements**

The lead design firm will be required to maintain insurance coverage from a firm approved to do business in the State of Connecticut. A minimum of three million dollars ($3,000,000) Professional Liability Insurance coverage, with a maximum deductible of two hundred fifty thousand dollars ($250,000), will be required. Proof of coverage must be submitted on acceptable insurance forms prior to the award of the contract.

Other insurance requirements which must be satisfied prior to the award of the Contract will be detailed in part 3 of the RFP.

1.5. **State Campaign Contribution Solicitation Limitations**

For all State contracts, as defined in CGS § 9-612(g)(l) having a value in a calendar year of $50,000 or more or a combination or series of such agreements or contracts having a value of $100,000 or more, the authorized signatory to this submission in response to the State's

solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's Notice titled "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations" (Notice) advising state contractors of State campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the Notice. The State Elections Enforcement Commission's Notice can be found online at www.ct.gov/SEEC by clicking on the Forms link and then the Contractor Reporting Forms link. The Notice is hereby made a part of this RFQ.

1.6. **Affirmative Action, Corporate Registration**

Prior to the contract award, the selected Proposer and firms named as part of their team that are subject to the requirements for an Affirmative Action Plan, will be required to have a Department-approved Affirmative Action Plan, as well as current corporate registration with the Secretary of State (partnerships excluded).

1.7. **Affidavits / Certifications / Affirmations (OPM Forms)**

As a result of Public Act 11-229, the process in which the Department will receive Affidavits/Certifications/Ethics Affirmation Forms (OPM Forms), for the purpose of contract bidding and contract award, has been revised. The new law greatly simplifies the requirements and allows for the use of electronic forms (PDFs). The following link will guide you to the revised OPM forms:

http://www.ct.gov/opm/cwp/view.asp?a=3006&Q=386312&opmNav_GID=1386

Under the new laws, the OPM Iran Certification Form 7 (FORM 7), the Affirmation of Receipt of State Ethics Laws Summary (OPM Form 6) and the Consulting Agreement Affidavit (OPM Form 5) will only have to be filed once and will be updated only if any information on the form changes. The Gift and Campaign Contribution Certification (OPM Form 1) and Nondiscrimination Certifications (OPM Form C) will be filed once per year, with any updates required upon changes to information. Updates are required within 30 days of any change. The forms are no longer contract specific, but are required to be filed (uploaded) with the Department of Administrative Services (DAS) online system (Biznet), prior to contract award and/or execution of any contract.

All Proposers and firms that are members of their team subject to the requirement must upload the applicable/required "Forms" to the DAS online system (Biznet). Please access the link to subscribe to Biznet and download the "Vendor Guide to Uploading Affidavits and Nondiscrimination Forms Online (PDF)".

https://www.biznet.ct.gov/AccountMaint/Login.aspx

Once the "Forms" are on file with the DAS online system (Biznet), the Proposer's and subject team members obligation is complete, until the need for revisions/updates and/or new annual submission as required by the specific Form.

Additional Information is available on the Departments website:

http://www.ct.gov/dot/cwp/view.asp?a=2288&Q=490422

The titles of the applicable documents posted on the Department's Website are "OPM Forms", and "Contract Affidavits (Additional Oct. 2013)".

1.8. **Prevailing Wage Rates**

The minimum rates to be paid for labor of the various classifications shall be in accordance with current schedule of wages established by the State Labor Commissioner, including required annual adjustments as provided in the General Statutes of Connecticut and by the United States Secretary of Labor as required by the Davis Bacon and Related Acts. If a conflict exists between the Federal and State wage rates, the higher rate shall govern. The Contract Wage Certification Form is to be submitted to the Labor Commissioner before the award of the contract.

Prevailing wage rates also apply to the work of any subcontractor or other party that performs work on the Project site. The Contractor shall be responsible for ensuring that each such party meets said requirements.

1.9. **Selection Process**

Through a BVDB two-step process, the Department will select the Proposer who provides the best value to the Department and the State. This determination will be based on an assessment of a combination of factors including, but not limited to technical approach, project management, qualifications, quality control, innovation, schedule, operating, and pricing factors that are expected to meet or exceed the Department's requirements identified in the RFP.

Step 1 of the process involves the solicitation of Statements of Qualifications (SOQs), review of the SOQs by the Department, interviews, and determination of a list (Short List) of Proposers that will be allowed to participate in Step 2.

Step 2 of the process involves the solicitation of technical proposals and price proposals from the Proposers that are selected in Step 1, review of technical proposals and the determination of the "Best Value" proposal.

The following is a partial list of draft RFP documents being made available for information and comment.

- Part 1 – Instructions to Proposers
- Part 2 – Technical Provisions
- Part 3 – Terms and Conditions

These documents are for information only and shall be considered draft. The Department is making these documents available to Proposers in order to provide information regarding the second phase of the selection process and overall project as well as to provide the opportunity for comments. These documents are in various stages of drafts and certain details are currently being discussed such as the final language related to payment and Quality Assurance. The Department reserves the right to alter these documents prior to the start of Step 2 of the procurement process.

The documents available at:

The Department of Administrative Services, State Contracting Portal for Department of Transportation projects:

ConnDOT Bids and RFPs (State Contracting Portal-Transportation, Department of)

Or the Department's Design-Build Program website at:

http://www.ct.gov/dot/cwp/view.asp?a=4453&q=534602

The Department invites the Proposers to comment on the draft documents by email to:

CTDOT.Design.Build@ct.gov

The Email subject line must be as follows:

Date Project number Proposer name RFP Comments

Example: 20160925_0171-0431_John Doe Construction_RFP Comments

In the body of the email explain the comment citing specific part, page, detail heading and other related identifying information and then state the question. As an alternate the body of the email may briefly explain that the comment(s) and identifying information is attached.

This RFQ document contains information on Step 1 of the procurement process. Figure 1 is a flowchart diagram depicting the basic process for determining a Short List of Proposers. A description of the process illustrated by the flowchart follows Figure 1.

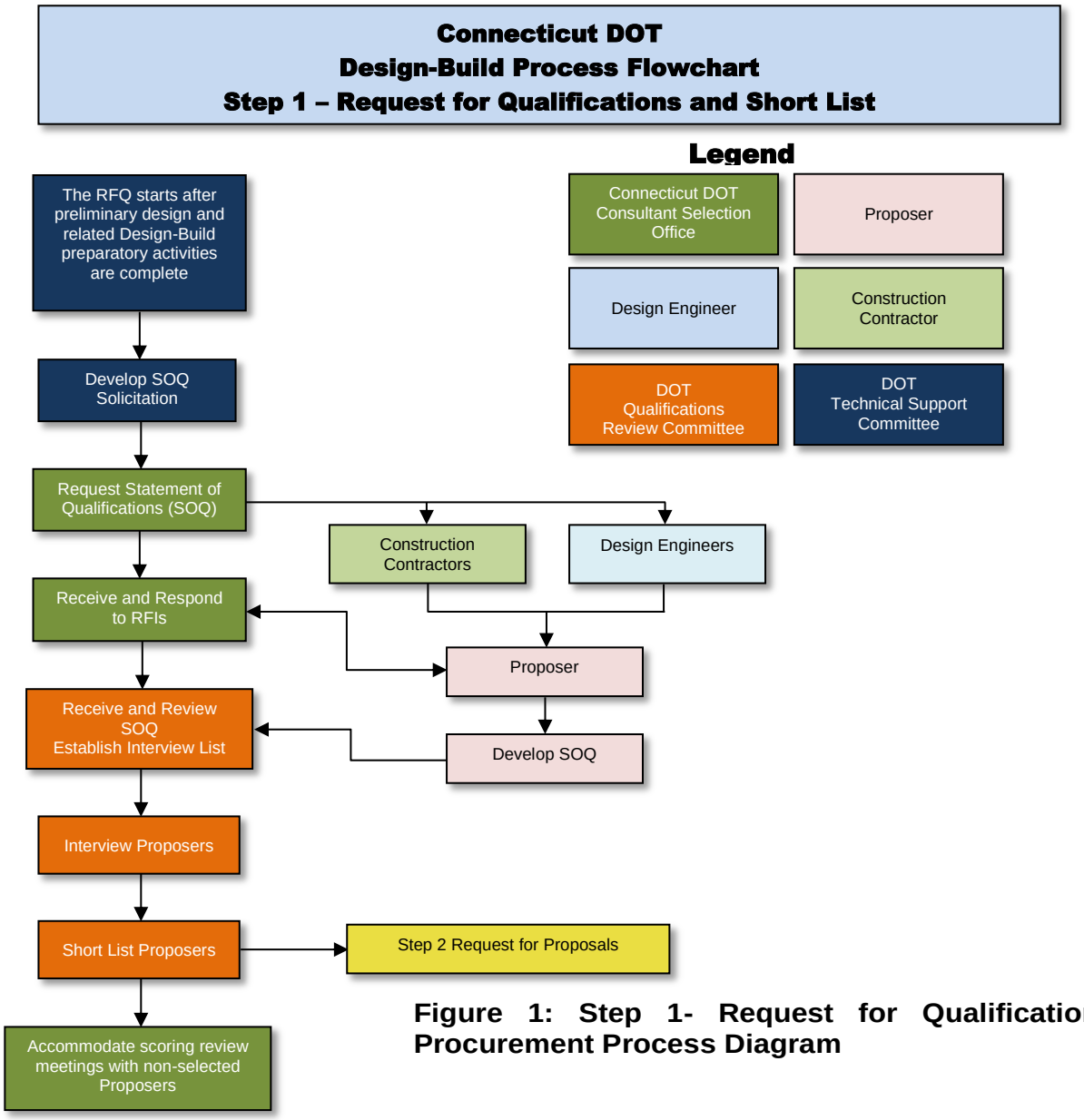

Figure 1: Step 1- Request for Qualifications Procurement Process Diagram

1.9.1. DOT Committees

Two separate committees will be used during Step 1 of the selection process. The following sections contain a description of each committee and the anticipated tasks for each committee.

1.9.1.1. Qualifications Review Committee:

SOQs and the Proposers' Teams will be evaluated by a "Qualifications Review Committee" (QRC) whose purpose will be to establish a Short List of Proposers that will be invited to participate in Step 2 of the BVDB process.

The QRC is responsible for, but not limited to the following tasks:

1. Review Statement of Qualifications (SOQ) from prospective Proposers.
2. Establish an Interview List based on their evaluation of the SOQs using the criteria set forth in this solicitation. The Department reserves the right to limit the number of Proposers that will qualify for interviews based on the SOQs. Proposers that are not called for interviews will not be considered for selection to the Short List.
3. Conduct Interviews of the Proposers and their Team on the Interview List.
4. Establish a recommendation of the top Proposers for the Commissioner to approve. It is anticipated that the Short List will consist of three Proposers.

1.9.1.2. Technical Support Committee

A Technical Support Committee will assist the QRC during the RFQ process.

1.10. Schedule of Events

The following table provides the Proposed Schedule of Events for this Project for Step 1 of the process.

Table 1: Schedule of Events – RFQ Process

Event	Date
Advertise RFQ	09/13/2016
Pre-SOQ Meeting	09/21/2016
Final Date to Submit Questions or Clarifications	09/27/2016
Statements of Qualifications Due	10/11/2016
Establish Interview List	11/02/2016
Interview Proposers (and their team) on Interview List	11/21/2016
Establish Short List and notify Proposers	12/14/2016

Submission dates listed include the actual date up to close of business (4:00 pm). The basis for this time is Eastern Standard Time as shown on the State of Connecticut, "State Contracting Portal".

1.11. **Contact Information**

The Contact Person for this procurement is:

David Mancini, P.E.
Consultant Selection Office (CSO)
Office of the Commissioner
Connecticut Department of Transportation
2800 Berlin Turnpike
Newington, CT 06111
CTDOT.Design.Build@ct.gov

1.12. **Pre-SOQ Meeting**

A briefing of interested parties is planned as part of the RFQ process. It will be held at the DOT Headquarters Building in Newington, Connecticut on Wednesday, September 21, 2016 at 9:00 AM in Conference Room A on the 1st Floor at 2800 Berlin Turnpike, Newington, CT. Information related to the selection process will be discussed at this briefing. Each Proposer should have a member attend the briefing. Meeting minutes will not be distributed.

1.13. **Submission of Request for Information (RFI)**

Unauthorized communications or contact between Proposers, their employees, agents, or other related entities interested in submitting SOQs with the Department and any other person or entity participating on the Qualifications Review Committee or Technical Support Committee with regard to this project are strictly prohibited. From the date of issuance of the RFQ, any Proposer or other associate thereof (as identified in the previous sentence) that initiates or participates in any unauthorized communication directly or indirectly with any member or employee of the Department or any member of the Qualifications Review Committee or Technical Support Committee in connection with the selection process for the contract contemplated herein for this Project, is subject to disqualification.

Submitted questions should not be assumed to be confidential. The RFQ process focuses on qualifications, not technical issues; therefore questions should not include confidential Proposer strategies or approaches. Questions of this type will be addressed through the Alternative Technical Concept (ATC) process in Step 2 of the procurement process. In order to maintain a certain level of confidentiality, responses to questions may not be shared with all Proposers, but will be forwarded to the Proposer submitting the question. If an issue is of a significant nature that warrants a clarification of the RFQ, a response will be posted to the DAS portal. It is the responsibility of the Proposers to check the DAS portal for potential updates.

Questions shall be submitted using e-mail correspondence only. All RFIs must be emailed to the DOT contact person at the email address listed above. The subject line of each email must contain the following in the order provided:

{Date} {Project number} {Proposer name} "RFQ RFI"

Example: **20160925_0171-0431_John Doe Construction_RFQ RFI**

Chapter 2

Instructions

2.1. SOQ Submission, Deadline, and Location Instructions

Statements of Qualifications submitted in response to this document must be received by the Department no later than the time and date specified in the Schedule of Events.

SOQs must be addressed to:

David Mancini, P.E.
Consultant Selection Office
Office of the Commissioner
Connecticut Department of Transportation
2800 Berlin Turnpike
Newington, CT 06111

The outermost container in which a SOQ, or any part thereof, is delivered must be clearly labeled as follows:

STATEMENT OF QUALIFICATIONS
REHABILITATION OF BRIDGES NO. 02366, 02367, 02369, & 00847
I-84 IN EAST HARTFORD & WILLINGTON
PROJECT 171-431

One original and five (5) copies of the submittal, individually spirally bound, must be received by the date and time specified in the Schedule of Events above. The original shall be clearly marked with the word “Original” on the cover and contain original signatures for all required documents. In addition, proposers must include one electronic copy in searchable PDF format of the “Original” SOQ including all attachments on a “USB-flash drive” with a label or attached tag indicating the project number and proposer name.

Hand delivered packages must be brought to the front desk at the above address. Responses delivered after this date and time will not be considered.

Late submissions will not be accepted. Preparation for and delivery of the SOQ shall be at the Proposer’s expense. The time of receipt shall be considered when the SOQ has been officially documented by the Department, in accordance with its established policies, as having been received at the location designated above. The Department accepts no responsibility for mislabeled mail. Any damage that may occur due to shipping shall be the Proposer’s responsibility.

2.2. Prequalification Requirements

The Department has established prequalification requirements for the construction firms and design firms. The following sections contain specific requirements for the project.

2.2.1. Prequalification of Designers

The current Department prequalification requirements for consulting engineers are hereby waived for this project. The Designer teams (including lead Design firm and all sub-consultant designers) shall demonstrate through the response to this solicitation, and response to any further information requested by the Department, that they possess the

qualifications to complete the design of the project with a high degree of technical competence.

The Engineer of Record that will be responsible for the certification of the plans shall be a Professional Engineer registered in the State of Connecticut. The lead design consulting firm shall also have a corporate Professional Engineering registration in the State of Connecticut. The information necessary to demonstrate compliance with the registration requirements shall be included in the submitted documents as described below. If the individuals or firms do not currently have the required registrations, they shall obtain the registrations prior to submission of the SOQ.

2.2.2. Prequalification of Construction Contractors

Proposers must be a "construction contractor" who is the principal party for the construction of the project and who is prequalified with the Department in the Contractor Prequalification Work No. 9 (Intermediate Bridges). The construction contractor shall submit a sworn and fully complete Contractor's Prequalification Statement (CON 16) to the Department's Contract Section at least twenty one (21) calendar days before submission of the SOQ in order to obtain prequalification. Contractors seeking prequalification specifically for this project shall include in this submission, a cover letter directed to the Manager of Contracts stating the following: "Prequalification submission for the Design-Build Project 171-431."

The Department has established the required project scope code for this project as Code "K" (see attached Project Scope Code values in Appendix A).

The requirements for obtaining such prequalification and the rules applicable to such prequalification are set forth in detail in the Department's Construction Contract Bidding & Award Manual ("Award Manual"), which is available on the Department's website. Contractors should note that only corporations and not, for instance, sole proprietorships or partnerships or individuals, may become prequalified. The construction contractor must become prequalified by the Office of Contracts, in the categories and for the amount specified elsewhere in this RFQ, a minimum of seven (7) days prior to the established day of the oral interviews. Proposers should also be aware that the prequalification process will establish a current bid capacity for the Proposer they are affiliated with and that if the amount of the Proposer's later Price Proposal for the Project should exceed that bid capacity, the Proposer will not receive an award of the Contract.

If information that the Office of Contracts obtains in the course of the prequalification process raises serious questions about a construction contractor's responsibility, as that term is understood in the context of traditional Department contracting, the Contracts Office will call that fact to the attention of the Commissioner. Typical matters that may call into question a construction contractor's responsibility are identified (though not exhaustively) in Section XI(G)(2) of the Department's Bid and Award Manual. If, in the Department's opinion, a particular Proposer should not be deemed responsible as a potential recipient of the Contract, the Department may, at any stage of the BVDB selection process, inform that Proposer of such.

2.2.3. Joint Ventures

Formation of Joint Ventures will be allowed for this project and each individual construction company will be required to be prequalified with the Department in accordance with the requirements outlined in Section 2.2.2. Joint Ventures between a design firm and a construction contractor will not be allowed.

If a Proposer consists of a joint venture, each individual member does not have to be pre-qualified in both Contractor Categories stated above to this contract limit. Joint venture partners who are pre-qualified can combine their individual pre-qualifications to satisfy this requirement.

Additional requirements for bidding (Proposing) as Joint Ventures are set forth in detail in the Department's Construction Contract Bidding & Award Manual ("Bid and Award Manual"), which is available on the Department's website. In the event of conflicts between the provisions of this RFQ and the Bid and Award Manual, these provisions shall take precedence.

2.3. SOQ Submission Requirements

Proposers must, through their submission, demonstrate their team's ability to perform the scope of services required for this Project on budget, on schedule and in a manner consistent with the Contractor Quality Control (QC) requirements established in this RFQ and as further described in the Draft RFP. Prior successful completion of projects in similar scope and magnitude is not required, but is of significant importance.

The Proposer must demonstrate through their team, combined design and construction qualifications to be considered for this procurement. As a result, the Proposer's team must satisfy both the Department's engineering and construction qualifications described above.

2.3.1. Submission Documents

The following documents will constitute the Statements of Qualifications (SOQ):

- A cover letter limited to one (1) page
- Two SOQ Submission Forms (included in Appendix B) consisting of:
  - SOQ C255 Statement of Qualifications for the Constructor
  - SOQ D255 Statement of Qualifications for the Designer
- Up to five (5) pages to supplement references (up to five (5) pages to supplement SOQ C255 section G and up to five (5) pages to supplement SOQ D255 section H) with recommendation of other owners of projects with similar complexity.
- A maximum of ten (10) resumes which are limited to two (2) pages each. Resumes of the following key personnel must be included in the ten (10) resumes: Project Executive, Project Manager, Quality Control Administrator, Design Manager, Construction Manager, and Construction Superintendent. Descriptions of the key personnel are included below. Assurance must be given that all key personnel will be available for work at the commencement of work and as required through the duration of the project
- An "Organizational Chart" and narrative, as described in Section 2.3.3.
- "Conflict of Interest and Unfair Competitive Advantage Certification" executed by all required parties as described in Section 2.9 below
- A Certificate of Authority naming the individual empowered to bind the Contractor and execute documents on its behalf (the Project Executive). This individual shall certify the forms for the SOQ. If the proposer is a joint venture, a separate

Certificate of Authority from each of the members of the JV must be submitted identifying this individual

- A properly executed Declaration of Joint Venture (if applicable) accompanied by a statement that clearly identifies which parts of the work each of the members of the Joint Venture will be responsible. The breakdown of the work by a Proposer (Joint Venture) will be deemed a binding commitment by the Proposer that if it receives the Contract, the breakdown of work will remain the same during the performance of the Contract. Minor adjustments to the breakdown may be made during the RFP process, based on the final technical proposal
- "Statement of Work Under Contract" form for proposed Contractor (Joint Ventures must submit separate forms for each member)

The C255 and D255 forms are similar to the Department's current CSO 255 form, which is used for Consultant Selections. These forms have been modified for use with design-build contracting. Even though the forms are similar the rules set forth for consultant selections do not necessarily apply to this Best Value Selection Process. The guidelines set forth in this RFQ and related documents are what govern this part of the process. The SOQ C255 and SOQ D255 forms are not to be altered in any way.

In addition to the guidance herein, instructions have been developed to assist Proposers with the completion of these forms. These instructions are provided in the appendix with the forms for information and need not be submitted with the SOQ. If a Proposer has both design and construction expertise within one entity, the entity shall fill out both forms.

The cover letter shall include the primary contact person for the Proposer. The letter shall include the mailing address and e-mail address of this person.

All supporting documents shall be written in Times New Roman, 11 point, single spaced. The pages shall be 8½" x 11" in size with 0.75" margins on all edges. Where page limits are specified, a page is considered each side of a sheet (For example, 10 sheets that are double sided printing = 20 pages).

Submission of additional material beyond the information described above will not be allowed. Additional information such as corporate brochures and pamphlets will be discarded.

2.3.2. Key Personnel

The following are descriptions of the minimum requirement for the key personnel, who shall be assigned full time to the job site except as noted:

Project Executive: The single point of contact with whom the Department may confer on all contractual issues. This person has the authority to bind the Contractor on all matters relating to the Project. For the duration of the project, this person must have the ability to be on site within twenty four (24) hours. In addition to these requirements, the Project Executive must meet the following criteria:

- Must be an officer of the lead company or Joint Venture.

Project Manager: Person that will be responsible for the overall design, construction, quality management and contract administration for the Project. This person will have full responsibility for the prosecution of the work and act as the primary point of contact in all Project matters. For the duration of the Project, this person should be available on site within the same business day or the next calendar day as needed. This person should be on site for the durations of any major activities and attend all project meetings. In addition to these requirements, the Project Manager must meet the following criteria:

- Must have recent experience managing projects of similar scope and complexity (minimum 10 years preferred).
- Management experience that includes both design and construction is preferred.

Quality Control Administrator: Person that will be responsible for the overall design and construction quality of the project, implementing quality planning and training, and managing the Contractor's Quality Control (QC) systems and procedures. The Design Quality Control Manager and the Construction Quality Control Manager will report to this person. For the duration of the Project, this person must have the ability to be on site within twenty four (24) hours. In addition to these requirements, the Quality Control Administrator must meet the following criteria:

- Design or Construction phase experience relevant to the type of work and the scope of the project (minimum 10 years preferred.)
- Must have experience developing, implementing, and maintaining QC systems (minimum 10 years preferred.)
- Documented advanced training and certifications in quality control principles (exceeding the NETTCP QA Technologist Certification)
- Experience with both Design QC and Construction QC is desirable.

Design Quality Control Manager: Person that will be responsible for the design quality of the project. This person will report to the Quality Control Administrator. For the duration of the Project, this person must have the ability to be on site within twenty four (24) hours.

The Design Quality Control Manager must be an individual with demonstrated experience implementing QC programs in a design environment. This experience shall include a minimum of 7 years of combined experience in any of the following areas:

- Design phase experience relevant to the type of work and the scope of the project
- Previous experience as a Quality Control Professional
- Substitutions allowed – 2 years for Bachelor's Degree in CE, CE Tech., or other design related field (1 year for Associates Degree in a related field).

In addition, the following special experience is preferred for the Design Quality Control Manager:

- Prior supervisory design experience
- Training in QC principles (must meet or exceed the NETTCP QA Technologist Certification)

Construction Quality Control Manager: Person that will be responsible for the construction quality of the project. This person will report to the Quality Control Administrator. For the duration of the Project, this person must be on site daily to supervise or self-perform the QC actions.

The Construction Quality Control Manager must be an individual with demonstrated experience implementing QC programs in a construction environment. This experience shall include a minimum of 10 years of combined experience in any of the following areas:

- Construction phase experience relevant to the type of work and the scope of the project
- Previous experience as a Quality Control Professional
- Substitutions allowed – 2 years for Bachelor's Degree in CE, CE Tech., Construction Management, or Construction Engineering. (1 year for Associates Degree in a related field); 1 year for NICET IV certification; (1 year for a NICET III certification)

In addition, the following special experience is preferred for the Construction Quality Control Manager:

- Prior supervisory bridge construction experience
- Training in QC principles (must meet or exceed the NETTCP QA Technologist Certification)

Design Manager: Person that will be responsible for ensuring that the overall Project design is completed and design criteria requirements are met. This includes coordination of all design activities, including those of sub-consultant designers. For the duration of the Project, this person must be co-located with the design team and attend all design meetings and other key meetings. This person must also have the ability to be on site within twenty four (24) hours at any point for the duration of the project. In addition to these requirements, the Design Manager must meet the following criteria:

- The Design Manager must work under the direct supervision of the Contractor's Project Manager.
- Must be a registered professional engineer in the State of Connecticut now or before award of the contract.
- Must have recent experience in managing the design of projects of similar scope and complexity (minimum 10 years preferred).
- Must have previous experience with Accelerated Bridge Construction.
- Must have authority to be in direct contact with Department staff during all phases of the Project.
- Must have responsibility to implement design revisions when required, whether identified by Contractor Design QC system or the Department Acceptance staff.
- Previous Design-Build experience is preferred.

Construction Manager: The person that will be responsible for ensuring that the Project is constructed in accordance with the project requirements. This includes coordination of all on-site and off-site construction activities, including those of producers, fabricators, and manufacturers. For the duration of the Project, this person must be on site every regular business day and attend all project progress meetings and other key meetings. This person should be on site for the durations of stage construction changes. During other critical activities this person should be available on site within four (4) hours. In addition to these requirements, the Construction Manager must meet the following criteria:

- The Construction Manager must work under the direct supervision of the Project Manager.
- Must have experience as a construction manager, including managing the construction of at least one project of similar scope and complexity (minimum 10 years preferred). The similar scope and complexity experience may be obtained from multiple projects rather than from a single project containing all of the similar scope and complexity requirements.
- Design-Build experience is preferred.

Construction Superintendent: The person that is thoroughly familiar with the type of work being performed, to supervise the work. This person must be familiar with the plans and specifications of the project and be capable of supervising and directing the day to day construction operations of the project. This person is to be full time on the project site, which shall be considered every regular business day as well as weekends and holidays where significant work is proceeding.
In addition to these requirements, the Construction Superintendent must meet the following criteria:

- The Construction Superintendent must work under the direct supervision of the Construction Manager.
- Must have experience as a superintendent of at least one project of similar scope and complexity (minimum 10 years and multiple projects of similar scope preferred).
- Department project experience is preferred.
- Design-Build experience is preferred.

The Proposer may put forth an individual to fill more than one of the Key Personnel positions, provided it can be demonstrated that the individual has the appropriate experience for both. This provision does not apply to the Project Executive position. In addition the Design Quality Control Manager shall not be the same individual as the Construction Quality Control Manager. Dedicated Key Personnel is preferred.

The identification of the key personnel by a Proposer will be deemed a binding commitment by the Proposer that if it receives the Contract, the key personnel will, in fact, play the principal roles in Project design and construction management for the Contractor.

Any Proposer submitting an SOQ and designating its key personnel for the selection process will be precluded from later substituting, replacing, or removing any of its key personnel without the written consent of the Department. The Department will determine a Short List of Proposers that will be allowed to submit Technical and Price Proposals for the Project during the RFP process (Step 2). If a Proposer is placed on that List, it shall be deemed to have acknowledged, by its identification of the key personnel, that the Department has relied upon the Proposer's identification of the key personnel in determining that the Proposer should be included on the Short List.

If a Proposer believes that any change to any key personnel identified in its SOQ is warranted prior to filing its Technical Proposal (due to an intervening event), the Proposer shall so notify the Department in writing, providing details of the proposed change(s) and the reasons for them. The Proposer shall not change any person listed as one of the key personnel in its SOQ without the prior written consent of the Department. Such consent shall not be unreasonably withheld. Proposed substitutions of such personnel shall have equal or better credentials than the personnel they are replacing. Should the substituted personnel not meet or exceed the experience or training of the originally proposed personnel, the Department may reevaluate the SOQ score assigned to the Proposer.

2.3.3. Organization Chart

Provide an organizational chart(s) showing the flow of the "chain of command" with lines identifying participants who are responsible for major functions to be performed and their reporting relationships, in managing, designing and building of the Project. The chart(s) must show the functional structure of the organization down to the design discipline leader or construction superintendent level and must identify Key Personnel by name. Identify the critical support elements and relationships of Executive Management, Project management and administration, Quality Control management, Design management, Construction management, safety, environmental compliance and subcontractor administration. For each organizational chart, provide a brief, written description of significant functional relationships among participants and how the proposed organization will function as an integrated Design-Build team.

2.4. RFQ Amendment

The Department reserves the right to amend this RFQ at its discretion prior to the SOQ submission deadline. In the event of an amendment to this RFQ, the Department, at its sole discretion, may extend the SOQ submission deadline as it deems appropriate. The Department will post notifications of amendments to the Department's Contractor Portal at the following web address:

http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=64

Proposers are responsible for monitoring this website for addenda to the RFQ documents. The Proposer shall certify that the submission incorporates all addenda through the addenda certification section of the SOQ Submission Form. Failure to properly complete this portion of the form may result in rejection of the SOQ.

2.5. **Property of the Department**

All material received in response to this RFQ shall become the property of the Department and will not be returned to the Proposer.

2.6. **Confidentiality of SOQ**

The SOQs are an integral part of the BVDB Proposal. As such, SOQs will be treated as confidential until the time of Contract Award or cessation of this procurement. The Department cannot guarantee, however, that the courts or any other governmental agency with jurisdiction over such matters will treat such documents and content as confidential.

Further information regarding the confidentiality of Proposals and legal disclosure requirements is provided in Section 4.3 in Part 1 of the RFP.

2.7. **Non-Commitment**

Notwithstanding any other provision of this RFQ, this RFQ does not commit the Department to award a contract. The Department reserves the right, at its sole discretion, to reject any and all SOQs, or any portions thereof, at any time; to cancel this RFQ; and to solicit new SOQs under a new acquisition process.

2.8. **SOQ Preparation Costs**

By submitting the SOQ, the Proposer agrees that in no event shall the Department be either responsible for or held liable for any costs incurred by a Proposer or Proposers Team in the preparation of or in connection with the SOQ, or for work performed prior to the Effective Date of a resulting contract.

2.9. **Conflict of Interest and Unfair Competitive Advantage**

The work related to this project may, at any time, raise questions about real or perceived conflicts of interest because of proposer's or prospective team member's relationship to other entities or individuals. The Proposer's attention is directed to 23 CFR Part 636 Subpart A and Connecticut General Statutes 1-101nn which set forth the federal and state law, respectively, regarding conflicts of interest and unfair competitive advantages (collectively called Conflict Situations).

<u>Conflict of Interest</u>

The Proposer's attention is directed to 23 CFR Section 636.116 regarding organizational conflicts of interest and to Section 636.103 which defines "organizational conflict of interest" under federal law as follows:

> Organizational conflict of interest means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the owner, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair advantage.

With regard to Connecticut General Statutes §1-101nn, the Department issued a guidance document on March 2, 2006 to all prequalified consultants and contractors. That guidance letter and the frequently asked questions attached to it (together "guidance document") remain in full force and effect, and are posted on the Department's website at:

http://www.ct.gov/dot/lib/dot/documents/dconsultantoffice/consulltr2.pdf

In addition to the foregoing, the Department has identified other situations and occurrences which may be considered a conflict of interest for proposers on this project, including without limitation:

(1) consultants and/or sub-consultants who assisted the Department in the preparation of the RFQ or RFP documents will not be allowed to participate as a Proposer or join a team submitting a proposal in response to the RFP;
(2) firms under contract with the Department for the construction of a project elsewhere in the State of Connecticut, and firms under contract with the Department for the construction oversight (CE&I) on the same project, are excluded from participating on the same design-build team (this exclusion does not apply to subcontractors and sub consultants); and
(3) firms or individuals employed by owners of properties or businesses that abut or may be affected by the project will not be allowed to participate as a Proposer or join a team submitting a proposal in response to the RFP,

Barring any other conflict resulting from state or federal law or the Department's March 2, 2006 guidance document, firms and individuals not subject to items (1) through (3) above may work for the design-build contractor and its subcontractors, or the Department and its consultants, but may not work for both simultaneously.

Proposers and lead design firms should consider that conflicts may arise during and after the BVDB procurement that may preclude firms from pursuing Department work on which other participants in the design-build proposal are already under contract with the Department.

Unfair Competitive Advantage

The BVDB procurement will be conducted using a fair and impartial procurement process. It is essential that a level playing field be maintained during the procurement phase. The Proposers are advised that the following prohibitions, restrictions, and requirements will apply to this BVDB procurement:

(1) firms and individuals may not materially participate (defined as holding a financial interest, assisting in the preparation of a proposal, or providing one or more of the key personnel described in Section 2.3.2) in more than one proposal in response to this RFQ or RFP;
(2) firms and individuals may not solicit, review, or receive BVDB criteria weighting or evaluation materials prepared by the Department or its consultants during the procurement phase, either directly or through an intermediary;
(3) Proposers and team members (including subcontractors, employees , or representatives) shall not communicate with or attempt to influence the Qualifications Review Committee, the Technical Review Committee, or other Department representatives involved in the BVDB selection process, except as allowed by this RFQ, and subsequently by the RFP;
(4) Proposers or their team may not engage or employ current or former employees of the Department or its consultants involved in preparing this RFQ or RFP.

An Unfair Competitive Advantage may exist if a Proposer or their Team is not in full compliance with Nos. (1) through (4) above.

2.9.1. Conflict of Interest and Unfair Competitive Advantage Certification

Proposers should evaluate for itself, and the Proposer's key personnel, its subcontractors and any other individuals associated with their Proposal should evaluate for themselves whether they have a conflict situation. Thereafter, the Proposer (each respective participant, as described in Chapter 1) shall complete and submit a Conflict of Interest and Unfair Competitive Advantage Certification (Certification Form) for itself, and a separate set of forms for each of its key personnel. Any other individuals or subcontractors participating in the Proposer's team, who are aware of an existing or potential conflict situation, shall make a disclosure on the Certification Form and forward it to the Proposer for submittal to the Department. Failure of the Proposer, Key Personnel, or those with known conflict situations to submit the Certification Form(s) may result in the disqualification of the Proposer.

Whenever a proposer, its key personnel, any subcontractor or any individual associated with a Proposer is found to have a conflict situation, it shall be disclosed on the Certification Form and the attachments. The Department will review the Proposer's suggested actions to be taken to avoid, neutralize, or mitigate such conflict situation, and if found acceptable, the matter will be consider resolved and the Proposer will be permitted to continue in the BVDB procurement process with the suggested actions. If, the Department does not find the Proposer's suggested actions acceptable or sufficient to avoid, neutralize or mitigate a conflict situation, then the Department will communicate to the Proposer that an unresolved conflict situation may exist. The Proposer may offer additional measures to resolve the matter or appeal the decision in accordance with Section 2.9.3. Proposers unable to resolve a conflict situation finding will not be permitted to continue in the BVDB procurement.

It is the responsibility of each proposer to police itself and its team related to conflict situations. The Proposer agrees that if, at any time during the procurement process, or even after award of the contract, an individual or organizational conflict situation develops or is discovered, the Proposer shall make an immediate and full disclosure to the Department using the prescribed form. Such disclosure shall include a description of the action that the Proposer has taken or proposes to take to avoid or mitigate the conflict or potential conflict.

2.9.2. Violation of Disclosure Requirements

The Department, in its sole discretion, reserves the right to make a determination relative to real or potential conflict situations and the Proposer's ability to mitigate such situations. An organization or individual determined to have a Conflict Situation relative to this procurement or project that cannot be mitigated, shall not be allowed to participate as part of the Proposer or Contractor for the Project. A conflict arising under Connecticut General Statute 1-101nn, as determined by the Office of State Ethics, cannot be mitigated.

If a conflict situation is discovered during the procurement process or even during the performance of the Contract, the Department reserves the right to:

- Mitigate the conflict by disclosing information to all proposers. If the documents or work product are considered proprietary under Connecticut law, the Proposer will be given the opportunity to waive this protection from disclosure. If a Proposer elects not to waive protection, then the Proposer may be disqualified;
- Disqualify any prospective Proposer team member or reject any proposal at any time solely on the grounds that a real or perceived Conflict Situation is presented;
- Require any prospective Proposer or Proposer team member to take any action or supply any information necessary to determine the extent of the Conflict Situation, including without limitation, obtaining an opinion from the Office of State Ethics, and/or;

- Terminate any contract arising out of this solicitation if, in the opinion of the Department, any such relationship would constitute or have the potential to create a real or perceived Conflict Situation that cannot be resolved to the satisfaction of the Department.

2.9.3. Appeal Procedure

If the Department finds that an unresolved Conflict Situation exists, the Proposer may appeal such finding to the Commissioner of Transportation. (Note: When the Office of State Ethics has found a situation will violate Conn. Gen. Stat. §1-101nn, Department appeals will not be considered.) Proposers shall promptly forward their appeal to the Commissioner of Transportation, in writing. The appeal must include all Certification Forms submitted to date and present the reasoning and foundation for the firm's position that a Conflict Situation does not exist or that the Conflict Situation may be mitigated by the time it may have an effect on the process or project. Due to the nature of the process and the time it may take to resolve such issues, the existence of an appeal will not delay the BVDB procurement process.

Findings made by the Commissioner of Transportation regarding these appeals will be considered final.

All proposers agree by submitting SOQs or Proposals that the Department is in no way responsible for: costs associated with an appeal; costs incurred to resolve or mitigate an existing or potential Conflict Situation; or costs associated with a Proposal that is not considered due to the existence of a perceived or actual Conflict Situation. All such risks and burdens rest with the Proposer, firm or individual related to that Proposal.

2.10. Stipend

The Department will offer a stipend in the amount of $50,000.00 to each unsuccessful Short Listed Proposer that submits a responsive technical proposal and price proposal that conforms to the requirements of the RFP documents, as determined solely by the Department.

No stipend is being provided for the RFQ portion of the solicitation.

Chapter 3

SOQ Evaluation

3.1. Evaluation of SOQ

The process for selecting Proposers for interviews will be similar to the process used for qualifications based consultant selections.

The Department will review all SOQs based on the criteria contained herein, which will be used to establish an Interview List. Proposers that are not selected for interviews will be notified and offered the opportunity to meet with Department officials to review the Department's evaluation of their proposal.

Following the interviews, the QRC will finalize the qualifications score for each of the Proposers based on the criteria set forth in this document. The qualifications score and the recommended Short List of Proposers will be forwarded to the Office of the Commissioner for concurrence and final approval. The final qualifications scores will be included in the best value selection criteria used in the RFP process.

After receiving approval, the CSO will forward the qualifications scores of the Short List Proposers to the Office of Contracts for use in the RFP process. The Department will inform all Proposers that submitted SOQs as to whether or not they have been placed on the Short List.

The Department will accommodate post-interview scoring review meetings with the non-short listed Proposers (if requested). No meetings or release of qualifications scores will occur prior to award of the contract, in order to protect the confidentiality of the BVDB process.

3.2. Interview Format

The interview format is uniform for all Proposers. The Panel will ask each Proposer (and allowed Proposer's Team members) a predetermined set of questions that are relevant to the project. Each Proposer will be allowed the same amount of time to answer the questions and provide a closing statement to the Panel. The individual Panel Members will assign a numerical rating to the response for the proposer for each question and the closing statement. The Department will provide further details regarding the interview content and format in a letter scheduling the interviews.

3.3. Qualifications Scoring Criteria

The Qualifications Review Committee members will evaluate the components of the SOQ and interviews by applying to them the pertinent criteria contained in this document.

Each major category (listed below) will be qualitatively evaluated in accordance with the following guidelines:

- **EXCEPTIONAL:** The Proposer's Team has demonstrated qualifications that significantly exceed the stated requirements. Their qualifications are of outstanding quality. There is very little or no risk that this Proposer's Team would fail to meet the requirements of the particular aspect of the Project work. There are essentially no weaknesses in the material provided regarding this item of the qualifications.

- **VERY GOOD:** The Proposer's Team has demonstrated qualifications that exceed stated requirements. Their qualifications are generally of better-than-acceptable quality. There is

little risk that this Proposer's Team would fail to meet the requirements of the particular aspect of the Project work. Weaknesses in the material provided regarding this item of the qualifications, if any, are definitely minor.

- **GOOD:** The Proposer's Team has demonstrated qualifications that meet the stated requirements. Their qualifications are of acceptable quality. The Proposer's Team demonstrates a reasonable probability of success in addressing this particular aspect of the Project. The material provided regarding this item of the qualifications contains weaknesses, but they are minor and could readily be corrected.

- **MINIMALLY ACCEPTABLE:** The Proposer's Team has portions of the qualifications that fail to meet stated requirements and objectives with respect to the particular aspect of the Project. The material provided regarding this item contains weaknesses or deficiencies. The material provided is marginal in quality with respect to its basic content or the amount of information provided for evaluation. The Proposer's Team should be capable of providing an acceptable or better response concerning this matter.

- **UNSATISFACTORY:** The Proposer's Team has demonstrated qualifications that contain significant weaknesses or deficiencies and is unacceptable in quality. The material provided regarding this item fails to meet the stated requirements, lacking essential information, containing elements in conflict with each other, or suggesting that the Proposer's Team approach to the Project would likely prove unproductive. The qualifications in this regard, do not suggest the Proposer, if awarded the Contract, would have a reasonable likelihood of success in treating this aspect of the Project.

The scoring of the SOQ will be based on applying a weighted criteria algorithm method to the SOQ. This method assigns a designated weight to each factor that the Department deems to be a critical aspect of the Project. The following is a general representation of the equation used to determine the qualifications scores:

Qualification Score $QS = W_1S_1 + W_2S_2 + \ldots W_iS_i$

Where:

i = Qualitative Rating Factor (1, 2, 3…i)

W_i = Weight Percentage for Factor i

S_i = Qualitative Rating Score for Factor i (scale of 1-100)

(**<u>Note:</u>** The highest Qualifications Score would be 100 points.)

The following Qualitative Rating Criteria shall apply for this project.

Qualitative Rating Score	Description	Weight Percentage
S_1	Qualifications, experience and past performance of the Design Team The design team should demonstrate a history of successful completion of past projects that involve the design of similar bridges, the associated highway and traffic engineering for limited access highways. The key personnel for this project should have been integrally involved in the design of past projects listed in the SOQ. References for past projects should be included. Evidence of satisfaction of previous owners with contract performance, cooperation to overcome obstacles encountered during the projects is desired. The QRC may use other documents for this process, including documented past performance evaluations prepared by the Department.	10
S_2	Qualifications, experience and past performance of the Construction Team The construction team should demonstrate a history of past projects that involve the construction of similar bridges, as well as the associated highways and traffic features for limited access highways. The key personnel for this project should have been integrally involved in the construction of past projects listed in the SOQ. The QRC may use other documents for this process, including documented past performance evaluations prepared by the Department. Owner representative references for past projects should be included. Recommendations written by the owner's representatives noting satisfaction with contract performance and cooperation are preferred.	15
S_3	Design-Build Experience of the Proposer's Team The Proposer's Team should demonstrate experience in Design-Build projects. Preference will be given to design and construction firms that have teamed on Design-Build projects in the past or for firms that possess both design and construction personnel in house. The key to this criterion is to demonstrate the experience of the Proposer's team in working successfully together in both the design and construction of a complex project, and the understanding of the Design-Build process.	10
S_4	Experience with Project Management & Quality Management The Proposer's Team should demonstrate experience with the execution and management of complex projects. This experience should relate to the development of internal Quality Control systems, Quality Management Plans, Design and Construction QC Plans, Design-Build plan development and submission management, change order management, document control, and project scheduling. The key to these criteria is the ability of the Proposer's Team to self-perform Quality Control and project management and demonstrate the ability to self-correct deficiencies and problems as they arise. The Proposer's Team should also demonstrate experience building and maintaining	15

	critical path schedules. Experience with Critical Path Method, cost-loaded scheduling experience is desirable. Specific examples should be noted in the SOQ. Recommendations written by owner representatives related to this criteria are preferred.	
S_5	Experience with Accelerated Bridge Construction The Proposer's Team should demonstrate experience with the concepts of Accelerated Bridge Construction. The Proposer's Team should also demonstrate familiarity with the design, manufacturing, erection and assembly of large prefabricated elements, and the understanding of tolerances in the design and assembly of the bridge. The Proposer's Teams should also demonstrate experience with rapid demolition of existing structures over limited access highways.	15
S_6	Experience with Traffic Management The Proposer's Team should demonstrate design and construction experience with the management of traffic on limited access highways, with specific experience with detours of the type described in the draft RFP. Special experience with the management of traffic through the use of real-time work zone traffic management systems and advanced signing is preferred.	10
S_7	Familiarity with Department Policies and Procedures The Proposer's Team should demonstrate experience with the execution and management of both design and construction projects using Department Policies and Procedures, with the goal being to complete the project with minimal conflict and need for intervention from the Department. Familiarity with the requirements outlined in Sections 1.3 through 1.8 of this document should also be demonstrated. Specific reference to past projects that met this criteria should be included along with references.	15
S_8	Interview Score The Proposer's Team will be required to participate in an interview by the Qualifications Review Committee. Specific questions relative to this project will be asked and the responses scored.	10

Preliminary weighted Qualitative Rating Scores S_1 through S_7 based on the review of the SOQ Submission Form will be used to establish the Interview List. Upon completion of the interviews, the previous scores (S_1 through S_7) may be adjusted, if deemed appropriate, by the QRC. Any adjustments will be based upon clarifications or amplifications of the SOQ offered at the interview. New information presented at the interview, not included in the SOQ, will generally not result in an adjustment to the Qualitative Rating Scores. All of the Qualitative Rating Scores (including S_8) will be used to develop the final weighted score that will be used for the development of the Short List.

Appendix A: Project Scope Codes

STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

PROJECT SCOPE CODE

CODE	FROM	TO
"A"	LESS THAN	$ 100,000
"B"	$ 100,000	$ 199,999
"C"	$ 200,000	$ 499,999
"D"	$ 500,000	$ 999,999
"E"	$ 1,000,000	$ 2,499,999
"F"	$ 2,500,000	$ 4,999,999
"G"	$ 5,000,000	$ 7,499,999
"H"	$ 7,500,000	$ 9,999,999
"I"	$ 10,000,000	$ 14,999,999
"J"	$ 15,000,000	$ 19,999,999
"K"	$ 20,000,000	$ 29,999,999
"L"	$ 30,000,000	$ 39,999,999
"M"	$ 40,000,000	$ 59,999,999
"N"	$ 60,000,000	$ 89,999,999
"O"	$ 90,000,000	$ 119,999,999
"P"	$ 120,000,000	$ 159,999,999
"Q"	$ 160,000,000	$ 199,999,999
"R"	$ 200,000,000	$ 249,999,999
"S"	$ 250,000,000	$ 299,999,999
"T"	$ 300,000,000	$ 399,999,999
"U"	$ 400,000,000	$ 499,999,999
"V"	$ 500,000,000	$ 599,999,999
"W"	$ 600,000,000	AND OVER

Appendix B: Submission Forms

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B_01 INSTRUCTIONS FOR SOQ FORMS C255 & D255
B_02 SOQ FORM C255
B_03 SOQ FORM D255
B_04 CONFLICT OF INTEREST AND UNFAIR COMPETITIVE ADVANTAGE CERTIFICATION
B_05 CERTIFICATE OF AUTHORITY (SAMPLE)
B_06 STATEMENT OF WORK UNDER CONTRACT

Instruction for SOQ Forms: D255 & C255

(Note do not submit these instructions with the SOQ)

This document is intended to provide general guidance related to the use of the forms that constitute the Statement of Qualifications (SOQ).

Two forms are required to be filled out by each Proposer, one for the design qualifications and one for the construction qualifications. The first form is entitled SOQ D255 (for the designer) and SOQ C255 (for the constructor). If a firm has both design and construction expertise within one entity, the entity shall fill out both forms.

The information to be included in the SOQ submission is listed in the Request for Statements of Qualifications (RFQ) document. After completion of the information requested in Section K of the SOQ D 255 form and Section I SOQ C255 form, those sections may be used to expand on information provided by the proposer in in other sections of the forms.

The Consultant Selection rules do not apply to these forms. The Proposer is to follow the guidance set forth in the RFQ and on the SOQ forms.

"Conflict of Interest and Unfair Competitive Advantage Certification," forms and other attachments must accompany the SOQ forms as detailed in the RFQ.

Submission of additional material beyond the information required in the RFQ will not be allowed. Additional information such as corporate brochures and pamphlets will be discarded.

Additional information for this submission is contained in the RFQ document. If there are any conflicts between the RFQ document and this document, the RFQ document will take precedence.

If the Proposer has an issue extracting the forms from Appendix B of the RFQ document they may also be found on the Department's Design-Build Program webpage with the other project information:

http://www.ct.gov/dot/cwp/view.asp?a=4453&q=534602

CONNECTICUT DOT STATEMENT OF QUALIFICATIONS FOR THE CONSTRUCTOR FORM: SOQ C255 (Jan14)	**A** Project No. for which firm is filing: Name of Proposer (see RFQ document for definition):

The information herein is a statement of facts. (Proposed Project Executive. See RFQ Document for Definition)

Name _____ Signature _____

Title _____ Date _____

The information herein is a statement of facts. (Proposed Construction Manager. See RFQ Document for definition)

Name _____ Signature _____

Title _____ Date _____

LEAD CONSTRUCTION FIRM INFORMATION

B

Firm and year est. _____ ☐ DBE (Certified by CT Dept. Of Transportation)

Parent Co. _____ ☐ SBE (Certified by CT Dept. Of Admin. Services)

Address _____ Phone _____

_____ Fax _____

_____ e-mail _____

City _____ State _____ ZIP _____

Contact _____ Title _____

PROJECT STAFFING

C

Personnel by Discipline:
a) No. in firm; b) No. in firm assigned to this project; c) Sub contractors assigned to this project.

a	b	c		a	b	c		a	b	c	
			Administrators				Foremen				
			Construction Project Managers				Administrative staff				
			Construction Project Engineers								
			Estimators				Other staff				
			Drafters								
			Schedulers								
			Quality Control Managers								
			Quality Control Staff								
			Superintendents								

D

STAFFING

In the space below please indicate the proposed construction staffing for this assignment (narrative). Identify staff involved, and in what capacity they acted as, on the projects listed in Section F.

RESUMES

Key personnel resumes should be attached (see RFQ for further information). **FORMAT:** Name, Title, Experience, Professional Licenses/Registrations and a narrative of relevant experience and qualifications.

SUBCONTRACTORS INFORMATION

E

The Proposer should list subcontractors it wishes to showcase as part of its team. This section must list any "Key Personnel" employed by a subcontractor. Use additional copies of this page as necessary.

Firm _____ ☐ DBE (Certified by CT Dept. of Transportation)

Address _____ ☐ SBE (Certified by CT Dept. of Admin. Services)

City _____ State _____ ZIP _____

Contact _____ FEIN _____

Phone _____ Year established _____

Responsibilities on this project

Firm _____ ☐ DBE (Certified by CT Dept. of Transportation)

Address _____ ☐ SBE (Certified by CT Dept. of Admin. Services)

City _____ State _____ ZIP _____

Contact _____ FEIN _____

Phone _____ Year established _____

Responsibilities on this project

Firm _____ ☐ DBE (Certified by CT Dept. of Transportation)

Address _____ ☐ SBE (Certified by CT Dept. of Admin. Services)

City _____ State _____ ZIP _____

Contact _____ FEIN _____

Phone _____ Year established _____

Responsibilities on this project

EXPERIENCE AND QUALIFICATIONS

F

List projects (maximum of 8) best illustrating qualifications of firm relevant to this project (past 5 years).
Please provide a narrative including project location, description and duration, project owner and firm's responsibilities.
Indicate if the experience is for other than the **lead construction firm**.

1	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	
2	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	
3	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	
4	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	

EXPERIENCE AND QUALIFICATIONS

F Continued

5	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	
6	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	
7	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	
8	☐ As Prime	☐ As Subcontractor	Project $(000)		Firm's Portion $(000)	

G

REFERENCES - (See RFQ section 2.3.1 - up to 5 additional pages to supplement this section for owner recommendations/references.)

		Project
Name/Title		
Firm/Organization		
Phone		
Name/Title		
Firm/Organization		
Phone		
Name/Title		
Firm/Organization		
Phone		

H

Project Controls – Describe the firm's ability to implement projects controls such as scheduling, document management, and change management. Include software programs/systems used and identify which project listed in section F that made use of these systems.

PROJECT QUALIFICATIONS SUMMATION

I

This section should be used to describe your firm's view relative to the key issues and elements of the project. Please provide a narrative including the reasons your firm is most qualified and best suited to accomplish the desired results. You may also expand on any of the items in the previous pages. This section may include up to 5 additional pages.

ACKNOWLEDGEMENT OF ADDENDA

J This section is used to identify the proposer's knowledge of all addenda that have been issued. Failure to acknowledge receipt of ALL addenda may be cause rejection of the SOQ. This form shall be signed by the Project Executive as defined in the RFP documents.

I hereby acknowledge receipt of the following addenda:

Addendum Number	Addendum Date

I also acknowledge that the attached Statement of Qualifications has taken into account all addenda.

Name of Project Executive: _____

Date:_____

Signature: _____

CONNECTICUT DOT STATEMENT OF QUALIFICATIONS FOR THE DESIGNER FORM: SOQ D255 (Mar '14)	**A** Project No. for which firm is filing: Name of Proposer (see RFQ document for definition):

The information herein is a statement of facts. (Proposed Project Executive. See RFQ Document for Definition)

Name _____ Signature _____

Title _____ Date _____

The information herein is a statement of facts. (Proposed Design Manager. See RFQ Document for Definition)

Name _____ Signature _____

Title _____ Date _____

LEAD DESIGN FIRM INFORMATION

B

Firm and year est. _____ ☐ DBE (Certified by CT Dept. of Transportation)

Parent Co. _____ ☐ SBE (Certified by CT Dept. of Admin. Services)

Work to be done at _____ Phone _____

Address _____ Fax _____

_____ e-mail _____

City _____ State _____ ZIP _____

Contact _____ Title _____

PROJECT STAFFING

C

Personnel by Discipline:
a) No. in firm; b) No. in firm assigned to this project; c) Sub consultants assigned to this project.

a	b	c		a	b	c		a	b	c	
			Administrators				Hydrologists				Traffic Engineers
			Architects				Landscape Architects				Transportation Engineers
			Civil Engineers				Mechanical Engineers				
			Construct Inspectors				Planners Urban/Regional				
			Draftsmen				Sanitary Engineers				
			Ecologists				Soils Engineers				
			Electrical Engineers				Specification Writers				
			Estimators				Structural Engineers				
			Geologists				Surveyors				

D

STAFFING

In the space below please indicate the proposed staffing for this assignment (narrative).
Identify staff involved, and in what capacity they acted as, on the projects listed in Section F.

RESUMES

Key personnel resumes should be attached (see RFQ for further information). **FORMAT:** Name, Title, Experience, Professional Licenses/Registrations and a narrative of relevant experience and qualifications.

E

SUBCONSULTANT INFORMATION

This section must be completed and must list all proposed subconsultants. Use additional copies of this page as necessary.

Firm _____ ☐ DBE (Certified by CT Dept. of Transportation)

Address _____ ☐ SBE (Certified by CT Dept. of Admin. Services)

City _____ State _____ ZIP _____

Contact _____ FEIN _____

Phone _____ Year established _____

Ranges of Annual Gross Receipts: (check one)

☐ Less than $100,000 ☐ $100,000 - $250,000 ☐ $250,000 - $500,000 ☐ $500,000 - $1 million

☐ $1 million - $2 million ☐ $2 million - $5 million ☐ $5 million - $10 million ☐ $10 million or greater

Responsibilities on this project _____

Firm _____ ☐ DBE (Certified by CT Dept. of Transportation)

Address _____ ☐ SBE (Certified by CT Dept. of Admin. Services)

City _____ State _____ ZIP _____

Contact _____ FEIN _____

Phone _____ Year established _____

Ranges of Annual Gross Receipts: (check one)

☐ Less than $100,000 ☐ $100,000 - $250,000 ☐ $250,000 - $500,000 ☐ $500,000 - $1 million

☐ $1 million - $2 million ☐ $2 million - $5 million ☐ $5 million - $10 million ☐ $10 million or greater

Responsibilities on this project _____

Firm _____ ☐ DBE (Certified by CT Dept. of Transportation)

Address _____ ☐ SBE (Certified by CT Dept. of Admin. Services)

City _____ State _____ ZIP _____

Contact _____ FEIN _____

Phone _____ Year established _____

Ranges of Annual Gross Receipts: (check one)

☐ Less than $100,000 ☐ $100,000 - $250,000 ☐ $250,000 - $500,000 ☐ $500,000 - $1 million

☐ $1 million - $2 million ☐ $2 million - $5 million ☐ $5 million - $10 million ☐ $10 million or greater

Responsibilities on this project _____

EXPERIENCE AND QUALIFICATIONS

F

List projects (MAXIMUM OF 8) best illustrating qualifications of firm relevant to this project (past 5 years).
Please provide a narrative including project location, description and duration, project owner and firm's responsibilities.
Indicate if the experience is for other than the **lead design firm**.

1	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	
2	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	
3	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	
4	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	

EXPERIENCE AND QUALIFICATIONS

F Continued

5	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	
6	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	
7	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	
8	☐ Prime	☐ Subconsultant	Project $(000)		Firm's fee $(000)	

EXPERIENCE AND QUALIFICATIONS

G

Current projects with the Department, other CT state agencies or CT municipalities (other than those listed in Section F)
Please provide a narrative including project description and firm's responsibilities.

Agency _____ Project $(000) _____ Firm's fee $(000) _____

Agency _____ Project $(000) _____ Firm's fee $(000**)** _____

Agency _____ Project $(000) _____ Firm's fee $(000**)** _____

H

REFERENCES - (See RFQ section 2.3.1 - up to 5 additional pages to supplement this section for owner recommendations/references.)

		Project
Name/Title		
Firm/Organization		
Phone		
Name/Title		
Firm/Organization		
Phone		
Name/Title		
Firm/Organization		
Phone		

I

CADD - The Department utilizes a Bentley Systems, Microstation 95 Digital File Format.
Please describe your Computer Aided Design capabilities.

J

ADMINISTRATIVE DOCUMENTATION
Please provide information including the status of the following:

1 Professional licenses

2 CT DOT BFO Audits

3 Affirmative Action Plan

4 Corporate Registration

PROJECT QUALIFICATIONS SUMMATION

K

This section should be used to describe your firm's view relative to the key issues and elements of the project. Please provide a narrative including the reasons your firm is most qualified and best suited to accomplish the desired results. You may also expand on any of the items in the previous pages. This section may include up to 5 additional pages.

Conflict of Interest and Unfair Competitive Advantage Certification

Identify any conflicts of interest or unfair competitive advantages (collectively called Conflict Situations) by completing this Certification under penalty of false statement (Conn. Gen. Stat. §53a-157b) by checking either Box No. 1 (Individuals) or Box No. 2 (Firms) below, and Box No. 3 as necessary. If there is a known or potential Conflict Situation, Box No. 3 should be checked and the required supplementary information provided.

1. Individuals

☐ I certify that I do not have a potential or known Conflict Situations as specified in the Request for Qualifications documents, State of Connecticut Law, and Federal Regulations, for the subject project, except as disclosed in Box No. 3 and the attachments to this Certification.

2. Firms

☐ My signature certifies that I am authorized to sign as a Representative for the Firm and to the best of my knowledge, information and belief, and after thorough review of the firm's books and records and after reasonable inquiry with knowledgeable persons within the firm, this firm:

a) Has no business or personal relationships with any other companies or persons that could be considered as a conflict of interest or potential conflict of interest to the Department,
b) Has no principals, officers, agents, employees, or representatives of this firm that have any business or personal relationships with any other companies or persons that could be considered as a conflict of interest or a potential conflict of interest to the Department,
c) Has no unfair competitive advantage resulting from work that this firm, its current staff, any key personnel or subconsultants have done to date, pertaining to any and all work or services to be performed as a result of this request and any resulting contract with the Department,

except as disclosed in Box No. 3 and the attachments to this Certification.

3. Disclosure

☐ I am notifying the Department of the existence of one or more potential or actual Conflict Situation(s). I have attached to this Certification a document (limited to three pages) with (a) all relevant facts and (b) identified proposed actions to be taken to avoid, neutralize, or mitigate such Conflict Situation (e.g. communications barriers, restraint or restriction upon future contracting activities, or other precaution).

I understand that if at any time I learn of a previously unknown potential or actual conflict of interest or perceived unfair competitive advantage, I will submit a new Certification to the appropriate Department contact person for that phase of the project, updating my previous statements and certifications.

Completed and signed under penalty of false statement per Conn. Gen. Stat. §53a-157b.

Signature: _____ **Date:** _____

Name (type/print): _____ **Title:** _____

Legal Name of Firm: _____

Address: _____

Telephone: (_____) _____ **Project Number:** _____

Name of Proposer: _____

CERTIFICATE OF AUTHORITY (SAMPLE)

The undersigned, ____**Name** _____, **Title of the officer signing on the bottom** of _**Individual Company Name**__, a **State Name** corporation, (the "Corporation"), a member of the joint venture known as __**Name of the Joint Venture** __does hereby certify that the following are true and complete resolutions which were UNANIMOUSLY ADOPTED at a duly called and held meeting of the Board of Directors of _____ **on the** _____ **day of** _____**,20**___**,** and that such resolutions have not been amended or modified and continue to be in full force and effect as of this date:

> RESOLVED, that the Corporation may execute and deliver any and all contracts which it deems to be necessary or appropriate to carry out its business; and
>
> FURTHER RESOLVED, that **Name of the Representative**, as a representative of **Name of the Company this Representative is from**, is authorized and directed to execute and deliver any and all contracts on behalf of **Individual Company Name** and to do and perform all acts and things which he deems to be necessary or appropriate to carry out the terms of such contracts, including, but not limited to, executing and delivering all agreements and documents including bid proposals, bonds contemplated by such contracts for __**Name of the JV and project number(s).**

IN WITNESS WHEREOF, the undersigned has executed this Certificate this ____ **day of** _____**, 20**__**.**

___**Signature of the person on the first line**_____
Print NAME and Title

CONNECTICUT DEPARTMENT OF TRANSPORTATION
STATEMENT OF WORK UNDER CONTRACT

IMPORTANT INSTRUCTIONS:

1. THIS AFFIDAVIT MUST BE SUBMITTED AS PART OF THE SOQ SUBMISSION DURING STEP 1 OF THE BEST VALUE DESIGN-BUILD PROCESS.
2. THIS FORM WILL ALSO BE REQUIRED AS A PRE-AWARD SUBMITTAL FOR THE APPARENT BEST VALUE SELECTION AFTER THE PUBLIC BID OPENING AS STATED IN THE RFP.
3. THIS AFFIDAVIT MUST CONTAIN ORIGINAL SIGNATURES AND BE PROPERLY NOTARIZED.
4. ORIGINAL SIGNATURES WILL STILL BE REQUIRED OF THE PROPOSER WHEN SUBMITTING THIS FORM.

DATE COMPLETED: _____

NAME OF COMPANY OR CORPORATION: _____

STATE PROJECT NUMBER(S): _____

TOWN(S) / PROJECT DESCRIPTION: _____

List all outstanding private and public work both bonded and not bonded as of this date. This must include all work in state, out of state, and in any jurisdiction both in progress and not started. Make certain that you state the total value of all work under your contract whether as a prime or a subcontractor, including work that you may engage a subcontractor to perform.

I do hereby certify and affirm that the information set forth in this document, which includes the attached list of ALL outstanding work and any other relevant information that may be attached, which are hereby made part of this document, are true and accurate to the best of my knowledge.

_____
Signature and Title of Authorized Individual

Sworn to and subscribed before me by _____

Who is personally known to me, this _____ day of _____, _____year

_____
Notary Public/Justice of the Peace My Commission expires _____

FAILURE TO REPORT ALL OUTSTANDING WORK MAY RESULT IN A NONRESPONSIVE BID. THIS FORM IS NOT TO BE ALTERED.

Totals automatically carried forward from 2nd tab

Current Amount of Contract Awarded to you **OR Pending Award**	Amount of Work Completed on the Job	Amount of Work Remaining by Applicant

List all outstanding private and public work both bonded and not bonded as of this date. This must include all work in state, out of state and in any jurisdiction both in progress and not started. Make certain that you state the total value of ALL work under your contract, whether as a prime or a subcontractor, including work that you may engage a subcontractor to perform.

ENTER INFORMATION IN THE GREEN SHADED AREAS ONLY

Far right column and "Total" row at bottom will calculate automatically. Round to the nearest dollar. Contact the Contracts Unit if you need more space in the document.

ENTER CONTRACTOR LEGAL NAME:						
Project Number, Name, Town and State Located	Prime (P) or Sub (S)	Project Description	Estimated Date of Completion (format xx/xx/xx)	Current Amount of Contract Awarded to you **OR Pending Award**	Amount of Work Completed on the Job	Amount of Work Remaining by Applicant
adsfl; ;klasdjflkjsda alsd;jflsdk;aj fjlas as;dlfjlsd;a fj asdl;kfjlsdkaj asd;klfjdlsk;afjj asd;lkfjdlksafj a a;sdlkfjd						
			TOTAL			