

**Kentucky Transportation Cabinet (KYTC)**

**DESIGN-BUILD**

**Request for Qualifications (RFQ)**

**April 22, 2021**

Contract No. 21-9001

State Project: FD52 051 0069 148-154

County: Henderson

Route: I-69

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**1. PROJECT IDENTIFICATION**Contract No. 21-9001 State Project #'s FD52 051 0069 148-154County: Henderson Route: I-69Local Route Name: **HENDERSON I-69 ORX SECTION 1****1.1 PROJECT SCHEDULE**

The submittal process shall involve a 2-step process (1. Statements of Qualifications; 2. Technical Proposal and Price Proposal). Below is a tentative schedule of dates for the submittal:

<b>Date</b>	<b>Submittal</b>
April 22, 2021	Issue Request for Qualifications. (RFQ)
May 26, 2021, 2 PM ET	Statements of Qualifications Due
June 16, 2021	Short-list
June 16, 2021	Issue Draft #1 Instructions to Proposers (ITP) and Draft #1 Request for Proposal (RFP)
July 7-8, 2021	1 <sup>st</sup> Alternative Technical Concept One-on-One Meeting
July 12, 2021	ITP & RFP - DRAFT #2
August 4-5, 2021	2 <sup>nd</sup> Alternative Technical Concept One-on-One Meeting
August 9, 2021	DBE/MBE Matchmaker
August 9, 2021	ITP & RFP - DRAFT #3
September 1-2, 2021	3 <sup>rd</sup> Alternative Technical Concept One-on-One Meeting
September 6, 2021	ITP & RFP - DRAFT #4
October 8, 2021	Deadline for ATC Submittals
October 15, 2021	Deadline for Pre-Bid Questions
October 22, 2021	KYTC Final ATC Responses
October 25, 2021	Final ITP & RFP Issued
November 15, 2021, 2 PM ET	Technical & Price Proposals Due
December 15, 2021	Apparent Best Value DBT announced (Public Opening)
December 29, 2021	Project Award
June 2025	Project Completion

## 1.2 PROJECT-RELATED INFORMATION

The scope of work under consideration for this project are generally defined as:

KYTC ITEM NO.	ROUTE	DESCRIPTION	State Project #
2-1088.2	I-69	HENDERSON I-69 ORX SECTION 1 FROM KY 425 TO US 60	FD52 051 0069 148-154

The project will include:

- Upgrades to a 2.4-mile portion of the existing US 41 from KY 425 to the US 41 bridge over CSX railroad bridge north of KY 351, which will be redesignated as I-69, including reconstruction of the KY 351 interchange, removal of the KY 2084 interchange and ramp improvements at the Audubon Parkway, and
- Construction of a 2.9-mile new alignment section of I-69 from the CSX railroad bridge north of KY 351, running north and east to the intersection with US 60 near Bethel Tillman Road and the US 60 bridge over CSX, including construction of new interchanges at US 41 and US 60. KYTC will allow alternative pavement designs for new or reconstructed pavements.

## 1.3 PROJECT GOALS

KYTC's Project goals are:

- Deliver the Project with zero lost-time incidents
- Deliver the Project at or below budget.
- Provide high quality Design and Construction
- Minimize impacts to local businesses and property owners

## 1.4 PROJECT ESTIMATED PROBABLE CONSTRUCTION COST: \$180 MILLION

## 1.5 SELECTION PROCESS OVERVIEW

KYTC will be using a **two-step best value procurement method using Technical/Price Scoring** to award this project. Selection of the Design Build Team (DBT) for this project consists of the following:

- **Step 1:** Issuance of this RFQ and Shortlisting of DBT by the evaluation of a SOQ; and
- **Step 2:** Issuance of a Response for Proposers (RFP) to the shortlisted DBTs; Evaluation and scoring of DBT's Technical Proposal; Receipt of a Price Proposal; and calculation of the Best Value Team based on combination of Technical Proposal Score and Price.

The selection process will be further defined beginning with the Draft Instructions to Proposers (ITP) to be issued to the shortlisted firms.

Please note that KYTC has provided multiple RFQ Reference Information Documents (RIDs) project files as FOR INFORMATION ONLY on a project SharePoint site. Teams are asked to email **I69DBSection1@ky.gov** and include the name, title and email address for up to 5 individuals who require access. Users will be required to have a valid email address that is registered with Microsoft.

KYTC will at its sole discretion issue responses to questions. The RIDs have been provided for the purpose of delivering information to prospective DBT's that is in the Department's possession. The Department has not determined whether the RIDs are accurate, complete or pertinent, or of any value to the prospective DBT's. The RIDs will not form a part of the Contract Documents between the Department and Design-Builder. Except as may be provided otherwise in the Instructions to Proposers (ITP) to be issued for the project, the Department makes no representation, warranty or guarantee as to, and shall not be responsible for, the accuracy, completeness, or pertinence of the RIDs, and, in addition, shall not be responsible for any conclusions drawn therefrom. The DBT will ultimately be responsible for all design and construction for the project in accordance with the ITP issued for the work.

## **2. RESTRICTIONS ON PARTICIPATION IN DESIGN-BUILD CONTRACTS**

To facilitate this procurement, various rules have been established and are described in the following paragraphs.

### **2.1 CAMPAIGN FINANCE LAW STATEMENT PURSUANT TO KRS 45A.110 AND KRS 45A.115**

Each member of the DBT shall certify that neither he/she nor any member of his/her immediate family having an interest of ten percent (10%) or more in any business entity involved in the performance of this project, has contributed more than the amount specified in KRS 121.056 (2), to the campaign of the gubernatorial candidate elected at the last election preceding the date of this solicitation. Each member of the DBT further swears under the penalty of perjury, as provided by KRS 523.020, that neither he/she nor the company which he/she represents, has knowingly violated any provisions of the campaign finance laws of the Commonwealth, and that the award of a contract to him/her or the company which he/she represents shall not violate any provisions of the campaign finance laws of the Commonwealth.

### **2.2 CONFLICT OF INTEREST**

DBT Proposers must identify potential conflicts of interest and real or perceived competitive advantages they enjoy related to procurement. These may arise from prior or existing contractual obligations between a company and a federal, state, or local agency relative to the project or KYTC's design-build program. Proposers must disclose all relevant facts concerning any past, present, or currently planned interests which may result in an organizational conflict of interest upon Contract Award. If a potential conflict of interest or competitive advantage is identified, the Proposer must submit relevant information to KYTC's Director, Division of Construction Procurement.

KYTC is solely responsible for deciding if conflicts of interest or a real or perceived competitive advantage exist and whether a DBT Proposer can mitigate their effects. When

KYTC finds a participating entity has a conflict of interest or holds competitive advantage that cannot be mitigated, it must be excluded from the DBT. In their SOQ, Proposers must outline a contingency plan if KYTC finds a conflict of interest is present. Failure to abide by this decision may result in a proposal being judged non-responsive. See 23 CFR 636.116 for more information on conflicts of interest.

The DBTs will be required to certify, by the signature of duly authorized representatives that they are legally entitled to enter into this solicitation and contract and that they shall not be violating, either directly or indirectly, any conflict of interest statute under KRS Chapters 45A or 11A or ethical provisions under KRS Chapter 11A.

2.2.1 The firms listed below will not be allowed to participate as an Offeror or a DBT member due to a conflict of interest:

- Parsons Transportation Group, Inc.
- American Engineers, Inc.
- Burgess & Niple, Inc.
- EA Partners, PLC
- Strand Associates, Inc.
- C2 Strategic Communications, LLC
- Taylor Siefker Williams Design Group, LLC
- VS Engineering, Inc.
- Integrated Engineering, PLLC

### **2.3 NO CONTINGENT FEES**

No person or selling agency shall be employed or retained or given anything of monetary value to solicit or secure this contract, excepting bona fide employees of the DBT or bona fide established commercial or selling agencies maintained by the DBT for the purpose of securing business. For breach or violation of this provision, the KYTC shall have the right to reject the proposal, annul the contract without liability, or, at its discretion, deduct from the contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee or other benefit.

### **2.4 RESTRICTIONS ON COMMUNICATION WITH KYTC STAFF**

#### **(Ex Parte Communication)**

During procurement (which begins when either the NTI or RFQ is issued and continues until a Contract is executed or the procurement is cancelled), no employee, member, agent, advisor, or consultant of a DBT Proposer can have any ex parte communications — directly or indirectly — with any KYTC representative regarding the procurement. This includes their staff, advisors, contractors, or consultants working on the procurement. This provision also applies to FHWA representatives on Federal-aid projects. The only exception to this rule is for communications explicitly permitted by the NOI, RFQ, or RFP.

For violations of this provision, the KYTC may reject the proposal.

KYTC technical advisors for this project who are working on the procurement are listed in Section 2.2.1 above.

## **2.5 PROPOSAL PREPARATION**

The DBT shall follow any pertinent sections of this RFQ, in the preparation of the proposal. Failure to provide any of the data required may result in the proposal being excluded from further evaluation.

## **2.6 PAYMENT AND CONDITIONS OF STIPEND**

Subject to the conditions of the ITP, KYTC will provide a stipend payment of \$225,000 to each non-selected, responsive, short listed DBT(s). The term “payment” as used in this section shall mean \$225,000.

## **3. ADDENDA PROCESS**

DBTs may submit written questions and requests for clarifications (“RFQ Comments”) to KYTC at any time prior to by 4:00 pm (EST) May 12, 2021. The responses will be posted no later than May 19, 2021.

All RFQ Comments prior to the SOQ submission shall be submitted on Form B via email to Rachel Mills, P.E., Director, Division of Construction Procurement, at [I69DBSection1@ky.gov](mailto:I69DBSection1@ky.gov). No telephone or oral requests will be considered. RFQ Comments included on Form B must:

- be listed separately
- must not identify the DBT in the body of the comment
- are sequentially numbered
- specifically reference the relevant RFQ section and page number, unless it is a general question
- address a single issue per RFQ Comment
- clearly indicate why the RFQ Comment has been made

KYTC intends to provide responses to RFQ Comments that KYTC deems to be general in nature, material or not otherwise adequately addressed in the RFQ within a reasonable time following receipt. KYTC may rephrase RFQ Comments as it deems appropriate and may consolidate similar comments. KYTC may issue multiple sets of responses at different times during the procurement process.

Addenda to this solicitation may be necessary prior to the SOQ Submittal Date and will be furnished by mail, email, or the web to all prospective DBTs.

Or see the website at: <http://transportation.ky.gov/Construction-Procurement/Pages/default.aspx>

## **4. DESIGN-BUILD TEAM**

### **4.1 PREQUALIFICATION**

It is required that the Design Build Team (DBT) consist of a KYTC pre-qualified Contractor who has engaged the services of a KYTC pre-qualified Design Consultant(s) to perform all work required in the forthcoming ITP. If the Design Consultant(s) submitted does not meet all the required qualifications, KYTC may reject the DBT’s SOQ.

An acceptable SOQ will require the project team to be prequalified in three (3) of the five (5) listed major work items specified in section 4.1.1.3 by the SOQ due date. In addition the requirements of 4.1.1 and 4.1.2 must be met. If there are questions concerning designer prequalification, contact Mr. Eric Pelfrey, PE (502) 564-4555. For questions regarding contractor prequalification, contact Rachel Mills at 502-564-3500. Responses that do not have all areas of prequalification fulfilled will be returned.

#### **4.1.1 CONTRACTOR PREQUALIFICATION**

- 4.1.1.1 Pursuant to Section 102.01 of Kentucky's Standard Specifications for Road and Bridge Construction, all DBT Proposers and subcontractors must be prequalified by KYTC and hold a Certificate of Eligibility as described KYTC's regulations (in accordance with KRS Section 176.140). A DBT construction team member classified as a Major Participant must be prequalified as a Contractor by KYTC to perform the type of work required to bid as the Prime Contractor. The PM should limit the number of prequalified required work items to only those absolutely necessary to bid the project as a Prime Contractor. Subsequent required work items will be verified through the subcontracting process as the project progresses. The Division of Construction Procurement can help establish required work items.
- 4.1.1.2 The DBT Proposer must be a KYTC prequalified Contractor that has teamed with a KYTC prequalified Design Consultant(s) to perform all design and construction work. KYTC may reject an SOQ if the Design Consultant's submission does not meet all qualifications. All subconsultants and subcontractors used by the DBT must be prequalified to perform work for KYTC. Entities which have not been prequalified are not eligible to work on a project.
- 4.1.1.3 As part of the Statement of Qualifications (SOQ) to be provided by the DBT, the following are the major work items:

<u>Major Work Items</u>	<u>Qualifications for Bidder</u>
(1) Grade and Drain	A
(2) Asphalt Pavement	C2
(3) Concrete Pavement	B
(4) Bridges over 100ft Span	E3
(5) Demolition	E4 or I27

4.1.1.4 In order to be registered as an eligible bidder for the project, all construction team members for the DBT that are to be used for major work items shall be identified as part of the submission of the Statements of Qualifications (SOQ). Organizations and individuals providing other services for the project may be identified in the SOQ, subject to the discretion of the DBT. Any contractor that is to perform work on the project shall be prequalified and possess a Certificate of Eligibility from KYTC prior to beginning any construction activities for this project.

#### **4.1.2 PROFESSIONAL SERVICES PREQUALIFICATION**

4.1.2.1 The DBT furnishes all services required to design and construct all permanent and temporary project components. Work must conform to current KYTC, federal, and AASHTO standards, practices, policies, guidelines, and specifications (unless stated otherwise in the RFQ). If conflicts arise, KYTC standards, practices, policies, guidelines, and specifications must provide controlling guidance. A DBT must include registered professional engineers and surveyors to oversee engineering and surveying activities.

4.1.2.2 Prequalified design Consultants may only perform tasks for which they been prequalified. Multiple design Consultants can work on a DBT; however, one must be designated as Lead Designer.

4.1.2.3 DBT Proposers cannot submit a Technical Proposal until they meet KYTC's prequalification requirements related to licensure. Services requiring prequalification may only be executed by firms prequalified to perform those services. For non-engineering services (e.g., title and closing attorney services, landscaping, transportation planning, or architectural applications), professionally licensed personnel must be assigned to lead the work.

4.1.2.4 The standard of care for all such services performed or furnished under this Agreement shall be the care and skill ordinarily used by members of the engineering profession practicing under similar conditions at the same time and locality.

4.1.3 As part of the Statement of Qualifications (SOQ) to be provided by the DBT, the DBT shall identify the members of the Team that are to perform the following items of work:

Geotechnical	Engineering Services
Highway Design	Rural Roadway Design
Highway Design	Urban Roadway Design
Highway Design	Surveying
Utility Design	Utility Preconstruction Coordination
Structure Design	Spans Under 500 Ft



The following pre-qualifications are not required with the submittal of a Statement of Qualifications. Should the services be needed, the awarded DBT must obtain the required qualifications prior to providing those services:

Geotechnical	Laboratory Testing Services
Geotechnical	Drilling Services
Utility Design	Communication
Utility Design	Electric Level 2
Utility Design	Gas Level 1
Utility Design	Water & Sewer Level 1
Utility Design	Water & Sewer Level 2
Utility Design	Utility Construction Inspection
Traffic Operations	Traffic Engineering Services
Traffic Operations	Electrical Engineering Traffic Signal Services
Traffic Operations	Electrical Engineering Roadway Lighting Services

The DBT shall be aware that changes to the preliminary design documents may require the DBT to be prequalified in additional areas.

Design firms shall be sufficiently staffed and capable of performing the required work on this contract. These design firms may be subcontractors responsible for the design and engineering of the project.

There may be multiple consultants working on the DBT. However, one consultant shall be designated as the Lead Designer. The DBT shall include qualified engineers and surveyors to be in direct responsible charge of engineering and surveying endeavors and who are professionally registered in the state of Kentucky. Designs prepared for the project shall be signed and stamped by a licensed Kentucky Professional Engineer. To qualify for selection, interested DBTs shall be prequalified through KYTC for the performance of the work. Licensure shall be acquired prior to performing any work when prequalification requires work be performed by a licensed individual. Services requiring prequalification may only be performed by firms prequalified for those services at the time of performance of the services.

#### **4.2 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM**

It is the policy of the Kentucky Transportation Cabinet (“the Cabinet”) that Disadvantaged Business Enterprises (“DBE”) shall have the opportunity to participate in the development and performance of highway construction projects financed in whole or in part by Federal Funds in order to create a level playing field for all businesses who wish to contract with the Cabinet. To that end, the Cabinet will comply with the regulations found in 49 CFR Part 26, and the definitions and requirements contained therein shall be adopted as if set out verbatim herein.

The Cabinet, consultants, contractors, subcontractors, and sub-recipients shall not discriminate on the basis of race, color, national origin, or sex in the performance of work performed pursuant to Cabinet contracts. The contractor shall carry out applicable requirements of 49 CFR 26 in the award and administration of federally assisted highway construction projects. The DBT will include this provision in all its subcontracts and supply agreements pertaining to contracts with the Cabinet.

Failure by the DBT to carry out these requirements is a material breach of its contract with the Cabinet, which may result in the termination of the contract or such other remedy as the Cabinet deems necessary.

#### **4.2.1 DBE GOAL**

The DBE goal established for this contract is 10% of the total value of the contract, excluding any costs paid to utility companies.

The DBT shall exercise all necessary and reasonable steps to ensure that DBEs participate in at least the percent of the contract as set forth about as goals for this contract.

#### **4.2.2 OBLIGATION OF THE DBT**

Each member of the DBT shall designate and make known to the KYTC a liaison officer who is assigned the responsibility of effectively administering and promoting an active program for utilization of DBEs.

Contractors are encouraged to use the services of banks owned and controlled by minorities and women.

### **4.3 STATEMENTS OF QUALIFICATIONS (SOQ)**

A DBT shall submit one electronic password-protected single file PDF (max file size of 10 mb) which restricts copying of text, images, and other content.

The SOQ shall be received no later than 2:00 p.m. Eastern Time on May 26, 2021. The KYTC shall reject any proposal received after the aforementioned time and date and return it unopened to the DBT.

The submittal shall be emailed to Rachel Mills at the address given in Section 3.0.

The outside cover of the package of the SOQ file shall be marked:

Statement of Qualifications for  
Henderson County I-69 ORX Section 1  
Item No. 2-1088.2  
CID No. 21-9001  
Design-Build: FY 2021 Design Build #1

#### **4.3.1 FORMAT**

To ensure a timely and consistent review, the format of the SOQ must adhere to the requirements of this section. The following table lists the maximum number of pages which may be used by the Proposer in the SOQ. Content should be organized by parts as indicated.

<b>Part</b>	<b>Content</b>	<b>Maximum Pages</b>
A	Introduction	3
B	Project Understanding and Approach	18
C	Design-Build Project Team and Resumes	
D	Capabilities and Experiences – Including Form A (Appendix A)	15
Total		36

The SOQ must conform to the following format:

- A. Each page must be 8.5” x 11” with single-space type no smaller than 11-point font. Pages may contain graphics and photographs where applicable.
- B. All pages shall be numbered with a footer depicting, at a minimum, Proposer’s name and page number (Proposer – Page X of XX). Margins shall be at least 1” all around. Deviations from formatting requirements may result in rejection of the SOQ. A single 11” x 17” page may be substituted for two 8.5” x 11” pages.
- C. Covers front and back are allowed as well as a transmittal letter; however, information on the outside covers and transmittal letter may not be used for evaluating the SOQ. The insides of the front and back covers must be left blank. No writing, photos, graphs, etc., will be allowed on the inside of covers.
- D. Tabs between pages may be used; however, other than identification on the tab, the tab page must be blank. No writing, photos, graphs, etc., will be allowed on the tab pages other than section identification.
- E. This response will be a “standalone” document. No additional information may be attached to made reference to via webpage or other means.

#### **4.3.1.1 Part A – Introduction**

The introduction shall contain the following information:

- A. The Introduction page(s) shall be on the Lead Contractor's letterhead and identify the full legal name and address. (Font, font size, and page margin requirements may be disregarded as it pertains to the Lead Contractor’s letterhead if the Lead Contractor’s standard blank letterhead would violate the formatting limitations.) Proposers who are joint ventures may submit on any letterhead of the joint venture’s members or submit on a new letterhead depicting the joint venture. The Introduction shall be electronically signed by an authorized representative of the Proposer's organization as currently on file (TC-14-27 Authority to Sign) with the KYTC Division of Construction Procurement. Joint Ventures will be required to complete form TC 14-320 and comply with all requirements to get proper registrations prior to submittal of the Statement of Qualifications.
- B. Identify the name, title, address, phone, and e-mail address of an individual who will serve as the Point of Contact for the Proposer.
- C. Identify whether the Lead Contractor will be structured as a corporation, Limited Liability Company, general partnership, joint venture, limited partnership or other form of legal organization. Note: The Department recommends that Lead Contractors who are joint ventures register their

- company or fictitious name with the Kentucky Secretary of State.
- D.* Identify the full legal name of the Lead Contractor and the Lead Designer for this Project. The Lead Contractor is defined as the prime/general contractor responsible for overall construction of the Project and will serve as the legal entity who will execute the Contract with the Department.
  - E.* Provide the name of the principal(s) or officer(s) of the Lead Designer. Provide the firm's registration number of the Lead Designer confirming that the firm is properly registered with the Kentucky State Board of Licensure for Professional Engineers and Land Surveyors at the time of submittal, who will be responsible for the design work included in this contract. The Lead Designer is the firm that employs the DBT Design Project Manager.
  - F.* A statement that the Proposer's Lead Contractor, any other construction Team members performing major items of work, and the Lead Designer are prequalified with the Department in accordance with the requirements of the Department.
  - G.* A statement confirming the commitment of the Key Personnel identified in the submittal to the extent necessary to meet the Department's quality and project duration expectations.
  - H.* A statement warranting that no members of the Proposer have a personal conflict of interest or an organizational conflict of interest. (See Section 5.2)
  - I.* A statement that the Proposer will comply with the Department's DBE goals for this Contract and will comply with the Department's Nondiscrimination policy.
  - J.* A Certification of authorized submitter that information contained within is correct. Include typed name and title, the clause "I certify that the information included within this document is, to the best of my knowledge, correct as of the date indicated", the signature (one copy must have original signature, and the date)
  - K.* A Certification that the Lead Consulting firm is currently registered with the Commonwealth of Kentucky in accordance with KRS 322.060 to perform the engineering services needed for this project, and the firm's Kentucky Registration Number. This includes sub-consultant firms. Additional pages are allowed in an appendix to the SOQ to provide sub-consultant certification of firm registration and Kentucky Registration Number.
  - L.* In accordance with Federal Acquisition Regulation 52.209-5, the Vendor shall certify with bid response, that to the best of its knowledge and belief, the Vendor and/or its Principals is (are) not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any State or Federal agency.
  - M.* In response to a legal opinion concerning the application of Official Order No. 102295, "Conflict of Interest", consultants responding to this advertisement are required to identify any potential conflicts of interest in regard to any financial or other personal interest in a project and/or any financial or other personal interest in any real property that may be acquired for a project. In the case that a potential conflict is identified, the consultant will be asked to recommend a solution in dealing with this conflict.
  - N.* Indicate Acknowledgement of Receipt of proposal addenda and include form AOR in an appendix to the SOQ.

**4.3.1.2 Part B – Project Understanding and Approach****4.3.1.2.1 B.1 General Project Approach**

Describe the Proposer's project understanding and anticipated approach to the project; specifically addressing:

- A. Managing bid and procurement risks specific to the Project during procurement,
- B. Managing design and construction risks throughout the entire Project duration. The Department anticipates there will be tasks with higher levels of risks involved with the project. Identify the 5 highest risk items and describe the Proposer's approach to mitigate and manage the risks to these tasks.
- C. Monitoring the quality of the Work to ensure high quality for the duration of the Project, and
- D. Ensuring timely initiation of Roadway design and physical project construction.
- E. Maintenance of traffic, safety challenges, and public involvement required to lessen community impacts during construction

**4.3.1.2.2 B.2 DBE and Work Force Diversity**

Describe the Proposer's approach and strategies to ensure DBE goal attainments and ensuring work force diversity specifically addressing:

- A. DBE Subcontractor management during pre-award and post-award phases of the project to ensure DBE goal attainment and post-award DBE utilization tracking with specific methods on promoting opportunities to disparaged companies.
- B. Proposed strategies to ensure ethnic and gender workforce diversity, engage nearby regional community workforce agencies, and the methods to monitor, track, and report on ethnic and gender workforce diversity.

**4.3.1.3 Part C – Design-Build Project Team**

For the DBT to be eligible for selection, the Lead Contractor must be prequalified as stated previously in the instructions.

For the DBT to be eligible for selection, either the prime or a subconsultant must be prequalified in each service area listed within the advertisement.

- A. List the services (from the KYTC prequalification categories) that the lead design consultant and any subconsultant(s) will be performing for this project, and the status of prequalification (Prequalified, Submitted and Pending, or Prequalification not required).
- B. For services to be performed by the lead consultant, list the name(s) of the employee(s) intended to perform the work. For subconsultant services, list the firm name.

- C. List the services not applicable for prequalification categories but which may be performed, and the name of the prime employee(s) or subconsultant firm name who intend to perform the work.

The Proposer shall provide sufficient information to enable the Department to understand and evaluate the Proposer's Team. Include the following:

- A. The Proposer shall provide an organizational chart showing the "chain of command" of the anticipated roles proposed for the Proposer's organization regarding the Project. The organizational chart shall show Key Personnel, key subconsultants, all named firms that will be performing work (including those firms identified in association with Section 4.1.2 of the ITP regarding prequalification), and other anticipated personnel integral to the success of the Project. Note: Font requirements will not be enforced, but Proposers are to ensure the Organization Chart is legible and clear. One 11" x 17" sheet, folded to 8.5" x 11" size, will be allowed for the Organization Chart. This sheet will count as a single sheet for the purposes of page count. The content of the 11"x17" sheet will be limited to the organizational structure and relationships among the Proposer's team.
- B. Describe the general experience of the firms that are part of the DBT. Focus on specific firm experience that relates to carrying out the proposed project and how the experience will ensure success of the Proposer's general approach to the Project. Describe any notable expertise or other special capabilities of members of the DBT (Persons or Firms) that are critical to your project approach. Firms listed on Form A shall be specifically addressed as to their role on the Proposer's team.
- C. Identify the Key Personnel as described in Sections 4.2.1.3.1 – 4.2.1.3.7 below. Provide information within the SOQ to demonstrate the abilities of all identified personnel through a description of qualifications, experiences, and performance of similar tasks on previous similar recent relevant projects, background, and education. These qualifications and experience should provide confidence to the Department that the Project will be effectively managed through personal competence and accountability. This information shall be expounded through resumes provided in Part D (Section 4.2.1.4). Resumes for individuals who are not identified in the SOQ as Key Personnel shall not be included. For all Key Personnel, provide the following information:
  - a. The individual's position and authority within the Proposer.
  - b. Previous projects, similar in nature to the proposed project or other significant efforts for which the individual has performed a similar function.
  - c. Identify percentage of time that the individual will be dedicated to the Project during the following:
    - i. Design phase
    - ii. Construction phase
  - d. Relevant experience, professional registrations, education and other components of qualifications applicable to this project.
- D. Any unique qualifications.
- E. A statement indicating that the individual is currently employed by a member of the Proposer at the time of the SOQ submittal.

Duties may be performed by more than one person. If this is the case, provide information for each person and clarify individual duties. (Note: Part C page count will not be increased.)

Any person proposed as Key Personnel position requiring a Professional Engineering license who is not a Kentucky P.E. at SOQ submission may be proposed if 1) the person is licensed in another state and 2) submits a commitment in the SOQ to becoming licensed in Kentucky prior to Award.

**4.3.1.3.1 DBT Project Manager**

The DBT Project Manager shall be ultimately responsible for the Proposer's performance. Ensures that personnel and other resources are made available. Responsible for contractual matters. This position is required for the duration of all design and construction-related activities on the Project.

**4.3.1.3.2 DBT Design Project Manager**

The DBT Design Project Manager shall be responsible for actively managing the overall design of the project. Responsible for overall design of the project inclusive of all structures and structural elements (bridge substructures and superstructures, retaining walls) and roadway/highway items (alignment, drainage, pavement, signing, lighting, traffic signals, maintenance of traffic, etc.) Must be a KY P.E. at the time of Award. The DBT Design Project Manager shall have a minimum of ten years of experience on major highway projects.

**4.3.1.3.3 DBT Roadway Lead (Design)**

The DBT Roadway Lead shall be responsible for meeting the design requirements of the Contract Documents for all roadway and MOT elements on the Project, including railroad coordination. The DBT Roadway Lead shall have 10 years of experience working in a similar capacity on major highway projects with complex roadway design. Must be a KY P.E. at the time of Award. This position is required for the duration of the roadway design-related activities on the Project as well as be available to address any construction related MOT issues that may occur.

**4.3.1.3.4 DBT Structural Lead (Design)**

The DBT Structural Lead shall be responsible for overall design of structures and structural elements. Responsible to ensure that all requirements of the design for all structural elements on the Project, including bridges, box culverts, walls, and foundations are met. This DBT Structural Lead shall have no less than 10 years of experience in design of highway bridges, culverts, walls and foundations for new construction and rehabilitation or widening projects. Must be a KY P.E. at time of award. This position is required for the duration of all structure design-related activities on the Project.

**4.3.1.3.5 DBT Construction Manager**

The DBT Construction Project Manager actively manages the overall construction of the project. Must be an employee of the Lead Contractor. Responsible for overall construction inclusive of all structures and structural

elements (bridge substructure and superstructure, retaining walls) and roadway items (alignment, drainage, pavement, lighting, traffic signals, signage maintenance of traffic, etc.). The DBT Construction Manager shall have ten years of experience working in a similar capacity on major highway projects. The DBT Construction Project Manager shall be located in the field office on a full-time basis for the construction duration of the Project unless modification is requested by the DBT and approved by KYTC in its sole discretion.

#### **4.3.1.4 Part D – Capabilities and Relevant Experience**

Provide specific information as it relates to previous project experience, available resources, and anticipated design/construction methods. Include submission of **Form A**.

##### **4.3.1.4.1 Project Management Methodologies**

This section should include details describing the following:

- A. How the Proposer will coordinate with stakeholders (City of Henderson, Henderson County, Henderson County School District, Railroads, and Utility Companies, etc.).
- B. How the Proposer will coordinate with KYTC to ensure Proposer sharing of information & reporting to ensure a high-quality project
- C. The Proposer's internal procedures for planning and monitoring the Project to ensure timely completion and achievement of critical project milestones while considering project risks, available resources, and production levels.
- D. The Proposer's procedures to ensure a cost-effective design and subsequent cost-effective construction while meeting or exceeding the project requirements.

##### **4.3.1.4.2 Past Projects/Technical Experience – Design and Construction**

The section shall include past projects and technical experience descriptions (not exceed 10 pages total) that provide narrative depictions of the ten relevant experiences (5 Design Projects, 5 Construction Projects) listed on Form A. Technical experience descriptions shall be on distinct pages and not continue across multiple pages, limited to 1 page per experience listed on Form A. The narratives should demonstrate experiences in each of the following areas:

- A. Construction of projects of similar scope and complexity, as applicable to the Contractor.
- B. Design of projects of similar scope and complexity, as applicable to the Designer.
- C. Utility coordination and utility design elements included in the project
- D. Timely completion of projects of similar scope and complexity.
- E. Proposed Key Personnel members' roles with the project, if applicable.
- F. Ability to meet or exceed DBE commitments and to properly manage DBEs.



Each technical experience description must include the following information:

- A. A narrative describing the project.
- B. Bid construction costs.
- C. Name of the project, the owner's contract information (project manager name, phone number, e-mail address), and project number. If the owner's project manager is no longer with the owner, provide an alternate contact at the agency that is familiar with the project. The alternate contact must have played a leadership role for the owner during the project.
- D. Dates of design (if applicable) and construction (if applicable).
- E. Detailed description of the work or services provided, and percentage of the overall project actually performed.
- F. Description of original scheduled completion deadlines and actual completion dates, as applicable to the Designer and/or Contractor. Describe reasons for completing the project in advance of the contract completion deadline. Describe reasons for completing the projects later than the contract completion deadline specified within the original contract. Describe any reasons for assessed liquidated damages and/or penalties, if applicable.
- G. Description of project challenges and subsequent mitigation efforts by the Proposer to overcome those project challenges and how these challenges and mitigation efforts may relate to this project.
- H. Description of on the job training (OJT) and DBE efforts, if applicable.
- I. An Owner's reference shall be included for each project listed. As a minimum, the reference shall include an individual's name and current telephone number.

Provide an account (to be only included in Part D) listing all projects designed and/or constructed by the Lead Designer and/or Lead Contractor that have resulted in the assessment of liquidated damages and/or penalties exceeding \$50,000 in the last five years if applicable to the respective role.

#### 4.4 SOQ REVIEW AND SHORT-LISTING PROCESS

SOQs will be evaluated by the Department's SOQ Technical Review Committee (TRC) that consists of Department representatives from KYTC District 2 and KYTC Central Office.

The Department's SOQ Technical Evaluation Team will rank (at their sole discretion) the Proposer's Statements of Qualifications based upon the evaluation criteria below.

The SOQ shall be evaluated and scored based on the following point distribution:

Part	Evaluation Criteria	Maximum Points
A	Introduction	0
B.1	Project Understanding and Approach	30
B.2	DBE Program	10
C	Design-Build Project Team and Resumes	30

D	Capabilities and Experiences – Including Form A (Appendix A)	30
Total		100

Failure to meet all requirements may render a SOQ non-responsive. The extent to which a Proposer meets or exceeds evaluation criteria will be comparatively ranked by the TRC and will be reflective of the TRC's rankings (in their sole discretion) of the Statements of Qualifications submitted by Proposers. The Department reserves the right to find clerical errors *de Minimis*.

The TRC may be assisted by any number of Technical subgroups and/or subject matter experts within the Department, FHWA, County, other involved agencies, and/or contracted by the Department.

For each of the ranking topics, the TRC will determine the highest ranked Proposer within each ranking topic, with the highest ranked Proposer receiving the maximum number of points. Lower ranked Proposers will receive commensurately lower rankings based on a relative comparison to the highest ranked Proposer. Evaluations and rankings will consider Department identified strengths, weaknesses, and committed betterments found within the SOQ.

The Department may request the Proposer to affirm an identified **committed betterment** found within the SOQ. This affirmation request will be made in writing to the Proposer prior to final rankings. If an affirmation request is made by the Department, the Proposer shall respond in writing within 48 hours either confirming the Department's understanding or clarifying the intent. Any response to the affirmation request may not expound upon the information within the SOQ.

The rankings will be based on the information provided by the Proposer within the SOQ, independent investigation of any information, prior experiences with the Proposer by the Department, existing public information, and evaluation information obtained from the owners of previous projects.

The TRC will present the findings, rankings, and shall make a recommendation to the KYTC Awards Committee. The KYTC Awards Committee will examine the TRC's findings and will render the ultimate selection of the Short-listed Proposers with concurrence from the TRC. The KYTC Awards Committee intends to short-list up to 5 DBTs.

### Index of Attachments

1. Project Location Map
2. Form A – Work History Form
3. Form B – RFQ Comments

# Attachment 1 - Project Location Map







**Attachment 3 - Form B for SOQ**

**RFQ Comments**

**HENDERSON I-69 ORX SECTION 1**

**INSTRUCTIONS:**

- a. Submit one (1) copy of Form B for each set of RFQ Comments being submitted by the DBT
- b. Submit this form in Word format

Name of DBT: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Date: \_\_\_\_\_

**FORM B**

No.	RFQ Section	RFQ Comment