



**LOUISVILLE-SOUTHERN INDIANA OHIO RIVER BRIDGES
PROJECT**

DOWNTOWN ~~PHASE~~CROSSING

Design Build Procurement

~~DRAFT~~ Request for Qualifications

Revised 3/23/2012



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1 PROJECT

1.1 Introduction and Goals of the Project

The Kentucky Transportation Cabinet in cooperation with the Louisville and Southern Indiana Bridges Authority, the Indiana Department of Transportation and the Federal Highway Administration is requesting a Statement of Qualifications from Design Build Teams (DBT) interested in providing Design Build services. The services are for the Downtown [Phase Crossing](#) of the Louisville and Southern Indiana Ohio River Bridges (LSIORB) Project. This project will greatly improve the movement of traffic across the Ohio River on the vital I-65 North South Corridor. It will also provide congestion relief and safety improvement within the interchange of I-65, I-64, and I-71 in downtown Louisville, Kentucky.

KYTC's goals for this project are to provide for both the traveling public and citizens of Kentucky and Southern Indiana a facility that:

- Presents the Best Value for project costs
- Is constructed within a project schedule that meets or exceeds important intermediate and final completion dates and provides the least possible impact on the public.
- Is designed to meet or exceed all Technical, Environmental, and Social requirements and commitments.
- Includes an EEO and DBE program that best fits the demographics of Louisville and Southern Indiana, and comply with the EEO and DBE regulations and policies of KYTC, INDOT, and FHWA.

1.2 Definitions of Terms and List of Acronyms Used

- Best Value Selection – The process by which price and qualitative factors will be considered in the evaluation and selection process.
- Cabinet – Kentucky Transportation Cabinet, the contracting agency.
- [Department – Kentucky Transportation Cabinet's Department of Highways.](#)
- Design Build (DB) – Combining the design and construction phases of project delivery of a project into a single contract.
- Design Build Team (DBT) – multiple legal entities forming a team or joint venture to provide the Design Build requirements of the RFP.
- Ex Parte Communication – An oral or written communication not on the public record with respect to which reasonable prior notice to all parties is not given.
- FHWA – Federal Highway Administration
- FEIS – Final Environmental Impact Statement
- ITC -Innovative Technical Concepts are proposed changes in the response to the RFP by a DBT that offer efficiency, cost-savings or other innovative changes to the agency-supplied basic configurations, project scope, design criteria or construction criteria.
- INDOT – Indiana Department of Transportation
- KYTC – Kentucky Transportation Cabinet, the contracting agency
- LSIORB – Louisville Southern Indiana Ohio River Bridges

- Price Proposal – The second submittal from a prospective DBT for the RFP that outlines the price for the Team’s proposal.
- Project Award – KYTC’s acceptance of a proposal.
- Proposal – A DBTs written offer to fulfill the requirements of the RFP. The proposal will have two distinct parts, a technical proposal and a cost proposal.
- Request for Proposal (RFP) - The forthcoming document that will be given to those Design Build Teams that KYTC has shortlisted to continue in the project procurement process. It will describe the project in detail, outline the procurement process, form the basis for the final proposals, and potentially become an element in the contract.
- ROD – Record of Decision
- Short List – After the DBTs SOQs are submitted, the submittals will be evaluated and three (3) “Short List” teams will be chosen to receive the Request for Proposal
- Statement of Qualifications (SOQ) - Written information prepared and submitted by a proposed DBT in response to the RFQ, this document.
- Stipend – The fee to be paid to the unsuccessful and responsive, shortlisted DBT(s) for its proposal to the RFP. No Stipend will be paid for the SOQ
- Technical Proposal – The first submittal of a prospective DBT for the RFP that includes but is not limited to the proposed design, method of construction, schedule and approach for addressing the environmental and DBE/EEO requirements of the project.
- USCG – United States Coast Guard

1.3 Project Description

1.3.1 History of the Project

In the 1990’s, Kentucky and Indiana formed a partnership, a bi-state management team to explore ways to better connect Louisville, KY with Southern Indiana with Ohio River crossings. This partnership resulted in the FHWA issuing a ROD in September of 2003, officially approving the construction of two (2) new Ohio River Bridges linking Louisville, KY with Southern Indiana. This ROD includes the reconstruction of the Kennedy Interchange – the convergence of Interstates I-65, I-64, and I-71 in Downtown Louisville. The subsequent Final Environmental Impact Statement (FEIS) split this project in six (6) sections:

- Section 1 – the Kennedy Interchange and the southern approach to the New Downtown Bridge;
- Section 2 – a new Downtown Ohio River Bridge crossing;
- Section 3 – the northern approach to a new Downtown Bridge;
- Section 4 – the southern approach to an East End Bridge
- Section 5 – an East End Bridge; and
- Section 6 – the northern approach to an East End Bridge.

In 2009, Kentucky and Indiana formed a bi-state group for the purpose of developing a financial plan for the project. The Louisville and Southern Indiana Bridges Authority held its first meeting in February 2010 and operates in consultation with, but separately from, the project's bi-state management team.

On January 4, 2011, Kentucky Governor Steve Beshear, Indiana Governor Mitch Daniels and Louisville Mayor Greg Fisher announced plans to explore design options to reduce the cost of the project and speed construction. The design options resulted in a substantially reduced cost while still addressing the purpose and need of the project. The resulting Draft Supplemental Environmental Impact Statement (DSEIS), which compares the reduced-cost option to the original FEIS, was approved by the FHWA on November 10, 2011.

On January 3, 2012, the two governors and the Bridges Authority announced the project would be divided into two separate phases – the Downtown [PhaseCrossing](#), which includes Sections 1-3, and the East End Phase, sections 4-6. Kentucky will administer project delivery for the Downtown [PhaseCrossing](#) and Indiana will administer the East End Phase. The Bridges Authority concluded that tolling is a necessary part of the financial plan for both the Downtown and East End Phases. Therefore, tolls and the necessary infrastructure for tolling will be part of both phases.

1.3.2 Description and Scope of the Downtown [PhaseCrossing](#)

This project is the Design Build of the Downtown Bridge Phase. This phase includes the reconstruction and operational improvements to the interchange junctures of I-65, I-64, and I-71; the southern approaches to a new Ohio River Bridge; the construction of a new I-65 Ohio River Bridge; the reconfiguration and rehabilitation of the existing I-65 Kennedy Bridge; and the Indiana northern approaches to the bridges with the various local egresses and ingresses to I-65.

The juncture of Interstates 64, 65 and 71 in downtown Louisville, is locally known as the “Kennedy Interchange” and/or “Spaghetti Junction.” It includes the approaches to the new downtown bridge and the adjacent existing John F. Kennedy (JFK) Bridge. Limits of work on the affected interstates are: I-64 from near the Preston Street overpass eastward to near the Story Avenue Interchange, I-65 from the Liberty Street interchange northward to the south end of the Ohio River Bridges approach spans, and I-71 from the junction with I-64 northward to the former railroad bridge between Beargrass Creek and Edith Avenue.

This element of the Downtown Bridge Phase calls for a reconfiguration and rebuilding of the Kennedy Interchange in-place, which will include several improvements both in and approaching the interchange. These improvements include:

- Reconfiguration of I-64, I-65, and I-71 movements to the additional lanes provided by the new northbound I-65 downtown Ohio River Bridge and the rehabilitated (for southbound I-65) existing Kennedy Bridge.
- The elimination of the current traffic weaving movements from I-64 westbound and I-71 southbound to I-65.
- The elimination of the current traffic weaving movements from I-65 to I-64 eastbound and I-71 northbound.

- Introduction of “Collector-Distributor (CD) Road” systems on I-65 between I-64 and the Liberty Street interchange.
- Reconstruction of all bridges in the interchange.
- Introduction of a “Flyover Ramp” for the Story Avenue entrance ramp movement to I-65.

The Preliminary Plans for the in-place reconstruction of Kennedy Interchange include 41 permanent bridge situations consisting of permanent widening and new construction. Additionally, several temporary bridge widenings and one temporary bridge are proposed for maintenance of traffic. The reconstruction will also require the construction of approximately 1.2 miles of retaining walls. The walls vary in height from a few feet to over 30 feet.

The new Downtown Ohio River Bridge crossing of I-65 between downtown Louisville, Kentucky and Jeffersonville, Indiana will be configured to carry northbound I-65 traffic across the river. The newly constructed bridge will extend from the northern end of the Kennedy Interchange from the south in Kentucky to the newly constructed approach spans in Indiana. The new main structure will be a three tower cable-stayed bridge. The new bridge and approach structures will cross both Waterfront Park in Kentucky and Riverfront Park in Indiana and is adjacent to the Old Jeffersonville Historic District. This new northbound structure will be located just upstream and nearly parallel to the existing JFK Bridge and will carry six 12 foot lanes and two 12 foot shoulders. Northbound approach spans will flank both sides of the main cable-stayed bridge. To the south, the cable-stayed bridge connects with new approach spans that are a part of the new Kennedy Interchange. To the north, approach spans will be needed to span over part of the river and the flood wall and local streets in Jeffersonville.

The existing I-65 JFK Bridge will be re-decked and will provide structural improvements. The existing Indiana bridge approaches to the JFK Bridge will be replaced. The JFK Bridge will tie into the newly constructed Kennedy Interchange to the south. The JFK Bridge will be reconfigured to serve southbound traffic and carry six 12 foot travel lanes and two 9.5 foot shoulders.

The Downtown [Phase Crossing](#) will also include the construction of other elements that would be typical for an urban interstate bridge project. These will include, but are not limited, to storm drainage, retaining walls, traffic barriers, pavement markings, signage, roadway and aesthetic lighting, landscaping and aesthetic treatments, utility relocations, Intelligent Transportation Systems, noise walls and tolling infrastructure. The tolling facilities will be installed by a separate contractor, however, cooperation and coordination with the location and accommodations for the tolling facilities will be expected of the DBT.

Horizontal and vertical navigation clearances in both the permanent configuration and during construction are required for the two navigation channels as required by the USCG.

The Indiana approaches to the Downtown Ohio River Bridge includes the realignment and widening of southbound I-65 to the current JFK Bridge and the construction of a new segment of northbound I-65 from the new downtown bridge. The Indiana approach improvements extend from West Market Street northward to approximately 1250 feet north of Stansifer Avenue / West 14th Street. In addition to the improvements for I-65, improved local access is provided to the City of Jeffersonville and the Town of Clarksville.

I-65 will be expanded from the existing three lane configuration to four lanes in both the northbound and southbound directions. A new elevated ramp system will connect US 31 at the Clark Memorial (2nd Street) Bridge with I-65, eliminating the at-grade crossing at Court Avenue. Additional access for Clarksville and Jeffersonville will be provided with the opening of 6th Street / South Clark Boulevard under I-65 and added ramps. The CD ramp system and interchanges with I-65 at Court Avenue, 10th Street and Stansifer Avenue / West 14th Street will also be reconstructed for added capacity and safety.

There is significant bridge work at I-65 and the accompanying ramps over Court Avenue, 6th Street, 9th Street / Louisville & Indiana (L&I) Railroad and 10th Street. Access to the 2nd Street Bridge for US 31 traffic will be improved due to the proposed bridge over Court Avenue as well as the flyover ramp for the northbound traffic over 6th Street / I-65 for access onto I-65. A bridge widening at Stansifer Avenue for the southbound CD traffic will eliminate an existing at grade crossing at this location.

Retaining walls in this urbanized area will be used extensively. To provide ramp access to Court Avenue for northbound US 31 traffic, the north approach of the 2nd Street Bridge will be widened. The existing historic pylons at this location will need to be removed and reconstructed in kind.

The construction sequencing plan for the ~~downtown phase~~ [Downtown Crossing](#) has been developed to maintain a minimum of 2 lanes in each direction for all interstate through movements during all phases of construction.

1.3.3 Special Requirements of the Project

1.3.3.1 Environmental and Aesthetics Issues

There are numerous Environmental and Aesthetics commitments the DBT will be required to address that are still yet to be finalized. These items will be listed in the forthcoming SFEIS, the Memorandum of Agreement (MOA), and updated ROD. The following are examples of areas of commitments that will need to be addressed.

Hazardous Materials

Hazardous materials have been determined to exist in properties and soils within the construction project limits on both the Kentucky and Indiana sections of the Downtown Bridge Phase. The DBT will be required to prepare a mitigation and abatement plan based upon Kentucky and/or Indiana rules and regulations for addressing these materials which may include handling and disposing of these materials. Also, the DBT will be responsible for obtaining all the necessary prequalifications and permits from the Federal, State, and Local governing agencies where the work is performed.

Noise Analysis/Abatement

A noise analysis and barrier analysis was performed for the project and determined that noise barriers are potentially feasible at some locations. The DBT will be required to determine engineering feasibility of the noise barriers to determine if they are to be implemented. This may include conducting public meetings to determine community desires for noise walls.

Historic/Archaeological

There are Historic Properties adjacent to the construction areas in both the Kentucky and Indiana sections. The first amended Section 106 MOA under development in conjunction with the Supplemental Environmental Impact Statement (SEIS) will address these historic sites.

River Bridge Aesthetics

Aesthetic features of the piers and towers will be incorporated in accordance with the detailed specifications included in the RFP. This includes both the cable-stayed bridge and the approach spans. Requirements for the cable stayed bridge span lengths, tower shape, and cable arrangement have been established through community involvement and will be included in the aesthetic requirements. The Kentucky approach spans will be consistent in style with the adjacent Kennedy Interchange structures. The Indiana approach spans will be consistent in style with the main cable-stayed structure. Quiet deck pavements will be provided consistent with the Downtown [PhaseCrossing](#) pavement requirements. Aesthetic lighting will be included on the cable-stayed bridge.

Navigational Requirements

In order to comply with the navigational requirements established by the USCG, the new bridge will contain two 750' main spans over the primary and secondary navigational channels defined by the adjacent JFK Bridge. The vertical navigation span clearance is 71' at normal pool. USCG requires strict navigation channel closure limitations.

Parks

Three existing parks exist within the footprint of the proposed project: Waterfront Park and the Extreme Park on the Kentucky side, and Riverfront Park on the Indiana side. Special considerations for impacts to the existing parks will be detailed in the RFP.

Public Involvement

Public involvement has been a critical component of the LSIORB project and will continue through the design build process. A public involvement manager as described in Section 2.3.3 is required.

1.3.3.2 Permits

US Army Corps of Engineers, Division of Water, and Coast Guard Permits are currently being processed and submitted for the Downtown [PhaseCrossing](#). Many applicable permits for the bridge crossing of the Ohio River have been obtained or partially prepared through the preliminary design phase of the project. The DBT will be required to obtain all applicable, including any local and state permits through total construction or any modifications to existing permits as needed. These may include potential waste and/or borrow areas required for construction. All information related to permits will be made available to the DBT.

1.3.3.3 Right of Way Completion Issues

The footprint of the Kennedy Interchange reconstruction, largely within existing right-of-way, affects twenty-six (26) parcels which are businesses, vacant land, or publicly owned. Three (3) of the parcels have been acquired and KYTC is currently working on acquiring the remaining parcels. However, it is unlikely that they will be acquired prior to issuance of contract award; therefore, the DBT will need to acquire the remaining parcels. Of the remaining twenty-three (23) parcels, nine (9) are owned by local government or quasi local governmental organizations. The DBT will be responsible for acquisition of the properties in compliance with procedures established by the KYTC for Federal Projects and in accordance with the laws of the Commonwealth of Kentucky.

In the Indiana approach section, forty (40) right-of-way parcels are known to be involved. Upon award of this contract, it is anticipated that all the parcels will be appraised and be ready for negotiation and purchase. The DBT will be responsible for acquisition of the properties in compliance with procedures established by INDOT and in accordance with the laws of the State of Indiana.

The RFP for this project will address specific prequalification categories prescribed through KYTC and INDOT. The RFP will also provide further detail regarding the acquisition and the DBT's responsibilities in that process.

1.3.3.4 Utility Relocation Issues

Both public and private utilities are present throughout the footprint of the in-place Kennedy Interchange reconstruction and the Indiana approach. Relocations/procedures that will likely pose the greatest cost and schedule impacts in the Kennedy interchange reconstruction are:

- Overhead transmission line relocation
- Relocation of the Metropolitan Sewer District (MSD) Ohio River Force Mains

The DBT will be required to coordinate with the utilities as identified further in the RFP and in accordance with Kentucky and Indiana rules and regulations. Understanding utility conflict issues, developing a work plan and causing necessary utility relocation/adjustments will be required.

1.3.4 Biennial Funding

The Downtown Ohio River Bridge phase's financial plan is being built on a cash flow basis using a combination of Kentucky's federal highway apportionments, GARVEE Bonds and Toll Revenue Bonds. Expenditures in the upcoming biennium through June 30th, 2014 for this contract shall not exceed \$275 million.

The DBT will need to consider the above biennial limitation when developing their project schedule. Toll Revenue Bonds will be sold after June 30th, 2014 as needed.

1.3.4.1 Stipend

KYTC recognizes that proposals from shortlisted DBTs, including those not selected for the project, will require substantial investment by the DBT and will include information and insights that provide significant value to the project. Therefore, KYTC will pay a stipend to the shortlisted DBTs that provide a

fully responsive, but unsuccessful, proposal in concurrence with state law. The amount of the stipend shall be \$1.5 million and shall be provided to such DBTs within 45 days after KYTC enters into contract with the successful DBT. Upon acceptance of the stipend, all concepts, designs and proposed sequencing/scheduling ideas contained in the unsuccessful DBT's proposal become the property of the KYTC. No stipends will be paid for submitting SOQs.

1.3.5 DBE and EEO ProgramProject Plan

KYTC is committed to ensuring the workforce that will design and build the Downtown ~~Phase~~Crossing of Ohio River Bridges Project reflects the ~~face~~makeup of the region. The ~~selected~~ DBT ~~is to establish a~~ ~~Project~~must develop an EEO and DBE ~~program~~project plan in accordance with state and federal laws that promotes workforce diversity and business opportunities for citizens of Louisville and Southern Indiana.

It is a commitment of KYTC that no person(s) or businesses be excluded from participation in, denied the benefits of, or otherwise discriminated against in connection with the award and implementation of the project due to sex, race, religion, age, disability or national origin. The DBT should indicate experience on other projects that included ~~managing a DBE and EEO program~~coordinating an EEO and DBE project plan in their SOQ.

1.3.6 Point of Contact for Questions

Each DBT shall provide KYTC Division of Construction Procurement with the name, address, phone number, fax number, and email address of its contact person in the SOQ. KYTC will distribute addenda and other communications directly to the contact person. The distributed information will also be posted on the KYTC Division of Construction Procurement website. The DBTs contact person is responsible for distributing copies of the addenda and other RFQ-related information within their team.

The SOQ shall be submitted to KYTC's Division of Construction Procurement using the following address:

Ryan Griffith, PE, Director
Division of Construction Procurement
Transportation Cabinet Office Building
200 Mero Street
Frankfort, KY 40622
Phone: 502-564-3500
Email: ryan.griffith@ky.gov

DBTs who have questions or need further clarification or information regarding the technical aspects of the RFQ or the project should contact the above by letter or email. All questions and corresponding answers will be published on the Division of Construction Procurement web-site. March 28th, the Wednesday before the SOQ is due, will be the last day that KYTC will accept and answer any questions.



2 PROCUREMENT PROCESS

2.1 Schedule Overview of the Process

The procurement process for this project has an aggressive schedule to allow a timely award of the project. The RFP for this Project will require two separate Submittals, a Technical Proposal and Price Proposal. Therefore, please note the following Dates.

Dates	Scheduled Item
Feb. 23, 2012	Draft Request For Qualifications (RFQ) issued
March 1, 2012	Mandatory Pre-Bid Meeting
March 2, 2012	Comments on Draft RFQ due by 4 pm
Week of March 5, 2012	Final RFQ issued
April 2, 2012	Submission of Qualifications (SOQ) due by 4 pm
April 2 – 15, 2012	KYTC will review the submitted SOQs and interview designated key members of each design-build team (DBT)
April 16, 2012	KYTC will choose and announce a “short list” of three (3) DBTs. Teams will be given a RFP to proceed in procurement process.
April 16— July 16, 2012	Innovative Technical Concepts (ITC) will be accepted from the three DBTs during this time *
Aug. 1, 2012	KYTC will provide response for proposed ITCs
Aug. 31, 2012	Technical Proposal for RFP due by 4 pm
Sept. 1 – Oct. 1, 2012	KYTC’s Technical Proposal Advisory Committee reviews Technical Proposal
Oct. 1 – 15, 2012	KYTC Selection Scoring Committee will review and score the Technical Proposal; scores provided to the Awards Committee
Oct. 15, 2012	Price Proposal for RFP due by 4 pm
Oct. 2012	KYTC to announce Award of the Project
June 30, 2018	Contract Specified Construction Completion Date

*The ITC process will include ongoing, confidential, and incremental approvals throughout the four month timeframe. Further instruction for submitting ITCs will be in the RFP.

2.2 Qualifications of the Project Team Members

2.2.1 Registration of Businesses

It is required that the ~~bidder~~DBT is properly authorized under the laws of the Commonwealth of Kentucky to conduct business in this state; is duly registered with the Kentucky Secretary of State to the extent required by Kentucky law; and will remain in good standing to do business in the Commonwealth of Kentucky for the duration of any contract awarded. If the ~~bidder~~DBT is a foreign entity, the ~~bidder~~DBT must also be in good standing to do business in its home state.

2.2.2 Major Participant

As used herein, the term “Major Participant” means any of the following entities:

1. The DBT, or if the DBT is a partnership, joint venture, limited liability company, or other form of association, any general partners, joint venture members, or members of the DBT;
2. All individuals, persons, proprietorships, partnerships, limited liability partnerships, corporations, professional corporations, limited liability companies, business associations, or any other legal however organized holding (directly or indirectly) a 15 percent or greater interest in the DBT;
3. The lead engineering/design firm;
4. Each engineering/design subconsultant who is expected to perform 30 percent or more of the design work; and/or
5. Each subcontractor who is expected to perform ~~20~~30 percent or more of the construction work.

The DBT shall provide Form L-1 “DBT Organization Information” in their SOQ Appendix A. This form is located in Appendix A of this RFQ.

2.2.3 Legal

The SOQ will include a description of the legal entity proposed as the DBT and be provided in Appendix A. The DBT shall provide Form L-2 “Major Participant and Design Certification”. This form is located in Appendix A of this RFQ. If the DBT is a joint venture or partnership of different firms, the following shall be provided:

1. Identity of the Lead Major participant of the entity, if any (Form L-1);
2. Percent equity share held by each member (“Lead participant % equity share” column of Form L-1);
3. If the entity is an LLC, a statement signed by the DBT’s authorized representative acknowledging that such entities will be required to provide guarantees of the DBT’s obligations under the Contract, in accordance with Section 2.3.8.
4. If the entity is a joint venture, a statement signed by the DBT’s authorized representative acknowledging that such entities will be required to provide evidence of joint and several liability for the DBT’s obligations under the Contract, ~~in accordance with Section 2.3.8.~~

If the DBT is a joint venture or partnership of different firms, the following shall also be provided in Appendix A of SOQ:

1. If the DBT has already been legally constituted, full details of the organizational structure and supporting organization/formation documents including a copy, as applicable, of the joint venture agreement, limited liability company operating agreement or partnership agreement;
2. If the DBT has not yet been legally formed, a description of the proposed legal structure and draft copies of the underlying documents, including:

- a. All significant terms of the joint venture or partnership, including the rules relative to the administration of the joint venture, limited liability company or partnership, including dealing with deadlock situations;
- b. Description of how the joint venture, limited liability company or partnership will operate administratively and technically; and
- c. A teaming agreement or comparable document setting forth the equity members' agreement to form the organization.

2.2.4 Contractors Pre-qualification

Consistent with Section 102.01 of Bidders: Kentucky's 2008 Standard Specifications for Road and Bridge Construction all organizations and individuals bidding on Department projects and accepting subcontracts on Department projects must apply for and receive Department prequalification and possess a Certificate of Eligibility as provided in regulations published by the Department according to KRS Section 176.140. The lead entity for the DBT must be prequalified and possess a Certificate of Eligibility for E5 (Bridges Over Navigable Streams) prior to April 13, 2012. In the event of a Joint Venture, the organization that possesses the required E5 prequalification and Certificate of Eligibility shall be deemed the lead entity. It is also required that any DBT construction team member considered a "Major Participant" as described in Section 2.2.2 shall be prequalified as a Contractor by the Department by work type. Organizations and individuals providing other services shall be prequalified and possess a Certificate of Eligibility prior to performing the work.

~~It is required that the bidder shall be prequalified as a Contractor in the Commonwealth of Kentucky by work type. The bidder shall select design firms (consultants) who are prequalified by KYTC. Design firms with key personnel identified in the organizational structure requirements of section 2.2.3 of this document shall be prequalified with KYTC prior to submission of the SOQ. Design firms providing other services shall be prequalified prior to performing the work for those not required by the submittal of SOQs.~~

2.2.4.2.5 Professional Services Prequalification of Design Team:

The DBT shall provide all necessary services to design and construct all permanent and temporary portions of the project. Work shall conform to current KYTC, INDOT, federal, and AASHTO standards, practices, policies, guidelines and specifications where applicable. Additional documents identified within the scope of work will be provided under separate cover as part of the contract documents. KYTC standards, practices, policies, guidelines and specifications shall control in case of a conflict. The standard of care for all such services performed or furnished under this Agreement will be the care and skill ordinarily used by members of the engineering profession practicing under similar conditions at the same time and locality.

Design firms prequalified shall perform only those tasks which they are prequalified to complete. The design team will need to have KYTC prequalifications in a variety of disciplines in order to perform. KYTC prequalifications will include but not be limited to:

Structure Design

Spans Greater Than 500 Ft



Structure Design	Spans Under 500 Ft
Geotechnical	Laboratory Testing Services
Geotechnical	Drilling Services
Geotechnical	Engineering Services.
Environmental	Fisheries, Freshwater Macroinvertebrates, Water Quality, Botany, Terrestrial Biology, Wetlands, Prehistoric and Historic Archaeology,Cultural/Historic-Architectural, Noise impact Analyses, Air Quality Analyses,Socioeconomic Analysis, UST Hazmat- Reconnaissance and Sampling, UST Hazmat- Phase I (Initial Site Assessments), UST Hazmat- Phase II (Preliminary Site Investigations), UST Hazmat- Tank Removal/Disposal, UST Hazmat- Re-mediation Services
Right-Of-Way	Right of Way Project Management, Appraisals, Appraisals Review, Negotiations (Buyers), Relocation
Roadway Design	Urban Roadway Design
Roadway Design	Surveying
Traffic Engineering	Traffic Engineering Services
Traffic Engineering	Electrical Engineering Traffic Signal Services
Traffic Engineering	Electrical Engineering Roadway Lighting Services

The Design team will need INDOT pre-qualifications in

- 11.1 Right of Way Plan Development
- 12.1 Project Management for Right of Way Acquisition Services
- 12.2 Title Research
- 12.3 Value Analysis
- 12.4 Appraisal
- 12.5 Appraisal Review
- 12.6 Negotiation
- 12.7 Closing
- 12.8 Relocation

12.9 Relocation Review

Design firms shall be sufficiently staffed and capable of performing the required work on this contract. These design firms could 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 states of Kentucky and/or Indiana. Designs prepared for Section 1 and Section 2 of the project shall be signed and stamped by a licensed Kentucky Professional Engineer. Designs prepared for Section 3 in Indiana shall be signed and stamped by an Indiana registered Professional Engineer and shall be developed in accordance with INDOT's standard specifications. Qualifications to perform bridge design services for the cable-stayed structure will be fully considered during the KYTC's evaluation of the SOQs and Technical Proposals.

To qualify for selection, interested DBTs shall be prequalified through KYTC for the performance of the work. Prequalification requirements pertaining to licensure will not be required until just prior to award. Services that require prequalification may only be performed by firms that are prequalified for those services at the time of performance of the services.

When services required are predominantly oriented toward other disciplines such as title and closing attorney services, landscaping, transportation planning, or architectural applications, the DBT shall assign other professionally competent licensed personnel who shall be in charge of the work.

2.2.52.2.6 **Conflict of Interest**

The DBT shall provide information concerning potential organizational conflicts of interest in their technical proposal. The DBT must disclose all relevant facts concerning any past, present or currently planned interests which may present an organizational conflict of interest once the contract is awarded. A consultant who assists the Cabinet in the preparation of the RFP document and submits a technical proposal in response to the RFP is an example of a conflict of interest. For more information on conflict of interest, see Code of Federal Regulations Title 23 Section 636.116.

KYTC and INDOT have retained the consulting firms ~~of HMB Professional Engineers, Inc.; Beam, Longest, and Neff, Inc.; Parsons Transportation; Qk4; Michael Baker Jr., Inc.; Butler, Fairman and Seufert; CDMSmith; and Northrop Grumman Corporation;~~ to provide guidance in preparing this RFQ, the RFP, and advice on related financial, contractual, and technical matters. ~~Each of these~~ These firms ~~is~~ are prohibited from joining any DBT or otherwise assisting any DBT in connection with the procurement process. These firms include: HMB Professional Engineers, Inc.; Beam, Longest, and Neff, Inc.; Parsons Transportation; Qk4; Michael Baker Jr., Inc.; Butler, Fairman and Seufert; CDMSmith; Northrop Grumman Corporation; and TKT & Associates.

2.2.62.2.7 **Ex Parte Communications**



DBTs are expected to conduct themselves with professional integrity and to refrain from lobbying activities. During the procurement process (commencing with issuance of the RFQ and continuing until execution of a Contract for the Project or cancellation of the procurement), no employee, member, agent, advisor, or consultant of any DBT shall have any ex parte communications, directly or indirectly, regarding this procurement with any representative of KYTC, INDOT, or FHWA, including their staff, advisors, contractors, or consultants (as described in 2.2.56 above) involved with the procurement, except for communications expressly permitted by this RFQ or subsequent RFP.

2.2.72.2.8 Quality Management

The DBT will be required to plan, implement and provide a Project Quality Assurance (QA) program Plan. KYTC anticipates utilizing a third party professional Quality Assurance and Quality Control (QA/QC) firm to perform Construction Engineering and Inspection (CEI) services for the duration of the project. The QA/QC firm will also provide design review and construction QA/QC services.



2.3 SOQ Submission Requirements

Submit twenty-five (25) sequentially numbered paper copies (one of which shall be unbound) of the SOQ and two (2) identical CDs/DVDs or USB flash drives containing the SOQ in electronic format (PDF).

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 that may be used by the DBT in the SOQs. Content should be organized by parts as indicated.

Content	Maximum Pages
Cover Letter	1
Experience	<u>2430</u>
Organizational Chart with Key Project Personnel Listed	
Project Understanding and Approach	
Reference Projects (eight projects with maximum two pages per project)	16
DBE Program for the Team <u>Project Plan Experience</u>	<u>52</u>
Resumes of Key Personnel	<u>2430</u>
Letter of Bonding Ability	As needed
Appendix A (Forms)	As needed
Addenda	As needed

A page shall be 8 ½” x 11”, printed on one side only, single spaced. A single 11” x 17” page will be allowed for the organization chart and up to two 11” x 17” pages will be allowed for Project Understanding and Approach. The 11” x 17” paper, if any, shall be folded to 8 ½” x 11” and will counted as one sheet. Font shall be at least 11 point. Margins shall be at least 1” all around. The use of color for text and graphics is allowed.

The use of section dividers is encouraged and dividers will not count towards the maximum number of pages unless they contain project information. Dividers may contain text, photos or images but may not contain information that may be interpreted to contribute to the overall evaluation of the SOQ.

Submissions exceeding the page limitations or failing to follow the section format instructions outlined above may be considered non-responsive.

Graphics are allowed, provided they conform to the other format requirements listed. Smaller Fonts (at least 9 point) on graphics are allowed.

2.3.1 Cover Letter

A one-page cover letter shall be included in the SOQ. The cover letter must contain the business name and business type (corporation, joint venture, partnership) and must identify one contact person. The address, phone, fax, and e-mail for the contact person must be included.

2.3.2 Experience

Each DBT shall provide information on experience with projects similar to the LSIORB Downtown Phase Crossing and the Project's goals. Each DBT shall demonstrate the team members' ability to meet the goals of the reference projects. At a minimum, provide information demonstrating experiences related to the following areas:

- Design and construction of major river structures and interstate-to-interstate interchanges.
- Experience and approaches to delivering design build and design-bid-build projects on schedule or ahead of schedule.
- Use of innovative approaches to deliver a project within budget, such as value engineering change proposals, innovative technical concepts, etc.
- Integration of design, right of way acquisition, utility relocation, environmental activities, and construction.
- Efforts Safety Program that includes efforts to ensure motorists' safety through project work zones and worker safety on the project.
- Efforts to minimize and mitigate construction impacts to customers through innovative traffic handling.
- Demonstrate experience coordinating with a tolling integrator as part of the DBT or that was awarded project under a separate agency contract.
- Meeting or exceeding project DBE/EEO goals including how to utilize local labor forces and businesses.
- Successful Project Quality Plan(s) on projects of similar size and complexity.

A maximum of eight reference projects completed within the past ten years can be described for each DBT.

2.3.3 Organizational Chart with Key Project Personnel Listed

Each DBT shall define Key Personnel and a corresponding organizational chart that demonstrates the DBT's knowledge of the Project and approach to meeting the Project goals. Each DBT shall describe the organization style of the team and indicate how the qualifications of each Key Personnel increase the DBT's ability to meet or exceed the Project goals.

DBTs should define the following seven positions as Key Personnel.

Project Manager – The Project Manager is responsible for all aspects of the Project, including, but not limited to, overall design, environmental compliance, construction, quality management, and contract administration. The Project Manager should have ~~at least~~ ten years of ~~recent~~ design build experience managing the design and construction of major highways and river structures. The Project Manager shall be assigned to the Project full time and shall be required to be on site for the duration of the Project.

Design Manager – The Design Manager is responsible for ensuring the overall Project design is completed and all design requirements are met. The Design Manager should have at least ten years of recent experience, design build experience preferred, managing the design of major urban highways. They must be a licensed professional engineer in the Commonwealth of Kentucky or be able to obtain licensure by award of Contract. The Design Manager shall be assigned to the Project full time and be readily available on-site when design activities are being performed. During construction, the Design Manager shall be readily available for on-site consultation.

Structural Design Lead Engineer - The Structural Design Lead Engineer is responsible for ensuring all structural components on the Project are completed and all design requirements are met. The Structural Design Lead Engineer should have at least ten years of recent experience, design build experience preferred, designing major river bridge structures and been Engineer of Record for at least one completed major river bridge structure similar to this phase in scope, budget, schedule and environmental conditions. They must be a licensed professional engineer in the Commonwealth of Kentucky or be able to obtain licensure by award of contract. The Structural Design Lead Engineer shall be available for weekly meetings in the DB Project Office.

Highway Design Lead Engineer - The Highway Design Lead Engineer is responsible for ensuring all highway geometric, drainage and traffic components on the Project are completed and all design requirements are met. The Highway Design Lead Engineer should have at least ten years of recent experience, design build experience preferred, designing major interstate interchanges and been Engineer of Record for at least one completed interchange and bridge project similar in scope, budget, schedule and environmental conditions. They must be a registered professional engineer in the Commonwealth of Kentucky or be able to obtain licensure by award of contract. The Highway Design Lead Engineer shall be available for weekly meetings in the DB Project Office.

Construction Manager – The Construction Manager is responsible for managing the construction of the Project. The Construction Manager shall have at least ten years of recent management experience, design build experience preferred, in highway construction and/or major river bridge structures with complex maintenance of traffic challenges. The Construction Manager shall be assigned to the Project full time and will be required to be on site for the duration of the Project.

DBE/EEO ~~Program Manager~~ Project Plan Coordinator – The DBE/EEO ~~Program Manager~~ Project Plan Coordinator is responsible for ~~instituting~~creating and ~~managing~~coordinating a ~~program that meets or exceeds the goals~~project plan that will be ~~established~~required in the response to the RFP and promote workforce diversity and business opportunities for citizens of Louisville and Southern Indiana. The

DBE/EEO ~~Program Manager~~ Project Plan Coordinator shall be assigned to the Project full time and be available for weekly meetings in the Design-Build Project Office.

Public Involvement Manager – The Public Involvement Manager is responsible for identifying public information issues related to the DBT’s Work, and for formulating and implementing strategies to address those issues. The Public Information Manager shall work with KYTC to maintain public satisfaction with the Downtown Phase Crossing. The Public Information Manager shall be available at the construction office as necessary to respond to the communications needs of the Downtown Phase Crossing of work and shall be readily available by telephone during all business hours with immediate computer and email access. During critical construction activities and emergencies, the Public Information Manager shall be available as necessary. The Public Information Manager shall have at least three (3) years of recent experience coordinating information on public projects, preferably on large highway improvement projects.

Following submittal of the SOQ, Key personnel identified in the SOQ may not at any time be removed, replaced, or added without the written approval of KYTC. KYTC may revoke the short-list status of a DBT if any Key Personnel identified in the SOQ is removed, replaced, or added without the written approval. Requests for removal, replacements, and additions shall be submitted in writing. To qualify for approval, the written request shall document that the proposed replacement or addition will be equal to or better qualified than the Key Personnel submitted in the SOQ. KYTC will use the criteria specified in this RFQ to evaluate all requests.

Additional Personnel may be included in the SOQ and should be shown on Organizational Chart.

2.3.4 Project Understanding and Approach

Describe the DBT’s project understanding and anticipated approach to the project; including but not limited to the following:

1. General approach to the project.
2. Description of how project goals will be met.
3. Description of the major tasks involved with the project.
4. General schedule.
5. Potential risks and methods of addressing.
6. Areas of opportunity for innovation.
7. Approach to public information/public relations.
8. Approach to achieving high quality design and construction.
9. Approach to meeting environmental commitments.
10. Approach to ensuring safety of the travelling public and construction personnel.



2.3.5 Project References

One summary is to be completed for each reference project described in “Experience”. Each summary is limited to a maximum of two pages. A maximum of 8 reference projects can be described for each DBT. The project description should include;

1. Client details including contact information for references;
2. Contract Value and % of work completed by firm;
3. Planned completion date and actual completion date;
4. Amount of claims and if there was any litigation.

2.3.6 DBE/EEO ~~Program for the Team~~Project Plan Experience

Describe your ~~plan to meet~~team’s experience meeting or exceeding the DBE/EEO goal for ~~the Project as described in Section 1.3.5~~past projects of similar size and complexity. Also describe your ~~plan to promote~~team’s experience promoting workforce diversity and opportunities for citizens on past projects of Louisville similar size and Southern Indiana complexity. Include Form DBE “Record of DBE Performance” in the SOQ Appendix A. A copy of this form is included in RFQ Appendix A.

2.3.7 Resumes of Key Personnel

Resumes for the seven identified Key Personnel are to be included. Each resume is limited to 2 pages and shall include at a minimum, education, total years of relevant experience, years with current employer, licenses, availability, and two (2) references by providing a contact name and phone number. ~~The references should be owner contacts representing the referenced projects included under “Experience”.~~ KYTC reserves the right to contact references identified in the resumes. Resumes may be included for additional personnel shown on the Organizational Chart up to the maximum number of pages detailed in the table in Section 2.3.

2.3.8 Letter of Bonding Ability

Provide letter(s) from a surety or insurance company or companies stating that the DBT is capable of obtaining 100% performance bonds and payment bonds for \$1 billion. In the case of a joint venture, multiple letters may be provided for members who will be jointly and severally liable for the work. Letters indicating “unlimited” bonding capability are not acceptable. The surety or insurance company or companies providing such letter(s) must be licensed as a surety or sureties and qualified to do business in the Commonwealth of Kentucky. They must also be listed in the current edition of US Department of Treasury, Fiscal Service – Circular 570, Companies Holding Certificates of Authority as Acceptable Sureties of Federal Bonds and as Acceptable Reinsuring Companies.

~~2.3.8~~2.3.9 Appendix A (Forms)

Appendix A of the SOQ will include the following forms:

- | | |
|-------------|--------------------------------|
| 1. Form AOR | Acknowledgement of Receipt |
| 2. Form L-1 | DBT’s Organization Information |

- | | |
|-------------|---------------------------------|
| 3. Form L-2 | Major Participant Certification |
| 4. Form DBE | Record of DBE Performance |

Copies of these forms are included in the RFQ Appendix A.

2.3.92.3.10 Addenda

Receipt of Addenda issued prior to submission of the SOQ shall be acknowledged by inserting Form AOR (Acknowledgement of Receipt) as provided in RFQ Appendix A ~~behind the cover letter in the SOQ.~~

2.4 Interview

All DBTs who submit a responsive SOQ will participate in an oral interview. The oral interview will last no more than 90 minutes. Each DBT will be allowed a 30 – 45 minute presentation followed by 30 – 45 minute question and answer session. Presentation shall not be used to fill in missing or incomplete information in the written SOQ. KYTC will ask the DBTs specific questions relative to their SOQ. Follow-up questions from KYTC will be permitted. The oral interview will not be scored separately. The interview is used solely for KYTC to seek clarification of the DBT's SOQ. DBTs will not be permitted to ask questions of KYTC.

Persons with a disability may request a reasonable accommodation such as a sign language interpreter. Request for accommodations must be made one week in advance of the meeting, to allow time to arrange the accommodation.

The following key personnel from each DBT shall attend the oral interview: Project Manager, Design Manager, Structure Design Lead Engineer, Highway Design Lead Engineer, Construction Manager, DBE/EEO ~~Manager~~ Project Plan Coordinator, and Public Information Manager and up to five other individuals.

Members of the KYTC's Selection Scoring Committee will attend each oral interview. Additional subject matter experts may also attend the interviews. Elected officials will not be permitted to attend.

The KYTC intends to conduct all interviews on two (2) consecutive days. KYTC will terminate the interview promptly at the end of the allocated time.

KYTC will audio tape, videotape and/or use a court reporter to document the oral interviews.

All interviews will be held at the Kentucky Transportation Building at 200 Mero Street, Frankfort, KY.

2.5 Rights of the Cabinet

KYTC reserves the right to reject any and all SOQs and/or Technical/Price Proposals.

KYTC reserves the right to request clarification of any submittal. The DBT agrees to respond to the KYTC's requests with the appropriate personnel to answer questions necessary to provide clarification of any areas where the intent or meaning of the submittal is in doubt. Such requests will be for



purposes of clarification only. Changes or modifications to the SOQ, Technical Proposal or Price Proposal will not be permitted.

2.6 SOQ Evaluation process

KYTC will evaluate submitted SOQ's and determine the most highly qualified DBT's. KYTC will short-list three (3) DBT's to participate in the development of the RFP.

2.6.1 Evaluation of Qualifications

Proposed DBT's qualifications will be evaluated based on the following criteria:

TOPIC	Evaluation Criteria	Maximum Points
Design Build Team Project Experience	How well does the DBT demonstrate their design, construction, and management experience?	30
Design Build Team Key Personnel and Organization	How well do the DBT's qualifications, experience and time availability relate to the requirements of the project?	40
Project Understanding and Approach	How well does the DBT demonstrate a preliminary understanding of the design and construction requirements of the project?	30
DBE/EEO Program <u>Project Plan Experience</u>	Does the DBT possess experience in promoting and managing <u>coordinating</u> a DBE program <u>project plan</u> ?	Pass/Fail
<u>Letter of Bonding Ability</u>	<u>Proof of ability to provide required bonding</u>	<u>Pass/Fail</u>
Total		100

2.6.2 Design Build Team Project Experience

The DBT project experience will be evaluated based on information presented as requested in sections 2.3.2 and 2.3.5. KYTC seeks DBT's with experience on urban interstate interchanges and major river structures. The firms that comprise the DBT will be evaluated together on their demonstrated DB experience on projects of similar scope and complexity. DBT Project experience will be evaluated against each of the attributes listed below.

- Projects of similar scope and complexity; and
- Projects delivered with a design-build contract; and
- Projects that involve multiple jurisdictions with potentially different standards, specifications, and procedures.

2.6.3 Design Build Team Key Personnel and Organization

The DBT Key Personnel and organization will be evaluated based on information presented as requested in Section 2.3.3. The Key Personnel will be evaluated as a management team on their demonstrated experience to successfully fulfill management roles and their communication approach to successfully meet the Project goals while managing urban interstate interchanges and major river crossings.

2.6.4 Project Understanding and Approach

The DBT project understanding and approach will be evaluated based on the information presented as requested in Section 2.3.4. The DBT will be evaluated on their understanding of the proposed project and anticipated approach to meet the Project goals. KYTC values demonstrated experience on projects of similar scope and complexity that indicate the DBT's ability to deliver the proposed project on schedule and within budget.

2.6.5 DBE/EEO ~~Program~~Project Plan Experience

KYTC values the DBT's demonstrated experience and ability to promote and ~~manage~~coordinate a DBE/EEO ~~program~~project plan and meet DBE/EEO goals. KYTC desires to promote utilization and training of a diverse work force that closely matches the demographic distribution of minorities in Louisville and Southern Indiana. The DBT's DBE ~~program~~project plan experience will be ~~initially~~ evaluated as either "Pass" or "Fail." A "Fail" rating may be considered a basis for rejecting the SOQ. As explained in Section 2.3.6, the DBT shall describe their experience meeting or exceeding the DBE/EEO goal for past projects. The section should specifically address but not be limited to the following points :

1. Demonstrated having met or exceeded DBE participation goals (consistently) on projects of similar size and complexity.
2. Demonstrated success in collaborating with local resources to establish methodology and best practices to allow for increased participation of small businesses.
3. Automated system of tracking and reporting Good Faith Effort to ensure opportunities are communicated.
4. A DBE/EEO Project Plan Coordinator to administer contractor's DBE sub-contracting plan.

5. Experience coordinating and or facilitating subcontractor training programs including but not limited to project orientation and safety.
6. Demonstrated experience utilizing a broad spectrum of certified firms according to work scopes as well as material suppliers in contracting opportunities.

A DBT will receive a “Pass” if they can demonstrate the above.

2.7 Announcement of the Short List

The KYTC ~~Selection~~Scoring Committee will perform a qualitative assessment of the information provided and make recommendations to the KYTC’s Awards Committee. The ~~selection committee is anticipated to consist of~~Scoring Committee includes the following Cabinet representatives ~~from the following and corresponding~~ areas:

- David Moses, PE State Highway Engineers Office
- Andy Barber, PE LSIORB ~~Project Manager and/or~~ Deputy Project Manager
- Tim Layson, PE Division of Construction
- David Waldner, PE Division of Environmental Analysis
- Robert Farley, PE Division of Highway Design
- Joseph Plunk, PE District 3 Bowling Green, Branch Manager for Project Development
- Kevin Sandefur, PE Division of Structure Design
- Bart Asher, PE Division of Structure Design, Geotechnical Branch
- Keith Damron, PE Division of Planning
- Melvin Bynes Office of Civil Rights and Small Business Development

The ~~selection committee~~Scoring Committee may be assisted by any number of technical subgroups and/or subject matter experts within KYTC, INDOT, FHWA, other involved agencies, and/or contracted by the Cabinet. For each of the rating topics, the ~~selection committee~~Scoring Committee will determine the highest ranked DBT with each rating topic, with the highest ranked DBT receiving the maximum number of points. Lower ranked DBT’s will receive commensurately lower scores based on a relative comparison to the highest ranked DBT. The rankings and scores will be based on the information provided by the DBT and evaluation information obtained from the owners of previous projects performed by the DBT or DBT personnel.



The Cabinet will short list the three (3) highest ranked DBT's.

The KYTC Awards Committee has final authority to determine the best interests of the Cabinet in selection of the short-listed DBTs.

KYTC will notify the short-listed DBTs and place announcement on the Division of Construction Procurement Website; <http://transportation.ky.gov/construction-procurement/Pages/default.aspx> and the Louisville Southern Indiana Ohio River Bridges website;

~~www.kyinbridges.com~~. ~~www.kyinbridges.com~~.



APPENDIX A - FORMS

List of Forms

Form AOR	Acknowledgement of Receipt
Form L-1	DBT Organization Information
Form L-2	Major Participant Certification
Form DBE	Record of DBE Performance



FORM AOR
ACKNOWLEDGMENT OF RECEIPT OF
RFQ, ADDENDA AND RESPONSES TO QUESTIONS

~~(to be attached to SOQ cover letter)~~

NAME OF DBT

We hereby acknowledge receipt of the LSIORB Downtown ~~Phase Crossing~~ RFQ dated March ~~57~~, 2012 and subsequent responses to questions and Addenda issued by KYTC, as listed below.

Add additional lines in tables below, if needed.

Addendum number:	Date issued by Agencies:

Responses to questions number:	Date issued by Agencies:

SIGNED	
DATE	
NAME	
TITLE	



FORM L - 1

DBT'S ORGANIZATION INFORMATION

NAME OF DBT				
Main office and contact details of DBT				
Main office address:		Contact name		
		Title		
		Telephone No.		
		Email		
Local or regional contact details of DBT (if different from above)				
Local/regional office address:		Contact name		
		Title		
		Telephone No.		
		Email		
NAME(S) OF DBT ENTITY(IES) <small>Insert more rows below if needed</small>				
DBT Entity	Name of firm	Address / Telephone / Fax	State of Incorporation	Lead participant % equity share
MAJOR PARTICIPANTS				



NAME OF DBT				
DESIGNERS				
OTHER FIRMS				



FORM L - 2

MAJOR PARTICIPANT CERTIFICATION

A copy of this Form L-2 shall be completed for each Major Participant. With respect to items (A) through (F), the term “firm” includes any Affiliate including parent companies and subsidiary companies.

Add lines to the answer boxes for items A to G if needed.

NAME OF DBT	
NAME OF FIRM	
A) Has the firm ever failed to complete any work it agreed to perform, or had a contract terminated because it was in default? If yes, explain.	
B) Has the firm or any other officer thereof been indicted or convicted of bid (i.e. fraud, bribery, collusion, conspiracy, antitrust, etc.) or other contract related crimes or violations or any other felony or serious misdemeanor related to performance under a contract within the past five years? If yes, explain.	
C) Has the firm ever sought protection under any provision of any bankruptcy act? If yes, explain.	
D) Has the firm ever been disqualified, removed, debarred or suspended from performing work for the federal government or any state or local government, or any foreign governmental entity, including ineligibility to bid or work on, or for a violation of law, violation of a safety regulation, or for any other reason? If yes, explain.	
E) Has the firm ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or other material misrepresentation to a public entity? If yes, explain.	
F) Has the firm that will have primary responsibility for construction ever been fined for violating an environmental regulation? If yes, explain.	



G) List up to five financial institutions with which the firm has done the most business during the past five years and identify the individual at each institution who was in charge of the firm's accounts. State the address, telephone and fax numbers of each named individual.	
Institution 1	
Name of institution	
Contact name	
Address	
Telephone no.	
Fax no.	
Institution 2	
Name of institution	
Contact name	
Address	
Telephone no.	
Fax no.	
Institution 3	
Name of institution	
Contact name	
Address	
Telephone no.	
Fax no.	
Institution 4	
Name of institution	
Contact name	
Address	
Telephone no.	
Fax no.	
Institution 5	
Name of institution	
Contact name	
Address	
Telephone no.	
Fax no.	
This form must be signed below by an officer of the firm:	
Name of Firm:	
Signature (of an officer of the Firm):	
Name of signatory (printed or typed):	
Title of signatory:	
Date:	
DBT:	



FORM DBE

RECORD OF DBE PERFORMANCE

A copy of this Form DBE shall be completed for each Major Participant. The term “firm” includes any Affiliate including parent companies and subsidiary companies.

Form DBE Table 1 RECORD OF DBE PERFORMANCE						
NAME OF DBT						
NAME OF FIRM						
ROLE OF FIRM	Major Participant:		Designer:			
	Other (describe):					
<p>Provide the information requested below for projects completed within<u>over</u> the <u>last 10</u> years 2009, 2010 and 2011 where the firm was the prime contractor or prime consultant. Insert more rows below if needed.</p> <p>For any project where DBE goal was not achieved, use Form DBE Table 2 to provide an explanation, using relevant project name for cross-reference.</p>						
PROJECT NAME	DBE participation goal (%)	DBE participation achieved (%)	Current Owner Contact (Name/ Telephone / Email)			



Form DBE Table 2 EXPLANATION FOR NON-ATTAINMENT OF DBE GOALS	
NAME OF DBT	
NAME OF FIRM	
For any project listed in Form DBE Table 1 for which the DBE goal was not achieved, provide a maximum 1/2 page explanation below. Insert more lines and rows below if needed.	
PROJECT NAME	BRIEF EXPLANATION (maximum 1/2 page per project)

