

Appendix C. Request for Qualifications

Proposal of Qualification Requirements

Introduction

This Request for Qualifications package (RFQ), dated _____, is issued by the Department of Transportation (DOT&PF) to seek a Design-Builder to perform the [Project Name] (the “Project”) in [Location], Alaska. DOT&PF has determined that the use of Design-Build contracting for certain types of highway projects may provide advantages over the normal project delivery methods. The reasons for using the Design-Build contracting method on this project include:

1. There is an opportunity for greater innovation and efficiencies between the designer and the builder than using the Design-Bid-Build method, and;
2. A significant savings in project delivery time could be realized by using Design-Build.

The Design-Builder selected will perform the Project under a Design-Build contract (the “Contract”). The procurement is a two-step process based on DOT&PF’s evaluation of (1) Statement of Qualification (SOQs) in response to this RFQ, and (2) Final Proposals in response to DOT&PF’s Request for Proposals (RFP). Based on an evaluation of SOQs, DOT&PF anticipates selecting between three and five Proposers to submit Final Proposals. (Firms or teams of firms submitting SOQs are referred to as Proposers in this document.)

A draft RFP accompanies this RFQ as Exhibit E. The draft is provided so that:

1. Proposers may understand the scope of the project adequately to prepare the SOQ, and;
2. Proposers may provide comments to DOT&PF to aid in the development of the final RFP.

See Number 2 below for information on how to make comments. DOT&PF reserves the right to make changes to the RFP in its sole discretion.

The Contract is anticipated to be executed in \$\$\$?\$\$\$, and will cover approximately a \$\$\$?\$\$\$ year period. The total current value of the Contract is estimated to be in the range of \$\$\$?\$\$\$ to \$\$\$?\$\$\$.

Submitting Proposals

Sealed submittals must be marked

Statement of Qualifications

[Project Name] Project

and will be received on or before \$\$\$?\$\$\$ p.m. Alaska Time \$\$\$?\$\$\$ at:

Alaska Department of Transportation

\$\$\$?\$\$\$

\$\$\$?\$\$\$

The sealed submittals must include one original SOQ bearing an original signature and seven copies of the SOQ. The Introductory letter of the SOQ must be signed by a representative authorized to bind the Proposer. By submitting the SOQ, each Proposer agrees to be bound by the requirements specified in this RFQ. Faxed submittals and/or late submittals will be not be accepted. Proposers shall submit their SOQs in writing, and must respond to all requirements set forth in this RFQ.

1. Pre-Proposal Conference

A pre-proposal conference is scheduled on \$\$\$?\$\$\$ at \$\$\$?\$\$\$ p.m. to \$\$\$?\$\$\$ p.m. Alaska time, at the \$\$\$?\$\$\$, AK. The purpose of the conference is to answer any questions Proposers may have related to preparation of SOQs or to project scope.

2. Inquiries and Comments

Inquiries and comments relating to any and all aspects of this RFQ and/or RFP must be in writing (email acceptable) and directed to:

ALASKA Department of Transportation

[Project Manager]

\$\$\$?\$\$\$

\$\$\$?\$\$\$

\$\$\$?\$\$\$

FAX \$\$\$?\$\$\$

All inquiries and comments must be received no later than 4:00 pm, \$\$\$?\$\$\$, in order to be answered and/or considered for inclusion in the final RFQ. Answers to substantive questions will be made available to all RFQ recipients via email; and when appropriate, revisions, substitutions, or clarifications will be issued as official addenda. [Project Manager], is the only DOT&PF employee authorized to provide further information on this project during preparation of the Statement of Qualifications. Changes/modifications to the RFQ and/or RFP shall be *only* in the form of written addenda issued by DOT&PF.

Obtaining Requests for Qualifications

Persons with disabilities may request this information be prepared and supplied in alternate forms by calling collect (907) xxx-xxxx,

The ad may be viewed in electronic format at our web site at:

<http://www.dot.state.ak.us>

The RFQ and draft RFP are available in electronic format at our web site at:

<http://www.dot.state.ak.us>

Addenda

DOT&PF reserves the right to revise this RFQ. Such revisions, if any, shall be in the form of written addenda issued by DOT&PF. DOT&PF will provide fax notification that an addenda is being issued and mail or fax the addenda to all known RFQ recipients.

1. Background and Project Description

[Insert a summary of the Project Description, the following are examples]

“This project consists of the design and construction of a grade separation structure for the Thurston Way Intersection with State Route 500 (SR 500) in Vancouver, Washington. The eastbound on ramp and westbound off ramp at the Andresen Rd. Interchange will require modification as well. In addition, the SR 500 mainline will be overlaid with asphalt concrete pavement from Milepost (MP) 3.51 to MP 4.73

The purpose of this project is to improve the safety of the intersection and meet the Highway System Plan Highway Improvement service objective of eliminating major at-grade intersections on multi-lane highways with a speed of 45 mph (80 kph) or higher.”

“The Project consists of the rehabilitation of the Portland cement concrete pavement (PCCP) and asphalt concrete pavement (ACP) in the NB and SB lanes and shoulders of Interstate 5 (SR5) in Bellingham, Washington between Mileposts 252.26 and 255.36.

The purpose of the Project is to improve the pavement structural integrity and surface smoothness of the mainline, shoulders and ramps. Required safety improvements include upgrading the interchange on and off-ramp connections and other minor safety items. “

Refer to the Scope of Work section of the draft RFP for a detailed description of the Project.

2. Required Contents for Proposals of Qualification

Each SOQ will be evaluated based on the following:

Pass/Fail Criteria

Each SOQ must comply with the requirements of this Section. SOQs not meeting all requirements of this section shall be considered non-responsive and may be rejected.

SOQ Format, Style and Length

In order to assure uniformity of the SOQs and to facilitate the evaluation process, all SOQs should be organized and labeled following the outline below:

Introductory Letter

- 1.1 Project Understanding and Approach
- 1.2 Project Team, Key Personnel and Processes
- 1.3 Past Performance
- 1.4 Quality Control Program
- 1.5 Safety Program
- 2.0 Supportive Material, including information required on exhibits:
 - A. Proposer Information
 - B. Financial Information
 - C. Work History
 - D. Related Work Experience

Proposer may use forms supplied with this RFQ, or duplicate format for word processor use.

Writing style should be concise and straightforward. Lengthy narratives containing extraneous information are discouraged. Proposers are encouraged to minimize total page count, however, firms using a type smaller than 12-point for the main text may be considered non-responsive. Proposers may use their discretion for the font size of other materials (e.g. graphics, charts). Foldouts, not exceeding 11x17, are permitted.

Introductory Letter

The SOQ shall include an introductory letter addressed to:

Alaska Department of Transportation

\$\$\$?\$\$\$

\$\$\$?\$\$\$

The letter shall contain the following items:

1. The Proposers expression of interest in being selected for the Project;
2. A statement acknowledging receipt of all RFQ addenda, if any issued;
3. A statement of the commitment of the key personnel identified in the SOQ to the extent required to meet DOT&PF's schedule and quality expectations;
4. A statement that the Proposer will comply with DOT&PF's policy on DBE requirements for the Contract and DOT&PF's non-discrimination policy;
5. A summary of key points regarding the Proposer's qualifications;
6. A statement that the Proposer will comply with all applicable federal, state, and local laws and regulations; and
7. A statement that the Proposer, if selected, can provide the product detailed in the Scope of Work in the time limits established in the Scope of Work, and within the budget established for the Project.

Proposer General Information

Provide the information required on Exhibit A, Proposer Information (attached) for the Proposer, and for each member firm of the Proposer, as applicable. Member firms are defined to be the primary construction partner and primary design partner of the Design-Builder, and do not include other subcontractors or subconsultants.

Financial Information

Complete Exhibit B, Financial Statement, for the Proposer and for each member firm of the Proposer, as applicable. Any Proposer member firms that are financially responsible for the completion of this project or any

part of this project must submit a Financial Statement.

Scored Evaluation Criteria

The SOQ shall address the following items listed below. Point totals possible are listed at each subheading. Points possible for each evaluation criterion follow each criterion.

Project Understanding (300 points)

1. Discuss generally the tasks involved in the Project. Identify special issues or problems that are likely to be encountered. Illustrate clearly and concisely your understanding of the technical and institutional elements that must be addressed by the Proposer to achieve completion of the Project.
2. Discuss your understanding of the traffic control required for the Project and how traffic control will impact the Project schedule. Discuss any major traffic control issues that need to be addressed, and your solution.
3. Outline key community relations issues and how they will be addressed.
4. Provide a general description of key issues that might affect schedule.
5. Explain your understanding of partnering and how it will be implemented for specific tasks and issues on the Project.

Criteria for DOT&PF Evaluation:

- A. Major tasks, potential risk factors, and issues (e.g. safety, traffic staging and control, failure of a team member, partnering, current environmental regulations, DOT&PF Design criteria, etc.) are described along with identifying adequate methods for dealing with them. (200 points)
- B. Key issues affecting schedule are identified and realistic. (100 points)

Proposer Project Team, Key Personnel and Processes (300 points)

1. Describe in detail the organizational structure of the project team. Provide a description of any teaming arrangements, the functions and organizational structure of each team member, including key subconsultants and subcontractors. Specifically identify any team members who will take financial responsibility for the project, and identify any liability limitations.
2. Identify the following key personnel proposed for the Project:
Design-Build Project Manager: Identify the person who (1) will be responsible for ensuring personnel and other resources are made available for the Project; (2) will handle contract administration matters, and; (3) will be ultimately responsible for the quality and timeliness of the Proposer's performance. Identify any other projects that person will be involved with concurrently and time committed to each project. State that person's position and authority within the design-build firm. Discuss previous similar projects for which this person has performed a similar function. Identify that person's experience working with DOT&PF, local agencies and regulatory agencies.

Design Project Manager: Identify the person who will actively manage the design of the Project. Identify any other projects that person will be involved with concurrently and time committed to each project. List similar projects for which this person has performed a comparable function within the last five years. Discuss relevant experience, professional registrations, education and other components of qualifications applicable to the Project. Identify that person's experience working with DOT&PF, local agencies and regulatory agencies.

Construction Project Manager: Identify the person who will actively manage the construction of the Project. Identify any other projects that person will be involved with concurrently and time committed to each project. List similar projects for which this person has performed a comparable function within the last five years. Discuss relevant experience, professional registrations, education and other components of qualifications applicable to the Project. Identify that person's experience working with DOT&PF, local agencies, and regulatory agencies.

Quality System Manager: Identify the person who will actively manage the Quality Control/Quality Assurance program of the Project. Identify any other projects that person will be involved with concurrently

and time committed to each project. List similar projects for which this person has performed a comparable function within the last five years. Discuss relevant experience, professional registrations, education and other qualifications applicable to the Project. (Note - per the DOT&PF requirements for Quality Control, this individual shall be a Professional Engineer licensed by the State of Alaska having a minimum of ten years supervisory experience in roadway or bridge design or ten years supervisory experience in inspection or materials testing on highway transportation construction projects or a combination thereof.) Identify that person's experience working with DOT&PF, local agencies, and regulatory agencies in a similar capacity.

Project Engineer(s) and/or Other Key Personnel: Identify other key members of the Project team including sub-consultants/subcontractors that provide special expertise or will perform key tasks. Describe their anticipated roles. Identify experience working with DOT&PF, local agencies, and regulatory agencies.

3. Describe any equipment or other resources the Proposer has that will enhance their ability to accomplish the Project. Describe any expertise or special capabilities of members of the Proposer's design-build team that are critical to the SOQ.
4. Discuss quantitatively how the Project would impact the current and anticipated workload of the office that will perform this work. Is staffing up necessary? If so, discuss the areas and how it will be accomplished. Describe the Proposer's internal procedures for developing, monitoring, and maintaining Project schedules.
5. Define the methods the Proposer has in place for addressing claims, contract modifications and schedule recovery to maintain the completion date.

Criteria for DOT&PF Evaluation:

- A. The Proposer's organizational chart and organization description clearly delineate the structure and interrelationships between members of the proposing team. There is a clear picture of responsibility and management approach, illustrating the Proposer's ability to deliver the Project on time and within budget. (90 points)
- B. The Proposer's financial statements, staffing, equipment, and other resources demonstrate the ability to carry out the Project as described. (60 points)
- C. Key personnel demonstrate specific relevant experience on design-build projects. (60 points)
- D. Key personnel demonstrate specific relevant experience on similar projects (non Design-Build) (30 points)
- E. Key personnel's relevant experience is at the appropriate level. (30 points)
- F. Key members of the team possess unique qualifications required of the Project. (30 points)

Proposer's Past Performance (200 points)

1. Provide a recent work history on the Work History form attached hereto as Exhibit C, or in similar format. If the Proposer is organized specifically for this project, list the last five projects completed by each of the Proposer's member firms. Include a contact name, current address, telephone number, and fax number.
2. Use the Related Work Experience Information form attached hereto as Exhibit D, or similar format, to discuss recent relevant experience of the Proposer and/or the Proposer member firms. To the extent possible list only projects similar in nature to the Project and that involve team members proposed for the Project. Describe total project costs and the total value of change orders and claims for each project. Describe any permit violations or environmental regulation violations. Include a contact name, current address, telephone number, and fax number for each project listed.
3. Provide examples of projects in which the contractor, design consultant, or project managers have completed their task ahead of schedule and/or below budget. Explain how this was accomplished.
4. Describe your experience developing the information for acquiring the permits required for similar projects and compliance with permit conditions and environmental regulations.

Criteria for DOT&PF Evaluation:

- A. The Proposer and/or Proposer member firms have demonstrated organizational and management capability to

deliver similar projects using design-build contracting. (40 points)

- B. The Proposer member firms have demonstrated organizational and management capability, working individually or as a team, to deliver similar projects, using methods other than design-build. (60 points)
- C. The Proposer and/or Proposer member firms have demonstrated a history of resolving disputes without litigation, termination for cause, or liquidated damages. (40 points)
- D. The Proposer and/or Proposer member firms have demonstrated a history of completing similar projects with little or no cost or schedule growth, including experience with mechanisms to avoid delays and minimize claims. (40 points)
- E. The Proposer and/or Proposer member firms have demonstrated a history of meeting regulatory requirements without permit violations. (20 points)

Quality Control Program (100 points)

- 1. Identify Proposer's (or Proposer's member firms') internal policies and procedures for quality control and quality assurance.
- 2. Describe how the Proposer's internal quality control program would enhance the development of the Project.

Criteria for DOT&PF Evaluation:

- A. The experience levels of the Design and Construction QC/QA managers are sufficient to perform the tasks of overseeing Design and Construction QC/QA. (50 points)
- B. Proposer and/or Proposer member firms demonstrate QC/QA procedures for both design and construction that are proactive in providing a quality project. (50 points)

Safety Program (100 points)

- 1. Provide a brief overview of the Proposer's safety program.
- 2. Describe the past five years safety record on all construction projects. List circumstances and outcome for all citations.
- 3. Submit resume of Proposer's safety officer.

Criteria for DOT&PF Evaluation:

- A. Proposer and/or Proposer member firms have an established and effective safety program. (40 points)
- B. Proposer and/or Proposer member firms have a minimum of lost time accidents. (40 points)
- C. Proposer and/or Proposer member firms safety officer's experience is adequate to manage the safety program for the Project. (20 points)

Supportive Material

In addition to the completed exhibits A, B, C, & D, this section of the SOQ may include organizational charts, capacity charts, graphs, photographs, maps, resumes, references, etc.

3. Proposal Evaluation and Shortlisting

Confidentiality and Security

Critical to the validity of the evaluation and selection process is the absolute necessity for confidentiality. All proposal documents will be stored in a secured (locked) room during non-working hours. Documents will not be accessible to the general public, to Proposers, or to DOT&PF employees not involved in the selection process.

SOQ Evaluation and Shortlist

Upon receipt of the SOQs, DOT&PF will make an initial determination as to whether each SOQ is responsive, using pass/fail criteria established in this RFQ. DOT&PF may exclude from consideration any SOQ that is not responsive to this RFQ. DOT&PF will then assess how well the evaluation criteria were met and score accordingly. At any time during this process, DOT&PF may make a determination that a SOQ is non-responsive. DOT&PF anticipates that it will select between three and five Proposers to send final RFPs and request Final Proposals in response thereto.

All Proposers submitting SOQs will be notified of the results of the shortlist selection process. DOT&PF anticipates this process to take not longer than 30 calendar days from the date set for receipt of SOQs.

4. General Solicitation Information

Disadvantaged Businesses

DOT&PF, in accordance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000a to 2000d-4, and Title 49 of the Code of Federal Regulations, part 21, Nondiscrimination in Federal-assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all Proposers that it will affirmatively insure that in any contract entered into pursuant to this RFQ, disadvantaged business enterprise will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, sex, or national origin in consideration for an award.

Changes in Key Persons

Note that DOT&PF requires that individuals and firms that are discussed in the SOQ will be retained throughout the solicitation and Contract period, in the capacities discussed, unless DOT&PF approves replacement in writing.

Clarifications

DOT&PF may at any time require any additional information or clarification from the Proposer that it may need to understand the Proposer's Project approach or other details of its SOQ.

Proposal Rejection and Cancellation

DOT&PF reserves the right to reject any or all SOQs, waive informalities, and/or cancel the solicitation process in its sole discretion. DOT&PF assumes no obligation of any kind for expenses incurred by any respondent to this solicitation. All submittals become the property of DOT&PF and will not be returned.

Design-Builder Responsibility

The Proposer selected as Design-Builder for this project will be required to assume responsibility for all services outlined in the RFP and finalized in the Contract, whether the Proposer, a representative or subcontractor produces them.

Public Records

This RFQ and one copy of every selected SOQ received in response to it, together with copies of all documents pertaining to the award of a Contract, shall be kept by DOT&PF and made a part of a file or record which shall be open to public inspection following the selection process. Any information in the SOQ that is considered by the Proposer to be proprietary must be marked with the following legend:

“This data is proprietary and shall not be disclosed except in accordance with the Alaska Public Records Act”

The Alaska Public Records Act exempts from disclosure only bona fide trade secrets, and the exemption from disclosure applies “unless the public interest requires disclosure in the particular instance.” Therefore, nondisclosure of documents or any portion of a document submitted as part of a SOQ may depend upon judicial determinations made pursuant to the Public Records Act.

Identifying the SOQ in whole as proprietary is not acceptable. Failure to identify a portion of the SOQ or proposal as proprietary shall be deemed a waiver of any future claim of that information as a trade secret. In the event of litigation concerning the disclosure of any material submitted by the submitting party, DOT&PF's sole involvement will be as a stakeholder retaining the material until otherwise ordered by a court, and the submitting party shall be responsible for otherwise prosecuting or defending any action concerning the disclosure of the materials at its sole expense and risk.

Selection Protest

This Section sets forth the exclusive protest remedies available with respect to this RFQ. Each Proposer, by submitting its SOQ, expressly recognizes the limitation on its rights to protest contained herein, expressly waives all other rights and remedies and agrees that the decision on any protest, as provided herein, shall be final and conclusive unless arbitrary and capricious. These provisions are included in this RFQ expressly in consideration

for such waiver and agreement by the Proposers. Such waiver and agreement by each Proposer are also consideration to each other Proposer for making the same waiver and agreement.

Every Proposer who submits a proposal shall be notified of its selection status. Any Proposer who claims to have been aggrieved by either having its proposal rejected by DOT&PF or by not having been selected to submit a Final Proposal shall have seven calendar days after receiving notification to submit a written protest, including a statement of the grounds, facts, and any legal authority, and all documents and affidavits in support of the protest, to DOT&PF. DOT&PF shall not consider a protest submitted after the deadline established in this section.

Evidentiary statements, if any, shall be submitted under penalty of perjury. The protestant shall have the burden of proving its protest.

DOT&PF shall issue a written decision regarding the protest within 15 calendar days after the filing of protest. If DOT&PF concludes that the entity filing the protest has established a basis for protest, the issue will be submitted to DOT&PF's selection committee to determine whether the Proposers selected to submit Final Proposals should be revised.

If the protest is denied, the protestant may seek judicial review of DOT&PF's decision in Alaska Superior Court within five days of receiving DOT&PF's decision denying the protest. Each party to such review shall bear its own attorney fees, expert witness fees, and other litigation costs.

Foreign Corporations

Foreign corporations must obtain certification of authority to transact business in the State of Alaska, before conducting business in the state. A foreign corporation as a corporation for profit incorporated under a law other than the law of the State of Alaska.

DOT&PF's Right to Use Ideas

DOT&PF reserves the right to use any ideas contained in any SOQ either in connection with the RFP or in connection with the Contract.

5. Exhibit A - Proposer Information

Name of Proposer: _____

Year Established: _____ Federal Tax ID No.: _____

Contact Person for this Project: _____

Contact Telephone No.: _____ Fax No.: _____

Representative authorized to bind the Proposer: _____

Title _____

A. Business Organization (check one):

Corporation. Indicate the State and Year of Incorporation _____
(Complete Sections A-F.)

Partnership (Complete Sections A-F for each member.)

Joint Venture (Complete Sections A-F for each member.)

Other (describe) _____

(Complete Sections A-F for each member.)

B. Business Headquarters Address:

C. Address of Office Performing Work, if different from above:

D. Bonding Capacity:

Total: _____ Available: _____

E. If the entity is a Joint Venture, Partnership, or other form of joint organization, indicate the name, role and amount of financial liability of each member firm in the space below. Provide the information requested in items A through F for each member firm and attach it to the SOQ.

Name of Member Firm	Role	Financial Liability
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F. Is the firm under investigation by any agency of the federal government (e.g. the Justice Department, SEC, Department of Defense, Federal Trade Commission, etc.) or by any agency of a state or foreign government?

Yes

No

If yes, please explain.

Under penalty of perjury, I certify that the foregoing is true and correct, and that I am the firm's Official Representative.

By: _____

Print Name: _____

Title: _____

Date: _____

Exhibit B - Financial Statement

Provide all information requested below, and attach for each member firm a copy of a financial statement as audited or reviewed for its last fiscal year prepared in accordance with the standards of the American Institute of Certified Public Accountants. The statement must be prepared by an independent certified public accountant registered and licensed under the laws of any state. Balance sheets, income statements, a statement of retained earnings, supporting schedules and notes, and the opinion of the independent auditor must accompany the financial statement. A compiled financial statement is not acceptable.

Name of Firm _____

The above firm is:

A parent firm of _____

A subsidiary firm of _____

End of firm's fiscal year:

Month _____ Day _____

Date of year end financial statement:

Month _____ Day _____ Year _____

The firm certifies that its net worth has not substantially changed from the sum shown in the attached financial statement.

By: _____ Title _____

Exhibit C - Work History

Firm Name _____

Check one:

Proposer Construction Firm Design Firm

List the last five projects completed by the Proposer, or if the Proposer is organized specifically for this project, list the last five projects completed by each member firm.

Design-Build
Project Development

Project Name, Location, and Nature of Work	Nature of Your Firm's Responsibility	Project Owner	Name, Telephone, and Current Address of owner's project manager	Cost of your portion of work	Completion Date

Work History (continued)

Firm Name _____

Project Name, Location, and Nature of Work	Nature of Your Firm's Responsibility	Project Owner	Name, Telephone, and Current Address of Owner's Project Manager	Cost of your portion of work	Completion Date

Design-Build
Project Development

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Exhibit D - Related Work Experience Information

Firm Name _____

Check one:

Proposer Construction Firm Design Firm

Provide information on recent relevant experience of the Proposer, or if the Proposer is organized specifically for this project, provide information for projects completed by each member firm. To the extent possible list only projects similar in nature to the Project and that involve team members proposed for the Project. Describe total project costs and the total value of change orders and claims for each project. Describe any permit violations or environmental regulation violations. Include a contact name, current address, telephone number, and fax number for each project listed. Use additional sheets as necessary.

