(Rev. 6/21/2016)

Streamlined
Request for Qualifications
(Electronic Submission Required)

Environmental Engineering

S-0089(406)398
US-89; Farmington to I-84

~~8/25/2016~~9/6/2016
~~Addendum 1~~Addendum 2

Summary Sheet

Project Number:	S-0089(406)398
Location:	US-89; Farmington to I-84
ePM PIN No.:	13821
Requested Services:	Environmental Engineering
Source(s) of Funding:	State
UDOT Contract Administrator:	Phil Ellsworth Contract Administrator Utah Department of Transportation Consultant Services Box 148490 4501 South 2700 West Salt Lake City, Utah 84129-5998 801-957-8681 pellsworth@utah.gov
UDOT Project Management:	Michael Romero Project Manager Utah Department of Transportation Region One

1. **Communications:** Based on revisions to Utah Code 63G-6a-1503(3), UDOT has an official process for communication regarding RFQs after advertisement or posting of RFQs. Consultants may not contact or communicate regarding this RFQ with any member or potential member of a Selection Team except through the following official RFQ communication process.

   Consultants may contact the UDOT Contract Administrator to schedule appointments for project or scope of work discussions with the UDOT Project Manager (and Local Government Project Manager) regarding this project. Consultants may only communicate through these official designated appointments. A date has been designated for appointments for these discussions, see the Selection Schedule below.

   UDOT desires to make the most efficient use of resources for all parties involved with the established communication process. The one-on-one meeting with UDOT should not be viewed as a marketing tool and is not part of the Consultant Selection process. These meetings are intended for Consultants who have not visited with the UDOT PM about project specifics or who have new issues or concerns not previously discussed with the UDOT PM.

   Consultants desiring to meet with the UDOT PM for a formal communication meeting should contact the UDOT Contract Administrator via email to request an appointment PRIOR to the deadline identified in the selection schedule table on Page 4. The UDOT Contract

Administrator will schedule appointments based on the number of firms requesting appointments. Include the name and contact information of the primary individual for your appointment.

Consultants may still contact the UDOT Contract Administrator or other Consultant Services staff with any questions.

2. **Streamlined Statement of Qualifications (SOQ) Deadline:** See the Selection Schedule on Page 4

   Submit one electronic PDF file of the SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*) to Phil Ellsworth by email at CSSOQ@utah.gov prior to 11:00 AM on the submission date found in the Selection Schedule on Page 4. If SOQs are sent to RFQ Selection Team members there will be a two-point deduction. You will receive an email acknowledgment of receipt.

   SOQs will not be accepted after the 11:00 AM deadline

3. **Qualification Based Selection**: This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Consultant cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 24. Refer to Page 7 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 28.

4. **Type of SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, see Page 13.

   If there are any changes affecting the RFQ, notice will be sent out via an e-mail through the Consultant Services update service.

5. **Optional Oral Interviews:** Most RFQ selections will be based on the SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in order to make a selection. **Refer to the Selection Schedule on Page 4 for potential interview date.**

6. **Notice to Proceed:** To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.

7. **Project Completion:** Approximately **12** months from Notice to Proceed.

8. **Forms:** Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site www.udot.utah.gov/go/csforms.

9. **Updates to the UDOT RFQ Boilerplate:** Please note changes in this RFQ in regards to Conflict of Interest, Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, Appendix B *Proposed Key Personnel to Be Used on UDOT Project* requirements. Read and review each section carefully to ensure proposals meet the requirements.

Consultant Selection Schedule

Date	Action
Monday, August 22, 2016	Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website
~~Monday, September 05, 2016~~Monday, September 05, 2016	**Deadline to request a one-on-one discussion meeting**
~~Tuesday, September 06, 2016~~Tuesday, September 06, 2016	**Appointments to discuss the project**
~~Wednesday, September 21, 2016~~Wednesday, September 21, 2016	**SOQs are due electronically by 11:00 AM.**
~~Thursday, September 29, 2016~~Thursday, September 29, 2016	RFQ Selection Team Meeting
~~Thursday, October 06, 2016~~Thursday, October 06, 2016	Consultant Selection Interviews
~~Thursday, October 06, 2016~~Thursday, October 06, 2016	Consultant Selection
~~Monday, October 10, 2016~~Monday, October 10, 2016	Pre-Negotiation Meeting with Selected Consultant

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Acceptance and Completion Criteria

Overview:
UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 20).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 28. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improves the project.

DO NOT include any reference to Consultant costs in the SOQ. Any SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

Project Dates:
Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 4. If a consultant fails to meet these dates the consultant will be considered non-responsive.

Required Percentage of Work for Prime Consultant:
The Consultant must perform work valued at not less than **45%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a Consultant performing the particular type of service requested in Appendix C *Scope of Work*.

Required Completion and Acceptance Criteria:
Progress payments will be made for work in progress. Final invoice payment, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

Applicable Federal and State Regulations:
The Consultant shall conform to all applicable state and federal regulations.

Debarment Certification:
Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:
Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualification:
The Consultant shall be responsible to ensure all personnel proposed under this RFQ are qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard practices.

Prime Consultants cannot propose employees who are employed by another Consultant firm. **If such employees are listed in two SOQs, both Consultants' SOQs will be disqualified and will not be evaluated by the UDOT Selection Team.** This requirement applies to the use of individual employees and not to sub-consultant firms/employees. Sub-consultant firms/employees may be included on more than one proposing team, however individuals may only interview with one team.

The Consultant is expected to complete the form Appendix B *Proposed Key Personnel to Be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the SOQ but will not count as one of the allowed pages.**

UDOT's requirement for listing current or former UDOT employees as key personnel in SOQs is as follows:

- If a firm lists a former UDOT employee on the SOQ who officially left UDOT employment prior to the submission date of the SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, the firm will be disqualified.
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, the firm will be disqualified.
- These requirements apply to prime and sub-consultants.

Required Availability of Key Personnel:
When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* Form, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Change in Project Team During Negotiations:

If after entering negotiations with the first-ranked Consultant, the Consultant is unable to provide the key personnel (prime or sub-consultant) proposed in the SOQ at the levels required for the project, the Consultant will be offered the opportunity to propose a revised Project Team. UDOT will review the revised Project Team to determine if it offers an "equal to or better than" team. If UDOT determines the revised Team is "equal to or better than", negotiations will continue. If UDOT determines the revised Team is not "equal to or better than", negotiations will be discontinued and UDOT will move on to the second-ranked firm.

Required Streamlined SOQ Contents:
The SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Streamlined SOQ Evaluation Procedures:
The RFQ Selection Team will evaluate the SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Conditions of Proposal:
All costs related to the preparation of the SOQ and any related activities such as interviews are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Streamlined SOQs:
SOQs and their content become the property of UDOT and are treated as protected documents and are disposed of according to UDOT policies. UDOT reserves the right to reject all SOQs. The SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. SOQs of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the SOQ will be disclosed and that, unless the Consultant withdraws the SOQ, it will be disclosed. If the Consultant withdraws their SOQ, the Consultant will not be awarded the contract.

Ownership of Documents:
All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of UDOT.

Financial Screening:
UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Consultants are required to have an independent audit by a CPA firm for this RFQ. Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site www.udot.utah.gov/go/csforms. For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Audits:
Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable, and the selected Consultant has adequate accounting practices to ensure accurate tracking of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

Insurance Certificates:
The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Current insurance requirements can be found within the Consultant Services Manual of Instructions from the UDOT website www.udot.utah.gov/go/csmanuals.

Health Reform – Health Insurance Coverage in State Contracts Requirements:
As required by UCA 72-6-107.5, effective March 17, 2016, UDOT will not enter into a contract of $2,000,000 or more with a prime Consultant or $1,000,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining an SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

Subscription to the UDOT Consultant Services Update Service:
UDOT recommends Consultants interested in proposing an SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT Web site www.udot.utah.gov/go/subscriptionlist.

If there are any changes affecting the RFQ, notice will be sent out via an e-mail through the update service.

Consultant and/or Corporate Logos or Branding:
Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. This requirement does not apply to SOQs. For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or ghettrick@utah.gov.

Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers; and
- Information and Display Boards for Public Meetings

Consultants are encouraged to place their company logos or brandings in their SOQs.

Right to Cancel:
UDOT reserves the right to cancel the RFQ at any time when it is in UDOT's best interest. UDOT also reserves the right to accept or reject any and all SOQs submitted in response to the RFQ.

Protests:
All protests with respect to this RFQ must be in writing, and will follow the requirements in Utah Code Sections §63G-6a-1602 et seq. Deliver a copy of any protest to:

Executive Director
Utah Department of Transportation
4501 South 2700 West, 1st Floor
P O Box 141245
Salt Lake City, UT 84114-1245

Any protest not set forth in writing within the time limits specified in §63G-6a-1602 is null and void and will not be considered.

Conflict of Interest:
UDOT expects consultants to act with integrity and professional ethics. When there is a potential conflict of interest, consultants are required to either not submit for the project or disclose the potential conflict to the Consultant Services Manager prior to submitting a proposal. The Consultant Services Manager will coordinate with the UDOT Conflict of Interest Review Team for a determination by UDOT. For additional information, please reference the UDOT Consultant Services Manual of Instruction (MOI). Download the MOI from www.udot.utah.gov/go/csmanuals.

Conflict of Interest Disclosure Statement:
For all Environmental Impact Statement (EIS) and Environmental Assessment (EA) consultant selections, a Conflict of Interest Disclosure Statement will be required from each firm of the project team (prime and all sub-consultants). Consultants will be required to disclose any financial or other interest they may have in the outcome of the environmental document, in accordance with Council on Environmental Quality Regulation, 40 C.F.R. §1506.5(c) (1999). A copy of the signed Disclosure Statement will be included in the contract.

Appendix A

Guidelines for Preparing Streamlined Statement of Qualifications

Introduction:
These guidelines were developed to standardize the preparation of an SOQ by Consultants for engineering services on a UDOT project. Submitting an SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to ensure consistency in format and content in the SOQ prepared by Consultants and submitted to UDOT. Preparing an SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

Electronic Submission:
UDOT's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all SOQ submission to be received solely by electronic means.

Streamlined SOQ Sections:
The SOQ should contain the following sections in the order listed:

One PDF
1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B *Proposed Key Personnel to be Used on UDOT Project*

Streamlined SOQ Evaluation Criteria:
SOQ evaluation criteria are listed below in red.

1. **Cover Page**
The Cover Page is one page. It may be on the Prime Consultant's letterhead and will consist of the following with no additional information:

Cover Page	
Date	
PIN No., Project Name and Description	
Prime Firm	
Prime Firm's Federal ID#	
Sub-consultants (if any)	
Primary Contact	
Primary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Secondary Contact	
Secondary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Acknowledgement	
I understand the acceptance and completion criteria, submittal, financial screening requirements, contract selection types and contract caps. My firm shall comply with all state and federal contracting requirements applicable to the project. I understand UDOT policies, procedures and processes may change during the duration of the project and shall comply with any changes required by UDOT. I have fully and accurately disclosed any debarment, license issues, and/or investigations being performed by any governmental entity. Employees listed on the staffing plan are current bona fide employees of the firm. *As authorized to sign for my organization, I certify the content of this proposal to be true, accurate and all matters fully disclosed as requested in the RFQ/RLOI/RFP. I understand any misrepresentations or failure to disclose matters in the proposal is immediate grounds for disqualification.*	
Signature	
Name	
Title	

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information**. **SOQs will be considered non-responsive and will be disqualified if the Cover Page is not attached to the SOQ; if the Acknowledgement is not included on the Cover Page; and/or if there is additional information included on the Cover Page.**

No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.

2. **Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.

   - Project Team organizational charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms). Identify firms and individuals that will be providing key services on the project (including all technical expertise necessary to perform the Scope of Work identified in Appendix C Scope of Work). **[15% of Project Team points]**

   - Describe the qualifications, experience, and availability of key personnel on your proposed project team. Correlate the qualifications and past experience with the Contract Goals and Scope of Work identified in Appendix C *Scope of Work*. (NOTE: Do not include percentages of availability, as this may be misinterpreted as a reference to cost.) **[70% of Project Team points]**

   - Provide a spreadsheet list of projects **completed** by key team members during the last ten years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms. Note: Columns may be combined in order to meet the font size and margin requirements under Streamlined SOQ Format Requirements on Page 19). **[15% of Project Team points]**

     - Name of Project Manager / Key Team member(s)
     - Year
     - Type of Project
     - Project Name
     - Project Location
     - Project Description
     - Services Performed / Specific Project Role
     - Client
     - Reference Contact and Telephone Number

   A maximum of **__40__** points is available for this section.

3. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.

- Describe your project team firms' capability, experience and unique qualifications to perform the specific type of work identified in Appendix C *Scope of Work.* **[25% of Capability of Consultants points]**
- Describe your project team firms' cost control procedures. **[15% of Capability of Consultants points]**
- Discuss your team's collaboration efforts and how you plan to work together for a successful project. **[25% of Capability of Consultants points]**
- Choose a similar project identified in the Project Team section and discuss in detail what your firm did to make that project a success and explain how any lessons learned and successes will benefit this project. **[35% of Capability of Consultants points]**

A maximum of **__15__** points is available for this section.

4. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts.

   - Describe the course of action proposed to meet the Contract Goals and Scope of Work identified in Appendix C *Scope of Work*. Be realistic, clear and concise. **[35% of Approach to the Project points]**
   - Describe how you will incorporate third party public information into the project team to provide seamless coordination with the project stakeholders **[30% of Approach to the Project points]**
   - Identify a schedule of key project milestones and discuss the rationale behind this schedule. **[15% of Approach to the Project points]**
   - Identify risks, challenges, conflicts and potential mitigation. **[20% of Approach to the Project points]**

   A maximum of **__45__** points is available for this section.

5. **Appendix B *Proposed Key Personnel to be Used on UDOT Project*** – The Consultant is expected to complete the Appendix B *Proposed Key Personnel to be used on UDOT Project* (see example in this RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

   When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

   The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. If additional information is included, the SOQ will be considered non-responsive and will be disqualified by Consultant Services. No evaluation points are assigned to this section.

Streamlined SOQ Format Requirements:
It is very important SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the SOQ.

One-point penalty deductions:

1. **8½ x 11 Size Pages Only** – If there are exceptions to this requirement, they are addressed below in the list of Disqualifications.

2. **One-inch (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.

3. **Font and Spacing Requirement** – The body of the SOQ and the Project Experience Table are required to be written with a 10-point [or greater] standard Arial or Times New Roman font, excluding the Cover Page and Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will also be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point. The font will be checked in the:
   a. Body of the SOQ; and,
   b. Project Experience Table.

4. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.

5. **Page Headers/Footers are required** – May be within the one-inch margins; and must include:
   a. Project Number,
   b. Project Location/Description,
   c. and Current Date.

6. **Related Experience Chart and Project Organization Chart are required** – Sample charts are available on the UDOT web site www.udot.utah.gov/go/csforms.

7. **Appendix B *Proposed Key Personnel to be Used on UDOT Project*** – The completed form is required and will not count towards the page maximum if no additional information is included.

A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum seven-point penalty per SOQ.

Two-point penalty deductions:

8. **Send SOQs to the Contract Administrator –** Send SOQs to the Contract Administrator. Do not send SOQs directly or indirectly to any known or presumed RFQ Selection Team members or other UDOT personnel, see instructions on Page 3.

9. **PDF Submission** – SOQs are required to be submitted in PDF files. Unless specifically addressed in the RFQ, only one PDF will be accepted.

A two-point penalty will be assessed by Consultant Services for <u>each</u> application violation of the above requirement(s) for a maximum four-point penalty per SOQ.

Disqualifications:

10. **Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline. Refer to Page 3 for more information.

11. **Electronic (email) Submission** – Any SOQ not received in the appropriate PDF format via email (containing all of the sections in the order presented in Streamlined SOQ Sections on Page 13).

12. **Cost Discussion** – Any SOQ received with any reference to consultant costs. Consultant cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project. Refer to Page 7 for further details. On the Project Experience Chart, if construction estimates are not applicable, insert "NA", do not include the consultant's contract amounts.

13. **Cover Page** – Any SOQ received without a Cover Page; without the Acknowledgement on the Cover Page; and/or with additional information. No additional back page is allowed. Refer to Page 14 for further details.

14. **Use of employees employed by another consultant** – Any SOQ received using employees currently employed by another consultant or presented as staff on two SOQs for the same advertisement. (This does not apply to a sub-consultant firm competing on one or more project teams.) Refer to Required Key Personnel Qualification on Page 8 for more information.

15. **Use of UDOT staff** – Any SOQ received with current or former UDOT employees as part of the proposed Project Team who were involved in the development of the RFQ. Refer to Required Key Personnel Qualification on Page 8 for more information.

16. **Financial Screening** – Any SOQ received from Consultants who are unable to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 9 for further details.

17. **Four (4) Page Maximum** – Any SOQ received with more than the maximum allowed pages. The Cover Page and Appendix B *Proposed Key Personnel to be Used on UDOT Project* do not count towards the page maximum unless additional information is included.

    A page is defined as a single-sided 8.5" x 11" or 11" x 17" sized page that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

    Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

    There is a limit of up to ONE 11" x 17"

18. **Other** – UDOT reserves the right to disqualify an SOQ when the intent of the RFQ process is violated.

Any SOQs committing violations to the above format requirements will be considered non-responsive and will be disqualified by Consultant Services.

Streamlined RFQ Selection Team:
The RFQ Selection Team members will receive copies of each responsive SOQ submitted. They will review and score the SOQs individually based on the evaluation criteria and submit their scores and comments to the Contract Administrator. The Contract Administrator will tally and compile the scores and comments.

The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the SOQs. Final SOQ score results are the average of voting RFQ Selection Team members' scores.

Most Streamlined RFQ selections will be based on the SOQ scores. However, if the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the Selection Team will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection - Interview Format Worksheet* found on the web site www.udot.utah.gov/go/csforms.

Selection Interviews:
The Streamlined RFQ is intended to reduce the level of effort required to compete for and administrate the selection process. Interviews are anticipated to take place rarely (i.e. in the event the first place ranking is a tied score of two or more firms, or other extenuating circumstances).

If the RFQ Selection Team determines interviews are necessary, examples of project-specific topics may include such issues for discussion as:

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of Project

"Selecting by Consent" Process:
The final selection process during interviews will be performed using the "Selecting by Consent" (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by "consent". Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by

the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site www.udot.utah.gov/go/csforms. See the form for more information regarding this process.

Qualitative Assessment Guidelines:
Throughout the scoring process (for SOQs and interviews) the Selection Team will use the following Qualitative Assessment Guidelines when scoring. These guidelines are used to help ensure consistency in scoring.

Qualitative Assessment Guidelines	
8 – 10	The SOQ is exceptional. The Proposer demonstrates a complete understanding of the subject and qualifications that significantly exceed expectations and the stated requirements of this project. SOQ contains many strengths and few minor weaknesses, if any.
5 – 7	The SOQ is above average. The Proposer demonstrates a strong understanding of the subject and qualifications that exceed expectations and the stated requirements of this project. Weaknesses, if any, are minor. SOQ contains strengths that outweigh the weaknesses.
3 – 4	The SOQ is adequate. The Proposer demonstrates a general understanding of the project and qualifications that meet expectations and the stated requirements of this project. Weaknesses are minor. SOQ contains weaknesses that are offset by the strengths.
1 – 2	The SOQ raises questions about the Proposer's ability to successfully complete the work. The Proposer demonstrates a vague understanding of the project and qualifications containing significant weaknesses/deficiencies regarding expectations and the stated requirements of this project. SOQ contains weaknesses that are not offset by the strengths.
0	The SOQ is unacceptable. The SOQ fails to meet expectations and the stated requirements of this project. Weaknesses and deficiencies are so major and/or extensive that major revision(s) to the SOQ would be required to make it acceptable. SOQ contains many weaknesses and only minor strengths, if any.

Consultant Debriefing:
UDOT has a consultant debriefing process. As part of the SOQ evaluation, RFQ Selection Teams may provide constructive criticism of the SOQs submitted for this project. Debriefing information will be distributed after the execution of the contract resulting from this selection.

Debriefing information consists of scores of the first-ranked firm's proposal/interview and the scores, strengths and weaknesses of the consultant's own proposal/interview.

The strengths identified in the highest-ranked firm's proposal/interview will be available for review in-person at the Consultant Services division, along with the selected firm's proposal, after the contract has been executed.

Consultants are offered the opportunity to meet with the Contract Administrator for a formal debriefing after distribution of the above information.

Summary:
The SOQ should be clear, concise, and it should provide the RFQ Selection Team members with an understanding of the proposed Consultant Team's ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner.

Rev. 9/9/2014

Appendix B

Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Proposed Role on Project	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

- Include all personnel proposed to work on this UDOT project, including sub-consultants. Add additional pages if needed.
- If the Project Team has a change in key personnel during the selection or negotiation process, the Consultant is required to submit notification in writing immediately to the UDOT Project Manager and the Consultant Services Administrator. If the Project Team has a change in **any** personnel after Notice to Proceed on a contract, the Consultant is required to immediately request a modification to the contract or a CMS Alternative Staff transaction. If UDOT does not approve the change, UDOT may request a revision to the proposal, revisit the selection process, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form are available on the UDOT Website www.udot.utah.gov/go/csforms.

Appendix C

Contract Goals

Deliver a clearly written environmental document that describes the transportation needs of the corridor in accordance with UDOT policy and procedures by September 2017.

Project Overview

UDOT intends to prepare a State Environmental Study (SES), Type B, for US-89 MP 397.00 to MP ~~407.00~~406.25. Major project elements include converting the existing at grade intersections into grade separated crossings, identifying interchange locations, and providing additional capacity within the project limits. The environmental document will identify the transportation needs and possible solutions within the study area, and document the potential impacts associated with adequately addressing those needs.

An EIS was completed in 1996 for US-89 between I-15 in Farmington and Harrison Boulevard in Ogden and a Concept Study Report was recently completed for the corridor between Fruit Heights and South Weber. This background information is being provided as part of this RFQ.

Scope of Work

- Conduct a thorough, objective, and technically sound State Environmental Study (SES), Type B, resulting in a context-sensitive transportation solution that
    - addresses the transportation need,
    - is an asset to the community, and
    - is compatible with the natural and built environment.

- Conduct an appropriate level environmental study which includes items relevant to this project and type of study, such as purpose and need, alternatives development, environmental resource analysis, and public involvement.

- Engage all project stakeholders in a pro-active and cooperative manner to provide information, solicit feedback, resolve concerns, and build consensus throughout the process.
    - Key stakeholders include local cities, potentially impacted property owners, resources agencies, the public, and any local and national interest groups.
    - The Department will provide a third-party public involvement team

- Provide comprehensive, accurate, and well-organized documentation of the process, including draft and final documents, technical memos and reports as appropriate, and project file records.

- Provide an appropriate level of design to complete the study with engineering, geometry, survey, and subsurface utilities engineering. This design work will build upon previous work that has been completed along the corridor.

- Provide and maintain a schedule in MS Project showing all relevant activities, sub-activities, and milestones for a timely completion.

UDOT is open to a variety of approaches for completing/implementing each task required for the completion of the environmental document. Each of the tasks will be completed as defined in UDOT's current Environmental Document (EA/EIS) Process. Refer to that document for specific items and documents related to each task. The conclusion of each of the major tasks is associated with a deliverable item.

The Consultant will accomplish all work tasks and will be responsible for preparing, presenting, and publishing the appropriate components of the environmental document. All materials, including but not limited to, documents, databases, GIS layers, etc., will be delivered to UDOT and become the property of UDOT. The Consultant will present project progress and findings to UDOT staff as needed throughout the project.

Consultants are encouraged in their SOQ's to focus on their process to meet the project goals, rather than in-depth discussion of project issues or proposed solutions. **UDOT strongly discourages Consultants from contacting project stakeholders during this SOQ development process.**

All reference measurements shall be reported in English units. The design should be to current UDOT and AASHTO design standards.

All documents pertaining to this project will be considered part of the permanent document control record.

Appendix D

Additional Information

QC/QA Plan Requirements:

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site www.udot.utah.gov/go/qcqa

- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

UDOT Reference Items:

- UDOT CADD use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS.

- UDOT Construction Manual of Instruction is available online at the UDOT Web site www.udot.utah.gov/go/Manuals.

- UDOT Consultant Services Manual of Instruction is available on-line at the UDOT Web site www.udot.utah.gov/go/CSManuals.

- UDOT Drainage Manual of Instruction is available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.

- UDOT Environmental Process Manual of Instruction is available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.

- Other UDOT manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.

- UDOT Project Delivery Networks is available on-line from the UDOT web site at www.udot.utah.gov/go/ProjectManagement.

- UDOT ProjectWise use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS.

- UDOT Reference Material is available on-line from the UDOT Web site at www.udot.utah.gov/go/StandardsReferences.

- UDOT Right of Way Design and Operations Manuals are available on-line from the UDOT Web site at www.udot.utah.gov/go/Manuals.

- UDOT Roadway Design Manual of Instruction is available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals.

- UDOT Standards are available on-line from the UDOT Web site at www.udot.utah.gov/go/2012Standards.

- UDOT 2016 Strategic Direction & Performance Measures are available on-line from the UDOT web site at www.udot.utah.gov/go/StrategicDirection.

- UDOT Structures Design and Detailing Manual and the Bridge Management Manual are available on-line from the UDOT web site at www.udot.utah.gov/go/STRManuals).

- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/HighwaySignPolicy.

- State of Utah Web Standards and Guidelines are available on-line from the web site at http://www.utahta.wikispaces.net/Application+Architecture.

The Brooks Act of1972:
Federal Government Selection of Architects and Engineers

United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works

Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers

§ 1101. Policy (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

§ 1102. Definitions (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].

2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
   A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
   B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
   C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

§ 1103. Selection procedure (Formerly 40 U.S.C. § 543)

a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

§ 1104. Negotiation of contract (Formerly 40 U.S.C. § 544)

a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under section 1103 of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.