

**UTAH DEPARTMENT OF TRANSPORTATION**



**REQUEST FOR QUALIFICATIONS**  
(ELECTRONIC SUBMITTAL IS REQUIRED)

**UDOT CONSULTANT PROJECT  
MANAGEMENT**

(WORK DISCIPLINE WITHIN GENERAL ENGINEERING SERVICES & LOCAL  
GOVERNMENT POOL)

**POOL PERIOD  
JULY 1, 2013 - JUNE 30, 2016**

Revised January 26, 2015

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## RFQ REQUIREMENTS SUMMARY

### Introduction

The Utah Department of Transportation (UDOT) utilizes a variety of avenues to select consultants for design and engineering services related contracts. All consultant solicitation and selection methods through UDOT Consultant Services are qualifications-based (Reference 40 USC 11 Selection of Architects and Engineers (Brooks Act)). Once the decision is made to utilize a Consultant, the UDOT Project Manager, in coordination with UDOT Consultant Services, determines the procurement method. This decision is based on the nature of the project and related factors such as anticipated costs, level of environmental effort, and complexity. The most commonly used selection method is selecting a consultant from the General Engineering Services and Local Government Pool.

### General Engineering Services and Local Government Pool

The General Engineering Services and Local Government Pool (Pool) is a pool of prequalified consultants in various work disciplines. This selection process may be used by the Department to select consultants for small and simple transportation and construction-related service contracts under \$600,000 from start to completion. This RFQ will establish the pool of qualified consultants in the various work disciplines.

### Pool – Direct-Select

UDOT Project Managers and Local Government Project Managers may direct select from the qualified list of consultants in the Pool for contracts up to the small purchase cap of \$150,000. In anticipation of potential modifications, \$120,000 is the maximum contract amount at the request stage of the contracting process for direct-select contracts based on the Independent Cost Estimate (ICE). If UDOT Project Managers and/or Local Government Project Managers anticipate the contract amount will exceed the contract cap of \$150,000, a Request for Pool Letter of Qualifications (RPLOQ) selection method must be used.

### Pool – RPLOQ

For contracts exceeding the limit of a Pool Direct-Select and less than \$600,000, UDOT Project Managers and the Local Government Project Managers will follow the RPLOQ process. In anticipation of potential modifications, \$450,000 is the maximum contract amount at the request stage of the contracting process for RPLOQ Contracts based on the ICE. If UDOT Project Managers and/or Local Government Project Managers anticipate the contract amount will exceed the \$600,000 contract cap, a project-specific request for qualifications selection method must be used.

The RPLOQ process work flow is outlined in the *RPLOQ Consultant Selection Process* and may be downloaded from the Consultant Services Forms website, [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

## Contract Caps

| Recommended Consultant Selection Method   | Independent Cost Estimate (ICE) Amount            |
|---|---|
| Pool – Direct Select  | \$0 - \$120,000<br>(\$150,000 contract cap)       |
| Pool – RPLOQ  | \$120,000 - \$450,000<br>(\$600,000 contract cap) |
| Project-specific Request for Qualification or Request for Letter of Interest<br>(not part of this pool) | Above \$450,000<br>(no contract cap)              |

### UDOT Consultant Project Manager Work Discipline

The Department has created this separate RFQ for the “Project Management” work discipline. Firms may submit Statements of Qualifications for individuals following the guidelines in this RFQ. Individuals will be qualified separately; however, the contract amount of all contracts selected from the qualified list of consultants in this work discipline will accrue against that individual’s firm’s Consultant Pool Period Cumulative Cap of the General Engineering Services and Local Government Pool.

The UDOT Program Manager will select and contract with a Consultant from the “Project Management” work discipline qualified consultant list. The Consultant will then act as the UDOT Consultant Project Manager on multiple predetermined projects.

### Pool Period

The General Engineering Services and Local Government Pool (Pool) period is July 1, 2013 through June 30, 2016.

### Consultant Cumulative Cap

It is the responsibility of all parties (UDOT, Consultants, and Local Governments) to make sure that each project seeking Consultant selection from the Pool meets the Contract Caps of **\$150,000 for Pool Direct-Select** contracts or **\$600,000 for Pool RPLOQ** contracts (cradle to grave) and the Consultant Pool Period Cumulative Cap of **\$2,700,000 for Local Government Projects** and **\$3,750,000 for State Projects**. No exceptions.

### Consultant Cumulative Cap Contingency Formula

A full twenty-five percent reserve of all open non-on-call contracts in the 2013-2016 Pool will be reserved for potential modifications to those contracts in order to not exceed the Consultant Cumulative Cap. A contract will be considered closed in regards to the contingency formula if:

- The final Project Consultant Evaluation Form has been completed and submitted to Consultant Services and the Comptroller’s Office;
- The final invoice has been submitted to and approved by the UDOT Project Manager and submitted to the Comptroller’s Office for payment; and,
- The Comptroller’s Office sends their file either to the Fiscal Audit Division or to Consultant Services.

### SOQ Submission

Consultants interested in being listed as qualified in the Pool may submit Statements of Qualifications (SOQ’s) in response to this RFQ. An SOQ for the “Project Management” work

discipline may be submitted at any time from the initial posting of this RFQ on February 19, 2013 through the first two years of the Pool period.

New Consultant SOQ's will then be evaluated annually by Department technical experts to determine whether the Consultant is qualified.

Any SOQ's received by **11:00 a.m. on April 2<sup>nd</sup>** will be evaluated during the months of April, May and June. If considered qualified, the consultant will be eligible to be selected on July 1<sup>st</sup>, subject to the financial screening process.

#### **Schedule of SOQ Deadlines**

April 2, 2013 at 11:00 a.m.

April 2, 2014 at 11:00 a.m.

April 2, 2015 at 11:00 a.m.

Any SOQ's received late by the Department for an April 2, 2013 11:00 a.m. deadline will not be evaluated by the Department until after the following year's deadline of April 2, 2014. Any SOQ's received late by the Department for an April 2, 2014 11:00 a.m. deadline will not be evaluated by the Department until after the following year's deadline of April 2, 2015.

**No SOQ's will be accepted for the Pool after April 2, 2015, at 11:00 a.m. Any SOQ's received after April 2, 2015 11:00 a.m. will be considered non-responsive and will be disqualified.** The RFQ for the new pool period of July 1, 2016 through June 30, 2019 will be advertised in approximately February 2016 with a new deadline in April 2016.

#### **Requalification Certification Requirement**

Utah Code 63G-6a-403 (Effective 05/01/13). Prequalification of potential vendors Subsection (3)(b)(v) states, "*the period of time during which the list of prequalified potential vendors will remain in effect, which may not be longer than 18 months after the list of prequalified potential vendors is made available to the public under Subsection (8)(b) . . .*" Vendor is defined in Subsection (1)(a)(iii) as "*a contractor, including an architect or an engineer.*"

In order to be consistent with Utah Code, all Consultants qualified in the Pool as of **Saturday, November 1, 2014** will be required to self-certify their Consultant Project Manager is still qualified to provide services.

Consultants are required to submit a *Requalification Certification Form* (RCF) for **each** Consultant Project Manager which is listed as qualified by UDOT in order to maintain their qualified status in the Pool.

#### **RCF Submission Deadline**

**Between November 1, 2014 and Thursday, November 13, 2014 by 11:00 a.m.**

For additional details on the Requalification Certification Requirement, see page 20.

#### **Pool Project Locations**

Various locations statewide

## Sources of Funding

Federal, Local, State or Other

## RFQ Administrator

Gaye Hettrick, Consultant Services Manager

UDOT Consultant Services

Box 148490

Salt Lake City, UT 84119-8490

801-965-4639

[ghettrick@utah.gov](mailto:ghettrick@utah.gov) (email contact for questions)

[GESOQ@utah.gov](mailto:GESOQ@utah.gov) (email contact for submittal of SOQ's)

## Electronic SOQ Submittal Required

- 1) Submit an electronic PDF file of the SOQ by email to Gaye Hettrick, Consultant Services Manager, [GESOQ@utah.gov](mailto:GESOQ@utah.gov).
- 2) If for some reason you are unable to email your submittal, a CD with SOQ files delivered to Consultant Services will be accepted.
- 3) The state email system will not receive any emails with attachments of 25M or greater.
- 4) When the [GESOQ@utah.gov](mailto:GESOQ@utah.gov) email receives emails, an automatic return email will be generated to provide confirmation your email was received.

## Financial Screening

The Department requires Consultants be Financially Screened prior to performing work for UDOT. If a Consultant is selected and has not been financially screened and approved within two weeks after selection, the Consultant will be disqualified 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 the Department encourages Consultants to submit their *Financial Screening Application* at the same time as their Statement of Qualifications or before.

Consultants may obtain the *Financial Screening Application* from the website

[www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). For questions, contact Consultant Services 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.

The Department has a system in place that allows UDOT Project Managers to electronically select consultants from the Pool, the Contract Management System (CMS). This system tracks all contract requests. If you have never been financially screened by Consultant Services your firm is not listed in CMS. Therefore, your admittance into the Pool is contingent on providing a copy of your firm's W-9 and the contact information for your financial representative (Name, Company, Address, Phone, and email) as a minimum so we can input your firm's data. Or, you may submit a full financial screening application. If your firm has never been financially screened, do not attach an application or the W-9 with your pool submission, please submit separately.

## Consultant Services Electronic Notification Subscription Service

Please join the Consultant Services Electronic Notification Subscription Service. **Consultants will only be notified of any updates or changes to this RFQ through this service.** The website for subscribing is [www.udot.utah.gov/go/subscriptionlist](http://www.udot.utah.gov/go/subscriptionlist).

## SOQ REQUIREMENTS SUMMARY

### Preparation of SOQ's

Prepare Statements of Qualifications (SOQs) in accordance with Utah Department of Transportation SOQ Requirements Summary.

### SOQ Submittal for Each Individual Project Manager Proposed

Consultants should submit a separate SOQ for each individual within their firm they wish to qualify in this Pool. This may mean multiple submittals from a single firm. **If one SOQ is submitted with two or more individual project managers proposed, the SOQ will be considered non-responsive and will be disqualified.**

### SOQ Sections

Each SOQ should contain the following sections:

- 1) Pool Cover Page Form;
- 2) Qualifications (Individual);
- 3) Federal-aid Project Experience (Individual);
- 4) Project Management Experience (Individual);
- 5) Qualifications / Experience of Support Team (Firm); and,
- 6) Capability of the Consultant (Firm).

Sections are not required to start at the top of a page. (NOTE: The Cover Page should not be submitted as a separate electronic file from the rest of the SOQ, it should be the first page in the electronic file.)

### Pool Cover Page Form

A Cover Page is required for each SOQ. It may be on the Consultant's letterhead and consist of the following with no additional information.

| <b>POOL COVER PAGE FORM</b><br><b>2013-2016 General Engineering Services and Local Government Pool</b>   |                    |
|--|--------------------|
| <b>Date:</b>   |                    |
| <b>Work Discipline</b>   |                    |
| <b>Work Discipline No.:</b>  | 18                 |
| <b>Work Discipline Title:</b>  | Project Management |
| <b>Subcategory or Subcategories (if applicable):</b>   | N/A                |
| <b>Project Manager Individual Name (for Work Discipline No. 18 Project Management (if applicable)):</b>  |                    |
| <b>Firm</b>  |                    |
| <b>Firm Name:</b>  |                    |
| <b>W-9 Federal ID No.:</b>   |                    |
| <b>Firm Address:</b>   |                    |
| <b>Primary Contact (During Pool Selection Administration Process)</b>  |                    |
| <b>Primary Contact Name:</b>   |                    |
| <b>Email:</b>  |                    |
| <b>Office Phone No.:</b>   |                    |
| <b>Cell Phone No.:</b>   |                    |
| <b>Primary Contact (For Future Contracts)</b>  |                    |
| <b>Primary Contact Name:</b>   |                    |
| <b>Email:</b>  |                    |
| <b>Office Phone No.:</b>   |                    |
| <b>Cell Phone No.:</b>   |                    |
| <b>Acknowledgements</b>  |                    |
| <p><i>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.</i></p> <p><i>As authorized to sign for my organization, I certify the content of this Statement of Qualification to be true, accurate and all matters fully disclosed as requested in the Request for Qualifications. I understand any misrepresentations or failure to disclose matters in the Statement of Qualifications is immediate grounds for disqualification.</i></p> |                    |
| <b>Signature Block</b>   |                    |
| <b>Signature:</b>  |                    |
| <b>Name:</b>   |                    |
| <b>Title:</b>  |                    |



The information is required to be in this exact format with no additional information other than the Consultant's letterhead. **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. The *Pool Cover Page Form – 2013-2016 GE Pool* may be downloaded from the web [www.udot.utah.gov/go/cspooladvertisements](http://www.udot.utah.gov/go/cspooladvertisements) or [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

### **Separate SOQ Submittal Required for Each Individual**

A separate SOQ submittal is required for each individual project manager proposed. However, multiple SOQ's may be attached to one email. **If one SOQ is submitted with two or more individual project managers proposed, the SOQ will be considered non-responsive and will be disqualified.**

### **Electronic File Naming Convention**

Consultants are required to use the electronic file naming convention outlined as follows. The electronic file name of your SOQ file(s) should be named first with the work discipline number (18); second with the firm name; and third with the proposed individual project manager's name. For example, if Acme Corporation is submitting an SOQ for John Smith then the electronic file name of the PDF should be "18 Acme – Smith, John.pdf". Firms should submit a separate electronic file for each individual proposed project manager using this naming convention.

### **SOQ Maximum Number of Pages**

The maximum number of pages for each SOQ is **four (4)** and the maximum length of the Cover Page Form is **one (1)** page for a total of **five (5)** pages.

**Any SOQ exceeding the page-maximum will be considered non-responsive and will be disqualified.**

### **SOQ Page Numbers**

Every page shall be numbered consecutively, 1,2, ... 4. Please make this part of each page as a footer in the lower right hand corner. Do NOT count the Cover Page as page 1.

### **Page Footers**

Page Footers are required on every page bottom right corner and must include the following information:

- 1) Consultant Firm Name;
- 2) Work Discipline No. and Title, "18 Project Management"
- 3) Name of Individual Consultant Project Manager Proposed; and,
- 4) Page number.

### **Margins**

One Inch Margins for all 4 pages (Page Footer information may be inside or outside of this boundary).

### **Color**

Color is allowed.

**Font and Spacing Requirements**

The SOQ is required to be written with a 10 point [or greater] standard Arial or Times New Roman font, including the Cover Page Form. Exceptions will be made for letterhead font, 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 to see what is being presented. The minimum line spacing is 12 point.

**Page Size**

8½ x 11

**Design**

Charts, graphs, pictures, tables are acceptable but will be counted as part of page requirements and meet the above requirements.

**Penalty Points**

The Department reserves the right (through Consultant Services and/or the Selection Review Team) to assess one Penalty Point for each instruction violation in the SOQ Requirements Summary. Our goal is not to penalize any submittal but to help standardize/streamline the Pool Review Process for the Pool Selection Team.

## POOL ACCEPTANCE AND COMPLETION CRITERIA

### **Types of Projects/Contracts**

The Department utilizes the “Project Management” work discipline to supplement in-house project management staff. The Department may contract for management of multiple projects under one contract which may include local government and/or State projects. The Consultant Project Manager will not participate in the selection of other consultants for these projects.

### **Prime Consultant Requirement**

The contract language for a Consultant Project Manager will state the Prime Consultant will perform **100%** of tasks related to the Work Plan.

### **Prime Consultant Pool Dollar Availability**

All contract and modification costs will count towards the Prime Consultant’s Cumulative Pool Dollars.

### **Consultant Selection**

The selecting UDOT Program Manager will make sure that each Consultant selected for a Pool Contract has consultant cumulative dollar availability prior to contacting the Consultant. This is done through the Contract Management System (CMS).

### **Contract and/or Modification Requirements**

The Department requires standard contract and contract modification documentation. Contract modification requests are required to comply with the contract-cap and consultant cumulative-cap limits.

**The Consultant** submits the following items through the Contract Management System (CMS) to the UDOT Program Manager for review and approval:

- 1) Executive Summary
- 2) Detailed Work Plan
- 3) Staffing Plan
- 4) Cost Proposal
- 5) Hours Derivation
- 6) Task Schedule/Deliverable Dates/Project Completion Date
- 7) Certificate of Insurance (annually submitted and maintained on file with Consultant Services)

The **UDOT Program Manager** is required to submit the following documents to Consultant Services through a CMS Pool Contract and/or Modification request before the contract/mod can be generated:

- 1) Scope of Work – Executive Summary
- 2) Independent Cost Estimate (ICE)
- 3) R-709 Form (Required for All State and Federal Projects)
- 4) Update the ePM 505 Screen
- 5) CMS electronic Contract/Modification Approval
- 6) Executed Local Government Federal-Aid Agreement (if applicable)

## Insurance Requirements

The Department requires all Consultants selected for Pool Projects to meet certain insurance requirements. These requirements may change throughout the Pool period according to the need and direction of the Department. It is the responsibility of the Consultant to meet the insurance requirements of the Department. Insurance Waivers may be requested through the Consultant Services Manager in writing who will then submit the request to Risk Management for approval. The current insurance requirements may be found within the *Consultant Services Manual of Instructions* and may be downloaded from [www.udot.utah.gov/go/csmanuals](http://www.udot.utah.gov/go/csmanuals).

## Consultant Personnel/Certification Requirements

If an approved Consultant Project Manager leaves a firm during a contract and:

- The firm **does have** another approved Consultant Project Manager, the firm may submit the proposed change in writing within 10 working days to the UDOT Program Manager for approval. If the Program Manager approves, the Program Manager will forward the change and their approval to UDOT Consultant Services within 10 working days. If the UDOT Program Manager does not approve, they may request a revision of the proposal and/or terminate the contract.
- The firm **does not have** another approved Consultant Project Manager, the contract will be cancelled and possibly initiated with another firm from the qualified pool list.

If an approved Consultant Project Manager leaves a firm during the Pool period and:

- The new firm he/she joins **is** already qualified under this work discipline with other Consultant Project Manager(s), then the new firm with this Consultant Project Manager, **is** eligible for selection for new projects under this work discipline.
- The new firm he/she joins **is not** already qualified under this Pool with other Consultant Project Manager(s), then the new firm with this Consultant Project Manager, **is not** eligible for selection for new projects under this work discipline. The individual with the new firm may submit a new SOQ for the Pool for consideration prior to the next interim submission deadline.

The Consultant guarantees the Department that every individual working for them is qualified through training, experience, and appropriate certification for the tasks they will be assigned for a contract or contract modification. If the Department has determined that non-professional technical people, who may work on projects for the Department, must meet certain certification requirements, it must be reflected in each SOQ that the Consultant has met this requirement.

## Applicable Federal, State, and Local Regulations

It is the responsibility of Consultants to know and understand state and federal contracting and project regulations, rules, policies and procedures. Consultants shall conform to all state and federal requirements.

## Authorization to Begin Work

Consultant Services staff are the only authorized agents to give a Notice to Proceed (NTP). This will come via email and will then be followed up with an official letter. Consultants may request an early Notice to Proceed with the UDOT Program Manager via email if a specific incident arises where UDOT needs to allow work to begin prior to a formal NTP. The UDOT Program Manager is then required to submit this request in writing justifying and supporting the request to the Consultant Services Manager. If an early Notice to Proceed is given, it will come

from Consultant Services in writing with specific limitations and expectations for the Consultant and the UDOT Program Manager.

**NOTE:** Violation of authorization to begin work (Notice to Proceed) may result in non-payment of work performed, termination of an impending contract, or loss of federal funds, if applicable. Consultant billings shall not date prior to contract and/or modification execution date.

### **Former UDOT Employees**

**If a firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, the SOQ will be disqualified.** If a firm lists a former UDOT employee on an SOQ who officially left UDOT employment prior to the date of submittal of the SOQ, the firm will not be disqualified.

### **Project Evaluation Requirements**

Consultant Services requires UDOT Program Managers perform at least TWO Project Consultant Evaluations for each contract. Consultants are encouraged to initiate these evaluations if the UDOT Program Manager has not.

### **Debarment Certification**

Federal Regulations require certification by prospective participants (including consultants, 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 on every contract. **Consultants are required to disclose any current (last 2 years) debarment, license issues, and/or investigations information.**

### **Pool Debriefing Opportunities**

Consultant Services will offer Consultant Pool Debriefs by email within 90 days of receiving an email request. Debriefing information will include 1) Discipline Scores and 2) Not Qualified ("0") Score Selection Team Reviewer Comments (see page 19 for details). This may be changed to meet the needs of the Department.

### **Disclosure and Disposition**

Statements of Qualifications of successful Consultants shall be open to public inspection for a period of three years after the Pool selection is made. Once submitted, Statements of Qualifications and their content become the property of Utah Department of Transportation and are treated as privileged documents (this includes scores and comments) and will be handled according to Department Policies.

### **Pre-award Audit**

In the event that a proposing consultant has failed to pay UDOT monies due to the Department for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's Statement of Qualifications. Disqualification will be based on the audit findings, determinations, and recommendations made by the Department's authorized agent.

### **Technology Requirements**

It is the responsibility of the Consultant to know what technology requirements are required when doing business with the State. The Consultant will be responsible for the accuracy of the translated data and therefore, may be required to reimburse the Department for any errors

having a direct cost to the Department. Technical and Standards support will be provided to the consultant through the Department of Technology Services.

## **CONFLICT OF INTEREST FOR CONSULTANTS ACTING AS UDOT PROJECT MANAGERS**

The Department utilizes consultants to act as the UDOT Project Manager to supplement in-house project management staff. The individual acting as a UDOT Project Manager will be referred to in this section as the Consultant UDOT Project Manager (CUPM).

### **Conflict of Interest**

A UDOT Program Manager will determine project(s) for which the Department wishes to outsource the project management services. During negotiations with the Consultant for specific contracts, the Consultant will need to complete and submit a *Conflict-of-Interest and Confidentiality Certification Form* certifying neither the CUPM nor their firm has any financial or other interest in the outcome of any project the CUPM will be managing. The Consultant will need to further certify neither the CUPM nor their firm has any agreement, enforceable promise, or guarantee with any individual or company to provide any work on any project the CUPM will be managing. The Consultant will need to further affirm neither the CUPM nor their firm has any associations or professional or business relationships with anyone who has a financial interest in the outcome of any of the projects, nor does anyone with a financial interest in the outcome of these projects exercise any control over the Consultant's pay, employment, bonuses, or other areas subject to external influence.

Once a Consultant contracts as the CUPM, the CUPM's firm will no longer be eligible for other work on those specific projects the CUPM will be managing; i.e., environmental services, design, construction management engineering, etc.

### **Selection of Other Consultants for CUPM Projects**

When a project managed by a CUPM requires hiring additional consultant services, the CUPM may only have limited involvement in the hiring process. The CUPM may not participate in the consultant selection regardless of whether done through an RFQ or the General Engineering Services and Local Government Pool. The selection process must be performed by the UDOT Program Manager or designee (a UDOT employee). Once a selection has been made, the CUPM may negotiate on behalf of the UDOT Program Manager including negotiating scope, schedule, budget, and other contract terms. The UDOT Program Manager must agree with all negotiations performed by the CUPM before the contract can be finalized and prepared by Consultant Services.

### **Contract Management System (CMS) Access**

The CUPM may have access to the CMS module of ePM in order to perform their duties under the following conditions.

The CUPM will maintain the confidentiality of all information the CUPM may gain access to whether intentional or otherwise and will not disseminate information except as required in performance of their duties as a CUPM.

The consultant's access within CMS will be audited. If a consultant is found to have deliberately or repeatedly accessed data unrelated to the appropriate performance of their assignments or disseminates information inappropriately, all of the CUPM's firm's contracts for project management services will be immediately cancelled. The consultant will no longer be listed as prequalified for the General Engineering Services and Local Government Pool Project Management work discipline with other consequences pursued as needed.

**UDOT Engineering Services Contracts  
Consultants Acting as UDOT Project Manager  
Conflict-of-Interest and Confidentiality Certification Form**

I, \_\_\_\_\_ (Individual) with \_\_\_\_\_ (Firm), have been retained by the Utah Department of Transportation ("UDOT") to perform project management services for the Department.

Neither my firm nor I have:

- Any financial or other interest in the outcome of any project I will be managing.
- Any agreement, enforceable promise, or guarantee to provide any future work on any project I will be managing.
- Associations or professional or business relationships with anyone who has a financial interest in the outcome of any of the projects I will be managing.
- No one with a financial interest in the outcome of projects I will be managing exercises any control over my employment, pay, bonuses, or any other area subject to external influence.

In the performance of my duties I will:

- Represent UDOT in an equitable, ethical, and unbiased manner.
- Disclose potential conflicts-of-interest to the UDOT Program Manager.
- Document and work with UDOT Program Manager, in cases of potential conflicts-of-interest, to work out a course of action to alleviate a potential conflict-of-interest.
- Work under the direction of the UDOT Program Manager.
- Maintain the confidentiality of all related information to which I gain access as a result of my job or assignment, including but not limited to any UDOT written documents, electronic documents, discussions, comments or meetings that are of a sensitive or confidential nature, even from my employer.
- Refer anyone requesting information relevant to confidential information to the appropriate UDOT division.
- Disclose and discuss with the UDOT Program Manager for this contract in the event there are any activities which could interfere with the ethical performance of my duties.
- Not select consultants on behalf of UDOT but may assist the UDOT Program Manager in contract negotiations with other consultants.

I will not:

- Access information unless required to do so for the performance of my assignment.
- Inappropriately disclose any information gained.
- Use my assignment to influence selection of other consultants.
- Allow others access to UDOT systems granted to me as a Consultant UDOT Project Manager.

I understand my access to UDOT systems will be audited and I understand any violation of this Certification will result in termination of all my firm's project management contracts with other consequences pursued as needed.

By: \_\_\_\_\_  
(Individual)

Approved by: \_\_\_\_\_  
[Authorized Consultant Officer (Signature)]

\_\_\_\_\_  
[Authorized Consultant Officer (Print Name)]

\_\_\_\_\_  
[Consulting Firm Name]

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



## INDIVIDUAL PERSON QUALIFICATIONS FOR CONSULTANT

Each consultant should submit a separate Statement of Qualifications for individuals they are proposing as “UDOT Consultant Project Managers”. Interested Consultants are to submit an SOQ summarizing their abilities and strengths.

### EVALUATION/SCORING CRITERIA

The Project Management Work Discipline Selection Team will evaluate and score all Statements of Qualifications in accordance with the criteria and rating scale below. Criteria 1-3 are based on the individual proposed Consultant Project Manager and will be scored on a scale of 1-5. Criteria 4-5 are based on the firm and will be Pass/Fail. (NOTE: It is not required to have headings on separate pages in the SOQ.)

**Rating:**    0 = Not Qualified    1    2    3    4    5 = Excellent

| Heading             | Criteria   | Points Possible | Rating | Multiplier   | Score |
|---------------------|--|-----------------|--------|--------------|-------|
| 1                   | Qualifications (Individual)                        | (40)            |        | X <u>8</u> = |       |
| 2                   | Federal-aid Project Experience (Individual)        | (30)            |        | X <u>6</u> = |       |
| 3                   | Project Management Experience (Individual)         | (30)            |        | X <u>6</u> = |       |
| 4                   | Qualifications / Experience of Support Team (Firm) | Pass/Fail*      |        |              |       |
| 5                   | Capability of the Consultant (Firm)                | Pass/Fail*      |        |              |       |
| <b>Total Points</b> |  | (100)           |        |              |       |

\* **Pass/Fail:** If a Selection Team Member rates a Consultant with a failing score, the Team Member will be required to submit detailed comments on the Evaluation Form. If the Consultant receives a failing score by the Selection Team, the proposed individual in the Statement of Qualifications will not be selected for the work discipline. If the failing score is less than unanimous by the Selection Team, the Selection Team will decide as a Team by “Consent” whether the Consultant receives a passing or failing score. "Consent" is defined as the willingness of all Selection Team members to accept a decision reached by a collaborative process. Comments will be given to the Consultant in their debriefing email.

### **Heading 1 – Qualifications (Individual)**

Submit information about education, facilitation, collaboration, presentation, communication, and other pertinent skills necessary to lead a team.

### **Heading 2 – Federal-aid Project Experience (Individual)**

Present information related to direct experience working on federal-aid projects.

### **Heading 3 – Project Management Experience (Individual)**

Provide information related to direct experience managing teams and projects. This should include experience with contracts, schedules, and risk mitigation.

### **Heading 4 – Qualifications/Experience of Support Team (Firm)**

State Consultant firm experience and availability in supporting Project Manager and project team.

### **Heading 5 – Capability of the Consultant (Firm)**

Provide Consultant firm capabilities such as specific and unique strengths of firm that show leadership and management commitment.

**\* Rating – Qualitative Assessment Guidelines for Reviewers**

Selection Team members will review and score each SOQ according to the criteria. Team members will evaluate and score based on the scoring listed below:

|          |   |
|----------|---|
| <b>5</b> | <p>The Proposer's qualifications are exceptional. The Proposer demonstrates a complete understanding of the subject and qualifications that significantly exceed the stated requirements and objectives of the work. The Proposal communicates an outstanding level of quality.</p>   |
| <b>4</b> | <p>The Proposer's qualifications are above average. The Proposer demonstrates a strong understanding of the subject and qualifications that meet the stated requirements and objectives of the work. The Proposal communicates a high level of quality.</p>   |
| <b>3</b> | <p>The Proposer's qualifications are adequate. The Proposer demonstrates a general understanding of the work and qualifications containing some weaknesses/deficiencies regarding the stated requirements and objectives of this work. The proposal communicates an average level of quality.</p>   |
| <b>2</b> | <p>The Proposer's qualifications raise questions about the Proposer's ability to successfully complete the work. The Proposer demonstrates a vague understanding of the work and qualifications containing significant weaknesses/deficiencies regarding the stated requirements and objectives of this work. The Proposal communicates a below-average level of quality.</p> |
| <b>1</b> | <p>The Proposer's qualifications do not indicate the likelihood that the work will be completed successfully. The Proposer demonstrates insufficient understanding of the subject and qualifications that fail to meet the stated requirements and objectives of this work. The Proposal communicates a low level of quality.</p>   |
| <b>0</b> | <p>Not Qualified.</p> <p>NOTE: If a Selection Team Reviewer rates a Consultant with a zero, the Reviewer will be required to submit detailed comments on the Consultant's Individual Scoring Form. Comments will be given to the Consultant in their debriefing email.</p>  |

## REQUALIFICATION CERTIFICATION REQUIREMENT

Utah Code 63G-6a-403 (Effective 05/01/13). Prequalification of potential vendors Subsection (3)(b)(v) states, “*the period of time during which the list of prequalified potential vendors will remain in effect, which may not be longer than 18 months after the list of prequalified potential vendors is made available to the public under Subsection (8)(b) . . .*” Vendor is defined in Subsection (1)(a)(iii) as “*a contractor, including an architect or an engineer.*”

In order to be consistent with Utah Code, all Consultants qualified in the Pool as of **Saturday, November 1, 2014** will be required to self-certify their Consultant Project Manager is still qualified to provide services.

Consultants are required to submit a *Requalification Certification Form* (RCF) for **each** Consultant Project Manager which is listed as qualified by UDOT in order to maintain their qualified status in the Pool.

### **RCF Submission Deadline**

**Between November 1, 2014 and Thursday, November 13, 2014 by 11:00 a.m.**

Consultants may submit RCFs any time starting on Saturday, November 1, 2014 until Thursday, November 13, 2014 by 11:00 a.m.

**Any Consultant with a Consultant Project Manager listed as qualified in the Pool who does not submit an RCF within the window provided and by the deadline will no longer be considered qualified in the Pool effective January 1, 2015.**

If a firm misses the RCF deadline, they may submit a new SOQ for the next SOQ submission deadline of April 2, 2015 by 11:00 a.m. for consideration.

### **Separate RCF Submittal Required for Each Consultant Project Manager**

A separate RCF submittal is required for **EACH** Consultant Project Manager for which your firm is listed as qualified by UDOT in order to maintain your firm’s Consultant Project Manager’s qualified status in the Pool. However, multiple RCF electronic files may be attached to one email.

### **Electronic File Naming Convention**

Consultants are required to use the electronic file naming convention outlined as follows. The electronic file name of your RCF file will be named first with “RCF”, then the firm name, then the Consultant Project Manager’s name. For example, if Acme Corporation is submitting an RCF for John Doe, then the electronic file name of the PDF will be “RCF Acme Corporation – Doe, John.pdf”. Firms will submit a separate electronic file for Consultant Project Manager using this naming convention.

### **Electronic Requalification Certification Submission Required**

- 1) Submit an electronic PDF file of each RCF by email to Gaye Hettrick, Consultant Services Manager, [GESOQ@utah.gov](mailto:GESOQ@utah.gov).
- 2) If for some reason you are unable to email your submittal, a CD with RCF files delivered to Consultant Services will be accepted.

- 3) The state email system will not receive any emails with attachments of 25M or greater or zip files.
- 4) When the [GESOQ@utah.gov](mailto:GESOQ@utah.gov) email receives emails, an automatic return email will be generated to provide confirmation your email was received if you have the word "pool" in the subject line somewhere.

**Requalification Certification Form (RCF)**

A RCF is required for each Consultant Project Manager. It must be on the Consultant's letterhead and consist of the following with no additional information.

| <b>REQUALIFICATION CERTIFICATION FORM</b><br><b>2013-2016 General Engineering Services and Local Government Pool</b><br><b>Project Management Work Discipline</b>  |                    |
|--|--------------------|
| <b>Date:</b>   |                    |
| Work Discipline  |                    |
| <b>Work Discipline No.:</b>  | 18                 |
| <b>Work Discipline Title:</b>  | Project Management |
| <b>Project Manager Individual Name<br/>(for Work Discipline No.<br/>18 Project Management<br/>(if applicable)):</b>  |                    |
| Firm   |                    |
| <b>Firm Name:</b>  |                    |
| <b>W-9 Federal ID No.:</b>   |                    |
| <b>Firm Address:</b>   |                    |
| Primary Contact  |                    |
| <b>Primary Contact Name:</b>   |                    |
| <b>Email:</b>  |                    |
| <b>Office Phone No.:</b>   |                    |
| <b>Cell Phone No.:</b>   |                    |
| Requalification Certification  |                    |
| <p>I certify the individual listed is qualified under the requirements of this pool and has maintained the skills necessary to provide Consultant Project Management services. In addition, I certify the individual has:</p> <ul style="list-style-type: none"> <li>• Specific and unique strengths showing leadership, management, work quality, commitment, collaboration, and communication capabilities.</li> <li>• Specific past experience related to education, expertise, leadership, management, past projects, and ability to collaborate and communicate.</li> </ul> |                    |
| Signature Block  |                    |
| <b>Signature:</b>  |                    |
| <b>Name:</b>   |                    |
| <b>Title:</b>  |                    |

The information is required to be in this exact format with no additional information other than the Consultant's letterhead. **If there is any other information provided in the RCF, the RCF will be considered non-responsive and will be disqualified.** The *Requalification Certification Form (RCF) – GE Pool – Project Management* may be downloaded from the website [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

## **SCOPE OF WORK (DESCRIPTIONS/CERTIFICATIONS/OTHER REQUIREMENTS)**

In an effort to assist UDOT and Local Governments to expedite their projects, UDOT requests proposals from qualified firms for a Consultant Project Manager. The Consultant Project Manager will act as the UDOT Project Manager and provide project management services for both UDOT and Local Government projects.

### **General**

Project assignments will be made by the UDOT Region Program Manager or UDOT Portfolio Manager. The Region Program or UDOT Portfolio Manager provides the Consultant Project Manager with UDOT concept reports, Local Government project applications and any supplemental project-specific documents available for each project assigned.

The Consultant Project Manager performs an initial review of all assigned projects to help identify any fatal flaws with respect to scope, schedules and budgets.

The Consultant Project Manager leads project design teams by following the Utah Department of Transportation Project Delivery Network (PDN) for both Local Government and UDOT projects and the UDOT Project Managers Guide. The PDN and UDOT Project Managers Guide may be found at [www.udot.utah.gov/go/projectmanagement](http://www.udot.utah.gov/go/projectmanagement).

### **Local Government Projects**

For projects sponsored by a Local Government, the Consultant Project Manager follows the UDOT Local Government Guide and ensures the Local Governments are following the guide. The guide may be found at [www.udot.utah.gov/go/manuals](http://www.udot.utah.gov/go/manuals). The Consultant Project Manager is responsible to contact the local government contact listed in the project application within two days of the project assignment to begin work.

The Consultant Project Manager coordinates with UDOT's Local Government and Right-of-Way managers, the regional Program Manager, along with other regional technical experts (i.e. the Preconstruction Engineer, Environmental Coordinator, and Utility Coordinator) as necessary to capture their review comments of the sponsors' application concept. If fatal flaws are identified, notify the Local Government contact, MPO and Region Program Manager.

### **Federal-aid Agreements**

Assist Local Agencies to develop, prepare and coordinate their Federal-aid Agreements. This includes scheduling, coordinating and attending meetings. Facilitate the processing of the agreement through both the Local Agency and UDOT.

### **Consultant Contracts**

Assist Local Agencies to develop, negotiate and submit their preliminary engineering and construction engineering contract information to Consultant Services. This includes scheduling,

coordinating and attending meetings, preparing independent cost estimates, R-709's, and request and approval memos. It also includes facilitating the processing of agreements through both the Local Agencies and UDOT. This will also include assisting the Local Government to close the contracts and perform consultant evaluations in coordination with the Program Manager.

### **Assist Design and Advertising Process**

Assist the Local Governments and their respective consultants to prepare environmental documents, project design criteria, plans, specifications, and estimates for project advertisement. Ensure that the design teams perform their quality reviews and the Region estimate review processes prior to submitting for advertisement. Schedule, facilitate and coordinate project-related meetings.

### **Project Scheduling**

Assist the Local Governments to identify and update their project schedules. The Department uses MS Project Scheduling. The Project Manager should have a good understanding of schedules and critical path. Ensure consultants are keeping contract related schedules in MS Project Scheduling. Help local agencies and consultants to identify schedule dilemmas and implement schedule solutions. Meet with project consultants and Local Agencies on a regular basis to review their project schedules.

### **Project Scoping & Funding**

Assist the Local Governments to identify and resolve scoping and funding issues. Assist the Local Agencies to obtain signatures and process consultant pay requests. Meet with consultants and Local Agencies on a regular basis to review project scope and funding. Assist the consultants and Local Agencies to identify and implement project-related scoping and funding solutions.

### **ePM Business System Set-up and Updates**

Setup and manage project schedule in the Department's MS Project Scheduling system. In coordination with Program Manager, review and/or complete ePM screens 505 and 510, "Cost Estimate" and "Target Completion Dates." Update and maintain ePM status and data quality.

### **Risk Management**

Assist the Local Governments to identify and resolve scoping and funding issues using risk management practices. Use the proper method of identifying risks and opportunities and assist the local entities understand them and move to a solution to resolve them, mitigate them or decide who should take those risks on.

### **Other Activities**

Assist with project-related activities as directed by the UDOT Region Program Manager.

### **Project Management Billings**

Prepare monthly standard UDOT invoices and Time Allocation to Projects Reports.



## **UDOT Projects**

### **Consultant Contracts**

Work with consulting firms to develop, negotiate and submit preliminary engineering and construction engineering contract information to Consultant Services. This includes scheduling, coordinating and attending meetings, preparing an independent cost estimate, R-709's, and request/approval memos. This will also include closing the contracts and performing consultant evaluations in coordination with the Program Manager.

### **Design and Advertising Process**

Lead project teams to prepare environmental documents, project design criteria reports, plans, specifications, and estimates for project advertisement. Ensure that the design teams perform their quality reviews and the Region estimate review processes prior to submitting for advertisement. Schedule, facilitate and coordinate project-related meetings.

### **Project Scheduling**

Coordinate with consultants and project teams to keep contract-related schedules. The Department uses MS Project Scheduling to develop project schedules. Ensure consultants are keeping contract related schedules in MS Project Scheduling. Coordinate with project team members on a regular basis to review and approve project schedules. Meet with consultants on a regular basis to review their project schedules, identifying any schedule dilemmas and implementing schedule solutions.

### **Project Scoping & Funding**

Lead project teams to identify and resolve scoping and funding issues. Review and approve consultant pay requests. Meet with project teams on a regular basis to review project scope and funding. Assist project teams to identify and implement project-related scoping and funding solutions.

### **ePM Business System Set-up and Updates**

Setup and manage project schedule in the Department's MS Project Scheduling system. In coordination with Program Manager, review and/or complete ePM screens 505 and 510, "Cost Estimate" and "Target Completion Dates." Update and maintain ePM status and data quality.

### **Risk Management**

Identify and resolve scoping, funding, and schedule issues using risk management practices. Ensure these risks are tracked in appropriately. Guide the project team in using the proper method of identifying risks and opportunities and assist them to understand and move to resolve, mitigate or assign those risks to the appropriate area.

### **Other Activities**

Assist with project-related activities as directed by the UDOT Region Program Manager.

### **Project Management Billings**

Prepare monthly standard UDOT invoices and Time Allocation to Projects Reports.