January 30, 2020
Resurfacing, Bridge Rehabilitation And Safety Improvements On I-691 In Town Of Cheshire, Town Of Middlefield, Town Of Southington And City Of Meriden
State Project No. 0079-0244

ADDENDUM No. 2

SUMMARY OF CHANGES

The following is a summary of the changes made to the Request for Qualifications (RFQ) and associated forms. The revised RFQ and forms reflecting these changes are attached.

Section 1.1.1 Project Overview – This section was updated to clarify the Environmental aspects of the Project.

Section 3.2.2 Key Personnel – This section was updated to revise the preferred special experience for the Construction Quality Control Manager.

Section 3.2.2 Key Personnel – This section was updated to revise the requirements for the Environmental Manager.

Form SOQ-C255– This form has been updated to: increase the allowed timeframe for previous experience from 5 years to 10 years (section F), and to clearly indicate the requirement to print and sign the form.*

Form SOQ-D255– This form has been updated to: increase the allowed timeframe for previous experience from 5 years to 10 years (section F).*

ACKNOWLEDGEMENTS

***A revision date has been added to the submission forms. The Proposer must utilize the latest form for their submission. The revision date associated with changes made to the forms by Addendum 2 is 01/15/2020.**

There will be no changes to the submission deadline dates due to these changes. The foregoing changes are hereby made part of the RFQ and revise the corresponding sections of the RFQ as noted.

January 13, 2020
Resurfacing, Bridge Rehabilitation And Safety Improvements On I-691 In Town Of Cheshire, Town Of Middlefield, Town Of Southington And City Of Meriden
State Project No. 0079-0244

ADDENDUM No.1

SUMMARY OF CHANGES

The following is a summary of the changes made to the Request for Qualifications (RFQ). The revised RFQ reflecting these changes is attached.

Section 1.4 Small Business Enterprise (SBE) Set-Aside – This section was updated to revise the SBE set-aside value, from 25% to 15%.

Section 3.2.1 Submission Documents – This section was updated to clarify the requirements for submission documents.

RFQ Appendix B.01 Instructions for SOQ Forms: C255 & D255 – This document was updated to clarify the instructions for submitting the SOQ forms.

ACKNOWLEDGEMENTS

There will be no changes to the submission deadline dates due to these changes.
The foregoing changes are hereby made part of the RFQ and revise the corresponding sections of the RFQ as noted.

RESURFACING, BRIDGE REHABILITATION AND SAFETY IMPROVEMENTS ON I-691

TOWN OF CHESHIRE,
TOWN OF MIDDLEFIELD,
TOWN OF SOUTHINGTON AND CITY OF MERIDEN,
CONNECTICUT

Project No. 0079-0244

DESIGN-BUILD PROCUREMENT
REQUEST FOR STATEMENT OF QUALIFICATIONS

January 02, 2020
Addendum 1 – January 13, 2020
Addendum 2 – January 30, 2020

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Section 1 General

The Connecticut Department of Transportation (CTDOT) invites responses from Proposers to design and construct Road Resurfacing, Bridge Rehabilitation, and Safety Improvements on I-691 in the Towns of Cheshire, Middlefield, Southington and City of Meriden, as further described in Section 1.1 below.

The Best Value Design-Build Procurement Process (BVDB) is being used for the Project. This BVDB Procurement is authorized under Connecticut General Statue Sections 13a-95b "Designation of projects using construction-manager-at-risk or design-build contracts", and 13a-95c"Commissioner's duties re construction-manager-at-risk and design-build contracts. Use of CTDOT employees and consultants".

The following are common terms used in this document:

Best Value Design-Build (BVDB): A two-phase selection process in which the first phase consists of creating a Short List of qualified Proposers. The second phase consists of the submission of Technical and Price Proposals in response to a Request for Proposal (RFP).

Contract: The agreement covering the performance of the work and the furnishing of materials required for the design and construction of the Project. The Contract shall include: the signature sheet, addenda, special provisions, required federal and state provisions, supplemental specifications, labor and wage schedules and other related material, preliminary plans, Contract Technical Provisions as amended, all exhibits, appendices, reference documents, amendments to the foregoing, all change orders issued, Contract General Provisions, and the final Proposal accepted by CTDOT. Capitalized terms appearing in the Contract and not otherwise defined shall have the meanings ascribed to them in Contract General Provisions, the final technical Proposal, and any other documents by which the Contractor makes commitments to CTDOT in the course of the procurement phase of the Design-Build process.

Contractor: Following the award of the Contract between the Connecticut Department of Transportation and a second party, it shall be taken such that when the word is capitalized, it refers to the party of the second part to the Contract, acting directly or through its agents or employees. Following the award of the Contract when this word is not capitalized, it is to be taken in its more general sense. During the procurement process, whether the word is capitalized or not, it shall be taken in the general sense.

CTDOT: The Connecticut Department of Transportation.

Engineer of Record: The design engineer(s) who is (are) responsible for signing and sealing (certifying) the portion of the Contract plans and related documents for which they are responsible as a professional engineer. The Engineer of Record for each portion of the work must be a professional engineer actively registered in the State of Connecticut and must maintain professional liability insurance as required by the RFQ and later the Contract.

Key Personnel: Any position and named persons that occupy roles important to the successful development and implementation of the Project (see Section 3).

Prime Designer: Design firm responsible for the overall design (100% of the design work) of the Project, including but not limited to: review, coordination, quality control and approval of its self-performed and sub-consultant work product; coordination of all design disciplines for intermediate

and completed Project design; packaging and submission of all design work to the Contractor; attendance at all meetings concerning the Project design; and all other related work. The Prime Designer must self-perform the majority of the design work but may subcontract portions of the work not to exceed 49% of the total, but may not subcontract the coordination, review, approval and submission responsibilities stated in this definition.

Proposal: A set of documents requested by CTDOT in the RFP that describe the Proposer's technical approach for the Project (technical Proposal) as well as the proposed cost of the Project (price Proposal).

Proposer: A Prime Contractor qualified to be involved in the BVDB selection process (prior to Contract award). As specified in the Contract General Provisions (Section 1.08.01), the Prime Contractor must perform a minimum of 50% of the original Contract work.

Proposer's Team: The team identified by the Proposer in its Statement of Qualifications (SOQ) that collectively meet the requirements of the Request for Qualifications (RFQ). Proposer's team must consist of a prime construction Contractor and it's key subcontractors, one of which is a Prime Designer as defined above. Planned subcontractors to the Contractor and planned subconsultants to the Prime Designer may be presented as part of the SOQs (as allowed by the RFQ and SOQ forms).

Request for Information (RFI): A formal request from a Proposer for information related to the Project**.**

Request for Proposal (RFP): A solicitation by CTDOT for Short Listed Proposers to submit a technical Proposal and price Proposal for consideration.

Request for Qualifications (RFQ): The official request by the CTDOT to Proposers for submission of a Statement of Qualifications.

Short List: A group of Proposers that are invited to submit technical Proposals and price Proposals (Step 2 of the BVDB procurement process).

Solicitation Letter: This document constitutes the legal advertisement for the Project. The solicitation letter will not contain all the Project information and requirements for the Proposers. This information is contained in the RFQ document (this document), which supplements this letter. If there is any conflicting information between the letter and this document, the letter will take precedence.

Statement of Qualifications (SOQ): A group of documents described herein that contains information regarding the Proposer's team. As described further in this RFQ package, interested Proposers must submit an SOQ as described herein. Each SOQ submitted must meet the requirements stipulated herein in order for CTDOT to consider the Proposer for the Short List.

1.1. Project Overview and Goals

1.1.1. Project Overview

The majority of this project is located on I-691 in the City of Meriden and the Town of Southington, Project begins at log mile 1.32 (Route 5) and extends to log mile 4.84 (Route 322). Upgrades to traffic signs will extend the entire length of I-691 from log mile 0 to 8.8 and the limited access section of Route 66 from log mile 0 to 1.95.

It is anticipated that the scope of work under this Project will be as outlined below. Aspects of the Project scope are subject to change prior to the issuance of the RFP. Major project elements include, but not limited to the Final Design, Construction, and related work for the following:

- Pavement rehabilitation
- Roadway drainage and cross culvert investigation/repairs
- Minor bridge work
- Guiderail upgrades
- Highway design and construction
- Traffic engineering
- Illumination
- Contractor Quality Control
- Environmental permits

The preliminary concept that has been developed for this Project includes the following:

Pavement Rehabilitation:

The concept consists of the removal of the entire bituminous surface down to the concrete pavement in the travel lanes. The shoulders and climbing lanes consist of flexible pavement, milling depth on this portion of the roadway will match the adjacent travel lane depth. Concrete pavement replacement (full depth for joint and mid-slab crack repairs) and bituminous patching/crack filling is expected after the surface has been milled. Shoulder reconstruction will be required if they are used to handle traffic during stage construction. Overall bituminous elevation is expected to increase due to the proposed overlay thickness. Cross-slope correction using bituminous wedging is expected for normal crown and superelevation sections. Grading adjacent to the roadway will be required to accommodate the new roadway elevation due to the additional pavement and cross-slope correction. Pavement rehabilitation on ramps will require coring to determine the pavement structure. Rehabilitation for composite sections and flexible sections will differ. The following ramps are included:

- Exit 4 EB off-ramp to Route 322
- Exit 4 WB on-ramp from Route 322
- Exit 4 EB on-ramp from Route 322
- Exit 4 WB off-ramp to Route 322
- Exit 5 EB off-ramp to Route 71
- Exit 5 WB on-ramp from Route 71
- Exit 6 WB off-ramp to Lewis Ave
- Exit 7 EB off-ramp to Columbia St
- Exit 7 EB on-ramp from Lewis Ave
- Exit 7 WB on-ramp from Colony St
- Exit 7 WB off-ramp to State Street Extension

- Exit EB on-ramp from Center St
- Exit 8 WB on-ramp from US Route 5
- Exit 8 EB off-ramp to US Route 5
- Exit 8 EB on-ramp from US Route 5
- Exit 8 WB off-ramp to US Route 5

Storm Drainage:

All existing storm drainage pipes, structures and outlets within project limits must ~~to~~ be inspected, evaluated, and rehabilitated or replaced in accordance with the criteria of the Contract Technical Provisions. All pipes that are conveying a mapped watercourse will be addressed by a future project.

Existing metal pipes have been determined to be beyond their service life and require immediate attention. ~~At the minimum i~~ It is the Department's goal to prolong the service life of the metal pipes under the roadway without expanding on the permits that the CTDOT has already identified (which are listed in the Environmental Section of this RFQ), or impacting private property. Further details related to the limits of this work will be provided in the Contract Technical Provisions.

Depending on the proposed methods of drainage rehabilitation/replacement, additional permitting may be required. Work related to preparation of additional permits or permit revisions will be the responsibility of the Contractor.

Bridge Work:

Bridge work consist of design and construction of, milling bituminous, patching of reinforced concrete decks, waterproofing bridge decks, overlay and haunch removal. All work except haunch removal is expected topside and only bridges that carry I-691. Design and Construction of end blocks to accommodate MASH compliant bridge attachments will be required. The following bridges are located within project limits:

Bridge No. 01907: Meriden Waterbury Turnpike (Route 322) over I-691
Bridge No. 01920: Pedestrian Bridge over I-691
Bridge No. 01921: I-691 EB over Notch Rd.
Bridge No. 01922: I-691 WB over Notch Rd.
Bridge No. 01942: I-691 WB over Reservoir Ave.
Bridge No. 01944: I-691 EB over Reservoir Ave.
Bridge No. 01966: Chamberlain Hwy. (CT-71) over I-691
Bridge No. 02069: I-691 WB over Lewis Ave.
Bridge No. 02070: I-691 EB over Lewis Ave.
Bridge No. 02071: I-691 EB Exit 7 over Columbia St. North
Bridge No. 02080: I-691 EB and WB over Colony St.
Bridge No. 02114: I-691 EB and WB over R.R. and State St.
Bridge No. 02160: I-691 EB and WB over Center St.
Bridge No. 02055: I-691 EB and WB over Bunker Ave.
Bridge No. 02125: I-691 EB and WB over Harbor Brook
Bridge No. 02133: I-691 EB and WB over Abandoned R.R.
Bridge No. 02340: I-691 EB over Broad St. (Route 5)
Bridge No. 02341: I-691 WB over Broad St. (Route 5)

Guiderail Upgrades:

Existing guiderail within project limits that does not meet current CTDOT standards needs to be upgraded. All guiderail and/or barrier designs shall meet current CTDOT standards and must follow CTDOT and federal guidelines.

Traffic:

Traffic design elements included in the preliminary concept will detail conceptual signing plans, extruded aluminum sign details, and the limitations of operations. Location plans for the removal and installation of overhead and side mounted extruded aluminum signs will also be provided.

The Contractor will be responsible for developing the following plans to perform necessary work as described in the Technical Provisions:

- Signing plans to show the replacement of existing sheet aluminum signs throughout the Project limits (regulatory, warning, and guide signs).
- Pavement marking plan.
- Cross-sections for each overhead sign support.
- Preparation of Maintenance and Protection of Traffic plans if stage construction/long term lane shifts are proposed.
- Detour plans for short duration (overnight) closures of ramps.

Illumination:

The design for all illumination work within project limits has been completed and included in the preliminary concept. The Contractor will be responsible to verify that the design plans provided do not conflict with any anticipated design elements to be developed and incorporated into their Proposal.

Environmental:

The following were ~~completed~~addressed as part of the preliminary concept, the National Environmental Policy Act (NEPA), Connecticut Environmental Policy Act (CEPA), Section 106, Wildlife Coordination and a Wetland Delineation.

Water Resources Permitting:

~~It is anticipated that the work of preparing t~~ The following permits are anticipated to be completed based on the preliminary concept and shall be completed by the Contractor and submitted for review by the CTDOT Office of Environmental Planning (OEP) before being signed by the Bureau Chief of Policy and Planning:

- Inland Wetlands/Watercourse Permits – General Water Resource Construction Activities (DEEP-LWRD).
- Stormwater Permit – General Water Resource Construction Activities (DEEP-LWRD)
- Self-Verification Form – (SV) (USACE).

If the Contractor revises the Base Technical Concept through their Proposal or final design, additional permitting or additional work related to statutory requirements may be required. The Contractor will be responsible for all work related to any additional permitting or satisfaction of statutory requirements required by the final design, except for the review and approval actions by the CTDOT.

Flood management:

A DEEP Flood Management Certification (FMC) will not be required based on the preliminary concept. If any of the following occur the FMC will need to be revisited:

- If work is needed within the mapped FEMA floodplain ~~at the ends of the I-691 cross culverts that convey the 100-year flood~~.
- If work needs to be done below the I-691 bridge over Bunker Avenue, an attempt should be made to do it in accordance with work allowed under the FM General Authorization (Bunker Ave conveys the 100-year flood).
- If additional pavement thickness is proposed to the westbound off-ramp to Lewis Ave (shown as being within the 100-year flood zone).
- Other changes proposed by a Proposer that cause the FMC to be revisited.

Environmental Compliance:

Handling of controlled material is expected. Investigation into lead and asbestos on existing signs is ongoing. Investigation related to possible contaminated soils is also on going. The results of these investigations will be determined in the preliminary design.

If a Proposal alters the base concept, or the final design necessitates, work related to additional investigations will be the responsibility of the Proposer.

Contractor Quality Control:

The Project has heightened Quality Control requirements. These requirements include Key Personnel, see Section 3.2 for minimum and preferred experience, which must be part of the Proposer's Team. The Key Personnel requirements were established to ensure that the developed quality control procedures meet or exceed the requirements of the Contract.

1.1.2. Project Goals

CTDOT has developed the following goals for this Project. The Proposer should consider these goals when formulating its team and preparing their Statements of Qualifications.

1. Completion of the Project with the longest possible service life at the best value for the Taxpayers of Connecticut within the allotted budget.
2. Completion of the Project with all roadside safety elements upgraded to meet current CTDOT standards.
3. Acquire all required environmental permits through the DB procurement in a timely manner prior to start of construction.
4. Completion of the Project within or ahead of schedule.
5. Adherence to the Project's Contractor Quality Control requirements to reduce CTDOT need for oversight.
6. Minimize the impact of the work on the transportation system, motorists, environment, and the neighboring community.

1.2. Project Information Website

RFQ information including addenda will be available on CTDOT's website via the following link:

http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=64

Additional Project information can be found at CTDOT's Design Build Program website via the following link:

http://www.ct.gov/dot/cwp/view.asp?a=*4453*&q=534602

All Proposers are required to inform themselves fully of the conditions relating to the construction and labor under which the work will be or is now being performed. The Proposer shall employ, as far as possible, such methods and means in completing this work as to not cause interruption or interference with any other Contractor.

1.3. Prequalification Requirements

CTDOT has established prequalification requirements for the construction firms and design firms. The following sections contain specific requirements for the Project.

1.3.1. Prequalification of Designers

The current CTDOT prequalification requirements for consulting engineers are hereby waived for this Project. The Designer or Design team (including Prime Design firm and all sub-consultant designers) shall demonstrate through the response to this solicitation, and response to any further information requested by CTDOT, that they possess the qualifications to complete the design of the Project with a high degree of technical competence.

The Engineer of Record that will be responsible for the certification of the portion(s) of the plans for which they are responsible and shall be a Professional Engineer actively registered in the State of Connecticut. The Prime Design firm shall also have a corporate Professional Engineering registration in the State of Connecticut. The information necessary to demonstrate compliance with the registration requirements shall be included in the submitted documents as described below. If the individuals or firms do not currently have the required registrations, they must obtain the registrations prior to submission of the SOQ.

1.3.2. Prequalification of Construction Contractors

Proposers must be a "Construction Contractor" who is the principal party for the construction of the Project and who is prequalified with CTDOT in the Contractor Prequalification Work No. 7 (Road Construction and Rehabilitation: Limited Access Highway/Freeways) to the scope code indicated below. CTDOT has estimated the Project Scope Code for this Project as Code "M" (see attached Project Scope Code values in Appendix A).

The Construction Contractor must obtain prequalification by the Office of Contracts, in the categories and for the scope code specified above, prior to the "Prequalification Deadline" identified in the procurement schedule.

Construction Contractors, if not prequalified in the Work Category and Project Scope Code identified above with CTDOT must submit a sworn and fully complete Contractor's Prequalification Statement (CON 16) with all necessary information, signatures and notarizations to CTDOT's Office of Contracts at least 30 calendar days prior to the date identified in the procurement schedule for, "Prequalification Deadline" in order to ensure there is adequate time to obtain prequalification. Construction Contractors that are currently prequalified, but not in the work category or to the scope indicated, or for any questions related to contractor prequalification should contact CTDOT's Office of Contracts, contact person, for information. Construction Contractors seeking prequalification specifically for this Project shall include in this submission, a cover letter directed to the Manager of Contracts stating the following: "Prequalification submission for the Design-Build Project No.0079-0244." Construction Contractors should also be aware that the prequalification process will establish their current bid capacity as a Proposer. If the amount of a Proposer's Price Proposal for the Project should exceed their bid capacity, the Proposer will not receive an award of the Contract.

The requirements for obtaining such prequalification and the rules applicable to such prequalification are set forth in detail in CTDOT's Construction Contract Bidding & Award Manual (Bid and Award Manual), which is available on CTDOT's website. Contractors should note that only corporations and not, for instance, sole proprietorships or partnerships or individuals, may become prequalified.

If information that the Office of Contracts obtains in the course of the prequalification process raises serious questions about a Construction Contractor's responsibility, as that term is understood in the context of traditional CTDOT contracting, the Contracts Office will call that fact to the attention of the Commissioner. Typical matters that may call into question a Construction Contractor's responsibility are identified (though not exhaustively) in Section XI (G)(2) of CTDOT's Bid and Award Manual. If, in CTDOT's opinion, a particular Proposer should not be deemed responsible as a potential recipient of the Contract, CTDOT may at any stage of the BVDB selection process in form that Proposer of such.

1.3.3. Joint Ventures

Formation of joint ventures will be allowed for this Project between construction companies to satisfy the requirements of the Proposer. Joint ventures between a design firm and a Construction Contractor will not be allowed.

If a Proposer consists of a joint venture, the lead Contractor must be pre-qualified in the Contractor Category stated above. Each Joint venture partner must be pre-qualified for the scope of the work that the individual company will perform. Joint venture partners who have previously obtained prequalification from the Office of Contracts can combine their individual pre-qualifications to satisfy Project scope requirements.

Additional requirements for bidding (proposing) as joint ventures are set forth in detail in CTDOT's Construction Contract Bidding & Award Manual (Bid and Award Manual), which is available on CTDOT's website. In the event of conflicts between the provisions of this RFQ and the Bid and Award Manual, these provisions shall take precedence.

1.4. Small Business Enterprise (SBE) Set-Aside

Please be advised that the SBE set-aside assigned for this Project is ~~25~~ 15%. This is an aggregate number that pertains to the Contract as a whole (engineering and construction). The Contract set-aside for SBE participation is a percent of the total Contract value. Compliance with this provision may be fulfilled when an approved SBE or any combination of approved SBEs perform work under the Contract in accordance with Contract specifications and the Connecticut General Statutes as revised.

The SOQ shall include information on how the Proposer intends to fulfill the SBE set-aside for the Project. This shall be included in Sections E and I of Form SOQ C255 and/or Sections E and K of form SOQ D255.

CTDOT hereby notifies all Proposers that it will affirmatively ensure that in any Contract entered into pursuant to this advertisement, qualified SBEs will be afforded full opportunity to submit bids in response to this solicitation and that they will not be discriminated against on the grounds of race, color, national origin, sex, sexual orientation, mental retardation or physical disability including but not limited to blindness, in consideration for an award of Contract.

1.5. Insurance Requirements

The Contractor will be required to secure and maintain, at no direct cost to the State, a Professional Liability Insurance policy, with a company authorized to do business in the State of Connecticut, for errors and omissions, in the minimum amount of four million dollars ($4,000,000) per occurrence. The Contractor shall obtain the appropriate, proper and effective endorsement of its Professional Liability Policy to cover the Indemnification clause in this Contract as the same relates to negligent acts, errors or omissions in connection with the Contractor's Project work. The Contractor may obtain, at their election, a policy containing a maximum five hundred thousand dollars ($500,000.00) deductible clause, but if they should obtain a policy containing such a clause, the Contractor shall be liable, as stated above herein, to the extent of the deductible amount. The Contractor shall maintain this Professional Liability Insurance coverage for a period of at least three (3) years from the date of CTDOT's acceptance of the completed Project, subject to the continued commercial availability of such insurance.

It is understood that the above insurance may not include standard liability coverage for pollution or environmental impairment. The Contractor agrees, however, to acquire and maintain pollution and environmental impairment coverage as part of this Professional Liability Insurance, if such insurance is applicable to the Contractor's project work.

Failure of the Contractor to maintain the insurance coverage required by this Contract, subject to the continued commercial availability of such insurance, shall constitute a material breach of the Contract and may result in the Department issuing a suspension of work and/or taking other administrative actions until all insurance coverage required by this Contract is in place, all of which would be deemed due to cause of the Contractor.

The Contractor shall also require subcontractors and any other firm providing professional services related to this Contract to acquire and maintain the same levels of insurance for the same timeframes as required above, by making it a requirement of the subcontracts and other project agreements.

Other insurance requirements, which must be satisfied prior to the award of the Contract will be detailed in the Contract General Provisions.

1.6. State Campaign Contribution Solicitation Limitations

For all State contracts, as defined in CGS § 9-612(g)(l) having a value in a calendar year of $50,000 or more or a combination or series of such agreements or contracts having a value of $100,000 or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's Notice titled "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations"(Notice) advising state contractors of State campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the Notice. The State Elections Enforcement Commission's Notice can be found online at www.ct.gov/SEEC by clicking on the Forms link and then the Contractor Reporting Forms link. The Notice is hereby made a part of this RFQ.

1.7. Affirmative Action, Corporate Registration

Prior to the Contract award, the selected Proposer and firms named as part of their team that are subject to the requirements for an Affirmative Action Plan, will be required to have a CTDOT approved Affirmative Action Plan, as well as current corporate registration with the Secretary of State (partnerships excluded).

1.8. Affidavits / Certifications / Affirmations (OPM Forms)

As a result of Public Act 11-229, the process in which CTDOT will receive Affidavits/Certifications/Ethics Affirmation Forms (OPM Forms), for the purpose of Contract bidding and Contract award, has been revised. The new law greatly simplifies the requirements and allows for the use of electronic forms (PDFs). The following link will guide you to the revised OPM forms:

http://www.ct.gov/opm/cwp/view.asp?a=3006&Q=386312&opmNav_GID=1386

Under the new laws, the OPM Iran Certification Form 7 (FORM 7), the Affirmation of Receipt of State Ethics Laws Summary (OPM Form 6) and the Consulting Agreement Affidavit (OPM Form 5) will only have to be filed once and will be updated only if any information on the form changes. The Gift and Campaign Contribution Certification (OPM Form 1) and Nondiscrimination Certifications (OPM Form C) will be filed once per year, with any updates required upon changes to information. Updates are required within 30 days of any change. The forms are no longer Contract specific, but are required to be filed (uploaded) with CTDOT of Administrative Services (DAS) online system (Biznet), prior to Contract award and/or execution of any Contract.

All Proposers and firms that are members of their team subject to the requirement must upload the applicable/required "Forms" to the DAS online system (Biznet). Please access the link to subscribe to Biznet and download the "Vendor Guide to Uploading Affidavits and Nondiscrimination Forms Online (PDF)".

https://www.biznet.ct.gov/AccountMaint/Login.aspx

Once the "Forms" are on file with the DAS online system (Biznet), the Proposer's and subject team members obligation is complete, until the need for revisions/updates and/or new annual submission as required by the specific Form.

Additional Information is available on CTDOT's website:

http://www.ct.gov/dot/cwp/view.asp?a=2288&Q=490422

The titles of the applicable documents posted on CTDOT's Website are "OPM Forms", and "Contract Affidavits (Additional Oct. 2013)".

1.9. Prevailing Wage Rates

The minimum rates to be paid for labor of the various classifications shall be in accordance with current schedule of wages established by the State Labor Commissioner, including required annual adjustments as provided in the General Statutes of Connecticut and by the United States Secretary of Labor as required by the Davis Bacon and Related Acts. If a conflict exists between the Federal and State wage rates, the higher rate shall govern. The Contract Wage Certification Form is to be submitted to the Labor Commissioner before the award of the Contract.

Prevailing wage rates also apply to the work of any subcontractor or other party that performs work on the Project site. The Contractor shall be responsible for ensuring that each such party meets said requirements.

Section 2 Procurement Process

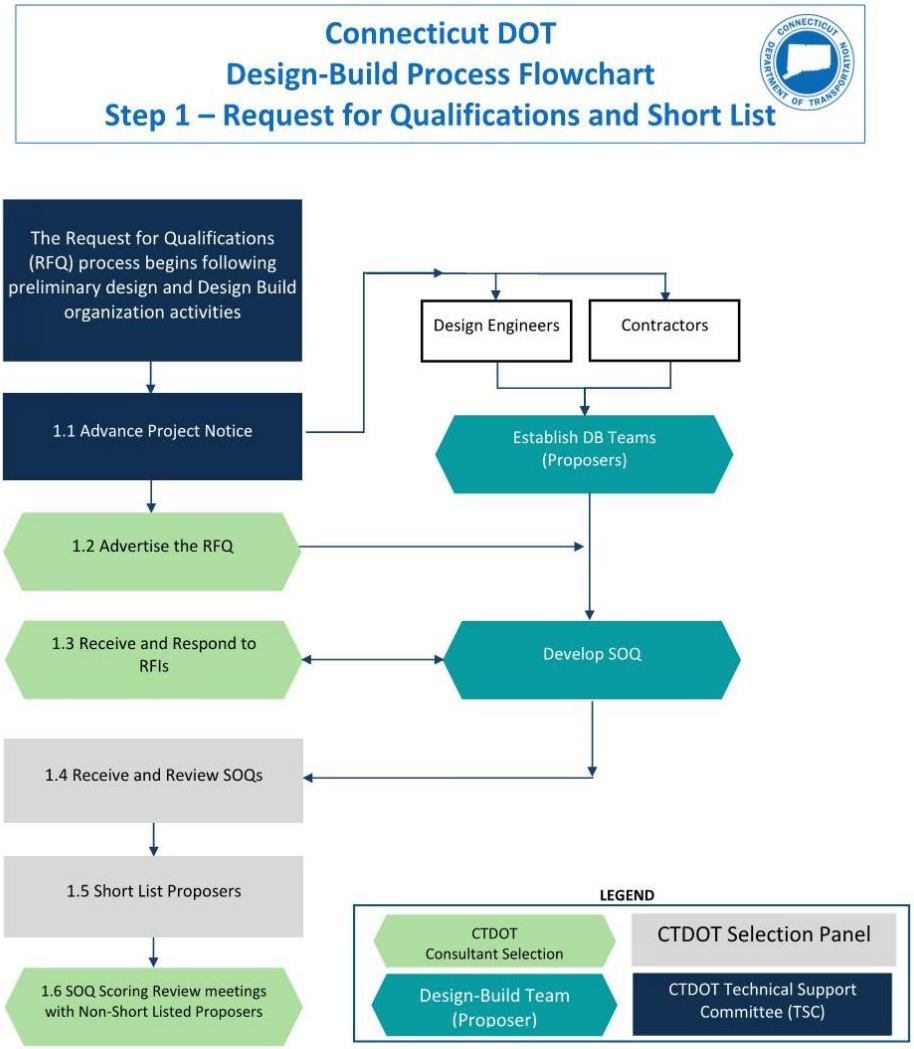
2.1. Selection Process

Through a BVDB two-step process, CTDOT will select the Proposer who provides the best value to CTDOT and the State. This determination will be based on an assessment of a combination of factors including, but not limited to technical approach, Project management, qualifications, quality control, innovation, schedule, operating, and pricing factors that are expected to meet or exceed CTDOT requirements identified in the RFP.

Step 1 of the process involves the solicitation of Statements of Qualifications (SOQs), review of the SOQs by CTDOT, and determination of the Short List of Proposers that will be allowed to participate in Step 2.

Step 2 of the process involves the solicitation of technical Proposals and price Proposals from the Proposers that are selected in Step 1, review of technical Proposals and the determination of the "best value" Proposal.

This RFQ document contains information on Step1 of the procurement process. Below is a flowchart diagram depicting the basic process for determining a Short List of Proposers. A description of the process illustrated by the flowchart follows.



2.1.1. DOT Committees

Two separate committees will be used during Step 1 of the selection process. The following sections contain a description of each committee and the anticipated tasks for each committee.

Selection Panel:
SOQs and the Proposer's Teams will be evaluated by a "Selection Panel" whose purpose will be to establish the Short List of Proposers that will be invited to participate in Step 2 of the BVDB process.

The Selection Panel is responsible for, but not limited to the following tasks:

1. Review Statement of Qualifications (SOQ) from prospective Proposers.

2. Establish a recommendation of the top Proposers for the Commissioner to approve. It is anticipated that the Short List will consist of three Proposers.

Technical Support Committee
A Technical Support Committee will assist the Selection Panel during the RFQ process.

2.2. Schedule of Events

The following table provides the Proposed Schedule of Events for this Project for Step 1 of the process.

Table 1: Schedule of Events – RFQ Process

Event	Date
Advertise RFQ	01/02/2020
Pre-SOQ Briefing	01/22/2020
Final Date to Submit Questions or Clarifications	02/05/2020
Statements of Qualifications Due	02/18/2020
Prequalification Deadline	03/10/2020
Establish Short List and Notify Proposers	03/24/2020

Submission dates listed include the actual date up to close of business (4:00 pm). The basis for this time is Eastern Standard Time as shown on the State of Connecticut, "State Contracting Portal".

2.3. Contact Information

The Contact Person for this procurement is:

Mr. Gregory Straka
Manager of Contracts
Connecticut Department of Transportation
2800 Berlin Turnpike
Newington, CT 06111
dotcontracts@ct.gov

2.4. Pre-SOQ Briefing

A voluntary briefing of interested parties is planned as part of the RFQ process. It will be held at the DOT Headquarters Building in Newington, Connecticut on Wednesday, January 22, 2020 at 2:00pm in Conference Room B at 2800 Berlin Turnpike, Newington, CT. Each Proposer should have a member attend the briefing. Meeting minutes will not be distributed.

Information related to the selection process will be discussed at this briefing, such as:

- Project Status
- Design-build short-list procedure
  - Solicitation
  - Shortlist
  - Scoring criteria
- RFP overview
- Other items

2.5. Submission of Request for Information (RFI)

Unauthorized communications or contact between Proposers, their employees, agents, or other related entities interested in submitting SOQs with CTDOT and any other person or entity participating on the Selection Panel or Technical Support Committee with regard to this Project are strictly prohibited. From the date of issuance of the RFQ, any Proposer or other associate thereof, (as identified in the previous sentence) that initiates or participates in any unauthorized communication directly or indirectly with any member or employee of CTDOT or any member of the Selection Panel or Technical Support Committee in connection with the selection process for the Contract contemplated herein for this Project, is subject to disqualification.

Submitted questions should not be assumed to be confidential. The RFQ process focuses on qualifications, not technical issues; therefore, questions should not include confidential Proposer strategies or approaches. Questions of this type will be addressed through the second phase of the procurement process. In order to maintain a certain level of confidentiality, responses to questions may not be shared with all Proposers, but will be forwarded to the Proposer submitting the question. If an issue is of a significant nature that warrants a clarification of the RFQ, a response will be posted to the DAS portal. It is the responsibility of the Proposers to check the DAS portal for potential updates.

Questions shall be submitted using e-mail correspondence only. All RFIs must be emailed to the DOT contact person at the email address listed above. The subject line of each email must contain the following in the order provided:

{Date} {Project Number} {Proposer Name} "RFQ RFI"

Example: **20190825_0079-0244_John Doe Construction_RFQ RFI**

2.6. Draft RFP and Related Documents

The following is a partial list of draft Design Build Best Value procurement documents being made available for information and comment.

- Draft Request for Proposal: Instructions to Proposers
- Draft Contract Technical Provisions
- Draft Contract General Provisions

These documents are for information only and shall be considered draft. CTDOT is making these documents available to Proposers in order to provide information regarding the second phase of the selection process and overall Project as well as to provide the opportunity for comments. These documents are in various stages of drafts and certain details are currently being discussed such as the final language related to payment and Quality Assurance. CTDOT reserves the right to alter these documents prior to the start of Step 2 of the procurement process.

The documents available at:

The Department of Administrative Services, State Contracting Portal for Department of Transportation projects:

ConnDOT Bids and RFPs (State Contracting Portal-Transportation, Department of)

CTDOT invites the Proposers to comment on the draft documents by email to:

CTDOT.Design.Build@ct.gov

The Email subject line must be as follows:

Date_Project_Number_Proposer_Name_RFP Comments

Example: 20190825_0079-0244_John Doe Construction_RFP Comments

In the body of the email, explain the comment citing specific part, page, detail heading and other related identifying information and then state the question. As an alternate the body of the email may briefly explain that the comment(s) and identifying information is attached.

Section 3 SOQ Submittal Requirements

3.1. SOQ Submission, Deadline, and Location Instructions

Statements of Qualifications submitted in response to this document must be received by CTDOT no later than the time and date specified in the Schedule of Events.

Mr. Gregory Straka
Manager of Contracts
Connecticut Department of Transportation
2800 Berlin Turnpike
Newington, CT 06111

The outermost container in which a SOQ, or any part thereof, is delivered must be clearly labeled as follows:

STATEMENT OF QUALIFICATIONS
RESURFACING, BRIDGE REHABILITATION AND SAFETY
IMPROVEMENTS ON I-691PROJECT 0079-0244

One original (paper) and five (5) (paper) copies of the submittal, individually securely bound (spiral, comb, or other secure binding technique), must be received by the date and time specified in the Schedule of Events above. The original shall be clearly marked with the word “Original” on the cover and contain original signatures for all required documents. In addition, Proposers must include one electronic copy in searchable PDF format of the “Original” SOQ including all attachments on a “USB-flash drive” with a label or attached tag indicating the Project number and Proposer name.

Hand delivered packages must be brought to the front desk at the above address. Responses delivered after this date and time will not be considered.

Late submissions will not be accepted. Preparation for and delivery of the SOQ shall be at the Proposer’s expense. The time of receipt shall be considered when the SOQ has been officially documented by CTDOT, in accordance with its established policies, as having been received at the location designated above. CTDOT accepts no responsibility for mislabeled mail. Any damage that may occur due to shipping shall be the Proposer’s responsibility.

3.2. SOQ Submission Requirements

Proposers must demonstrate, through their submission, their team's ability to perform the scope of services required for this Project on budget, on schedule and in a manner consistent with the Contractor Quality Control (QC) requirements established in this RFQ and as further described in the Draft RFP and Contract Provisions. Prior successful completion of projects in similar scope and magnitude is not required, but is of significant importance.

The Proposer must demonstrate through their team, combined design and construction qualifications to be considered for this procurement. As a result, the Proposer's Team must satisfy both CTDOT's engineering and construction qualifications described above.

3.2.1. Submission Documents

The following documents will constitute the Statements of Qualifications (SOQ):

- A cover letter limited to one (1) page.
- Two SOQ Submission Forms (included in Appendix B) consisting of:
  - SOQ C255 Statement of Qualifications for the Constructor.
  - SOQ D255 Statement of Qualifications for the Designer.
- The information to be included in the SOQ submission under Section G of the SOQ C255 and Section H of the SOQ D255 may be supplemented with up to five pages from referenced persons or other owner representatives of projects with similar complexity. If recommendations from persons in addition to those listed on the SOQ form are included, the name, affiliation and contact information of that person should be included.
- After completion of the information requested as described in Section I of the SOQ C255 form, and Section K of the SOQ D 255 form, these sections may be used to expand on information provided by the Proposer in other sections of the forms.
- A maximum of ten resumes, which are limited to two, pages each. Resumes of the Key Personnel must be included in the ten resumes. Other resumes may include members of the Proposer's Team that are not identified as Key Personnel in this RFQ. Descriptions of the Key Personnel are included below. Assurance must be given that all Key Personnel will be available for work at the commencement of work and as required through the duration of the Project.
- An "Organizational Chart" and narrative, as described in Section 3.2.3.
- "Conflict of Interest and Unfair Competitive Advantage Certification" executed by all required parties as described in Section 3.8 below.
- A Certificate of Authority naming the individual empowered to bind the Contractor and execute documents on its behalf (the Project Executive). This individual shall certify the forms for the SOQ. If the Proposer is a joint venture, a separate Certificate of Authority from each of the members of the JV must be submitted identifying this individual.
- A properly executed declaration of joint venture (if applicable) accompanied by a statement that clearly identifies which parts of the work each of the members of the joint venture will be responsible. The breakdown of the work by a Proposer (joint venture) will be deemed a binding commitment by the Proposer that if it receives the Contract, the breakdown of work will remain the same during the performance of the Contract. Minor adjustments to the breakdown may be made during the RFP process, based on the final technical Proposal.

- "Alternative Contracting Statement of Work Under Contract" form for proposed Contractor (joint ventures must submit separate forms for each member).

The C255 and D255 forms are similar to CTDOT's current CSO 255 form, which is used for Consultant Selections. These forms have been modified for use with design-build contracting. Even though the forms are similar, the rules set forth for consultant selections do not necessarily apply to this Best Value Selection Process. The guidelines set forth in this RFQ and related documents are what govern this part of the process. The SOQ C255 and SOQ D255 forms are not to be altered in any way.

In addition to the guidance herein, instructions have been developed to assist Proposers with the completion of these forms. These instructions are provided in the appendix with the forms for information and need not be submitted with the SOQ. If a Proposer has both design and construction expertise within one entity, the entity shall fill out both forms.

The cover letter shall include the primary contact person for the Proposer. The letter shall include the mailing address and e-mail address of this person.

All supporting documents, with the exception of resumes (see above for resume page limit), shall be written in Times New Roman, 11 point, single spaced. The pages shall be 8½" x 11" in size with 0.75" margins on all edges. Where page limits are specified, a page is considered each side of a sheet (For example, 10 sheets that are double sided printing = 20 pages).

Submission of additional material beyond the information described above will not be allowed. Additional information such as corporate brochures and pamphlets will be discarded.

3.2.2. Key Personnel

The following are descriptions of the minimum requirement for the Key Personnel, who shall be assigned full time to the job site except as noted:

Project Executive: The single point of contact with whom CTDOT may confer on all contractual issues. This person must be given the authority by the prime Contractor or joint venture to mobilize resources, decide all matters related to the Project on behalf of the Contractor, as well as be authorized to bind the Contractor on all matter related to this Project. For the duration of the Project, this person must have the ability to be on site within twenty four (24) hours. In addition to these requirements, the Project Executive must meet the following criteria:

- Must be an officer of the lead company or joint venture.

Project Manager: Person that will be responsible for the overall design, construction, quality management and Contract administration for the Project. This person will have full responsibility for the prosecution of the work and act as the primary point of contact in all Project matters. For the duration of the Project, this person should be available on site within the same business day or the next calendar day as needed. This person should be on site for the durations of any major activities and attend all Project meetings. In addition to these requirements, the Project Manager must meet the following criteria:

- Must have recent experience managing projects of similar scope and complexity (minimum 10 years preferred).

- Management experience that includes both design and construction is preferred.

Quality Control Administrator: Person that will be responsible for the overall design and construction quality of the Project, writing the Quality Management Plan (QMP) and Quality Control Plans (QCPs), implementing quality planning and training, and managing the Contractor's Quality Control (QC) systems and procedures. The Design Quality Control Manager and the Construction Quality Control Manager will report to this person. For the duration of the Project, this person must have the ability to be on site within twenty four (24) hours. In addition to these requirements, the Quality Control Administrator must meet the following criteria:

- Design or Construction phase experience relevant to the type of work and the scope of the Project (minimum 10 years preferred.)
- Must have experience developing, implementing, and maintaining QC systems (minimum 10 years preferred.)
- Documented advanced training and certifications in quality control principles (exceeding the NETTCP QA Technologist Certification)
- Experience with both Design QC and Construction QC is desirable.

Design Quality Control Manager: Person that will be responsible for implementing the design quality control, required by the QMP and QCPs of the Project. This person will report to the Quality Control Administrator. For the duration of the Project, this person must have the ability to be on site within twenty four (24) hours.

The Design Quality Control Manager must be an individual with demonstrated experience implementing QC programs in a design environment. This experience shall include a minimum of 7 years of combined experience in any of the following areas:

- Design phase experience relevant to the type of work and the scope of the Project
- Previous experience as a Quality Control Professional

In addition, the following special experience is preferred for the Design Quality Control Manager:

- Prior supervisory design experience
- Training in QC principles (must meet or exceed the general requirements of the NETTCP QA Technologist Certification)

Construction Quality Control Manager: Person that will be responsible for implementing the construction quality control, outlined in the QMP and QCPs of the Project. This person will report to the Quality Control Administrator. For the duration of the Project, this person must be on site daily to supervise or self-perform the QC actions. In addition to these requirements, the Construction Quality Control Manager must meet the following criteria:

- Training and certification in QC principles consisting of the NETTCP QA Technologist Certification or other certification satisfactory to CTDOT.
- A minimum of 10 years of combined experience in any of the following areas:
  - Minimum of 2 years of demonstrated successful experience implementing QC programs in a construction environment.
  - Construction phase experience relevant to the type of work and the scope of the Project.
  - Substitutions allowed – 2 years for Bachelor's Degree in CE, CE Tech., Construction Management, or Construction Engineering. (1 year for Associates Degree in a related field); 1 year for NICET IV certification; (1 year for a NICET III certification).

In addition, the following special experience is preferred for the Construction Quality Control Manager:

- Prior supervisory roadway or bridge construction experience.

Design Manager: Person that will be responsible for ensuring that the overall Project design is completed in conformance with the Contract requirements and design criteria requirements are met. This includes coordination of all design activities, including those of sub-consultant designers. For the duration of the Project, this person must be co-located with the design team and attend all design meetings and other key meetings. This person must also have the ability to be on site within twenty four (24) hours at any point for the duration of the Project. In addition to these requirements, the Design Manager must meet the following criteria:

- The Design Manager must work for the prime design firm.
- For this Project, the Design Manager must work under the direct supervision of the Contractor's Project Manager (relationship to be reflected in the organizational chart).
- Must be a registered professional engineer in the State of Connecticut now or before award of the Contract.
- Must have recent experience in managing the design of projects of similar scope and complexity (minimum 10 years preferred).
- Must have authority to be in direct contact with CTDOT staff during all phases of the Project.
- Must have responsibility to implement design revisions when required, whether identified by Contractor Design QC system or CTDOT Acceptance staff.
- Previous Design-Build experience is preferred.
- Previous experience with CTDOT design and environmental permitting processes is preferred.

Construction Manager: The person that will be responsible for ensuring that the Project is constructed in accordance with the Project requirements. This includes coordination of all on-site and off-site construction activities, including those of producers, fabricators, and manufacturers. For the duration of the Project, this person must be available to be on site within 24 hrs. This person must attend all Project progress meetings, and other key meetings. This person should be on site for the durations of stage construction changes. During other critical activities this person should be available on site within four (4) hours. In addition to these requirements, the Construction Manager must meet the following criteria:

- The Construction Manager must work under the direct supervision of the Project Manager.
- Must have experience as a construction manager, including managing the construction of at least one Project of similar scope and complexity (minimum 10 years preferred). The similar scope and complexity experience may be obtained from multiple projects rather than from a single Project containing all of the similar scope and complexity requirements.
- Design-Build experience is preferred.

Construction Superintendent: The person that is thoroughly familiar with the type of work being performed, to supervise the work. This person must be familiar with the plans and specifications of the Project and be capable of supervising and directing the day to day construction operations of the Project. This person is to be full time on the Project site, which shall be considered every regular business day as well as weekends and holidays where significant work is proceeding. In addition to these requirements, the Construction Superintendent must meet the following criteria:

- The Construction Superintendent must work under the direct supervision of the Construction Manager.
- Must have experience as a superintendent of at least one project of similar scope and complexity (minimum 10 years and multiple projects of similar scope preferred).
- CTDOT project experience is preferred.
- Design-Build experience is preferred.

Environmental Manager: The person that is thoroughly familiar with environmental permitting policies and procedures of the CTDOT, CT DEEP, other applicable regulatory agencies, and the work involved with Projects of this scope. This person shall be responsible for necessary ~~all~~ permitting and other related work ~~environmental aspects~~ required by the final design. This person shall be responsible to make sure all environmental and procedural requirements are met prior to formal submissions to CTDOT. In addition to these requirements, the Environmental Manager must meet the following criteria:

- The Environmental Manager must work under the direct supervision of the Design Manager.
- Experience with DEEP and USACE Environmental Permit Process for projects of similar scope and complexity (minimum ~~10~~ 3 years and multiple projects of similar scope. Additional experience is preferred).
- Experience with ACOE, DEEP permit application processing and familiarity with acquiring permits.
- Experience with CTDOT environmental permitting processes is preferred.
- Design-Build experience is preferred.

The Proposer may put forth an individual to fill more than one of the Key Personnel positions, provided it can be demonstrated that the individual has the appropriate experience for both. This provision does not apply to the Project Executive position. In addition, the Design Quality Control Manager shall not be the same individual as the Construction Quality Control Manager. Dedicated Key Personnel is preferred.

The identification of the Key Personnel by a Proposer will be deemed a binding commitment by the Proposer that if it receives the Contract, the Key Personnel will, in fact, play the principal roles in Project design and construction management for the Contractor.

Any Proposer submitting an SOQ and designating its Key Personnel for the selection process will be precluded from later substituting, replacing, or removing any of its Key Personnel without the written consent of CTDOT. CTDOT will determine a Short List of Proposers that will be allowed to submit Technical and Price Proposals for the Project during the RFP process (Step 2). If a Proposer is placed on that list, it shall be deemed to have acknowledged, by its identification of the Key Personnel, that CTDOT has relied upon the Proposer's identification of the Key Personnel in determining that the Proposer should be included on the Short List.

If a Proposer believes that any change to any Key Personnel identified in its SOQ is warranted prior to filing its Technical Proposal (due to an intervening event), the Proposer shall so notify CTDOT in writing, providing details of the proposed change(s) and the reasons for them. The Proposer shall not change any person listed as one of the Key Personnel in its SOQ without the prior written consent of CTDOT. Such consent shall not be unreasonably withheld. Proposed substitutions of such personnel shall have equal or better credentials than the personnel they are replacing. Should the substituted personnel not meet or exceed the experience or training of the originally proposed personnel, CTDOT may reevaluate the SOQ score assigned to the Proposer.

3.2.3. Organizational Chart

Provide an organizational chart(s) showing the flow of the "chain of command" with lines identifying participants who are responsible for major functions to be performed and their reporting relationships, in managing, designing and building of the Project. The chart(s) must show the functional structure of the organization down to the design discipline leader or construction superintendent level and must identify Key Personnel by name. Identify the critical support elements and relationships of executive management, Project management and administration, quality control management, design management, construction management, safety, environmental compliance and subcontractor administration. For each organizational chart, provide a brief, written description of significant functional relationships among participants and how the proposed organization will function as an integrated Design-Build team.

3.3. RFQ Amendment

CTDOT reserves the right to amend this RFQ at its discretion prior to the SOQ submission deadline. In the event of an amendment to this RFQ, CTDOT, at its sole discretion, may extend the SOQ submission deadline as it deems appropriate. CTDOT will post notifications of amendments to CTDOT's Contractor Portal at the following web address:

http://www.biznet.ct.gov/scp_search/BidResults.aspx?groupid=64

Proposers are responsible for monitoring this website for addenda to the RFQ documents. The Proposer shall certify that the submission incorporates all addenda through the addenda certification section of the SOQ Submission Form. Failure to properly complete this portion of the form may result in rejection of the SOQ.

3.4. Property of Connecticut Department of Transportation

All material received in response to this RFQ shall become the property of CTDOT and will not be returned to the Proposer.

3.5. Confidentiality of SOQs

The SOQs are an integral part of the BVDB Proposal. As such, SOQs will be treated as confidential until the time of Contract award or cessation of this procurement. CTDOT cannot guarantee, however, that the courts or any other governmental agency with jurisdiction over such matters will treat such documents and content as confidential.

Further information regarding the confidentiality of Proposals and legal disclosure requirements are provided in Section 4.3 of the Request for Proposal for this Project.

3.6. Non-Commitment

Notwithstanding any other provision of this RFQ, this RFQ does not commit CTDOT to award a Contract. CTDOT reserves the right, at its sole discretion, to reject any and all SOQs, or any portions thereof, at any time; to cancel this RFQ; and to solicit new SOQs under a new acquisition process.

3.7. SOQ Preparation Costs

By submitting the SOQ, the Proposer agrees that in no event shall CTDOT be either responsible for or held liable for any costs incurred by a Proposer or Proposers team in the preparation of or in connection with the SOQ, or for work performed prior to the Effective Date of a resulting Contract.

3.8. Conflict of Interest and Unfair Competitive Advantage

The work related to this Project may, at any time, raise questions about real or perceived conflicts of interest because of Proposer's or prospective team member's relationship to other entities or individuals. The Proposer's attention is directed to 23 CFR Part 636 Subpart A and Connecticut General Statutes 1-101nn which set forth the federal and state law, respectively, regarding conflicts of interest and unfair competitive advantages (collectively called Conflict Situations).

Conflict of Interest

The Proposer's attention is directed to 23 CFR Section 636.116 regarding organizational conflicts of interest and to Section 636.103 which defines "organizational conflict of interest" under federal law as follows:

> Organizational conflict of interest means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the owner, or the person's objectivity in performing the Contract work is or might be otherwise impaired, or a person has an unfair advantage.

With regard to Connecticut General Statutes §1-101nn, CTDOT issued a guidance document on March 2, 2006 to all prequalified consultants and contractors. That guidance letter and the frequently asked questions attached to it (together "guidance document") remain in full force and effect, and are posted on CTDOT's website at:

https://portal.ct.gov/-/media/DOT/documents/dconsultantoffice/consulltr2pdf.pdf?la=en

In addition to the foregoing, CTDOT has identified other situations and occurrences which may be considered a conflict of interest for Proposers on this Project, including without limitation:

(1) consultants and/or sub-consultants who assisted CTDOT in the preparation of the RFQ, RFP or Contract Provision documents will not be allowed to participate as a Proposer or join a team submitting a Proposal in response to the RFP;
(2) firms under Contract with CTDOT for the construction of a Project elsewhere in the State of Connecticut, and firms under Contract with CTDOT for the construction oversight (CE&I) on the same Project, are excluded from participating on the same design-build team (this exclusion does not apply to subcontractors and sub consultants); and

(3) firms or individuals employed by owners of properties or businesses that abut or may be affected by the Project will not be allowed to participate as a Proposer or join a team submitting a Proposal in response to the RFP,

Barring any other conflict resulting from state or federal law or CTDOT's March 2, 2006 guidance document, firms and individuals not subject to items (1) through (3) above may work for the design-build Contractor and its subcontractors, or CTDOT and its consultants, but may not work for both simultaneously.

Proposers and lead design firms should consider that conflicts may arise during and after the BVDB procurement that may preclude firms from pursuing CTDOT work on which other participants in the design-build Proposal are already under Contract with CTDOT.

Unfair Competitive Advantage

The BVDB procurement will be conducted using a fair and impartial procurement process. It is essential that a level playing field be maintained during the procurement phase. The Proposers are advised that the following prohibitions, restrictions, and requirements will apply to this BVDB procurement:

(1) firms and individuals may not materially participate (defined as holding a financial interest, assisting in the preparation of a Proposal, or providing one or more of the Key Personnel described in Section 3.2 of this RFQ) in more than one Proposal in response to this RFQ or RFP;
(2) firms and individuals may not solicit, review, or receive BVDB criteria weighting or evaluation materials prepared by CTDOT or its consultants during the procurement phase, either directly or through an intermediary;
(3) Proposers and team members (including subcontractors, employees , or representatives) shall not communicate with or attempt to influence the Selection Panel, the Technical Support Committee, or other CTDOT representatives involved in the BVDB selection process, except as allowed by this RFQ, and subsequently by the RFP;
(4) Proposers or their team may not engage or employ current or former employees of CTDOT or its consultants involved in preparing this RFQ or RFP.

An Unfair Competitive Advantage may exist if a Proposer or their team is not in full compliance with Nos. (1) through (4) above.

3.8.1. Conflict of Interest and Unfair Competitive Advantage Certification

Proposers should evaluate for itself, and the Proposer's Key Personnel, its subcontractors and any other individuals associated with their Proposal should evaluate for themselves whether they have a conflict situation. Thereafter, the Proposer (each respective participant, as described in Section 1) shall complete and submit a Conflict of Interest and Unfair Competitive Advantage Certification (Certification Form) for itself, and a separate set of forms for each of its Key Personnel. Any other individuals or subcontractors participating in the Proposer's Team, who are aware of an existing or potential conflict situation, shall make a disclosure on the Certification Form and forward it to the Proposer for submittal to CTDOT. Failure of the Proposer, Key Personnel, or those with known conflict situations to submit the Certification Form(s) may result in the disqualification of the Proposer.

Whenever a Proposer, it's Key Personnel, any subcontractor or any individual associated with a Proposer is found to have a conflict situation, it shall be disclosed on the Certification Form and the attachments. CTDOT will review the Proposer's suggested actions to be taken to avoid, neutralize, or mitigate such conflict situation, and if found acceptable, the matter will be consider resolved and the Proposer will be permitted to continue in the BVDB procurement process with the suggested actions. If, CTDOT does not find the Proposer's suggested actions acceptable or sufficient to avoid, neutralize or mitigate a conflict situation, then CTDOT will communicate to the Proposer that an unresolved conflict situation may exist. The Proposer may offer additional measures to resolve the matter or appeal the decision in accordance with Section 2.9.3. Proposers unable to resolve a conflict situation finding will not be permitted to continue in the BVDB procurement.

It is the responsibility of each Proposer to police itself and its team related to conflict situations. The Proposer agrees that if, at any time during the procurement process, or even after award of the Contract, an individual or organizational conflict situation develops or is discovered, the Proposer shall make an immediate and full disclosure to CTDOT using the prescribed form. Such disclosure shall include a description of the action that the Proposer has taken or proposes to take to avoid or mitigate the conflict or potential conflict.

3.8.2. Violation of Disclosure Requirements

CTDOT, in its sole discretion, reserves the right to make a determination relative to real or potential conflict situations and the Proposer's ability to mitigate such situations. An organization or individual determined to have a Conflict Situation relative to this procurement or Project that cannot be mitigated, shall not be allowed to participate as part of the Proposer or Contractor for the Project. A conflict arising under Connecticut General Statute 1-101nn, as determined by the Office of State Ethics, cannot be mitigated.

If a conflict situation is discovered during the procurement process or even during the performance of the Contract, CTDOT reserves the right to:

- Mitigate the conflict by disclosing information to all Proposers. If the documents or work product are considered proprietary under Connecticut law, the Proposer will be given the opportunity to waive this protection from disclosure. If a Proposer elects not to waive protection, then the Proposer may be disqualified;
- Disqualify any prospective Proposer Team member or reject any Proposal at any time solely on the grounds that a real or perceived Conflict Situation is presented;

- Require any prospective Proposer or Proposer Team member to take any action or supply any information necessary to determine the extent of the Conflict Situation, including without limitation, obtaining an opinion from the Office of State Ethics, and/or;
- Terminate any Contract arising out of this solicitation if, in the opinion of CTDOT, any such relationship would constitute or have the potential to create a real or perceived Conflict Situation that cannot be resolved to the satisfaction of CTDOT.

3.8.3. Appeal Procedure

If CTDOT finds that an unresolved Conflict Situation exists, the Proposer may appeal such finding to the Commissioner of Transportation. (Note: When the Office of State Ethics has found a situation will violate Conn. Gen. Stat. §1-101nn, CTDOT appeals will not be considered.) Proposers shall promptly forward their appeal to the Commissioner of Transportation, in writing. The appeal must include all Certification Forms submitted to date and present the reasoning and foundation for the firm's position that a Conflict Situation does not exist or that the Conflict Situation may be mitigated by the time it may have an effect on the process or Project. Due to the nature of the process and the time it may take to resolve such issues, the existence of an appeal will not delay the BVDB procurement process.

Findings made by the Commissioner of Transportation regarding these appeals will be considered final.

All Proposers agree by submitting SOQs or Proposals that CTDOT is in no way responsible for: costs associated with an appeal; costs incurred to resolve or mitigate an existing or potential Conflict Situation; or costs associated with a Proposal that is not considered due to the existence of a perceived or actual Conflict Situation. All such risks and burdens rest with the Proposer, firm or individual related to that Proposal.

3.9. Stipend

CTDOT will offer a stipend of the amount of $55,000 to each unsuccessful Short Listed Proposer that submits a responsive Technical Proposal and Price Proposal that conforms to the requirements of the RFP documents, as determined solely by CTDOT.

No stipend is being provided for the RFQ portion of the solicitation.

Section 4 Evaluation Process and Criteria

4.1. Evaluation of SOQ

CTDOT will review all SOQs based on the criteria contained herein, which will be used to establish a Short List. Proposers that are not selected for the Short List will be notified and offered the opportunity to meet with CTDOT officials to review CTDOT's evaluation of their Proposal. Meetings for this purpose will not be scheduled until after award of the Contract to the successful Proposer.

The Selection Panel will finalize the qualifications score for each of the Proposers based on the criteria set forth in this document. The qualifications score and the recommended Short List of Proposers will be forwarded to the Office of the Commissioner for concurrence and final approval. The final qualifications scores will be included in the best value selection criteria used in the RFP process.

After receiving approval, the CSO will forward the qualifications scores of the Short List Proposers to the Office of Contracts for use in the RFP process. CTDOT will inform all Proposers that submitted SOQs as to whether or not they have been placed on the Short List.

CTDOT will accommodate scoring review meetings with the non-Short Listed Proposers (if requested). No meetings or release of qualifications scores will occur prior to award of the Contract, in order to protect the confidentiality of the BVDB process. Non-Short Listed Proposers must contact the RFQ contact person to request this meeting.

4.2. Qualifications Scoring Criteria

The Selection Panel members will evaluate the components of the SOQ by applying to them the pertinent criteria contained in this document.

Each major category (listed below) will be qualitatively evaluated in accordance with the following guidelines:

- **EXCEPTIONAL (90-100 points):** The Proposer's Team has demonstrated qualifications that significantly exceed the stated requirements. Their qualifications are of outstanding quality. There is very little or no risk that this Proposer's Team would fail to meet the requirements of the particular aspect of the Project work. There are essentially no weaknesses in the material provided regarding this item of the qualifications.

- **VERYGOOD (80-89 points):** The Proposer's Team has demonstrated qualifications that exceed stated requirements. Their qualifications are generally of better-than-acceptable quality. There is little risk that this Proposer's Team would fail to meet the requirements of the particular aspect of the Project work. Weaknesses in the material provided regarding this item of the qualifications, if any, are definitely minor.

- **GOOD (70-79 points):** The Proposer's Team has demonstrated qualifications that meet the stated requirements. Their qualifications are of acceptable quality. The Proposer's Team demonstrates a reasonable probability of success in addressing this particular aspect of the Project. The material provided regarding this item of the qualifications contains weaknesses, but they are minor and could readily be corrected.

- **MINIMALLY ACCEPTABLE (60-69 points):** The Proposer's Team has portions of the qualifications that fail to meet stated requirements and objectives with respect to the particular aspect of the Project. The material provided regarding this item contains weaknesses or deficiencies. The material provided is marginal in quality with respect to its basic content or the amount of information provided for evaluation. The Proposer's Team should be capable of providing an acceptable or better response concerning this matter.

- **UNSATISFACTORY (0-59 points):** The Proposer's Team has demonstrated qualifications that contain significant weaknesses or deficiencies and is unacceptable in quality. The material provided regarding this item fails to meet the stated requirements, lacking essential information, containing elements in conflict with each other, or suggesting that the Proposer's Team approach to the Project would likely prove unproductive. The qualifications in this regard, do not suggest the Proposer, if awarded the Contract, would have a reasonable likelihood of success in treating this aspect of the Project.

The scoring of the SOQ will be based on applying a weighted criteria algorithm method to the SOQ. This method assigns a designated weight to each factor that CTDOT deems to be a critical aspect of the Project. The following is a general representation of the equation used to determine the qualifications scores:

Qualification Score $QS = W_1S_1 + W_2S_2 + \ldots W_iS_i$

Where:
i = Qualitative Rating Factor (1, 2, 3…i)
W_i = Weight Percentage for Factor i
S_i = Qualitative Rating Score for Factor i(scale of 1-100)

(**Note:** The highest Qualifications Score would be 100 points.)
The following Qualitative Rating Criteria shall apply for this Project.

Qualitative Rating Score	Description	Weight Percentage
S_1	**Qualifications, experience and past performance of the Design Team** The design team should demonstrate a history of past performance with the design of similar projects. References for past projects should be included. Demonstrated experience in delivering projects with similar Project goals is preferred. Evidence of satisfaction of previous owners with Contract performance and cooperation to overcome obstacles encountered during the Project is desired. The Key Personnel for this project should have been integrally involved in the construction of past projects listed in the SOQ. The Selection Panel may use other documents for this process, including documented past performance evaluations prepared by CTDOT or other owners.	15
S_2	**Qualifications, experience and past performance of the Construction Team** The construction team should demonstrate a history of past performance with the construction of similar projects. Demonstrated experience in delivering projects with similar Project goals is preferred. Recommendations written by the owner's representatives noting satisfaction with Contract performance and cooperation are preferred. The Selection Panel may use other documents for this process, including documented past performance evaluations prepared by CTDOT or other owners. The Key Personnel for this project should have been integrally involved in the construction of past projects listed in the SOQ. The Selection Panel may use other documents for this process, including documented past performance evaluations prepared by CTDOT or other owners.	20
S_3	**Design-Build Experience of the Proposer's Team** The Proposer's Team should demonstrate experience in Design-Build projects. Preference will be given to design and construction firms that have teamed on Design-Build projects in the past or for firms that possess both design and construction personnel in house. The key to this criterion is to demonstrate the experience of the Proposer's team in working successfully together in both the design and construction of a complex Project, and the understanding of the Design-Build process. The Key Personnel for this project should have been integrally involved in the construction of past projects listed in the SOQ. The Selection Panel may use other documents for this process, including documented past performance evaluations prepared by CTDOT or other owners.	10
S_4	**Experience with Project Management & Quality Management** The Proposer's Team should demonstrate experience with the execution and management of complex projects. This experience should highlight successful development and execution of design and construction Quality Control, successful management of the Design-Build final design and construction process including public outreach and stakeholder coordination, document management, and critical path Project scheduling. The key to this criterion is the ability of the Proposer's Team to self-perform Quality Control and Project management and demonstrate the ability to self-correct deficiencies and problems as they arise. Recommendations written by owner representatives related to these criteria are preferred.	20

S_5	**Experience with Project Specific Requirements** The Proposer's Team should demonstrate design and construction experience with projects of similar scope and complexity, including but not limited to bridge deck rehabilitation, investigation of existing composite pavement structures for condition and reconstruction, environmental permitting, rehabilitation of existing roadway drainage, roadside safety improvements, traffic design elements, illumination and environmental remediation.	20
S_6	**Familiarity with CTDOT Policies and Procedures** The Proposer's Team should demonstrate experience with the execution and management of both design and construction projects using CTDOT Policies and Procedures, with the goal being to complete the Project with minimal conflict and need for intervention from CTDOT. Familiarity with the requirements outlined in Sections 1.3 through 1.9 of this document should also be demonstrated. Specific reference to past projects that met this criterion should be included along with references.	15

All of the Qualitative Rating Scores will be used to develop the final weighted score that will be used for the development of the Short List.

Appendix A: Project Scope Codes

STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

PROJECT SCOPE CODE

CODE	FROM	TO
"A"	LESS THAN	$ 100,000
"B"	$ 100,000	$ 199,999
"C"	$ 200,000	$ 499,999
"D"	$ 500,000	$ 999,999
"E"	$ 1,000,000	$ 2,499,999
"F"	$ 2,500,000	$ 4,999,999
"G"	$ 5,000,000	$ 7,499,999
"H"	$ 7,500,000	$ 9,999,999
"I"	$ 10,000,000	$ 14,999,999
"J"	$ 15,000,000	$ 19,999,999
"K"	$ 20,000,000	$ 29,999,999
"L"	$ 30,000,000	$ 39,999,999
"M"	$ 40,000,000	$ 59,999,999
"N"	$ 60,000,000	$ 89,999,999
"O"	$ 90,000,000	$ 119,999,999
"P"	$ 120,000,000	$ 159,999,999
"Q"	$ 160,000,000	$ 199,999,999
"R"	$ 200,000,000	$ 249,999,999
"S"	$ 250,000,000	$ 299,999,999
"T"	$ 300,000,000	$ 399,999,999
"U"	$ 400,000,000	$ 499,999,999
"V"	$ 500,000,000	$ 599,999,999
"W"	$ 600,000,000	AND OVER

Appendix B: Submission Forms

Index

Note: For Appendix B Forms, see the separate files located in the "0079-0244 RFQ Package" or latest addendum to the "0079-0244 RFQ Package," labeled as shown below:

Appendix B.01 Instructions for SOQ Forms: C255 & D255 (Rev 1-13-20)
Appendix B.02 SOQ Form C255 (Rev 1-15-20)
Appendix B.03 SOQ Form D255 (Rev 1-15-20)
Appendix B.04 Conflict of Interest and Unfair Competitive Advantage Certification
Appendix B.05 Certificate of Authority (Sample)
Appendix B.06 Alternative Contracting Statement of Work Under Contract (Excel Form)