



# Georgia Department of Transportation

## **Request for Qualifications**

**To Provide**

**On-Call Professional Services for TIA Projects**

**RFQ-484-111813TIA**

**Qualifications Due: November 18, 2013**

**Georgia Department of Transportation  
One Georgia Center  
600 West Peachtree Street, NW  
Atlanta, Georgia 30308**

# REQUEST FOR QUALIFICATIONS

## RFQ-484-11183TIA

### On-Call Professional Services for TIA Projects

#### I. General Project Information

##### A. Overview

The Georgia Department of Transportation (GDOT) is soliciting Statements of Qualifications (SOQ) from qualified firm(s) or organization(s) to provide Professional Services for projects within the Transportation Investment Act (TIA) of 2010. This Request for Qualifications (RFQ) seeks to identify potential providers for the Scope of Services listed in **Exhibit I**. Firms that respond to this RFQ and are determined by GDOT to be sufficiently qualified may be deemed eligible and invited to offer proposals and/or possibly present and/or interview for these services.

All respondents to this RFQ are subject to instructions communicated in this document, and are cautioned to completely review the entire RFQ and follow instructions carefully. GDOT reserves the right to increase, reduce, add or delete any item in this solicitation as deemed necessary. GDOT reserves the right to reject any or all Statements of Qualifications or Consultant Plan Proposals, and to waive technicalities and informalities at the discretion of GDOT.

##### B. **IMPORTANT- A RESTRICTION OF COMMUNICATION IS IN EFFECT FOR THIS PROJECT.**

From the advertisement date of this solicitation until successful respondents are selected and the award is made official and announced, firms are not allowed to communicate about this solicitation or scope with any staff of GDOT including the Commissioner and GDOT Board Members, except with the contact designated in **V.F.**, or as provided by any existing work agreement(s). For violation of this provision, GDOT reserves the right to reject the submittal of the offending respondent.

##### C. Small Business and DBE Participation

The Georgia Department of Transportation Board (State Transportation Board) issued a Resolution in May of 2012 encouraging and promoting the participation of groups such as small businesses and DBE's (including minority and women owned businesses, and veteran owned business) in projects funded by TIA. The State Transportation Board TIA Resolution may be viewed on the TIA website:

<http://www.ga-tia.com/Images/FactSheets/TransportationReferendum.pdf>

Georgia Department of Transportation will monitor and assess each consultant services submittals for their DBE participation and/or good faith effort in promoting equity and opportunity in accordance with the Board Resolution.

For more information on the GDOT DBE Program please contact:

Georgia Department of Transportation  
 Equal Opportunity Division  
 One Georgia Center, 7<sup>th</sup> Floor  
 600 West Peachtree Street, NW  
 Atlanta, Georgia 30308  
 Phone: (404) 631-1972

##### D. History and Purpose

Pursuant to O.C.G.A. § 48-8-240 et. seq., TIA provides a legal mechanism in which the special districts by a referendum may vote to impose a 1% sales tax to fund needed transportation improvements within their special districts. TIA established twelve (12) transportation special districts throughout Georgia that correspond to state designated Regional Commission (RC) boundaries. Additionally, the law established Regional Transportation Roundtables (RTR) consisting of elected officials from the counties and cities within each special district. An Executive Committee of five members, supplemented with three non voting members of the Georgia General Assembly, is also required for each RTR. Each RTR was charged with approving a financially constrained draft investment list of transportation projects for their special district. These lists were approved by the full RTR on October 15, 2011 (Approved Investment Lists). Three (3) special districts voted to approve to levy the special district transportation sales and use tax: River Valley, Heart of Georgia Altamaha, and Central Savannah River Valley.

## **E. Scope of Services**

Under the terms of Agreements resulting from this RFQ, the selected consultants will provide professional services for TIA Projects. The anticipated scope of work is included in **Exhibit I**.

Selected consultants will generally report to the TIA Program Manager, who has been contracted to manage the TIA program and delegated appropriate authority for such management.

## **F. Contract Term and Type**

GDOT anticipates two (2) Indefinite Delivery, Indefinite Quantity (IDIQ) contracts will be awarded to two (2) firms, one (1) contract to each firm. GDOT anticipates Task Orders will use Firm Fixed Price and/or Cost Plus Fixed Fee payment methodology. Due to the financial constraints of the TIA Program, GDOT will be limiting overhead in any Task Order to 150%.

GDOT anticipates assigning work to the two contracts on a rotational basis, but reserves the right to assign work in a manner that best assures successful execution of the TIA Program.

As IDIQ contracts, it is GDOT's intention that the Agreements will remain in effect for up to a maximum of five (5) years. GDOT will only consider an extension beyond five (5) years in the event that a specific task order will not be completed within the original term of the Agreement, if determined to be GDOT's best interests. GDOT will monitor task orders closely and will seek to only assign task orders which can be completed within the term of the Agreement.

## **G. Contract Amount**

Each IDIQ contracts will have a minimum of \$25,000 and a maximum of \$1,000,000.

## **H. Method of Communication**

All general communication of relevant information regarding this solicitation will be made via the Georgia Procurement Registry (GPR) under RFQ-484-111813TIA. All firms are responsible for checking the GPR on a regular basis for updates, clarifications, and announcements. GDOT reserves the right to communicate via electronic-mail with the primary contact listed in the Statements of Qualifications. Other specific communications will be made as indicated in the remainder of this RFQ.

## **II. Selection Method**

The contract(s) for this procurement will be awarded as a result of a Qualifications Based Selection (QBS) used to determine the most highly qualified firm(s). The selection process and selection criteria are outlined below.

### **A. Phase I - Selection of Finalists**

Based on the Statements of Qualifications submitted in response to this RFQ, GDOT will evaluate all submittals deemed responsive. A Selection Committee of qualified individuals will review the Statements of Qualifications. Based on the Selection Criteria for Phase I as listed in **IV**, on the Selection Committee will assign rankings and discuss the top submittals. From the final rankings of the top submittals, the Selection Committee will identify five (5) firms for shortlisting.

All firms must meet the minimum requirements as listed in **IV.A.** below.

### **B. Finalist Notification for Phase II**

Firms selected and shortlisted as finalists will receive notification and final instructions from GDOT regarding the Phase II response.

### **C. Phase II - Finalists Response**

GDOT will request a written proposal of the five (5) finalist firms. GDOT reserves the right to request a presentation or interview on any project/contract as determined in its best interests; however, this additional requirement shall typically be reserved for the most complex projects. Each finalist firm shall be notified in writing, via e-mail, and informed of the proposal due date. Specific proposal instructions and requirements for the finalists will be provided in the Notification to Finalists. All members of the Selection Committee will review the written proposals (and will attend the presentations or interviews if required). Firms shall not address any questions, prior to the award announcement, to anyone other than the designated contact.

**D. Final Selection**

Final selection will be determined by combining the scores from Phase I and Phase II for each Finalist.

The Selection Committee will review the written proposals and evaluate the Selection Criteria for Phase II as listed in **IV**. The Selection Committee will discuss the finalist's Phase II responses and the final rankings will be determined.

Negotiations will be initiated with the apparent awardees to finalize the terms and conditions of the contracts, including the fees to be paid. In the event a satisfactory agreement cannot be reached with an apparent awardee, GDOT will formally terminate the negotiations in writing and possibly enter into negotiations with the next highest-ranking firm, and so on in turn until a mutual agreement is established and GDOT awards a contract. The final form of the contract shall be developed by GDOT.

**III. Schedule of Events**

The following Schedule of Events represents GDOT's best estimate of the Schedule that will be followed. All times indicated are prevailing times in Atlanta, Georgia. GDOT reserves the right to adjust the Schedule as GDOT deems necessary.

<b>PHASE I</b>	<b>DATE</b>	<b>TIME</b>
a. GDOT issues public advertisement of <b>RFQ-484-111813TIA</b>	11/1/2013	
b. Deadline for submission of written questions and requests for clarification	11/7/2013	2:00 PM
c. Deadline for submission of Statements of Qualifications	11/18/2013	2:00 PM
d. GDOT completes evaluation and issues notification and other information to finalist firms	12/6/2013	
<b>PHASE II</b>		
e. Deadline for submission of written questions from finalists	12/12/2013	2:00 PM
f. Phase II Response of Finalist firms due	12/20/2013	2:00 PM
g. GDOT announces final selection	1/14/2014	

**IV. Selection Criteria****Criteria for Evaluation of Phase I Submittals****A. Area Class Requirements and Certification**

Presented teams must be prequalified in the indicated Area Class(es) in order to be evaluated. Indication of prequalification shall be submitted as indicated in **V.A.5.** below. All Submittals will be pre-screened to verify that the Prime consultant has the required Area Class(es) and that the overall team has the required Area Class(es). Any submittal in which the Prime consultant or the overall team area class requirements are not met will be disqualified from further consideration.

Each submittal will require a certification to allow GDOT to analyze risks in determining if any Firm should be ineligible for award. The certification shall cover a wide variety of information. Any firm which responds in any potentially concerning manner must provide additional information as directed herein for consideration by GDOT to determine if Firm is eligible for award.

Criteria **B.**, **C.** and **D.** will be used for scoring Phase I of the evaluation to determine which firms are shortlisted:

**B. Suitability – 25%**

20% Factor Prime Consultant's demonstration of understanding of TIA Program, including what is needed for successful service delivery within the constraints of the TIA Program. Include understanding and proposed compliance with GDOT's TIA conflict of interest policy (See **Exhibit IV**).

5% Factor Prime Consultant's non-discrimination and equal employment opportunities policies and plans for Utilization of Small Businesses, DBE's and Veteran owned businesses.

**C. Experience and Qualifications – 10%**

10% Factor Key Team Leaders' education, registration, relevant technical experience, and relevant experience in utilizing GDOT specific processes, manuals, or guidance. Proposers may include the proposed project manager's/task order coordinator's experience and ability in managing similar contracts.

**D. Work Previously Awarded – 6%**

Firms will be assigned scores based on the dollar amount of GDOT Contracts and Task Orders awarded to the Prime Consultant during the last eighteen (18) months. Scores indicated below are based on a total available score of 1000 points for all Phase I and Phase II criteria.

\$0.00 to \$1,000,000.00 awarded =	60 points
\$1,000,000.00 to \$1,999,999.99 awarded =	45 Points
\$2,000,000.00 to \$2,999,999.99 awarded =	30 Points
\$3,000,000.00 to \$3,999,999.99 awarded =	15 Point
\$4,000,000.00 or greater awarded =	0 Points

**Criteria for Evaluation of Phase II Submittals**

**NOTE:** Scores from Phase I will be carried forward and combined with the scores from the Phase II to determine the final ranking of Finalists.

The following criteria for scoring Phase II of the evaluation will be utilized to determine which firms are selected:

**E. Suitability – 30%**

- 10% Factor      Technical approach to delivering services on the program, including, but not limited to, the use of alternative methods and methods that deliver added value to the program.
- 15% Factor      Firm's apparent suitability to provide services for the program, including, but not limited to, any special or unique qualifications for the program, proposed quality control/quality assurance procedures, special or enhanced capabilities, the ability of Firm to gather resources in the program area, the apparent fit, and knowledge of the program, and any other service or relevant scope item offered by the firm which might be suitable for the program.
- 5% Factor      Firm's ability to partner with GDOT and the TIA Program Manager to ensure on time and on budget service delivery.

**F. Resources and Workload Capacity – 24%**

- 10% Factor      Resources dedicated to delivering project
- 14% Factor      Workload capacity of Key Team Leaders

**G. Past Performance – 5%**

References will be requested from Finalists. The Selection Committee may consider information provided via references reflecting Prime Consultant's experience for the previous five (5) years in delivering services of similar complexity, size, scope, and function, knowledge any selection committee member has of performance on relevant projects, and performance evaluations on GDOT projects. The Selection Committee will consider all factors in their totality when arriving at a final score for the Past Performance.

## V. Instructions for Preparation of Submittals

### Phase I Submittal – SOQ

In order for GDOT to ensure compliance with required information and page limitations, the Statements of Qualifications submittal must be organized using the same headings and numbered and lettered exactly as outlined below, must be responsive to all requested information and must be submitted in accordance with the instructions provided in **V.E.** below. For the sections in which page number limits are stated, each section with a stated limit must begin on a new page and end on the last page allowed for the section. It is not allowed to begin new sections on a page allowed for a previous section, if applicable.

**Cover page** – Each submittal must have a single, separate cover page listing the RFQ#, RFQ Title, and proposing firm's full legal name.

#### A. **Administrative, Certification, and Area Class Requirements**

The information below shall be submitted for each submittal. This is general information and will not be scored but may be used to determine eligibility for selection.

1. Basic company information. This is to be submitted by the Prime ONLY:
  - a. Company name.
  - b. Company Headquarters Address.
  - c. Contact Information - Name and all contact information (telephone number(s) and e-mail address) of primary proposing contact (this will be the individual with whom GDOT will direct all communications).
  - d. Company website (if available).
  - e. Georgia Addresses - Identify and provide addresses for the offices located in the State of Georgia.
  - f. Staff - List the number and disciplines of staff members employed in each office in the State of Georgia.
  - g. Ownership - Provide form of ownership, including state of residency or incorporation, and number of years in business. Is the Offeror a sole proprietorship, partnership, corporation, limited liability Corporation, or other structure?
2. Certification Form - Complete the Certification Form (**Exhibit II** enclosed with RFQ), and provide a notarized original within the firm's Statement of Qualifications. This is to be submitted by the Prime ONLY.
3. Georgia Security and Immigration Compliance Act Affidavit – Complete the form (**Exhibit III** enclosed with RFQ), and provide a notarized original within the firm's Statement of Qualifications. This is to be submitted by the Prime ONLY.
4. Addenda - Signed cover page of any Addenda issued.
5. Area Class Summary Form – Prime Consultants are defined as the firm submitting the Statement of Qualifications and the firm with whom GDOT will contract. The Team is defined as the Prime Consultant and their sub-consultants, who are considered team members. Prime Consultants and their sub-consultant team members must meet the Area Class requirements listed in **Exhibit I**. Respondents should submit a summary form (example provided in **Exhibit V**) detailing the area class work for which each team member is prequalified. This summary of area classes must indicate all area classes are provided or the team will be disqualified. If a team member's prequalification will expire prior to the due date of the SOQs, documentation must be provided which shows that the firm has submitted its application for prequalification prior to the SOQ due date. The team must maintain its prequalification certification in order to be considered eligible for award if selected. GDOT will validate the provided information in the summary; no Notice of Professional Consultant Qualifications is required.

This information is limited to 4 pages plus 1 page each for any Addenda that may be issued.

#### B. **Suitability**

1. Demonstrate Prime Consultant's understanding of the TIA program. Discuss service delivery strategies within the constraints of the TIA program. Discuss compliance with GDOT's TIA conflict of interest policy (See **Exhibit IV**).

Provide a description of Prime Consultant's non-discrimination and equal employment opportunities policies and explain plans for Utilization of Small Businesses, DBE and Veteran Owned Businesses.

This information is limited to 3 pages.

### C. Experience and Qualifications

1. Key Team Leaders - Provide experience of Key Team Leaders (defined as those individuals who oversee project areas determined as particularly important to each specific project) (refer to the Project Description in **Exhibit I**, specifically Section 3 for the list of Key Team Leaders for each Project). For each Key Team Leader identified provide:
  - a. Education.
  - b. Registration (if necessary and applicable.)
  - c. Relevant experience in the applicable resource area (on no more than three (3) of the most relevant projects).
  - d. Relevant experience utilizing GDOT specific processes, manuals, or guidance (TIA Manual, PDP, Design Policy, Environmental Procedures Manual, etc.) which are specific to the key resource area.

This information is limited to 3 pages, one page maximum for each Key Team Leader identified in Section 3 of **Exhibit I**. Respondents submitting more than one page for each Key Team Leader identified will be subject to disqualification.

2. Organization Chart – Provide an Organization Chart detailing proposed responsibilities of team members.  
This information is limited to 1 page, but may be submitted on a page up to 11” x 17” in size.

### D. Work Previously Awarded

Provide information regarding GDOT contracts awarded to the prime firm during the 18 months prior to the submittal deadline for this RFQ. Information should be provided by completing the table in **Exhibit VI**. For the convenience of responders, this form is provided in Excel format on the Georgia Procurement Registry under this RFQ advertisement.

This information is limited to 1 page.

### E. Instructions for Submittal

1. Submittals must follow the format and meet the content requirements identified above. Respondents must submit one original and five identical copies as well as an electronic version which allows for GDOT to maintain the files electronically. The original and each copy should be stapled separately. The original and copies should be bound together using a binder clip or by other similar fashion which allows the individual copies to be separated and distributed easily to Selection Committee Members. See **Attachment 1** for a summary of how the submittals should be prepared.
2. Submittals must be typed on standard (8½” x 11”) paper. One page of up to 11” x 17” is allowable for the organization chart. The pages should be numbered, however, submittal pages will be counted by section to determine compliance with page limits. Responses are limited to the page counts indicated in each section and should use a minimum of size 11 font. Double sided pages are encouraged in order to reduce the size of the submittals, but are not required. Page counts will be determined by pages with print on them, not by the physical piece of paper. For example, a piece of paper which has print on both sides, shall be considered two pages while a piece of paper with print on only one side would be considered a single page. Each Statement of Qualifications shall be prepared simply and economically as indicated above. Fancy bindings, colored displays, and promotional materials are not desired. Emphasis must be on completeness, relevance, and clarity of content.

**NOTE:** Additional pages other than what has been specified above in each section should not be included and will be grounds for disqualification.



3. Submittals must be sealed in an opaque envelope or box, and reference RFQ-484-111813TIA and the words "STATEMENT OF QUALIFICATIONS" must be clearly indicated on the outside of all of the envelopes or boxes. Statements of Qualifications must be physically received by GDOT at the exact address below prior to the deadline indicated in **III Schedule of Events**:

Georgia Department of Transportation (GDOT)  
Attention: Bobby Adams  
TIA Procurement  
One Georgia Center, 19<sup>th</sup> Floor  
600 West Peachtree Street, NW  
Atlanta, Georgia 30308

No submittals will be accepted after the time and date set for receipt. Statements of Qualifications submitted via facsimile or e-mail will be rejected. All submittals upon receipt become the property of GDOT.

**F. Questions and Requests for Clarification**

Questions about any aspect of the RFQ, or the project, shall be submitted in writing via e-mail to Bobby Adams, e-mail: badams@dot.ga.gov. The deadlines for submission of questions relating to the RFQ is the date and time shown in **III Schedule of Events**. From the issue date of this solicitation until a successful proposer is selected and the award is made official and announced, respondents are subject to the Restriction of Communication in **I.B.**

**Phase II Submittal – Finalists' Responses**

Complete submittal instructions will be provided in the Notice to Finalists. GDOT reserves the right to add more detailed evaluation criteria for Phase II than what has been presented in this RFQ.

## **VI. GDOT Terms and Conditions**

### **A. Statement of Agreement**

With the submission of a SOQ, the respondent agrees that he/she has carefully examined the Request for Qualifications, and agrees that it is the respondent's responsibility to request clarification on any issues in any section of the Request for Qualifications with which the respondent disagrees or needs clarified. The respondent also understands that failure to mention these items during the question period or in the SOQ will be interpreted to mean that the respondent is in full agreement with the terms, conditions, specifications and requirements in the RFQ. With submission of a SOQ, the respondent hereby certifies: (a) that this SOQ is genuine and is not made in the interest or on behalf of any undisclosed person, firm, or corporation; (b) that respondent has not directly or indirectly included or solicited any other respondent to put in a false or insincere SOQ; (c) that respondent has not solicited or induced any person, firm, or corporation to refrain from sending a SOQ.

### **B. Joint-Venture Proposals, Sub-Consultants, and Vendors**

GDOT does not generally desire to enter into "joint-venture" agreements with multiple firms. In the event two or more firms desire to "joint-venture", it is strongly recommended that one incorporated firm propose and maintain status as the Program Management firm with the remaining firms participating as major firms. Any joint-venture, proposed and established as a separate business entity, should have its own set of books and supporting documentation sufficient for an audit trail. Transactions should be recorded consistent with the joint-venture agreement, and care must be taken to ensure that the joint-venture bears its equitable share of the costs. Therefore, "unpopulated joint-ventures" would not have an adequate accounting system suitable for cost reimbursement contracts.

However more traditional "populated joint-ventures" are welcomed. A populated joint-venture is where an alliance is brought to life by infusing it with working capital, employees, and control systems. The alliance implements all necessary business systems, including payroll processing, purchasing, property control, etc. The alliance will develop its own indirect rate structure and calculates its own indirect cost rates, based on the direct and indirect costs it incurs.

Sub-Consultants shall generally be considered as any team member who is performing any service which typically requires prequalification, which is subject to the Audit and Accounting System Requirements, and whose services are billed as costs. Sub-Consultant Team Members must be written into the resulting Agreement and are subject to all terms and conditions in the Agreement. Vendors shall be considered as any team member who is performing any service which typically does not require prequalification, which is not subject to the Audit and Accounting System Requirements, and whose services are billed as direct expenses. Vendors may not be written into the resulting Agreement and may not be subject to all terms and conditions in the Agreement.

### **C. Audit and Accounting System Requirements**

GDOT reserves the right to reject any proposal with firms that do not meet the following requirements:

1. Firm(s) should have an accounting system in place to meet requirements of 48 CFR Part 31 and, in the case of non-profit organizations, OMB Circular A-122.
2. Any firm that currently has an aggregate contract amount exceeding \$250,000 should have submitted their yearly CPA overhead audit.
3. Firm(s) should have no significant outstanding deficient audit findings from previous contracts with GDOT that have not been resolved.
4. The prime is responsible for being reasonably assured that all sub-consultant(s) presented as a part of the proposed team are similarly in compliance with the above requirements.

### **D. Submittal Costs and Confidentiality**

All expenses for preparing and submitting responses are the sole cost of the respondent submitting the response. GDOT is not obligated to any respondent to reimburse such expenses. All submittals upon receipt become the property of GDOT. Labeling information provided in submittals as "proprietary" or "confidential", or any other designation of restricted use will not protect the information from public view. Subject to the provisions of the Open Records Act, the details of the proposal documents will remain confidential until a final award.

### **E. Award Conditions**

This request is not an offer to contract or a solicitation of bids. This request and any proposal submitted in response, regardless of whether the proposal is determined to be the best proposal, is not binding upon GDOT

and does not obligate GDOT to procure or contract for any services. Neither GDOT nor any respondent submitting a response will be bound unless and until a written contract mutually accepted by both parties is negotiated as to its terms and conditions and is signed by GDOT and a respondent containing such terms and conditions as are negotiated between those parties. Upon review of responses, GDOT will determine the respondent(s) proposal that, in the sole judgment of GDOT, is in the best interest of GDOT (if any is so determined), with respect to the evaluation criteria stated herein. GDOT then intends to conduct negotiations with such respondent(s) to determine if an acceptable contract may be reached. GDOT reserves the right to waive non-compliance with any requirements of this Request for Qualifications and to reject any or all proposals submitted in responses. GDOT reserves the right, in its sole discretion, to waive any technicalities associated with this submittal if deemed in the best interest of the State.

#### **F. Debriefings**

In lieu of Pre-Award and Post-Award debriefings, it shall be GDOT's policy to provide the "Selection Package" at the time of the Selection Announcement (also referred to as the Announcement of Entering into Negotiations). The "Selection Package" will include the scores and comments of phases for all firms who responded and will typically be provided as a PDF file and e-mailed.

#### **G. Right to Cancel or Change RFQ**

GDOT reserves the right to cancel any and all Request for Qualifications where it is determined to be in the best interest of GDOT to do so. GDOT reserves the right to increase, reduce, add or delete any item in this solicitation as deemed necessary.

It is the responsibility of all firms interested in submitting Statement of Qualifications (SOQs) for this advertisement to routinely check the posting on the Georgia Procurement Registry for any revisions to this RFQ.

#### **H. Substitutions, Alternates, Exceptions, and Extensions**

No substitutions or alternates will be accepted for this solicitation. Any respondent submitting substitutions or alternates will be considered non-responsive and will not be considered for award.

#### **I. GDOT Code of Conduct Pertaining to Conflict of Interest in the Award and Administration of Contracts**

Pursuant to GDOT Policy 3A-17, any GDOT employee who leaves the employment of GDOT and subsequently becomes employed with a consultant firm and whose duties while employed with GDOT included the direct involvement with the negotiation, administration, or management of a contract in which the firm is either the primary consultant or a sub-consultant **SHALL NOT** be authorized to work on that contract as an employee of that firm for a period of one (1) year after their employment ends.

Additionally, on July 1st of each year, any consultant firm that is under contract with GDOT as a prime or sub consultant shall provide to GDOT's Procurement Administrator a current list of all former GDOT employees employed by the firm and a document that certifies the responsibilities of those employees as it relates to the current contracts with GDOT. This certification document shall attest to the fact that over the last year no former GDOT employee that is employed by their firm has worked on a contract between GDOT and their firm where that employee, when employed by GDOT, had direct involvement with the selection, award and/or administration of the consultant contract. Any consultant firm entering into a contract with GDOT for the first time as a prime or sub consultant shall provide the initial required list of former Department employees and certification prior to the contract effective date. If GDOT's Procurement Administrator determines at any point during a contract that an actual conflict exists as it relates to the above paragraph, then the Procurement Administrator shall have the authority to issue a stop work order on that contract.

**EXHIBIT I**

## 1. Required Area Classes:

Prime Consultants are defined as the firm submitting the Statement of Qualifications and the firm with whom GDOT will contract. The Team is defined as the Prime Consultant and their sub-consultants, who are considered team members. The Prime Consultant must be prequalified in the Area Classes identified below in Section 2.A. The Prime Consultant or sub-consultant team members must be prequalified in the Area Classes identified below in Section 2.B. Respondents should submit a summary form (example provided in **Exhibit V**) which details the required area classes for the Prime Consultant and all sub-consultants on the team listed in the Statement of Qualifications. The area classes listed on the summary form must meet all required area classes or the team will be disqualified. The Prequalification Expiration Date must be current by the deadline stated for this RFQ.

A. The **Prime Consultant** **MUST** be prequalified by GDOT in the Environmental area classes or Roadway Design area classes as listed below:

**OR**

Number	Area Class
1.06(a)	NEPA

Number	Area Class
3.01	Two-Lane or Multi-lane Rural Roadway Design
3.02	Two-Lane or Multi-lane urban Roadway Design
3.03	Multi-Lane Urban Roadway Widening and Reconstruction
3.04	Multi-lane Rural Interstate Limited Access Design
3.05	Multi-lane Urban Interstate Limited Access Design

B. The **Team** (either the Prime Consultant and/or one or more of their sub-consultant team members) **MUST** be prequalified by GDOT in the area classes listed below:

Number	Area Class
1.06(a)	NEPA
1.06(b)	History
1.06(c)	Air Quality
1.06(d)	Noise
1.06(e)	Ecology
1.06(f)	Archaeology
1.06(g)	Freshwater Aquatic Surveys
1.07	Attitude, Opinion, and Community Value Studies (Public Involvement)
1.10	Traffic Analysis
3.01	Two-Lane or Multi-lane Rural Roadway Design
3.02	Two-Lane or Multi-lane urban Roadway Design
3.03	Multi-Lane Urban Roadway Widening and Reconstruction
3.04	Multi-lane Rural Interstate Limited Access Design
3.05	Multi-lane Urban Interstate Limited Access Design
3.06	Traffic Operations Studies
3.07	Traffic Operations Design
3.09	Traffic Control Systems Analysis, Design and Implementation
3.12	Hydraulic and Hydrological Studies (Roadway)
3.15	Highway Lighting
4.01	Minor Bridge Design
4.02	Major Bridge Design
4.04	Hydraulic and Hydrological Studies (Bridges)
5.01	Land Surveying
5.02	Engineering Surveying
5.06	Topographic Remote Sensing
5.08	Overhead/Subsurface Utility Engineering (SUE)
6.01(a)	Soil Survey Studies
6.02	Bridge Foundation Studies
6.03	Hydraulic and Hydrologic Studies (Soils & Foundation)
6.05	Hazardous Waste Site Assessment Studies
8.01	Construction Engineering and Supervision
9.01	Erosion, Sedimentation, and Pollution Control Plan

2. Scope:

Under the terms of this Agreement, the selected consultants will provide professional services for Architectural and Engineering (A&E) Design and other engineering services for the Department under limited supervision and on an "On Call" basis. The Scope of Services for the various Task Orders may include, but are not limited to the following items:

- a. Preparation of Public Hearing and/or Public Information Meeting Displays and Materials
- b. Preparation of Mapping and Property Database
- c. Hydrologic and Hydraulic Analysis and Design of Hydraulic Systems
- d. Environmental Services including Development of Environmental Documents
- e. Preliminary Roadway Design and Plans
- f. Preliminary Bridge Design and Plans
- g. Right-of-Way Plans
- h. Field Stakeout
- i. Miscellaneous Engineering Designs and Plans
- j. Final Roadway Design and Plans
- k. Final Bridge Design and Plans
- l. Geotechnical Services
- m. Preparation of Supplemental Specifications and Special Provisions:
- n. Cost Estimating
- o. Subsurface Utility Engineering (S.U.E)
- p. Roundabouts
- q. Bridge/Lighting/Other Shop Drawing Reviews
- r. Construction Engineering and Inspection

3. Related Key Resources:

- A. Contract Project Manager/Task Order Coordinator
- B. Roadway Design
- C. Environmental

**EXHIBIT II**  
**CERTIFICATION FORM**

I, \_\_\_\_\_, being duly sworn, state that I am \_\_\_\_\_ (title) of \_\_\_\_\_ (firm) and hereby duly certify that I have read and understand the information presented in the attached proposal and any enclosure and exhibits thereto.

**Initial each box below indicating certification.** The person initialing must be the same person who signs the Certification Form. (If unable to initial any box for any reason, place an "X" in the applicable box and attach a statement explaining the non-certification. The Department will review and make a determination as to whether or not the firm shall be considered further or disqualified). Any attachments required WILL NOT be counted against the submittal page limitation.

I further certify that to the best of my knowledge the information given in response to the Request for Qualifications is full, complete and truthful.

I further certify that the submitting firm and any principal employee of the submitting firm has not, in the immediately preceding five (5) years, been convicted of any crime of moral turpitude or any felony offense, nor has had their professional license suspended, revoked or been subjected to disciplinary proceedings, nor is any team members/principals currently under indictment for any reason related to actions on public infrastructure projects.

I further certify that I understand that Firms included on the current Federal list of firms suspended or debarred are not eligible for selection and that the submitting firm has not, in the immediately preceding five (5) years, been suspended or debarred from contracting with any federal, state or local government agency, and further, that the submitting firm is not now under consideration for suspension or debarment from any such agency.

I further certify that the submitting firm has not in the immediately preceding five (5) years been defaulted in any federal, state or local government agency contract and further, that the submitting firm is not now under any notice of intent to default on any such contract, nor has been removed from a contract or failed to complete a contract as assigned due to cause or default.

I further certify that the firm or any affiliate(s) has not been involved in any arbitration, litigation, mediation, dispute review board or other dispute resolution proceeding with a client, business partner, or government agency in the last five years involving an amount in excess of \$500,000 related to performance on public infrastructure projects.

I further certify that there are not any pending regulatory inquiries that could impact our ability to provide services if we are the selected consultant.

I further certify that there are no possible conflicts of interest created by our consideration in the selection process or by our involvement in the project.

I further certify that the submitting firm's annual average revenue for the past five (5) years is sufficient to allow the services to be delivered effectively by our firm and that there are no trends in the revenue which may be concerning other than normal market fluctuations.

I further certify that in regards to Audit and Accounting System Requirements, that the submitting firm:

- I. Has an accounting system in place to meet requirements of 48 CFR Part 31 and, in the case of non-profit organizations, OMB Circular A-122.
- II. Has submitted its yearly Certified Public Accountant overhead audit if it currently has an aggregate contract amount exceeding \$250,000.
- III. Has no significant outstanding deficient audit findings from previous contracts with GDOT that have not been resolved.
- IV. Is responsible for being reasonably assured that all sub-consultant(s) presented as a part of the proposed team are similarly in compliance with the above requirements.

I acknowledge, agree and authorize, and certify that the proposer acknowledges, agrees and authorizes, that GDOT may, by means that either deems appropriate, determine the accuracy and truth of the information provided by the proposer and that the GDOT may contact any individual or entity named in the Statement of Qualifications for the purpose of verifying the information supplied therein.

I acknowledge and agree that all of the information contained in the Statement of Qualifications is submitted for the express purpose of inducing the GDOT to award a contract.

*A material false statement or omission made in conjunction with this proposal is sufficient cause for suspension or debarment from further contracts, or denial or rescission of any contract entered into based upon this proposal thereby precluding the firm from doing business with, or performing work for, the State of Georgia. In addition, such false statement or omission may subject the person and entity making the proposal to criminal prosecution under the laws of the State of Georgia of the United States, including but not limited to O.C.G.A. §16-10-20, 18 U.S.C. §§1001 or 1341.*

Sworn and subscribed before me

This \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

\_\_\_\_\_  
NOTARY SEAL

**EXHIBIT III**

**GEORGIA SECURITY AND IMMIGRATION COMPLIANCE ACT AFFIDAVIT**

Solicitation No. : **RFQ-484-111813TIA**

Solicitation Name: **TIA Delivery Services**

Respondent's Name: \_\_\_\_\_

**STATE OF GEORGIA  
CONSULTANT AFFIDAVIT**

By executing this affidavit, the undersigned Consultant verifies its compliance with O.C.G.A. §13-10-91, stating affirmatively that the individual, firm, or corporation which is contracting with the Georgia Department of Transportation has registered with, is authorized to participate in, and is participating in the federal work authorization program commonly known as E-Verify,\* in accordance with the applicable provisions and deadlines established in O.C.G.A. 13-10-91.

The undersigned Consultant further agrees that it will continue to use the federal work authorization program throughout the contract period and, should it employ or contract with any subconsultant(s) in connection with the physical performance of services pursuant to this contract with the Georgia Department of Transportation, Consultant will secure from such subconsultant(s) similar verification of compliance with O.C.G.A. § 13-10-91 on the Subconsultant Affidavit provided in Rule 300-10-01-.08 or a substantially similar form. Consultant further agrees to maintain records of such compliance and provide a copy of each such verification to the Georgia Department of Transportation at the time the subconsultant(s) is retained to perform such service.

\_\_\_\_\_  
EEV / E-Verify™ User Identification Number

\_\_\_\_\_  
Date of Authorization

\_\_\_\_\_  
BY: Authorized Officer or Agent  
(Contractor Name)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title of Authorized Officer or Agent of Consultant

\_\_\_\_\_  
Printed Name of Authorized Officer or Agent

SUBSCRIBED AND SWORN  
BEFORE ME ON THIS THE

\_\_\_\_ DAY OF \_\_\_\_\_, 201\_

[NOTARY SEAL]

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

\*or any subsequent replacement operated by the United States Department of Homeland Security or any equivalent federal work authorization program operated by the United States Department of Homeland Security to verify information of newly hired employees, pursuant to the Immigration Reform and Control Act of 1986 (IRCA), P.L. 99-603.

**EXHIBIT IV****Transportation Investment Act of 2010  
Consultant Services Conflict of Interest Policy**Background/ Purpose

The Georgia Department of Transportation (GDOT) shall be employing services from qualified firm(s) or organization(s) for the implementation of the Transportation Investment Act of 2010 (TIA). The TIA program includes numerous projects to be designed and built in designated special districts under a management structure that involves the use of multiple private consulting firms in a variety of management and project delivery positions. Much of the work to be performed by the private consulting firms may extend into coordination, reporting, oversight and management of fiscal, technical, real estate, third party coordination, and other disciplines with varying levels of assistance from GDOT and other local agencies. The size of the program makes it more likely that individual firms will work in multiple special districts and may have preexisting work, local knowledge, or complex relationships that could appear to be prejudicial to their ability to act in an impartial manner. The activity level of the work in the TIA program may be on a large scale at particular times, making coincidental and inadvertent conflicts more likely.

While there are existing statutory and administrative regulations for State agencies regarding conflicts of interest which shall continue to govern the actions of GDOT (*a non exclusion list of key regulations are listed below*), the importance of the State's need to effectively manage and implement the TIA program necessitates that all parties recognize that conflicts may be more likely in this program, and that there be increased reasonable efforts to prevent, mitigate and, where feasible, remedy conflicts to the fullest extent possible.

Non-Exclusive List of Regulations and Other Prescriptive Information regarding Conflict of Interest

- O.C.G.A 45-10-(1 through 24)
- FTA Procurement Circular 4220.1F
- 49 CFR 18.36(b)(3)
- 24 CFR Part 85, Section 85.36(b)(3)

GDOT Policy in Soliciting and Administering Consulting Services for TIA

1. In soliciting consulting services, a responsibility shall be placed on the firm by the State to proactively identify and divulge to the State any known or discovered potential conflicts, both direct and indirect, and/or appearances of conflicts. The same responsibility shall carry forward, contractually, throughout the services provided to the State and/or local government. The State may take actions up to and including rendering firms non-responsive, and/or dismissal or disqualification when it determines firms have not been forthcoming. Upon being selected for services, consulting firms will be required to complete a Conflict of Interest Disclosure form prior to execution of the contract.
2. The State shall at all times reserve the right to judge/declare conflicts of interest in the program, and may take actions that it deems appropriate to eliminate conflicts of interest, to the extent allowable by law. For the TIA program, these actions may include warning to firms prior to services, interaction with firm and allowance of remedy, and/or immediate dismissal of the firm's services. At no time shall a firm be allowed to continue services when known conflicts are present, without such actions being taken.
3. The State shall endeavor, in its actions concerning firm conflicts of interest, to be reasonable, consistent, and act in good faith in issuing notices, warnings, allowances of remedy, disqualifications, dismissals, and declarations of conflict of interest. Where a conflict(s) is identified by a firm, or where the State becomes aware of a conflict, it should be immediately reported and the firm must submit by affidavit a detail course of action that it shall take to remedy any identified conflict(s). A Conflict Committee of qualified persons shall be established, with members designated by the GDOT Commissioner, which will include appropriate State legal staff. The Conflict Committee will then determine whether the firm's proposed course of action for remedy is accepted or rejected or may cause actions resulting in dismissal in services currently being performed. In their evaluation of services being procured, Selection Committees for the procurements may make determinations in clear conflict cases, however they will be instructed to forward these

determinations and any discovered "apparent" conflicts or questionable areas to the Conflict Committee for judgment and record.



Requirements concerning Conflict of Interest

1. The requirement that no contracting agency employee who participates in the procurement, management, or administration of contracts or subcontracts shall have, directly or indirectly, any financial or other personal interest in connection with such contract or subcontract.
2. The requirement that no person or entity performing services for a contracting agency in connection with a project shall have, directly or indirectly, any financial or other personal interest, other than employment or retention by the contracting agency, in any contract or subcontract in connection with such project.
3. The requirement that no person or entity performing services for a contracting agency in connection with a project shall have, directly or indirectly, any financial or other personal interest in any real property acquired for the project.
4. The requirement for appropriate organizational conflicts of interest provisions which address allowable roles and responsibilities associated with the procurement, management, and administration of contracts.

Areas of Potential Conflicts

1. Persons (officers or employees of private consulting firms) having a position of influence, financial interest or other interest in any other private business that provides goods or services for projects where that interest may be in direct conflict with the best interest of the project.
2. Persons associated with officers or employees of private consulting firms as described in subparagraph (1) above that may have a position of influence, financial or other interest in any other private business that provides goods or services. Such persons may be relatives, partners or those having a position of influence, financial or other interest in the private engineering firm. Employees and their immediate family members of GDOT or impacted local government who are in a position of influence for a project may not have any such a relationship with a participating firm.
3. Real Estate Conflicts relating to TIA projects that fall under the umbrella of the particular contract under procurement.
4. Impartiality of the Program Manager in administering the work. The Program Manager (Lead firm) shall have no position of influence, or financial or other interest in any consulting firm employed by the State or local government for the implementation or execution of any phase of any TIA project(s) on the Approved Investment List(s) within a special district.
5. Impartiality of any other team member (sub-consultant). The program management team shall maintain the highest level of transparency and accountability; therefore, at GDOT's discretion, sub consultants may be excluded from participation on any team for future TIA projects on the Approved Investment List(s) within a special district during the life of this contract. Such exclusions may be warranted in the event the presence of the contracted team member might provide an unfair advantage to a proposing team or teams for an advertised TIA project on the Approved Investment List(s) within a special district contract or present other conflicts.
6. Procurement activities. The Program Manager and their sub-consultants will not be allowed to be voting members of any qualifications-based evaluations and selection of project delivery activities for the TIA projects on the Approved Investment List(s) within a special district, other than to provide impartial assistance and facilitation of the procurement process.

### EXHIBIT V Area Class Summary Example

Respondents should complete a table similar to the below and indicate by placing an “X” in the appropriate column indicating the firm which meets each required area class for each specific project with particular emphasis on the area classes which the Prime must hold as well as the sub-consultants. Particular attention should be paid to the date that consultant’s prequalification certificate expires.

Firm Name	Prequalification Expiration Date	1.06(a)	1.06(b)	1.06(c)	1.06(d)	1.06(e)	1.06(f)	1.06(g)	1.07	1.10	3.01	3.03	3.04	3.05	3.06	3.07	3.09	3.12	3.15	4.01	4.02	4.04	5.01	5.02	5.06	5.08	6.01(a)	6.02	6.03	6.05	8.01	9.01
Enter Prime Here																																

### EXHIBIT VI

**Work Previously Awarded by GDOT to Prime for Previous 18 months prior to month of RFQ Due Date**

**RFQ #:** RFQ-484-111813TIA

**RFQ Due Date:**

11/18/2013

**INSTRUCTIONS:** List all contracts, including task orders, awarded within the last 18 months. Fill in the execution dates and columns A through C for each contract. For IDIQ Contracts (task orders), list the contract once and provide the total amount awarded via all task orders. Insert rows as necessary in order to list all contracts awarded to Firm for last 18 months.

<b>Prime Consultant:</b>	
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GDOT Contract #	Execution Date	Contract Award Amount (A)	Amount of Contract Performed by Sub-Consultants (B)	Net Prime Award Amount (C = A - B)
<b>Totals:</b>		\$0.00	\$0.00	\$0.00

**ATTACHMENT 1**

**Submittal Formats for GDOT Engineering Projects**

	<b># of Pages Allowed</b>
Cover Page	1
A. Administrative Requirements	
1. Basic Company Information	1
a. Company name	
b. Company Headquarter Address	
c. Contact Information	
d. Company Website	
e. Georgia Addresses	
f. Staff	
g. Ownership	
2. Notarized Certification Form ( <b>Exhibit II</b> ) for Prime	1
3. Notarized Georgia Security and Immigration Compliance Act Affidavit ( <b>Exhibit III</b> )	1
4. Signed Cover Page of any Addenda Issued	1 (each addenda)
5. Area Class Table	1
B. Suitability	3
1. Understanding of TIA Program	
2. Small Business and DBE Utilization	
C. Experience and Qualifications	
1. Key Team Leader	3 (1 each)
a. Education	
b. Registration	
c. Relevant experience in applicable resource area	
d. Relevant experience using GDOT specific processes, etc.	
2. Organization chart	1
D. Work Previously Awarded Table	1

**Total pages submitted shall not exceed 13 pages plus 1 page each for any Addenda that may be issued.**