HUNTS POINT INTERSTATE ACCESS IMPROVEMENT PROJECT- CONTRACT 2

DESIGN-BUILD PROJECT

PIN X731.64, D900051

REQUEST FOR QUALIFICATIONS
GENERAL INSTRUCTIONS

January 15, 2020
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1.0 INTRODUCTION AND GENERAL INFORMATION

This Request for Qualifications ("RFQ"), issued by the New York State Department of Transportation (the “Department”), seeks Statements of Qualifications (SOQs) from qualified firms (“Proposers”) interested in performing design, construction, quality control, construction inspection and other identified activities for the Project.

The Project involves Design-Build services for the Project as described in Appendix A.

This RFQ is issued pursuant to the Department’s authority under the Infrastructure Investment Act (the Act). The Act authorizes the Department and other specified authorized state entities to use Design-Build contracts for capital projects related to the state’s physical infrastructure, subject to the requirements set forth in the Act. This RFQ will be the mechanism by which a short list of Design-Build firms will be established. At the Department’s discretion, anywhere from three (3) to five (5) firms may be short-listed.

The Department seeks Proposers who are qualified and prepared in all respects to undertake the complete design and construction of the Project. SOQs will only be accepted from Proposers intending to provide all required services for the Project. The Department will not consider responses from firms not offering to provide all required services.

This RFQ is the first step of a two-step best value procurement process. In order to be invited to proceed to the second step of the procurement process, which is responding to a Request for Proposals (RFP), a Proposer must provide a timely response to this RFQ and be shortlisted by the Department for the Project as described herein.

1.1 ABBREVIATIONS AND DEFINITIONS

Refer to Appendix D for abbreviations and definitions of terms used in this RFQ.

1.2 PROJECT GOALS

The Department’s general goals and objectives for the Project are to:

1) Ensure a long-service life for all Project elements to satisfy long term preservation goals.
2) Ensure the safety of the traveling public.
3) Maximize the impact of the public investment in the Project by:
   a) Providing cost-effective solutions.
   b) Sequencing construction to minimize effects on vehicular traffic operations;
   c) Reducing future maintenance requirements; and
   d) Minimizing impacts on the environment.
4) Deliver the Project safely, on schedule and within budget.
5) Ensure coordination with all utility owners, third parties and Project stakeholders and any adjacent construction projects.
6) Provide best value to the Department.
7) Provide improved operational efficiencies in and around the project area.
1.3 ROLE OF THE DEPARTMENT

In the context of the Project, the Department is responsible for:

A) Obtaining the appropriate environmental clearances and other permits as detailed in the RFP, except those specifically assigned to the Design-Builder;

B) Overall Project administration;

C) Contract procurement and administration;

D) Preparation of the RFQ and RFP, evaluation of SOQs and Proposals, determination of Short-Lists and selection of the Best Value Design-Builder for the Project;

E) Identification of the Department’s Designated Project Manager for the Project as the point of contact for all communication during the design and construction phase;

F) Quality Assurance Oversight and audit of the Design-Builder’s design and construction activities, including Quality Assurance and Verification Sampling and Testing;

G) Independent Assurance;

H) Providing information for inclusion in the RFP allowing Proposers to adequately prepare their Proposals;

I) Providing, if necessary, for rights-of-way and easements identified in the RFP;

J) Assisting in securing, if necessary, agreements with utility companies, utility owners and other third parties;

K) Final acceptance of the Work and payment for Work performed; and

L) D/M/WBE program oversight and compliance review.

At the Department’s sole discretion, the Department may use consultants, retained by the Department, to fulfill one or more of the responsibilities noted in this Section 1.3, provided that the Department will be responsible for overseeing the performance of any such consultants.

1.4 PROJECT DESCRIPTION, DESIGN-BUILDER RESPONSIBILITIES AND PROJECT STATUS

This RFQ is being issued concurrently with the process of development and review of the final scope of work for the Project. Any Work described herein is subject to adjustment as a result of the process.

Nothing contained in this RFQ is intended to modify, limit or otherwise constrain the process or commit the Department, or any other entity, to undertake any action with respect to the Project, including selection of a Design-Builder or the design and construction of the Project.

The Department is conducting a study to determine if a Project Labor Agreement (PLA) is warranted on this project.

Refer to Appendix A for a description of the Project and information regarding the Proposer’s responsibilities and other information regarding the status of the Project.

1.5 PROJECT SCHEDULE

The anticipated Project Schedule is described in Appendix A.
1.6 CONTRACT TYPE

The Contract will be lump sum Design-Build contract.

1.7 PAYMENT AND LIQUIDATED AND/OR GENERAL DAMAGES

The Contract will provide for a method of periodic payments. A description of the method of periodic payment will be provided in the RFP.

The Contract may include provisions for the assessment of liquidated damages for failure to meet interim milestones, deadlines or provisions. If so, details will be provided in the RFP.

1.8 GOVERNING LAW

The laws of the United States and the State of New York govern the RFQ, RFP and the Contract.

1.9 QUALITY ASSURANCE/QUALITY CONTROL

The Contract Documents place a significant responsibility on the Design-Builder for the quality of the project. The Design-Builder will be performing quality management activities under a definition of Quality Control (QC) that encompasses traditional quality control and certain activities traditionally performed as quality assurance by the Department, and the Department’s Quality Assurance (QA) role may therefore exclude such activities. The Design-Builder will have responsibility for the quality of the Work conducted and materials utilized under the Contract. Proposers are to be thoroughly knowledgeable with the quality requirements of the Contract and the role and responsibility of the Design-Builder prior to preparing their Technical Proposals and Price Proposals, and if selected, execution of their responsibilities within the Project’s Quality Control Program.

The Design-Builder will be required to plan, implement, and provide a Quality Control Plan for both design and construction.

The Design-Builder's Quality Control Plan must follow the requirements of 23 CFR Part 637 and the Contract Documents. In addition, the Design-Builder's Quality Control Plan shall follow the Design and Construction Quality Control Plan Format provided in the RFP. The Department will review and approve the Design-Builder’s Quality Control Plan to assure that it meets the guidelines and minimum requirements established by the Department. The Design-Builder shall maintain ownership of the Plan, shall be fully responsible for its execution, and shall maintain sole responsibility for the quality of the Work. As part of the acceptance procedure, the Department will conduct verification sampling and testing of material testing, as well as conduct audits, in-depth inspections, and reviews of Work to ensure workmanship, and that in-process and completed Work, meets contract requirements.

The Design-Builder will be required to have, as part of the Design-Build Team, a Quality Manager who will be responsible for the oversight of the preparation of the Quality Control Plan, and direct supervision of the implementation of the Quality Control Plan, and for ensuring its compliance for both design and construction. This individual shall be a direct report to senior management of the Design-Builder, and will not directly report to the Design-Builder's Project Manager.
For design, the Quality Manager shall ensure that the design firm on the Design-Build Team implements the quality control procedures specified in the Design-Builder’s Quality Control Plan for design activities.

For construction, the Design-BUILDER will be required to have, as part of the Design-Build Team, a Professional Engineering Firm to perform Construction Inspection, and a Materials Testing Firm or Laboratory to sample and test materials as specified in the Quality Control Plan and/or as required by the project specifications. The Professional Engineering Firm performing Construction Inspection and the Materials Testing Firm or Laboratory may be the same company or separate companies, but in either case, the Professional Engineering Firm performing Construction Inspection and the Materials Testing Firm or Laboratory must be independent of the Designer(s), Constructor(s) and any of the Principal Participants or any party with an equity interest, that are included in the Proposer’s proposed team. In addition, the Professional Engineering Firm performing Construction Inspection and the Materials Testing Firm or Laboratory shall not be an equity participant on the Design-Build Team.

The Professional Engineering Firm performing Construction Inspection will be required to inspect all construction operations and perform construction quality control of the Design-BUILDER for conformance to the Design-Build plans, specifications, the Quality Control Plan and the Contract requirements. They will also act as a field review component during design and construction as plans are being developed to ensure that the plans and specifications the Designer is providing are constructable for the conditions found in the field. The Professional Engineering Firm’s inspection, measurement, and testing activities must adhere to, and be in accordance with, all of the requirements set forth in NYSDOT Policies, manuals, engineering bulletins, engineering instructions, the Contract documents, and the Quality Control Plan.

Unless otherwise modified in the RFP, the Department will furnish at its own expense, off-site Quality Assurance, including, inspections and testing of steel, cement, asphalt, concrete and asphalt aggregates, concrete sewer and drainage pipe, and such other materials as are customarily tested by Department forces or by separate contracts. Those items that will be tested by the Department will be described in the RFP.

The Materials Testing Firm or Laboratory shall report to and support the Construction Inspection Professional Engineering Firm.

The Construction Inspection Professional Engineering Firm shall report to the Design-Build Quality Manager and shall coordinate with the Department’s Quality Assurance Engineer.

The Professional Engineering Firm providing construction inspection will enforce the specifications and identify in a timely manner local conditions, methods of construction, errors on the plans, or defects in the work or materials which would conflict with the quality of work required, or compromise the successful completion of the project.

All records must be kept in accordance with the Manual of Uniform Record Keeping (MURK) and the Contract requirements. The Construction Inspection Professional Engineering Firm must take all measurements and collect all other pertinent information necessary to prepare a project diary describing the progress of the work, specific problems encountered, daily inspection reports, survey notes, photographic and video records of various phases of construction, and other pertinent data, records and reports which may be required by MURK or the Contract. The Construction Inspection Professional Engineering Firm will be required to prepare the above mentioned project diary and daily inspection reports using the NYSDOT SiteManager Program. Access to the SiteManager Program will be provided by the Department.
The Department will establish and maintain its own Quality Assurance organization and/or utilize an independent Quality Assurance organization to conduct verification sampling and testing on material testing, oversee and/or perform quality audits, in-depth inspections of the Design-Builder’s management, design, construction and any other Project activities, the Design-Builder’s Quality Control procedures and verify the quality of the final product. The Department may utilize independent Consultants to perform design and/or construction Quality Assurance of the Design-Builder's Work.

If the Department should process solicitations for design and/or construction Quality Assurance contracts, a Firm may be included in proposals for the Design-Build contract and submit proposals for the Quality Assurance contracts. However, any Firm that is on the selected Design-Build Team will automatically be removed from consideration for the Quality Assurance contracts.

No Construction shall begin nor shall payments be made before the Design-Builder's Quality Control Plan is approved by the Department.

1.10 INSURANCE, BONDING, LICENSING AND SECURITIES

Details regarding insurance requirements for the selected Proposer will be specified in the RFP. The Department will require the selected Proposer to provide evidence of insurance by certified copy of complete policy or policies endorsed.

Each Proposer submitting a Proposal will be required to provide a bid deposit or other form of security acceptable to the Department, as specified in the RFP. The selected Proposer will be required to provide a Faithful Performance and Labor and Material Bonds and/or other security acceptable to the Department as provided in the RFP.

Prior to Contract execution, all Persons participating in the procurement and/or the Contract must obtain all certificates of authorization, licenses and permits and take all necessary steps to conduct business in the State of New York and perform the Work required under the Contract, including proposing and carrying out a contract consistent with the laws of the State of New York.

1.11 RULES OF CONTACT

The following rules of contact shall apply during the Contract procurement process, which began upon issuance of the RFQ and will be completed with the execution of the Contract. The rules are designed to promote a fair, unbiased, legally defensible procurement process. Contact includes face-to-face, telephone, e-mail or formal written communication.

The specific rules are as follows:

A) Potential responders are advised that under New York State Finance Law Section 139-j, communication on procurements can be made only with designated contact persons. The Department’s Designated Representative for this procurement is specified in Appendix A.

The Department’s Designated Representative shall be the Department’s single point of contact and source of information for this procurement;

B) After the Short-List is announced, neither a Proposer nor any of its team members may communicate with another Proposer or members of another Proposer’s team with
regard to the Project or the Proposals. However, subject to the limitations in the ITP Section 1.8.3 of the RFP, a Proposer may communicate with a Subcontractor that is on both its team and another Proposer’s team, provided that each Proposer has obtained a written certification from the Subcontractor that the Subcontractor will not act as a conduit of information between the teams. Proposers shall provide the Department’s Designated Representative with all required written certifications received from its subcontractors at time of SOQ submission;

C) Contact between each Proposer and the Department (questions and responses to questions) shall only be through the Department’s Designated Representative;

D) Unless otherwise specifically authorized by the Department, or in this RFQ, a Proposer may contact the Department only through the Department’s Designated Representative and only in writing by e-mail. The Proposer’s contacts with the Department shall only be through a single representative authorized to bind the Proposer;

E) Communications between a Proposer and the Department’s team of staff and consultants is allowed during any joint workshops and meetings organized by the Department;

F) Neither a Proposer nor its agents may contact employees of the Department or consultants under contract with the Department for this Project, including staff members, members of any SOQ evaluation committee and any other person who will evaluate SOQs, regarding the Project, except through the process identified above;

G) Any contact by a Proposer determined to be improper may result in disqualification of the Proposer and result in any other remedy under the Procurement Lobbying Law.

H) The Department will not be responsible for or bound by: (1) any oral communication, or (2) any other information or contact that occurs outside the official communication process specified herein, unless confirmed in writing by the Department’s Designated Representative.

I) Neither a Proposer nor its agents may contact any Federal or State official, or stakeholder staff regarding the Project. Stakeholder staff includes employees of:
   1) FHWA; and
   2) State and federal agencies engaged in the Project or otherwise having jurisdiction over the Project.

Information regarding the Project will be posted on the Department’s Project web site.

Proposers are advised to monitor the web site regularly. The Department is not obligated to notify potential proposers of posted information, including Addenda, to the RFQ and/or the RFP.

1.12 PROPOSER QUESTIONS

The Department will consider questions submitted in writing by Proposers regarding the RFQ, including requests for clarification and requests to correct errors, but reserves the right to determine whether to respond. All such requests must be submitted in writing by e-mail to the Department’s Designated Representative.

Only written requests by e-mail will be considered. No oral requests will be accepted. No requests for additional information or clarification to any other Department office, Consultant, employee or the FHWA will be considered. All responses to Proposer questions on the RFQ will
be disseminated only by posting on the Department’s web site. Responses will not indicate which Proposer raised particular questions. Responses to questions will not be mailed out.

Only questions received by 12:00 P.M. (Noon) Eastern Time on the date specified in Appendix A will be addressed.

Questions must include the requestor’s name, address, telephone number and e-mail address, and the Proposer that he/she represents.

For the sake of clarity, the Department may consolidate or rewrite questions, and may post multiple sets of questions and answers. The last response will be posted on the Department’s web site on the date indicated in the procurement schedule in Appendix A.

1.13 RFQ ADDENDA

If necessary, the Department will issue addenda to modify conditions or requirements of this RFQ. Addenda will be disseminated only by posting on the Department’s web site. Addenda will not be mailed out. Proposers are advised to visit the Department’s web site regularly to check for addenda. The final addendum will be posted on the Department’s web site not later than seven (7) calendar days prior to the SOQ Due Date. If an additional addendum is required within seven (7) days of the SOQ due date, the SOQ Due Date shall be revised such that there will be seven (7) days or greater from the final addendum to the SOQ due date.

It is anticipated that the Department may also use the Department’s web site to present general market-related inquiries and to receive replies to these inquiries from industry practitioners. These general questions-and-answers would not form part of the SOQ process for the Project, and any replies received would not be included within the SOQ evaluation for any Proposer.

1.14 NOTIFICATION OF FIRMS ON THE SHORT-LIST

Each Proposer will be notified officially in writing whether or not it has been selected for the Short-List. The Short-List will be posted on the Department’s web site after all short-listed firms have been notified. Notifications may be expected no later than the date specified in Appendix A.

1.15 COSTS

Proposers are solely responsible for all costs and expenses of any nature associated with responding to this RFQ, including preparing an SOQ, attending any briefing(s), workshop(s) or meeting(s), and/or providing supplemental information.

1.16 ORGANIZATIONAL AND CONFIDENTIALITY REQUIREMENTS

Only prospective Proposers who are capable of completing the Project in its entirety will be considered eligible to be included in the Short-List; and

Proposer organizations, including Principal Participants, Constructor(s), Designer(s), Construction Inspection Professional Engineering Firm(s), Materials Testing Firm(s) or Laboratory(Laboratories), and Key Personnel identified in the SOQs submitted by Proposers must remain intact for the duration of the procurement process and the subsequent Contract. A shortlisted Proposer may propose substitutions for participants; however, such changes will require written approval by the Department. Approval may be granted or withheld in the
Department's sole discretion. During the RFP phase, requests for changes to the Proposer’s organization must be made in writing no later than the date listed in the procurement schedule in the RFP Instructions to Proposers. Requests by shortlisted Proposers for changes in any of the Principal Participants or Design-Build Team will be particularly scrutinized. The Proposer should carefully consider the make-up of its team, prior to the submittal of the SOQ, to reduce the likelihood of occurrence of any such changes during the Proposal period and throughout the term of the Contract.

The Key Personnel identified in the Statement of Qualifications (SOQs) have standing both in qualifying the team for short-listing and in contributing to the Team’s Quality Evaluation Factor score in the evaluation of their Project proposal, which could lead to their Selection of Best Value Proposal. Therefore, it is imperative that the Key Personnel remain intact not only throughout the procurement process, but for the duration of the Project until Project Completion. Failure to maintain Key Personnel, identified in a Proposer’s Proposal, throughout the duration of the Project shall result in a Key Personnel Change Assessment Fee in the amount of $15,000 for each Key Personnel position substitution, regardless of whether the Department accepts the alternate personnel as equal or better.

The Key Personnel identified in the SOQs are considered important to the success of the Project. Individuals serving in certain Key Personnel positions are not permitted to serve the same or even different Key Personnel positions on other ongoing Department Design-Build projects or Design-Build pursuits. Additionally, unless specifically permitted by the SOQ, Key Personnel may not appear in the SOQ submission of more than one team. Key Personnel positions which have full-time project commitments shall not serve on more than one ongoing Department Design-Build Project at the same time. If unsuccessful in being short-listed, or unsuccessful in being selected as Best Value or if the time commitment requirement for the previous project has been met, or will be met at the time of SOQ submission, then those Key Personnel are available for other Design-Build solicitations. Confirmation of such completion of work has to be verified by the existing Department’s Project Manager for that project with supporting documentation included with the SOQ submission. This information shall be based on an accurate project schedule update demonstrating how the ongoing Key Personnel commitment has concluded or will conclude no later than the proposal due date for the current project pursuit, and shall be provided by the proposers to the designated representative at time of SOQ submission. Proposers, who fail to comply with these restrictions risk being disqualified from this procurement.

Proposers that make changes to the Principal Participants, Constructor(s), Designer(s), Construction Inspection Professional Engineering Firm(s), Materials Testing Firm(s) or Laboratory(Laboratories), or Key Personnel identified in the SOQs without Department approval may be disqualified from the contract.

Design-Builders should be aware that the seven Key Personnel positions identified in the RFQ shall be carried forward to the RFP. The scoring of those Key Personnel positions in the evaluation of the SOQ will likewise carry forward in the scoring of those seven Key Personnel positions in the Proposals submitted from the shortlisted firms. The scoring of those Key Personnel will not be altered for those seven positions, even if the shortlisted firm(s) has proposed and received Department approval for substitution of one or more participants that meet the required equal or better requirement for change in Key Personnel.

1.17 PROPOSAL STIPEND

The Department will provide payment of a stipend to Proposers on the Short-List who submit a Proposal in response to the RFP, subject to certain stipulations. The Proposer selected for contract award will not be eligible for such payment. Details and a sample contract will be
provided in the RFP. No Proposer will be obliged to accept an offer of a stipend. Any Proposer that declines to accept payment of a stipend will be required to sign a waiver to its right to payment. The amount of the stipend is included in the RFQ, Appendix A.

1.18 BUY AMERICA/NEW YORK BUY AMERICAN

The Project is federally funded and subject to Buy America policies as set forth in Section 106-11 of the Department’s Standard Specifications.

1.19 IRAN DIVESTMENT ACT OF 2012

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. This act may be viewed in its entirety at: https://ogs.ny.gov/iran-divestment-act-2012.

Pursuant to SFL § 165-a (3)(b), the Commissioner of the Office of General Services (OGS) has developed and maintains a list (prohibited entities list) of “persons” who are engaged in “investment activities in Iran” (both are defined terms in the law). The list may be found on the OGS website at: http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf

By submitting a Proposal in response to the RFP or by assuming the responsibility of a Contract awarded hereunder, the Proposer (or any assignee) certifies that, it will not utilize, on such Contract, any subcontractor that is identified on the prohibited entities list.

Additionally, any Design-Builder seeking to renew or extend a Contract or assume the responsibility of a Contract awarded in response to this solicitation, must certify at the time the Contract is renewed, extended or assigned that it is not included on the prohibited entities list.

During the term of the Contract, should the Department receive information that a Design-Builder (or any assignee) is in violation of the above-referenced certification, the Department will offer the Design-Builder (or any assignee) an opportunity to respond. If the Design-Builder (or any assignee) fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then the Department shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Design-Builder in default.

The Department reserves the right to reject any bid or request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.

1.20 DISADVANTAGED/ MINORITY/ WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM

The Project is federally funded and subject to Disadvantaged Business Enterprise (DBE) policies as set forth in Section 102-12 of the Department’s Standard Specifications.

The overall goal for D/M/WBE participation has yet to be determined for this Project and will be included in the RFP. The goal will be assessed in consideration of, but not limited to, the contract value, term, location, D/M/WBE availability, and primary vs secondary operations. The Department is currently in the process of securing required approvals of the proposed goal.
1.21 EQUAL EMPLOYMENT OPPORTUNITY

Discrimination in all phases of contracted employment, consultant activities, contracting activities and training is prohibited. Refer to policies as set forth in Section 102-11 of the Department’s Standard Specifications. The Proposer shall comply with the Goals for Equal Employment Opportunity (EEO) Participation which are included in the RFP.

2.0 PROCUREMENT PROCESS

2.1 OVERALL PROCUREMENT PROCESS

The process for procurement of the Contract will use Best Value as a basis of selection. The Department intends to award the Contract to the Proposer who provides the Proposal with the best combination of price and quality factors.

The procurement process will include two steps:

A) RFQ (Determination of Short-List); and
B) RFP (Selection of Design-Builder from Proposers on the Short-List who submit Proposals).

2.1.2 RFQ

The purpose of the RFQ is to allow the Department to determine the Short-List of Proposers that will be invited to submit Proposals for the Project. In order to be eligible for evaluation, SOQs submitted in response to this RFQ must include information addressing each pass/fail and quality evaluation factors identified herein. Refer to Section 4.0 for SOQ submittal requirements and evaluation factor objectives and requirements.

2.1.3 RFP

The purpose of the RFP is to allow the Department to select the Design-Builder whose Proposal offers the Best Value for the Project. The RFP will provide specific instructions on what to submit, the evaluation factors, the objectives and requirements for evaluation and the evaluation rating guidelines for the RFP step of the procurement. The RFP will initially be issued as a draft, with the intent of engaging the Proposers on the Short-List in its review before finalization.

For informational purposes, and team building purposes, the following summarizes elements of the RFP evaluation and proposal package as currently anticipated by the Department:

A) Evaluation factors for each RFP may include, but not be limited to:

1) Pass/Fail:
   a) Legal (including compliance with state licensing requirements);
   b) Financial (review of updated financial documentation, surety commitments, etc.);
   c) Administrative (responsiveness of the Proposal);
   d) D/M/WBE Compliance; and
   e) Price Proposal (including provision of Proposal Bond).
2) Quality (these factors may also include subfactors):
   a) Design-Build Organization and Process
      - Key Personnel: The Department anticipates the inclusion of the following key personnel as evaluation factors in the RFP:
        i. Lead Structural Engineer
        ii. Lead Civil Engineer
        iii. Lead Geotechnical Engineer
        iv. Project Superintendent
        v. Quality Manager
        vi. Design Manager
        vii. Project Manager
        viii. Resident Engineer
        ix. Resource Provider

      - Overall Design-Build Team Organization
        i. Design-Build Team Organizational Chart
        ii. Design-build Team Communication Protocol
        iii. Initial Quality Control Plan

   b) Design-Build Approach to the Project (Technical Solutions)
      - Project Understanding
      - Design Approach
      - Construction Approach (Means and Methods)

   c) Schedule
      - CPM Schedule
      - Project Completion/Interim Milestone
      - Gantt Chart

3) Price

B) Information to be submitted in the Proposals shall include, but not be limited to:
1) The roles and responsibilities of the Principal Participants, Constructor(s), Designer(s), Construction Inspection Professional Engineering Firm(s) and the Materials Testing Firm(s) or Laboratory(Laboratories); and their relationships in the organization;

2) Legal documents demonstrating ability to enter into a Contract with the Department;

3) Proposal Bond;

4) Specified certificates and representations;

5) Description of the Design-Build Organization Structure and Communication, with emphasis on managing and producing a quality Project, including: team organization structure, team communication protocol, and initial quality control plan.
6) Design-Build Approach with emphasis on innovations (as appropriate), including: design and construction approaches, proposed materials, quality, durability and maintainability, etc., knowledge of the complexities, and potential risks associated with the project;

7) Schedule, with emphasis on expediting construction and minimizing disruptions to the travelling public, including: design and construction activities, critical path, construction staging, detours and activity durations;

8) Affirmative commitment to provide the identified Key Personnel;

9) A Price Proposal;

10) Any specified design documents and conceptual diagrams/sketches; and

While price is an important factor in the RFP step of the procurement, quality factors will also be significant in determining the best value for the success of the Project. The RFP requirements and evaluation and selection procedures are designed to allow the Department to conduct a comprehensive evaluation of quality in addition to considering the price offered, thus allowing the Department to determine which Proposal is the best value. At the end of the evaluation of the Proposals, the Department will perform an assessment of the price and the quality factors and shall identify the Proposer that has offered the most advantageous (Best Value) Proposal. The Department reserves the right to request revised Proposals following initial evaluations. The evaluation process will be described in more detail in the RFP.

The description of RFP terms and conditions contained herein, including the anticipated scope of services, evaluation factors and submittal requirements, is preliminary and subject to modification in the RFP.

2.2 PROCUREMENT SCHEDULE

The anticipated procurement schedule is shown in Appendix A.

3.0 EVALUATION PROCESS FOR THE STATEMENT OF QUALIFICATIONS (SOQ)

3.1 EVALUATION OBJECTIVES

The objective of the RFQ step of the procurement is to create a Short-List of the most highly qualified Proposers with the general capability (quality, financial and management), capacity and experience necessary to successfully undertake and complete the Work for the Project. The Design-Builder will have primary responsibility to plan, design, construct, manage and control the Project and to complete the Project on or ahead of schedule and on or under the Contract price. The Department expects high responsibility standards of the Design-Builder and this is reflected in the quality evaluation factors of this RFQ and will be reflected in the RFP and the Contract.

3.2 REVIEW AND EVALUATION OF THE SOQ

The information submitted in accordance with the RFQ will be evaluated in accordance with both the pass/fail factors listed in Section 3.3.1 and the quality evaluation factors provided in Section 3.3.2. These evaluation factors are further defined in Section 4.4.2.

Evaluation of the SOQs will be based on information submitted in the SOQs or otherwise available to the Department and will involve both pass/fail and quality evaluation factors.
Evaluation of the Proposals will be based on information submitted in the Proposals or otherwise available to the Department and will involve both pass/fail and a combination of price and quality evaluation factors. Proposers should note that both the SOQ and Proposal must be self-contained, i.e. all of the information necessary to make a complete and comprehensive evaluation must be contained within the Proposer’s SOQ and Proposal. Proposers should not assume that any Department staff, that will be involved in the evaluation of the SOQs or Proposals, will have general knowledge of the firms or its Key Personnel.

3.3 EVALUATION FACTORS FOR THE RFQ PHASE

The Department has identified the following factors and/or sub-factors that are of particular importance to the Department. This information is provided here to assist Proposers in organizing their teams and preparing their SOQ.

3.3.1 Pass/Fail Evaluation Factors

A) The pass/fail evaluation factors are:
   1. Legal;
   2. Financial;
   3. Backlog and Capacity; and
   4. Vendor Responsibility.

B) Pass/Fail ratings will be based on the following criteria:
   1. Demonstrated capability to enter into a contractual relationship with the Department and a declaration of willingness to do so;
   2. Demonstrated capability to provide required bonds and guarantees and to meet other financial requirements of undertaking and completing the Work;
   3. Demonstrated capacity to successfully complete the design and construction of the Project, considering current, committed and potential workload;
   4. Proper identification of all Principal Participants, Constructor(s), Designer(s), Construction Inspection Professional Engineering Firm(s), as well as the Materials Testing Firm(s) or Laboratory(Laboratories);
   5. Determination that the Design-Build Team members are responsible vendors; and
   6. Proper submittal of the required information per the requirements of the RFQ.

If a Proposer passes all pass/fail evaluations, its SOQ will be further evaluated using the factors for quality rating detailed in Section 3.3.2. If a Proposal fails any single pass/fail requirement resulting in a Deficiency, the SOQ will be declared unacceptable, the quality factors will not be rated, and the Proposer will not be included on the Short-List.

3.3.2 Quality Evaluation Factors

The quality evaluation factors to be evaluated in the SOQs are:

A) Organization and Key Personnel;
B) Experience of the Firms;
C) Past Performance and
D) Compliance with SOQ Format and Organization Requirements.
The relative weights of the quality evaluation factors are included in Appendix A.

During this evaluation, ratings will be assigned for various sub-factors (see Section 4.4.2) within each quality evaluation factor. The ratings assigned to each sub-factor will be compiled to determine an overall quality evaluation factor rating. The ratings assigned to the quality evaluation factors will be compiled to determine an overall quality rating for the SOQ.

3.4 REQUESTS FOR CLARIFICATION BY THE DEPARTMENT

The Proposer shall provide accurate and complete information to the Department. If information is not complete, the Proposer’s SOQ can be considered non-responsive. If the information provided requires clarification, the Department will notify the Proposer and request that the clarification be submitted within 24 hours or a time deemed appropriate by the Department. Proposers will not be allowed to participate further in the procurement of the Project until all information required is provided. Any insufficient statements or incomplete affidavits will be returned directly to the Proposer by the Department with notations of the insufficiencies or omissions and with a request for clarifications and/or submittal of corrected documents. If a response is not provided, within the time frame specified by the Department, the SOQ may be declared non-responsive.

The Department may waive technical irregularities in the form of the SOQ that do not alter the quality or quantity of the information provided.

The Department may, at its sole discretion, request clarifications from Proposers during the SOQ evaluation and Short-List process.

All requests and responses shall be in writing by e-mail. Responses shall be limited to answering the specific information requested by the Department.

The Department does not anticipate conducting interviews during the RFQ phase, but reserves the right to do so. If the Department elects to conduct interviews, the Proposers shall be notified in writing or by email.

Proposers must submit follow-up responses to inquiries by the Department. Responses shall be submitted to the Department’s Designated Representative by e-mail no later than the deadline specified in the Department’s request for clarification.

In the event that a material error is discovered in the RFQ during the SOQ evaluation process, the Department will issue an addendum to the RFQ and provide all Proposers an opportunity to submit either a new or a revised SOQ based upon the corrected RFQ.

3.5 DETERMINATION OF THE SHORT-LIST

The Department will establish a Short-List, for the Project, of an appropriate number (as determined by the Department) of the most highly qualified Proposers in order to ensure adequate competition (typically a minimum of three (3) and a maximum of five (5)).

3.6 SHORT-LIST PROTEST

The Department’s decision of the Proposers to be included on the Short-List shall be final and shall not be appealable, reviewable or reopened in any way, except as provided in Section 5.0. Persons and entities participating in the RFQ phase of this procurement shall be deemed to have accepted this condition and other requirements of this RFQ.
Subject to applicable New York law, contents of SOQs, less proprietary information, to the extent protected under applicable New York State law, will become public information upon execution of the Contract.

4.0 REQUIREMENTS OF SOQ SUBMISSION

4.1 SUBMITTAL REQUIREMENTS

All SOQs must be received at the Department’s submittal address no later than 12.00 pm (Noon) Eastern Time (ET) on the SOQ Due Date specified in Appendix A.

The front cover of the SOQs must be clearly marked with the Project name, Proposer name, and date of submittal, and enclosed in one or more sealed containers. SOQs received after 12:00 pm (ET) on the SOQ Due Date will not be considered, consistent with State law requirements.

Where multiple containers are used by a Proposer to submit an SOQ, the Proposer shall label each container “Package # of ##” where # denotes the number of the container, and ## denotes the total number of containers being submitted by the Proposer.

4.2 SUBMITTAL ADDRESS

Submittals shall be submitted by either mail or hand delivery to the Department’s Designated Representative at the address shown in Appendix A.

Each Proposer shall be responsible for obtaining a written receipt, appropriate to the means of delivery, from the Department office specified in this Section 4.2, at time of delivery of its SOQ. It is the Proposer’s sole responsibility to ensure delivery of its SOQ to the Department by the time and at the place specified herein, and the Department shall therefore have no liability or responsibility regarding delivery of a Proposer’s SOQ.

4.3 PAGE LIMIT, FORMAT AND QUANTITIES

Refer to Appendix B for details of page limits, requirements for the formatting of SOQ submissions and details of the number of copies to be submitted.

4.4 CONTENT OF SOQ

This Section 4.4 describes the specific information that must be included in the SOQ. An outline of the required format for the SOQ is provided in Appendix B. Required forms for the SOQ are contained in Appendix C. Any material modification to the forms may result in the SOQ being declared non-responsive. Fields may be expanded to accommodate additional text, as long as the completed Form does not exceed the page limit specified. Do not include photographs or web links unless specifically instructed.

Proposers should provide brief, concise information that addresses the objectives and the requirements of the Project consistent with the evaluation factors described in Section 4.4.2. Lengthy narratives containing extraneous information are discouraged. If the Proposer’s organization has not yet been formed, information regarding the future organization shall be provided as appropriate to allow the Department to determine whether the future organization will meet applicable requirements once it is formed. The preparer shall attach the required written certification from subcontractor(s) serving on more than one proposal team as discussed in section 1.11 Rules of Contact.
4.4.1 Cover Letter

The Proposer shall provide a cover letter (no more than two pages) indicating its desire to be considered for the Project and stating the official names and roles of all Principal Participants and Design-Build Team members. The Proposer shall identify a single point of contact for the Proposer and the address, telephone and fax numbers and e-mail address, where questions should be directed. Authorized representative(s) of the Proposer’s organization shall sign the letter. If the Proposer is not yet a legal entity or is a joint venture or general partnership, authorized representatives of all Principal Participants shall sign the letter.

The Proposer shall attach to the cover letter the completed acknowledgment of receipt form (Appendix C Form AOR) acknowledging receipt of the RFQ and any addenda and/or responses to questions issued by the Department. The preparer shall attach the required written certification from subcontractor(s) serving on more than one proposal team as discussed in section 1.11 Rules of Contact.

4.4.2 Evaluation Factor Objectives and Requirements

In providing a SOQ, Proposers should be guided by the overall Project goals and objectives in Section 1.2 and the specific RFQ objectives and requirements listed in Sections 4.4.2.1 through 4.4.2.8. The SOQ evaluation ratings described in Section 3.3 will reflect how well a SOQ responds to the requirements and meets or exceeds the objectives for each of the evaluation factors.

4.4.2.1 Legal (Pass/Fail)

A) Objective:

To confirm the Proposer is or will be legally constituted, able to submit a Proposal and enter into the Contract, complete the Work, that the members of the Proposer’s team either hold or commit to obtaining all required Professional Licenses, and to identify Proposers whose Materials Testing Firm(s) or Laboratory(Laboratories) is(are) AASHTO certified.

B) Requirements and information to be provided in Section 1 of the SOQ:

1) Form L-1 (Appendix C), Proposer’s Organization Information, for the Proposer’s organization.

C) Requirements and information to be provided in Section 1 of the SOQ if the Proposer is a joint venture or partnership of different firms:

1) Identity of the Lead Principal Participant of the entity, if any (Form L-1, Appendix C); and

2) Percent equity share held by each member (Form L-1, Appendix C); and

3) If the Proposer has already been legally constituted, full details of the organizational structure and supporting organization/formation documents including a copy, as applicable, of the joint venture agreement, limited liability company operating agreement or partnership agreement; and

4) If the Proposer has not yet been legally formed, a description of the proposed legal structure and draft copies of the underlying documents, including:
i) All significant terms of the joint venture* or partnership, including the rules relative to the administration of the joint venture, limited liability company or partnership, including dealing with deadlock situations;

   a. *If a joint venture has not been established with a valid Federal Employer Identification Number and NYS Vendor ID Number, the Joint Venture agreement should contain language naming a "Designated Member" who shall receive payment of any potential stipend on behalf of the joint venture and that the Designated Member’s right to receive the stipend survives termination of the Joint Venture agreement should it be terminated prior to the payment of the stipend

ii) Description of how the joint venture, limited liability company or partnership will operate administratively and technically;

iii) A teaming agreement or comparable document setting forth the equity members’ agreement to form the organization; and

iv) If a Proposer has not yet been legally formed at the time of the submission of their Proposal to the Department, the Proposer must be legally formed before the Department will Award or execute a Contract with the Proposer. If there is a delay, for any reason whatsoever, in the forming of the legal entity, the Award, contract execution and the notice to proceed will be postponed until the legal entity is fully formed. The resulting delay shall not change any of the contractual interim milestone or final completion dates in the Contract and Proposal and liquidated damages will be assessed for each day the interim milestone or final completion dates are not met. If the Proposer has not yet been legally formed within 7 calendar days of designation of best value, the Department may, at its discretion, reject the Proposal and proceed to award the Contract to the Proposer having the apparent next best value Proposal.

5) An express statement from each of the equity members of the entity as to their joint and several liabilities.

D) Requirements and information to be provided in Section 1 of the SOQ:

1) Submit notarized Power of Attorney for each Principal Participant indicating the authority to bind the Principal Participant’s representative to sign for that Principal Participant the submitted SOQ;

2) Submit notarized Power of Attorney from each Principal Participant indicating the authority of the Proposer’s designated point of contact to sign documents for and on behalf of the Proposer’s organization; and

3) Use Form L-3 (Appendix C) to submit a copy of the Certificate of Authorization to provide Professional Engineering Services issued by the New York State Education Department for the appropriate team members, or submit documentation on Form L-3 (Appendix C) demonstrating the ability to obtain said Certificates and licenses, in accordance with the New York State Education Law, Title VIII, Articles 130, 145, 147 and 148.

E) Procurement Lobby disclosures for the Proposer or, if the Proposer has not yet been formed, for each of its proposed members, in the two forms provided at:

which shall be presented in Section 1 of the SOQ.

F) Verification that the Materials Testing Firm(s) or Laboratory(Laboratories) is(are) AASHTO certified.

### 4.4.2.2 Financial (Pass/Fail)

A) Objective:

1) To identify Proposers with demonstrated capability to undertake the financial responsibilities associated with the Project, including bonding capacity and the capability to effectively manage the scheduled cash flow as well as any unanticipated cash flow needs of the Project; and

B) Requirements and information to be submitted – Surety Letter(s):

1) Provide a letter from a surety or insurance company indicating that the Proposer is capable of obtaining Proposal, Performance and Payment Bonds covering the Design-Build Contract;

2) The bonding/security capacity levels in Table 4.1 represent minimum levels necessary to pass the Pass/Fail criteria of Section 3.3.1 for the Contract;

3) The letter must state that the surety or insurance company is rated AA-/Aa3 by two nationally recognized rating agencies or at least A-VII by A.M. Best and Company, be listed on Treasury Department Circular 570 and be on the list of companies approved by the State of New York;

4) The letter must specifically state that the surety/insurance company has evaluated the team’s backlog and work-in-progress in determining its bonding capacity and the letter must expressly identify the team’s amount of current backlog and utilized bonding capacity; and

5) Letters indicating “unlimited” bonding/security capability are not acceptable.

<table>
<thead>
<tr>
<th>Bid Deposit/Security</th>
<th>Labor and Material Bond</th>
<th>Faithful Performance Bond</th>
</tr>
</thead>
<tbody>
<tr>
<td>5% of Contract Bid / Proposal Price</td>
<td>100% of Contract Bid / Proposal Price</td>
<td>100% of Contract Bid / Proposal Price</td>
</tr>
</tbody>
</table>

C) The Contract Amount is not anticipated to exceed the amount shown in Appendix A.

### 4.4.2.3 Backlog and Capacity (Pass/Fail)

A) Objective:

To identify Proposers with sufficient capacity, considering current, committed and potential workload and past level of contract activity, to successfully complete the design and construction of the Project.

B) Requirements and information to be submitted:
Submit Form B (Appendix C), Backlog Information, for each Constructor, Designer, Construction Inspection Professional Engineering Firm, as well as the Materials Testing Firm or Laboratory. Limit backlog information to the office(s)/division(s) of the firms that will be performing Work on the Project.

4.4.2.4 Vendor Responsibility – (Pass/Fail)

A) Objective:
To identify Proposers with firms and/or personnel with a history of financial, legal, integrity, or performance issues that could adversely impact the Project generally.

B) Requirements and information to be submitted:
Vendor Responsibility Questionnaire: All firms of the Design-Build team shall submit a Vendor Responsibility Questionnaire (VRQ). Construction Contractors shall supply the Vendor Responsibility For-Profit Construction Questionnaire (CCA-2). All other engineering firms should submit the Vendor Responsibility For-Profit Business Entity Questionnaire (AC 3290-S). See Appendix C. Note the VRQ form used by the New York State Thruway Authority is not sufficient. The VRQ may also be submitted on-line using the OSC VendRep system, and include a copy of the VendRep System-Certification Confirmation receipt of submission in the SOQ instead of a hard copy of the VRQ.

4.4.2.5 Organization and Key Personnel (Quality)

A) Objective:
1) To identify Proposers that can manage all aspects of the Contract in a satisfactory, timely, and effective manner, successfully integrate the various parts of its organization in relation to Design-Build, and coordinate with the Department in a cooperative and functional manner; and
2) To identify specific Key Personnel with demonstrated experience and expertise, and a record of producing satisfactory work on projects of a similar nature to this Project.

B) Requirements and information to be submitted:
1) Organization chart and communication structure (Solid lines for organization and colored dash lines for communication) among the Principal Participants, Construction Firm(s), Design Firm(s), Construction Inspection Professional Engineering Firm(s), Materials Testing Firm(s) or Laboratory(Laboratories), and specific Key Personnel;
2) A narrative for communication protocols fully describing the roles, responsibilities and reporting relationships of key personnel. Provide a clear explanation of how the Design-Build Team will function within the team, and with the Department, to accomplish the project goals.
3) Form R – Summary of Individual’s Experience shall be submitted. Form R shall be completely filled out with no blank lines/spaces (use N/A where an answer is not needed).
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a. References shall be owners for whom the individual has performed project work for in the past five (5) years and shall not be current employers of the individual.
b. Under “Contact Information”, of the Applicant’s past experience, provide the contact name, phone number, and e-mail address for the Project Owner.
   i. “Project Owner” is not a Prime Consultant or Prime Contractor for which the Firm served as a subconsultant or subcontractor.
c. NYSDOT reserves the right to contact any Project Owner to verify the information provided.
d. Relevant experience shall be listed in chronological order, starting with the most recent project.
e. Please explain any gaps in chronology of qualifying experience.

C) Requirements for Key Personnel:

Key Personnel are listed below and should meet the qualifications described in Appendix A. Proposed staff with qualifications less than those described in Appendix A will receive a reduced score compared to staff that meet or exceed the described qualifications.

1) Project Manager;
2) Resident Engineer;
3) Project Superintendent;
4) Design Manager;
5) Quality Manager;
6) Lead Civil Engineer; and.
7) Lead Structural Engineer.

Key Personnel overlap verification requirements on NYSDOT Design-Build projects as per Section 1.16 of the General Instructions.

4.4.2.6 Experience of the Firms (Quality)

A) Objective:

1) To identify the best Design-Build Teams with demonstrated experience, expertise, capacity in, and record of producing quality Work on projects possibly similar in nature to this Project;

2) To identify Proposers that have:
   i) Experience in successfully managing and constructing projects of similar type as this Project;
   ii) Experience in successfully completing Design-Build projects of similar type, and possibly scope as this Project; and
   iii) Experience in successfully managing the construction sequencing, maintenance of traffic and community interaction aspects of Projects;

3) To identify Proposers whose design team has successfully managed and completed the design of infrastructure projects and who have a record of developing designs that are cost effective, innovative and sustainable;
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4) To identify Proposers who will effectively manage all aspects of the Contract in a quality, timely and effective manner and will integrate the different parts of its organization collectively and with the Department in a cohesive and seamless manner;

5) To identify Proposers that have the technical and management experience and expertise to plan, organize, execute the design and construction and assure the quality of the Project; and

6) To identify Proposers whose Design and Construction Inspection Professional Engineering Firms preferably have past NYSDOT experience;

B) Requirements and information to be submitted:

1) Using Form E-1 (Appendix C), Project Description, provide no more than five (5) past project descriptions for the Constructor(s), five (5) for the Designer(s), three (3) for the Construction Inspection Professional Engineering Firm(s), and three (3) for the Materials Testing Firm(s) or Laboratory(Laboratories). For Joint Venture submissions, each principal participant of the Joint Venture shall each meet the requirements above.

2) Past projects must have been active within the last 15 years, and may be ongoing. An emphasis should be placed on projects having a scope, size, and/or complexity comparable to that anticipated for the Project; or project aspects comparable to that anticipated for the Project. The narrative should identify the Firm’s relevant experience on the project. NYSDOT reserves the right to contact any Owner to verify the information provided. References and contact information must reflect active personnel who can attest to the level of experience declared. References where contact cannot be made, will not be counted.

4.4.2.7 Past Performance (Quality)

A) Objective:

1) To identify Proposers with firms or personnel that have successfully completed projects on time and on or under budget, including transportation and infrastructure projects;

2) To identify Proposers that have records of managing contracts to minimize delays, claims, dispute proceedings, key personnel change assessment fees, litigation and arbitration;

3) To identify Proposers with a record of providing a safe work environment; and

4) To evaluate the record of D/M/WBE compliance for each firm included in the SOQ in terms of achieving or making good faith efforts towards achieving past contract D/M/WBE goals.

B) Requirements and information to be submitted:

1) Using Form PP (Appendix C), Past Performance, provide the information requested for each project for which Form E-1 was prepared. The Narrative should be a self-assessment of the Firm’s performance on the project, in accordance with Objectives 1) and 2) above. The Narrative should then explain any cost overruns, schedule delays, claims, disputes, litigation, key personnel change assessment fees, and
liquidated damages associated with the project. Form PP shall not exceed two pages in length per project.

With respect to the information solicited in this Section 4.4.2.8, failure to provide this information, conditional or qualified submissions to requests or questions posed (such as “to our knowledge”, “to the extent of available information”, “such information is not readily available”, “such information is not maintained in the manner requested”, etc.), incomplete or inaccurate submissions or non-responsive submissions may, in the sole discretion of the Department, lead to a low evaluation rating for this evaluation factor or result in a deficiency that would cause the Department to declare the SOQ non-responsive. The proposer may include any extenuating circumstance it believes important regarding any assessment of liquidated damages, fines, or adverse findings assessed against the firm on the Design-Build team.

2) All Other Projects: For all other projects over the last 10 calendar years, not including those on Form PP as required above, that each Design-Build Team member has been involved with, shall submit a complete and accurate narrative, organized by Design-Build Team member. If one or more of the Design-Build Team members have no information to provide in response to this Section, submit a declarative statement to that effect. Each Design-Build Team member’s response to this Section shall not exceed two pages in length. Failure to submit the following information, or the declarative statement, may cause the Department to determine the SOQ non-responsive:

a) Claims, dispute proceedings, litigation and arbitration proceedings: Provide an explanation for any claims, dispute proceedings, litigation, and arbitration proceedings that were submitted, over the past ten calendar years, to the NYSDOT Commissioner’s office, or other agency’s equivalent, as part of a formal dispute resolution process, as outlined in Section 105-14, Disputed Work and Dispute Resolution, of the Standard Specifications (for Design-Bid-Build Projects); and

b) Liquidated damages: Describe any contract which resulted in assessment of liquidated damages against any Design-Build Team member involving amounts in excess of $25,000 for any one project over the past ten calendar years.

c) Delays: Describe the causes of the delays, the length of the delays, and the amounts assessed. Describe any outstanding damage claims by or damages due and owing to any owner/agency.

d) Assessed Fees: Provide information relative to past fees assessed to the contractor/designer/CI firm involving key personnel change assessment fees for having changed key personnel following award of a previous Design-Build contract (on-going or completed). Provide the owner’s name and the name of its
current representative (and current phone and e-mail address) who can be contacted for additional information.

3) Safety: Submit Form S (Appendix C), Safety Questionnaire, for the Design-Build Constructor(s) and Construction Inspection Firm(s) in accordance with the instructions below the top of the Form. The information provided in Tables 1 and 2 will be evaluated inclusively to score the proposer’s record of safe work environment.

   a) Table 1: EMR

   1. Providing Experience Modification Rates for:
      a. The EMR for the current insurance policy
      b. The EMR for the previous two years if the rate for the most recent year exceeds 1.2, as well as a written explanation, limited to one page in length within the space provided on Form S.

   2. Each shall additionally submit a letter attached to Form S from their current workers compensation insurance carrier stating:
      a. The EMR for the current insurance policy,
      b. The expiration date of the policy.

   For firms that do not have an EMR, due to work experience outside the US, a frequency rate table or accident incident rate or similar statistics shall be provided indicating the safety record over the last five years.

   The EMR supplied by the Constructor(s) and the Construction Inspection firm(s) for the current year will be placed in the following ranges and scored accordingly:

<table>
<thead>
<tr>
<th>Experience Modification Rate (EMR) Most Recent Completed</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.8 or less</td>
<td>10</td>
</tr>
<tr>
<td>Between 0.8 and 1.2</td>
<td>Prorated accordingly from 10-0</td>
</tr>
<tr>
<td>1.2 or greater</td>
<td>0</td>
</tr>
</tbody>
</table>

   If there is more than one Prime Constructor and / or Prime Construction Inspection firm, then the EMR score will be averaged to obtain a single EMR score for the Constructors and / or Construction Inspection firms. A single average weighted EMR score will be determined by combining the EMR score for the Constructor(s) (75% weighting) with the Construction Inspection firm(s) (25% weighting).

   b) Table 2: Safety Record

   1. Provide the information requested for the past 3 years and use the space provided to explain any lost workday hours and fatalities identified.

   c) Safety Form S should be signed to attest the firm’s compliance with all health and safety requirements, if awarded the contract.

4) D/M/WBE Program Experience: Submit Form D/M/WBE (Appendix C), Record of D/M/WBE Program Experience – Tables 1-5, for each Principal Participant, Constructor, Designer and Construction Inspection Professional Engineering Firm,
reflecting record of compliance with D/M/WBE requirements in their contracts for the past five (5) years. The term “firm" includes any Affiliate including parent companies and subsidiary companies.

a) The projects listed on Form D/M/WBE shall be the most recent of the projects listed on Form E-1 and Form PP. The Design-Build’s past D/M/WBE experience will be evaluated based on a demonstrated record of compliance with NYS M/WBE regulations and USDOT’s DBE Program regulations for past contracts.

1. If any of the past projects listed required M/WBE goals rather than DBE goals, the utilization and record of compliance demonstrating M/WBE program experience should be used for those projects.

b) Describe the firm’s/team’s experience in making good faith efforts to meet or exceed D/M/WBE contract goals for past projects.

c) Utilization Reports shall be submitted for all projects listed on Table 4. For closed projects, provide the Final Utilization Report. For ongoing projects, provide the Current Utilization Report.

4.4.2.8 Compliance with SOQ Format and Organization Requirements

A) Objective:

1) To identify Proposers that have complied with the requirements of the RFQ for the format and organization of the Statement of Qualifications.

B) Requirements and information to be submitted:

1) Fully comply with the requirements listed in the RFQ and Appendix B for the content, format and organization of the Statement of Qualifications, including but not limited to content of Drawings, format of narratives, completion of all required forms, submission of required numbers of originals and copies, etc.

5.0 PROTESTS

This Section 5.0 sets forth the exclusive protest remedies available with respect to this RFQ. Each Proposer, by submitting its SOQ, expressly recognizes the limitation on its rights to protest contained herein, expressly waives all other rights and remedies and agrees that the decision rendered on any protest, as provided herein, shall be final and conclusive. These provisions are included in this RFQ expressly in consideration for such waiver and agreement by the Proposers. If a Proposer disregards, disputes or does not follow the exclusive protest remedies set forth in this RFQ, it shall indemnify, defend and hold the Department and its directors, officers, officials, employees, agents, representatives and consultants, harmless from and against all liabilities, expenses, costs (including attorneys’ fees and costs), fees and damages incurred or suffered as a result of such actions. The submission of an SOQ shall be deemed the Proposer’s irrevocable and unconditional agreement with such indemnification obligation.

5.1 WRITTEN PROTESTS ONLY

All protests must be in writing. Protests shall be submitted to the Protest Official designated below:
Director of the Office of Legal Services  
Attention: Hunts Point Interstate Access Improvement Project- Contract 2  
New York State Department of Transportation  
50 Wolf Road, 6th Floor  
Albany, New York 12232, USA

with a copy also sent via email to the Department’s Designated Representative at the address identified in RFQ, Appendix A.

Any protest not set forth in writing within the time limits specified in these procedures is null and void and shall not be considered. Protests regarding this RFQ shall be filed only after the Proposer has informally discussed the nature and basis of the protest with the Department in an effort to reach resolution.

5.2 PROTEST CONTENTS

A) All Protests must include the following:

1) The name and address of the Proposer;
2) The Contract number;
3) A detailed statement of the nature of the protest and the grounds on which the protest is made;
4) All factual and legal documentation in sufficient detail to establish the merits of the protest. Evidentiary statements must be provided under penalty of perjury; and
5) A summary of the remedy being requested.

B) The protestor must demonstrate or establish a clear violation of a specific law, regulation or procedure.

C) The Department will not be obligated to suspend or postpone the procurement process in any manner during the protest.

D) If the protest is denied, the protestor may be liable for the Department’s costs reasonably incurred in any action to defend against or resolve the protest, including legal and consultant fees and costs, and any unavoidable damages sustained by the Department as a consequence of the protest. If the protest is granted, the Department shall not be liable for payment of the protestor’s costs, including, but not limited to, legal and consultant fees and costs.

5.3 TIME FOR FILING

A) Protests filed before the SOQ Due Date:

A protest based on alleged improprieties in the solicitation shall be filed before said SOQ Due Date. A protest based on alleged improprieties arising from modifications to the original solicitation shall be filed not later than the next closing date for receipt of SOQs following the modification.

B) Protests filed after selection of Shortlisted Proposers:

If the Department selects the shortlisted Proposers, a debriefing will be made available to any Proposer that submitted a SOQ in response to this Request for Qualifications. A qualifying Proposer, if it wishes to have a debriefing, must make a request in writing to the Department’s
Designated Representative indicated in RFQ, Appendix A, within four (4) business days of notification of the shortlist. The Department will make every effort to ensure that debriefings occur within seven (7) business days of the Department’s receipt of a Proposer’s request. An unsuccessful Proposer may not file a protest until after the debriefing. The protest shall be filed no later than four (4) business days after the debriefing.

5.4 PROTEST DISCUSSIONS

The Protest Official may, in his/her discretion, discuss the protest with the protestor prior to issuance of the Protest Official’s written decision. The protestor shall have the burden of proving its protest by clear and convincing evidence. No hearing will be held on the protest, but it shall be decided, on the basis of the written submissions, by the Protest Official or his/her designee, whose decision shall be final and conclusive. The Protest Official or his/her designee shall issue a written decision regarding any protest.

5.5 IRREVOCABILITY OF STATEMENT OF QUALIFICATIONS PENDING RESOLUTION OF PROTEST

All SOQs shall be irrevocable until final administrative and judicial disposition of a protest.

6.0 DEPARTMENT’S RIGHTS AND DISCLAIMERS

6.1 DEPARTMENT’S RIGHTS

The Department may investigate the qualifications of any Proposer under consideration, may require confirmation of information furnished by a Proposer, and may require additional evidence of qualifications to perform the Work described in this RFQ. The Department reserves the right, in its sole and absolute discretion, to:

A) Reject any or all SOQs;
B) Issue a new RFQ;
C) Cancel, modify or withdraw the RFQ;
D) Issue addenda, supplements and modifications to this RFQ;
E) Modify the RFQ process (with appropriate notice to Proposers);
F) Appoint a Selection Committee and/or evaluation teams and Selection Official to review SOQs, and seek the assistance of outside technical experts in the SOQ evaluation;
G) Approve or disapprove the use of particular subcontractors and/or substitutions and/or changes in SOQs;
H) Revise and modify, at any time before the SOQ Due Date, the factors it will consider in evaluating SOQs and to otherwise revise or expand its evaluation methodology. The Department will post any such revisions or modifications on the Department’s website. The Department may extend the SOQ Due Date if such changes are deemed by the Department, in its sole discretion, to be material and substantive;
I) Hold meetings and exchange correspondence with the Proposers responding to this RFQ to seek an improved understanding and evaluation of the SOQs;
J) Seek or obtain data from any source that has the potential to improve the understanding and evaluation of the SOQs;
K) Waive minor weaknesses, minor informalities and minor irregularities in SOQs;
L) Disqualify any Proposer whose conduct/and or SOQ fails to conform to the
requirements of the RFQ.
M) Seek clarification of and revisions to SOQs.
N) Prior to opening of the SOQs, direct Proposers to submit modifications addressing
subsequent RFQ amendments.
O) Require clarification at any time during the procurement process and/or require
correction of arithmetic or other apparent errors for the purpose of assuring a full and
complete understanding of a Proposer’s SOQ and/or to determine a Proposer’s
compliance with the requirements of the RFQ.
P) Disqualify any Proposer that changes its SOQ without Department written approval;
and/or
Q) Refuse to consider an SOQ or reject an SOQ if such refusal or rejection is based upon,
but not limited to, the following:
   1) Failure on the part of a Principal Participant, Constructor, Designer, Construction
      Inspection Professional Engineering Firm, as well as the Materials Testing Firm or
      Laboratory to pay, satisfactorily settle, or provide security for the payment of claims
      for labor, equipment, material, supplies, or services legally due on previous or
      ongoing contracts with the Department (or other State agency);
   2) Default on the part of a Principal Participant, Constructor, Designer, Construction
      Inspection Professional Engineering Firm, as well as the Materials Testing Firm or
      Laboratory under previous contracts with the Department (or other State agency);
   3) Unsatisfactory performance by the Proposer, a Principal Participant, Constructor,
      Designer, Construction Inspection Professional Engineering Firm, as well as the
      Materials Testing Firm or Laboratory under previous contracts with the Department
      (or other State agency);
   4) Issuance of a notice of debarment or suspension to the Proposer, a Principal
      Participant, Constructor, Designer, Construction Inspection Professional Engineering
      Firm, as well as the Materials Testing Firm or Laboratory;
   5) Submittal by the Proposer of more than one SOQ for the same work under the
      Proposer’s own name or under a different name;
   6) Existence of a conflict of interest or evidence of collusion between a prospective
      Proposer (or any Principal Participant, Constructor, Designer, Construction
      Inspection Professional Engineering Firm, Materials Testing Firm or Laboratory) and
      other Proposer(s) (or Principal Participant, Constructor, Designer, Construction
      Inspection Professional Engineering Firm, Materials Testing Firm or Laboratory) in
      the preparation of an SOQ or Proposal for any Department construction project;
   7) Uncompleted work or default on a contract in another jurisdiction for which the
      prospective Proposer or a Principal Participant, Constructor, Designer, Construction
      Inspection Professional Engineering Firm, Materials Testing Firm or Laboratory is
      responsible, which in the judgment of the Department might reasonably be expected
to hinder or prevent the prompt completion of additional work if awarded;
   8) Failure on the part of a Principal Participant, Constructor, Designer, Construction
      Inspection Professional Engineering Firm, Materials Testing Firm or Laboratory to
submit and certify a Vendor Responsibility Questionnaire to the Department, or other agency prior to the SOQ Due Date; and/or

9) Submittal by the Proposer of an SOQ that contains any false information or statements, or references to any documents that have been proven to be falsified.

The RFQ does not commit the Department to enter into a Contract, nor does it obligate the Department to pay for any costs incurred in preparation and submission of the SOQs or in anticipation of a Contract. By submitting an SOQ, a Proposer disclaims any right to be paid for such costs.

The execution and performance of a Contract pursuant to this RFQ and any subsequent RFP is contingent upon sufficient appropriations and authorizations being made by the Legislature of New York, or the Congress of the United States if federal funds are involved, for performance of a Contract between the successful Proposer and the Department, and the subsequent executive enactment of these appropriations.

In no event shall the Department be bound by, or liable for, any obligations with respect to the Work or the Project until such time (if at all) as the Contract, in form and substance satisfactory to the Department, has been executed and authorized by the Department and approved by all required parties and, then, only to the extent set forth therein.

6.2 DEPARTMENT’S DISCLAIMERS

In issuing this RFQ and undertaking the procurement process contemplated hereby, the Department specifically disclaims the following:

A) Any obligation to award or execute a Contract pursuant to this RFQ; and
B) Any obligation to reimburse a Proposer for any costs it incurs under this RFQ.

In submitting an SOQ in response to this RFQ, the Proposer is specifically acknowledging these disclaimers.

7.0 CONFLICT OF INTEREST

Federal regulations prohibit the hiring of any person or organization that has a “conflict of interest.” Proposers are required to disclose known or potential conflicts of interest in their Statement of Qualifications. Because of their prior work, firms that have been identified as having conflicts of interest that prevent their consideration for the pending project are shown in Appendix A. Proposers may not include the services of the firm(s) identified in Appendix A.

Proposers utilizing firm(s) identified in Appendix A will be disqualified from participating in this Project.

8.0 COMPLIANCE WITH APPLICABLE LAWS

In connection with this RFQ and the Contract, Proposers shall comply with all applicable laws in all aspects in connection with the procurement process of the Project and the performance of the Contract.
RFQ RESPONSE FORM

PIN X731.64, D900051: Hunts Point Interstate Access Improvement Project- Contract 2

Please complete this form upon review of the RFQ. The completed form should be emailed to the NYSDOT address shown below no later than the question submission deadline, as noted in Section 6 of Appendix A of this RFQ.

_____ WE DO INTEND TO SUBMIT A QUALIFICATION PACKAGE

_____ WE DO NOT INTEND TO SUBMIT A QUALIFICATION PACKAGE FOR THE FOLLOWING REASONS:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Name and Address of Organization(s):

Name: ________________________________________________________

Address: ______________________________________________________

City, State, Zip: ________________________________________________

Phone Number: ________________________________________________

Fax Number: __________________________________________________

Contact Name, Title: ____________________________________________

Email Address: _________________________________________________

Date: _________________________________________________________

Proposed Design Build Team is comprised of the following entities:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Please email to: Suzan.Ibrahim@dot.ny.gov
HUNTS POINT INTERSTATE ACCESS IMPROVEMENT PROJECT-CONTRACT 2

DESIGN-BUILD PROJECT

PIN X731.64, D900051

REQUEST FOR QUALIFICATIONS

APPENDIX A

PROJECT INFORMATION

January 15, 2020
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1.0 PROJECT SCOPE AND BACKGROUND

The Project involves Design-Build services for the Hunts Point Interstate Access Improvement Project- Contract 2 (the “Project”). The Project is located in the vicinity of Hunts Point Peninsula, Bronx County, New York.

The work envisioned for this project continues to provide improved access between the Hunts Point Peninsula and the Bruckner Expressway, and addresses structural and operational deficiencies of the existing infrastructure. The project will improve pedestrian safety through intersection redesign and improvements to the shared use path and bicycle lanes along Bruckner Boulevard. The project also includes utility replacement and relocation in the vicinity of the project site.

The Project scope of work will include but is not limited to the following:

- BIN 106669 Bruckner Expressway
  - Rehabilitation of Bruckner Expressway between East 141st Street and Barretto Street
    - Structural strengthening
    - Replacement of concrete bridge deck
    - Concrete and Steel repairs
    - Replacement of concrete bridge barrier
    - Replacement of bearings and pedestals
    - Structural Steel painting
  - Construction of two (2) new ramp structures, including abutments and retaining walls:
    - Ramp LB from Leggett Avenue to Westbound Bruckner Expressway
    - Ramp BL from Westbound Bruckner Expressway to Leggett Avenue
  - Widening of the Bruckner Expressway between Barretto Street and 149th Street
  - Replacement of underdeck lighting
  - Replacement and installation of overhead sign structures/cantilever overhead sign structures.
  - Replacement of VMS panels
  - Drainage improvements

- Demolition of BIN 106666E - Ramp RE from Bruckner Expressway to East 138th Street, including removal of ramp superstructure, piers, abutment and retaining walls

- Bruckner Boulevard:
  - Pavement rehabilitation from 138th Street to Barretto Street
  - Sidewalk and curb replacement
  - Redesign of 15 local street intersections, including curb extensions, widened medians, shorter crosswalks to improve pedestrian safety, and traffic and pedestrian signal modification
  - Installation of new traffic and pedestrian crossing signals
  - Construction of a shared-use path along the Bruckner Boulevard median between 138th Street and Barretto Street
- Replacement of fence on retaining wall parapet and along Right-of-way adjacent to Railroads
- Street lighting improvements
- Landscaping
- Drainage Improvements

2.0 PROJECT LOCATION
3.0 PROJECT WEB SITE

Information regarding the Project will be posted at the following web address:


The following documents shall be posted to the Project website prior to the issuance of the Draft RFP:

- Final Environmental Impact Statement
- Existing ROW and/or Acquisition maps
- Survey Data
- As-Built or Record Plans of Roadways and Structures within the Project Limits;
- Bridge Inspection Reports
- Existing Utility Plans and Subsurface Utility Engineering (SUE) maps
- CADD and/or InRoads Files
- Construction Schedules of adjacent on-going construction work
- Geotechnical Investigations (i.e. Data and/or Reports)
- Signal and or ITS Plans, Equipment and/or line diagram Information
- Traffic Studies

Additional documents may be posted to the project website when they become available. Proposers are advised to check the Project web site regularly.

4.0 PROJECT CONTRACT AMOUNT

The Project Contract amount is forecasted to be between $550- $650 million.

5.0 PROJECT SCHEDULE

The current anticipated date of Contract Award for the Project is February 2021 with Project Completion no later than March 2024. Interim milestones for the project may also be established.

6.0 PROCUREMENT SCHEDULE

The following represents the current procurement schedule for the Project. The schedule is subject to change at the discretion of the Department.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFQ Issued</td>
<td>January 15, 2020</td>
</tr>
<tr>
<td>Final Date for Receipt of RFQ questions</td>
<td>March 2, 2020</td>
</tr>
<tr>
<td>Final Date for RFQ Addenda and/or Answers to Questions</td>
<td>March 10, 2020</td>
</tr>
<tr>
<td>SOQ Due Date</td>
<td>April 10, 2020</td>
</tr>
<tr>
<td>Shortlisted DB Teams Announced</td>
<td>May 11, 2020</td>
</tr>
<tr>
<td>Draft RFP Issued</td>
<td>May 20, 2020</td>
</tr>
<tr>
<td>Draft RFP Information Meeting</td>
<td>May 27, 2020</td>
</tr>
<tr>
<td>Activity</td>
<td>Due Date</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>Final RFP to Shortlisted Firms</td>
<td>June 24, 2020</td>
</tr>
<tr>
<td>Proposals Due</td>
<td>October 14, 2020</td>
</tr>
<tr>
<td>Best Value Selection/Designation Announced</td>
<td>November 2020</td>
</tr>
<tr>
<td>Contract Award</td>
<td>February 2021</td>
</tr>
<tr>
<td>Notice to Proceed Issued</td>
<td>February 2021</td>
</tr>
</tbody>
</table>

7.0 PROJECT STATUS

The following list is a summary of the status of work that has been completed or is being completed by the Department for the Project. This list is indicative, and is not comprehensive.

- Topographic Survey: Control surveys and design-level photogrammetry are to be provided in electronic format in the Reference Documents or RFP.
- Subsurface Survey: Available geotechnical information is to be provided in the Reference Documents prior to issuance of the Draft RFP.
- Scope of Work: A detailed description of the Work to be performed for the Project will be provided in the RFP;
- Utilities: Studies are being conducted to identify existing utilities, the results of which will be provided in the RFP;
- Right-of-Way (ROW): The Department will undertake any necessary ROW acquisition(s);
- Environmental: The appropriate environmental clearances will be obtained by the Department prior to issuance of the Final RFP, except those identified in the RFP to be specifically assigned to the Design-Build;
- NEPA and SEQR: All NEPA and SEQR requirements will be satisfied prior to issuance of the RFP;
- Conceptual Construction staging plans and details
- Railroad construction agreements and force accounts, including flagging service, final design reviews
8.0 DEPARTMENT’S DESIGNATED REPRESENTATIVE FOR THE PROCUREMENT

The Department’s' Designated Representative for the procurement is:

Suzan Ibrahim  
Attention: Hunts Point Interstate Access Improvement Project-Contract 2  
Office of Contract Management  
New York State Department of Transportation  
50 Wolf Road, 6th Floor  
Albany, New York 12232, USA  
Suzan.Ibrahim@dot.ny.gov

9.0 QUALITY EVALUATION FACTORS FOR THE RFQ PHASE

The quality evaluation factors to be evaluated in the SOQs and their relative weighting are:

- Organization and Key Personnel (30%);
- Experience of the Firms (35%);
- Past Performance (30%); and
- Compliance with SOQ Format and Organization Requirements (5%).

10.0 REQUIREMENTS FOR PROJECT KEY PERSONNEL

Key Personnel are preferred to have experience on projects of a similar size, type of work, and complexity as this Project, and should meet the qualifications described below. Proposed staff with qualifications less than those described below will receive a reduced score compared to staff that meet or exceed the described qualifications. Any requirements described as “shall have...” or “shall be...” are determined to be minimum response requirements. Any requirements described using "should" are preferential or preferable.

a) **Project Manager:** Shall have a minimum of 15 years but preferably 20 years of demonstrated experience in construction and construction management of bridge and/or transportation and/or infrastructure projects, with preferably similar size and type of work as this Project, and preferably including projects with compressed timelines, and community information requirements. Such experience in construction and management-of-construction shall include at least one bridge infrastructure construction project having a construction value in excess of $100,000,000. The Project Manager, who should have Design-Build experience, and preferably New York State Department of Transportation Design Build experience, and have extensive project management experience, can hold only this one Key Personnel position. The Project Manager should have New York State Department of Transportation contract administration experience. It is preferred, but not required, that this individual be licensed and currently registered as a Professional Engineer in the State of New York. The Project Manager shall dedicate no less than 100% of their work time to this project.

b) **Resident Engineer:** Shall be licensed and currently registered as a Professional Engineer in the State of New York and should have demonstrated at least 10 years experience in bridge and highway construction inspection, including at least 5 years as a
Resident Engineer. A Resident Engineer with NYSDOT Construction Engineer in Charge (EIC) experience greater than 10 years or a combination of EIC and Area Construction Supervisor (ACS) experience of 20 years with no less than 5 years EIC experience is also acceptable as demonstrated on Form R. The Resident Engineer shall have performed the above duties on a project within the last 5 years.

The Resident Engineer, who shall have Design-Build experience, and preferably New York State Department of Transportation Design Build experience, can hold only this one Key Personnel position. The Resident Engineer shall dedicate no less than 100% of their work time to this project.

c) **Project Superintendent:** Shall have at least 15, but preferably 20 years of demonstrated experience overseeing work on bridge and highway construction projects. Experience shall include directing and coordinating the activities of a contractor’s workforce and all subcontractors, ensuring work progressed according to schedule, within budget and that material and equipment were delivered to the site on time. The Project Superintendent, who should have Design-Build experience, and preferably New York State Department of Transportation Design Build experience, can hold only this one Key Personnel position and shall dedicate no less than 100% of their work time to this Project. The Project Superintendent shall have Design-Build experience on a bridge project valued at $100M or more. The Project Superintendent shall dedicate no less than 100% of their work time to this Project.

d) **Design Manager:** Shall be licensed and currently registered as a Professional Engineer in the State of New York, shall be an owner or employee of the Designer and shall have a minimum of 20 years demonstrated experience in managing design for infrastructure and bridge projects, preferably of similar scope as this Project. The Design Manager should have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager can hold only this one Key Personnel position. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager can hold only this one Key Personnel position. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type. The Design Manager shall have Design-Build experience, and should have specific experience on projects of similar size and type.

e) **Quality Manager:** Shall have demonstrated experience in bridge design and infrastructure construction with at least 10 years experience in quality management, quality assurance and quality control activities, including preparation and implementation of Quality Plans and procedures for design and construction. The Quality Manager shall additionally have at least 5 years experience in the design of bridges, highways and civil infrastructure; at least 5 years experience in construction field engineering and inspection of bridges, highways and civil infrastructure; and at least 5 years of Project Management experience. The Quality Manager can hold only this one Key Personnel position. The Quality Manager shall have experience of quality systems based on ISO 9001, and shall have experience with the quality systems of the Department in both design and construction standards. The Quality Manager shall dedicate no less than 100% of their work time to this project.

f) **Lead Civil Engineer:** Shall be licensed and currently registered as a Professional Engineer in the State of New York, shall be an owner or employee of the Designer and shall have a minimum of 15 years demonstrated experience in managing civil/highway design for infrastructure and bridge projects, preferably of similar scope as this Project. The Lead Civil Engineer shall have Design-Build experience, and shall have specific highway experience on projects of similar size and type. The Lead Civil Engineer can
hold only this one Key Personnel position. The Lead Civil Engineer **shall** dedicate no less than 100% of their work time to this Project.

g) **Lead Structural Engineer:** **Shall** be licensed and currently registered as a Professional Engineer in the State of New York, shall be an owner or employee of the Designer and **shall** have a minimum of 15 years demonstrated experience in managing structural design for infrastructure and bridge projects, preferably of similar scope as this Project; also **shall** have Design-Build experience, and **shall** have specific structural experience on projects of similar size and type. The Lead Structural Engineer can hold only this one Key Personnel position. The Lead Structural Engineer **shall** dedicate no less than 75% of their work time to this Project.

11.0 **DESIGN-BUILDER’S RESPONSIBILITIES**

The selected Design-Build shall be responsible for furnishing all labor, material, equipment, services and support facilities for the following summary list, in addition to any other items that will be detailed fully at the RFP stage:

- Design and construction of all Project components;
- Project design and construction management;
- Support to project-related public information activities;
- Coordination with Project stakeholders, other contractors and utility owners;
- Coordination of D/M/WBE/Local Workforce Initiative;
- Design Quality Control;
- Construction Quality Control;
- Construction Inspection;
- Laboratory Testing of Materials;
- Environmental mitigation and compliance plan including monitoring, and securing permits and approvals necessary for the work not acquired by the NYSDOT;
- SWPPP Document preparation;
- Additional environmental investigations, permitting, monitoring and investigation associated with or resulting from the Design-Build Proposer’s actions including but not limited to staging areas, haul routes and other activities necessary for construction;
- Work zone traffic control and access to properties;
- Project safety and security;
- Surveys and geotechnical investigations;
- Harmful and hazardous materials remediation;
- Drainage and erosion control;
- Excess material disposal and handling;
- Required clearances, licenses, construction easements and permits for Design-Builder’s work sites, staging areas, temporary works access, storage areas, etc., both on and off site;
- Ancillary work, such as access roads, driveways, temporary fencing, relocation of drainage, and work sites;
- Coordination and relocation of utilities and municipal drainage facilities;
• Site clearance;
• Maintenance of the Project during the Contract period; and
• Operations and maintenance manuals, as-built drawings, and records of the new construction.

12.0 CONFLICT OF INTEREST

Federal regulations prohibit the hiring of any person or organization that has a “conflict of interest.” Proposers are required to disclose known or potential conflicts of interest in their Statement of Qualifications. Because of their prior work, the following firms have been identified as having conflicts of interest that prevent their consideration for the pending project. Due to a conflict of interest based on services currently being provided that are related to this Project, Proposers may not include the services of the following firm(s):

• URS Corporation – New York
• AECOM
• Dewberry Engineers, Inc
• MJ Engineering and Land Surveying, P.C.
• SI Engineering, P.C.
• Zetlin Strategic Communications, Inc.
• Mathews Nielsen Landscape Architects, P.C.
• SIMCO Engineering, P.C.
• KLD Engineering, P.C.
• Environmental Planning & Management, Inc.
• Paul Carpenter Associates, Inc.

Proposers utilizing firm(s) identified above will be disqualified from participating in this Project.

13.0 PROPOSAL STIPEND

Subject to the requirements and limitations set forth in the Stipend Agreement, to be included in the RFP, the Department shall pay to each Stipend-Eligible Proposer, and the Stipend-Eligible Proposer agrees to accept as full compensation for its Work Product, an amount (the “Stipend Amount”) equal to 50% of the Proposer’s total Qualified Costs, as substantiated in accordance with the provisions of the Stipend Agreement, not to exceed $600,000.00.
HUNTS POINT INTERSTATE ACCESS IMPROVEMENT PROJECT- CONTRACT 2
DESIGN-BUILD PROJECT
PIN X731.64, D900051

Request For Qualifications

APPENDIX B
FORMAT AND ORGANIZATION FOR STATEMENT OF QUALIFICATIONS

January 15, 2020
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1.0 FORMAT AND ORGANIZATION FOR STATEMENT OF QUALIFICATIONS

The outline presented in this Appendix B shall be followed for preparing the Statement of Qualifications (SOQ). Specific content requirements for each section of the SOQ are described in the RFQ, as referenced in the outline. This format has been created to facilitate responses to the RFQ and the SOQ evaluation and Short-List process.

The SOQ shall be submitted in two separate volumes. Each Volume shall consist of loose-leaf pages placed in a separate 3-ring binder. The inside and outside surfaces of each binder, and both sides of all dividers, shall be solid and shall contain only text with no pictures, renderings or graphics. Text shall be in a standard font, a minimum of ten points in height, single-spaced. Pages shall be 8-1/2 by 11 inch white paper with simple lettered/numbered dividers for each section/subsection. All narrative pages shall contain text only with no pictures, renderings graphics, or internet links. Single sided pages shall be used. Number each page in each section consecutively (i.e., 1-1, 1-2; 2-1, 2-2; 3-1, 3-2, etc.). Center page numbers at the bottom of each page.

Unless indicated on a specific Form, the supplied Forms are not to be altered:

A. Photographs or external web links are not to be included in the Forms.
B. All required information must be contained in the Form. Do not reference any other Attachments or Appendices.
C. All headers and footers supplied with the Form must be included, and
D. Corporate Logos are not to be inserted.

Any Form found to be altered may, at the discretion of the Department’s Office of Contract Management, be removed from the SOQ before evaluation. All required information must be contained in the Forms.

A CD or USB Thumb Drive shall also be submitted, containing two separate PDF files of Volume 1 and Volume 2. The CD or USB Thumb Drive shall be unlocked, and not require passwords to open either of the PDF files. The CD or USB Thumb Drive shall be located securely in the signed original Volume 1.
1.1 VOLUME 1: ADMINISTRATIVE SUBMISSION

For Volume 1, only 1 signed original and 5 copies shall be submitted. Volume 1 shall be submitted separately from Volume 2. The signed original shall be identified as such on the cover(s) and shall be marked “SIGNED ORIGINAL”. Each copy shall be identified on the cover(s) as “Copy # of 5 copies.”

Volume 1 shall contain the cover letter, Form AOR, written certification from subcontractors serving on more than one proposal team (Section 1.11), and the following four sections:

A. Section 1 – Legal
B. Section 2 – Financial
C. Section 3 – Backlog and Capacity
D. Section 4 – Vendor Responsibility

Note: If submitting a printed copy of the Vendor Responsibility Questionnaire, the associated financial Information included may be submitted in a sealed envelope, but must be securely attached to Volume 1, Section 4 of the SOQ.

<table>
<thead>
<tr>
<th>Volume 1 Section No.</th>
<th>Required Information</th>
<th>RFQ Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>General:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Cover Letter (maximum 2 pages); and</td>
<td></td>
<td>4.4.1</td>
</tr>
<tr>
<td>• Form AOR Acknowledgement of Receipt.</td>
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<td></td>
</tr>
<tr>
<td>• Written Certification from the Subcontractor(s).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section 1 Legal:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Form L-1;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Identity of Lead Principal Participant (on Form L-1);</td>
<td></td>
<td>4.4.2.1</td>
</tr>
<tr>
<td>• Percent share of each Principal Participant (on Form L-1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Form L-3;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Additional information if JV, LLC, or partnership;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Procurement Lobbying Law Forms (2 forms);</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Legal Documents;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Statement of joint and several liability; and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Verification of AASHTO Certification of the Materials Testing Firm or Laboratory.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section 2 Financial:</td>
<td></td>
<td>4.4.2.2</td>
</tr>
<tr>
<td>• Surety Letters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section 3 Backlog and Capacity:</td>
<td></td>
<td>4.4.2.3</td>
</tr>
<tr>
<td>• Form B.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section 4 Vendor Responsibility:</td>
<td></td>
<td>4.4.2.4</td>
</tr>
<tr>
<td>• Vendor Responsibility Questionnaire and/or VendRep Certification Confirmation.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
1.2 VOLUME 2: TECHNICAL SUBMISSION

For Volume 2, one signed original and 10 copies shall be provided. Volume 2 shall be submitted separately from Volume 1. The original shall be identified as such on the cover(s) and shall be marked “ORIGINAL”. Each copy shall be identified on the cover(s) as “Copy # of 10 copies.”

Volume 2 shall be packaged with three separate sections:

A. Section 5 – Organization and Key Personnel
B. Section 6 – Experience of the Firms
C. Section 7 – Past Performance

<table>
<thead>
<tr>
<th>Volume 2 Section No.</th>
<th>Required Information</th>
<th>RFQ Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 5</td>
<td>Organization and Key Personnel:</td>
<td>4.4.2.5</td>
</tr>
<tr>
<td></td>
<td>• Organization structure (one 11” X 17” page per D-B Team Organization &amp; Communication Chart); and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Communication Protocol Narrative (maximum 5 pages per D-B Team narrative)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Form R for Key Personnel; and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• If applicable, statement from Department’s Project Manager verifying Design is 75% complete and accepted by the Department and/or construction work is complete for Design Manager and Quality Manager, respectively (maximum 1 page each position).</td>
<td></td>
</tr>
<tr>
<td>Section 6</td>
<td>Experience of the Firms:</td>
<td>4.4.2.6</td>
</tr>
<tr>
<td></td>
<td>• Form E-1: Each Form E-1 not to exceed two pages per project</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(No more than three (3) for the CI Firm(s), three (3) for the Materials Testing Firm(s) or Laboratory (Laboratories), five (5) for the Construction Firm(s) and five (5) for the Design Firm(s)).</td>
<td></td>
</tr>
<tr>
<td>Section 7</td>
<td>Past Performance:</td>
<td>4.4.2.7</td>
</tr>
<tr>
<td></td>
<td>• Form PP</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(One Form PP for each project for which a Form E-1 was prepared. Each Form PP not to exceed two pages per project;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• All Other Projects (not to exceed two pages for each Design-Build Team member);</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Form S; with Copy of the Experience Modification Rate (EMR); and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Form D/M/WBE.</td>
<td></td>
</tr>
</tbody>
</table>

Proposers should make every effort to present information clearly and concisely. Documentation that is difficult to read may be rejected and may lead to disqualification.
The information shall be easily reproducible by normal black and white photocopying machines.

SOQs will become the property of the Department. Copies of each SOQ will be retained by the Department, after the SOQ evaluation process has been completed, for the Project files.
HUNTS POINT INTERSTATE ACCESS IMPROVEMENT PROJECT - CONTRACT 2

DESIGN-BUILD PROJECT

PIN X731.64, D900051

REQUEST FOR QUALIFICATIONS

APPENDIX C

SOQ FORMS

January 15, 2020
APPENDIX C

FORMS

VOLUME 1
Form AOR  Acknowledgement of Receipt
Form L-1  Proposer’s Organization Information
Form L-3  Authorization to Provide Professional Engineering Services in New York State
Form B  Backlog Information

VRQ  State of New York Vendor Responsibility Questionnaire. (Available on the Office of the State Comptroller’s Web site: http://www.osc.state.ny.us/vendrep/forms_vendor.htm). Only the Contractor should submit the Construction (CCA-2) form. All other firms should submit the standard For-Profit VRQ (AC 3290-S).

VOLUME 2
Form R  Summary of Individual’s Experience
Form E-1  Project Descriptions
Form PP  Past Performance
Form S  Safety Questionnaire
Form D/M/WBE  Record of D/M/WBE Program Experience
This page is intentionally left blank.
FORM AOR

ACKNOWLEDGMENT OF RECEIPT OF
RFQ, ADDENDA AND RESPONSES TO QUESTIONS
(to be attached to SOQ cover letter)

<table>
<thead>
<tr>
<th>NAME OF PROPOSER</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

We hereby acknowledge receipt of Hunts Point Interstate Access Improvement Project- Contract 2 RFQ, dated January 15, 2020 and subsequent responses to questions and Addenda issued by the Department, as listed below.

Add additional lines in tables below, if needed.

<table>
<thead>
<tr>
<th>Addendum number:</th>
<th>Date issued by Department:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Responses to questions number:</th>
<th>Date issued by Department:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Bidders on New York State procurements subject to competitive bidding are required to submit a Certification on Sexual Harassment in bids. By submission of this Statement of Qualifications (SOQ), each prospective bidder and each person signing on behalf of any prospective bidder certifies, and in the case of a joint bid each party thereto certifies its own organization, under penalty of perjury, that the bidder has implemented a written policy addressing sexual harassment prevention in the workplace, and provides annual sexual harassment training to all its employees. Such policy shall, at a minimum, meet the requirements of Section 201-g of the Labor Law.

<table>
<thead>
<tr>
<th>SIGNED</th>
</tr>
</thead>
<tbody>
<tr>
<td>DATE</td>
</tr>
<tr>
<td>NAME</td>
</tr>
<tr>
<td>TITLE</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

(printed or typed)
## FORM L - 1

### PROPOSER’S ORGANIZATION INFORMATION

Under the category “Other”, supply names of subcontractors who will provide services other than Construction, Design, Construction Inspection, or Materials Testing, and indicate the specific service the subcontractor will provide. Add additional lines if necessary.

### NAME OF PROPOSER

<table>
<thead>
<tr>
<th>Main office and contact details of Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact name</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Local or regional contact details of Proposer (if different from above)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact name</td>
</tr>
</tbody>
</table>

### NAME(S) OF PROPOSER ENTITY(IES)

<table>
<thead>
<tr>
<th>Proposer Entity</th>
<th>Name of firm</th>
<th>Address / Telephone / Fax</th>
<th>State of Incorporation</th>
<th>Firm’s % equity share</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONSTRUCTORS</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DESIGNERS</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
# FORM L-1

## PROPOSER’S ORGANIZATION INFORMATION

<table>
<thead>
<tr>
<th>Proposer Entity</th>
<th>Name of firm</th>
<th>Address / Telephone / Fax</th>
<th>State of Incorporation</th>
<th>Firm’s % equity share</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONSTRUCTION INSPECTION PROFESSIONAL ENGINEERING FIRM</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MATERIAL TESTING FIRM OR LABORATORY</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OTHER</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OTHER</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## FORM L - 3

**AUTHORIZATION TO PROVIDE PROFESSIONAL ENGINEERING SERVICES IN NEW YORK STATE**

<table>
<thead>
<tr>
<th>NAME OF PROPOSER</th>
<th>NAME OF FIRM PROVIDING PROFESSIONAL ENGINEERING SERVICES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### EITHER

(1) Copy of current Certificate of Authorization to provide Professional Engineering Services issued by the New York State Education Department is attached.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

### OR

(2) Documentation is attached to this Form L-3 demonstrating the ability to obtain Certificate of Authorization to provide Professional Engineering Services from the New York State Education Department in accordance with the New York State Education Law, Title VIII, Articles 130, 145, 147 and 148.

Yes, documentation attached and further details are given below

If (2) applies, give details of attached documentation demonstrating ability to obtain the relevant certification / license: (Add additional lines if required.)
This page is intentionally left blank
## FORM B

### BACKLOG INFORMATION

Insert more rows if needed.

<table>
<thead>
<tr>
<th>Name of Proponent</th>
<th>Name of Firm</th>
<th>Number of Contracts in Force</th>
<th>Total Contract Value (US$ millions)</th>
<th>Value of Work Remaining by Year (US $ millions)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>2020</td>
<td>2021</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2022</td>
</tr>
</tbody>
</table>

**Contractors**

**Designers**

**Construction Inspection**

**Professional Engineering Firm**

**Material Testing Firm or Laboratory**
## Form B Table 2  OUTSTANDING PROPOSALS and BIDS

<table>
<thead>
<tr>
<th>NAME OF PROPOSER</th>
<th>Proposition Entity</th>
<th>Name of firm</th>
<th>Number of proposals / bids outstanding</th>
<th>Total potential value (US$ millions)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CONTRACTORS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>DESIGNERS</strong></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
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# Form R
## Summary of Individual’s Experience

Form R shall be completed by the Proposer for the Key Personnel indicated in RFQ, Section 4.4.2.5. Add lines/pages as necessary. “Project Name” should include the relevant contract number if available. Use N/A where an answer is not necessary or applicable.

### Applicant’s Information

<table>
<thead>
<tr>
<th>Name of Proposer:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Firm:</td>
<td></td>
</tr>
<tr>
<td>Individual’s Name:</td>
<td></td>
</tr>
<tr>
<td>Title for Proposed Project:</td>
<td></td>
</tr>
</tbody>
</table>

**Is Applicant Licensed as a Professional Engineer in the State of New York?**

- Yes: [ ]
- No: [ ]

**NYS Professional Engineering License Number:** [ ]

**Education:** [ ]

<table>
<thead>
<tr>
<th>Years with this Firm:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Years of Experience:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>12 Month period (beg MM/YY-end MM/YY)</th>
<th>Percentage</th>
<th>12 Month period (beg MM/YY-end MM/YY)</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 Month period (beg MM/YY-end MM/YY)</td>
<td>Percentage</td>
<td>12 Month period (beg MM/YY-end MM/YY)</td>
<td>Percentage</td>
</tr>
</tbody>
</table>

### Applicant’s Past Relevant Experience

Total number of years of experience meeting the requirements stated in RFQ, Appendix A for the title above: [ ]

The information provided below should confirm the total years stated in the above row.

**Project Name:** [ ]

**Project Description:** [ ]

**Project Owner:** [ ]

**Contact Information:** [ ]

**Project Cost Value:** [ ]

**Title on Project:** [ ]

**Individual’s Duties & Responsibilities:** [ ]

| Individual’s Start Date on Project: MM/YY | Individual’s End Date on Project: MM/YY |
### Individual's Total Time on Project:

<table>
<thead>
<tr>
<th>(in months)</th>
<th>% of time spent on Qualifying activities</th>
<th>Qualifying time: (in months)</th>
</tr>
</thead>
</table>

#### Project Name:

#### Project Description:

#### Project Owner:

#### Contact Information:

#### Project Cost Value

#### Title on Project:

#### Individual's Duties & Responsibilities:

<table>
<thead>
<tr>
<th>Individual's Start Date on Project: MM/YY</th>
<th>Individual's End Date on Project: MM/YY</th>
<th>Individual's Total Time on Project: (in months)</th>
<th>% of time spent on Qualifying activities</th>
<th>Qualifying time: (in months)</th>
</tr>
</thead>
</table>

#### Explain gaps in chronology for qualifying experience:

#### Total Time:
Identify the total time the Applicant spent on the project (start date to end date, in months)

#### % of time on Qualifying activities:
Identify the percentage of time spent performing qualifying activities during the Total Time.

#### Qualifying Time:
Calculate the percentage of time spent performing qualifying activities by the total time to determine the number of qualifying months meeting the experience required for the Key Personnel title on the proposed Design Build project as described in RFQ, Appendix A.

**Example:** Total Time on project is 12 months (1st box) with 50% of time spent on qualifying activities (2nd box) equals 6 months of qualifying time (3rd box).
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FORM E - 1
PROJECT DESCRIPTION

Complete a copy of Form E-1 for each past project, as explained in the General Instructions 4.4.2.6.

<table>
<thead>
<tr>
<th>PROPOSER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of firm</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Role of firm</th>
<th>Contractor:</th>
<th>Designer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Inspection Engineering Firm:</td>
<td>Material Testing Firm or Laboratory:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Experience (years)</th>
<th>Roads/Streets:</th>
<th>Bridges:</th>
<th>Utility Relocations:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>DESCRIPTION OF PAST PROJECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of project</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Location</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Brief description</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Nature of work for which firm was responsible</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Past project aspects/similarities to the Project in this RFQ</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>List any awards or citations received</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Owner details (department, agency, authority, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owner Name</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Address</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contact name</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Telephone and e-mail</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contract Reference #</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Contract Award Date</th>
<th>Final Contract Value (US$):</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Project Delivery</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Design Build; Design Bid Build – Low Bid; Design Bid Build – Best Value</td>
<td></td>
</tr>
</tbody>
</table>

New York State Department of Transportation
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FORM PP

PAST PERFORMANCE

PROPOSER

Name of firm

DESCRIPTION OF PAST PROJECT

<table>
<thead>
<tr>
<th>Name of project from FORM E-1</th>
<th>Contract Value as Bid: (US$)</th>
<th>Final Contract Value (US$):</th>
</tr>
</thead>
<tbody>
<tr>
<td>% of total work done by Firm:</td>
<td></td>
<td>Commencement date:</td>
</tr>
<tr>
<td>Planned completion date as Bid:</td>
<td></td>
<td>Actual completion date:</td>
</tr>
<tr>
<td>Claim Amount (US$)</td>
<td>Any Litigation? (yes or no)</td>
<td></td>
</tr>
<tr>
<td>Liquidated Damages &gt;$25k #</td>
<td>Total (US$)</td>
<td></td>
</tr>
<tr>
<td>Key Personnel Change Assessment Fee #</td>
<td>Total (US$)</td>
<td></td>
</tr>
</tbody>
</table>

NARRATIVE

1) Self-Assessment:

2) Explanations:
Use the space below to explain any or all of the following situations if they occurred on the project (Form PP may be up to two pages in length per project if necessary):

a. Final Contract Value or Expected Contract Value exceeds the Contract Value as Bid. Describe the reason(s) why the project costs were over budget.

b. Justification of why the project is/was behind schedule.

c. Amount of Claims is greater than $0. Detail the number and amount of each claim.

d. Fully describe and disclose all disputes with the New York State Department of Transportation that occurred during the project, regardless of their current disposition.

e. Identify all Court of Claims litigation, and provide the claim number and summary of causes of action.

f. Litigation. Describe background behind all other litigation, current status, etc.
g. Key Personnel Change Assessment Fee – Detail the number of fees assessed and the total value assessed to date.

h. Amount of Liquidated Damages greater than $25,000. Detail the number of issues and amount of Liquidated Damages for each issue.
FORM S

SAFETY QUESTIONNAIRE

Form S Tables 1 and 2 shall be completed for the Constructor(s), and Construction Inspection Firm(s) as listed in the SOQ. A letter from the Workers Compensation Insurance Carrier shall be attached to this form with the submission.

<table>
<thead>
<tr>
<th>Form S Table 1  SAFETY QUESTIONNAIRE FOR PROPOSER</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NAME OF PROPOSER</strong></td>
</tr>
<tr>
<td><strong>ITEM 1</strong></td>
</tr>
<tr>
<td>Provide the current EMR.</td>
</tr>
<tr>
<td>If the rate exceeds 1.2 for the most recent year provided, include a written explanation within Item 2 and not to exceed one page; and also provide the two previous years EMR provided by the Workers Compensation Insurance Carrier.</td>
</tr>
</tbody>
</table>

- Provide the EMR for the current insurance policy
- Provide the EMR for the previous insurance policy (if current rate exceeds 1.2)
- Provide the EMR for the previous insurance policy (if current rate exceeds 1.2)

**ITEM 2**
Use this space to explain steps taken by the firm to ensure continuous improvement in health and safety on projects.
# Form S Table 2 SAFETY QUESTIONNAIRE FOR EACH FIRM

## NAME OF PROPOSER

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## NAME OF FIRM

<p>| | |</p>
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</tbody>
</table>

## ITEM 1

Provide the following information for the past 3 years:

<table>
<thead>
<tr>
<th></th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total number of employee hours worked (hours)  Do not include non-work time, even though paid.</td>
<td></td>
<td></td>
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<tr>
<td>Number of lost workday cases (number)</td>
<td></td>
<td></td>
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<tr>
<td>Total number of lost employee work hours (hours)</td>
<td></td>
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<tr>
<td>Number of fatalities (number)</td>
<td></td>
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<tr>
<td>Value of Work (dollars)</td>
<td></td>
<td></td>
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</tbody>
</table>

## ITEM 2

Use this space to explain the circumstances for lost workday cases and/or fatalities identified above, and explain the category of work activities they are attributed to: Equipment Backing, Bridge Demolition, Excavation, Form Work, Pile Driving & Steel Sheeting, Structural Lifting, Beam Erection, Fall Protection, Blasting (Rock or Buildings).

---

**By signing below, if awarded the contract, the firm will comply with all safety requirements outlined in Section 2.2.3 of Part 3 of the RFP. The health and safety plan shall include, at a minimum, but not be limited to:**

- Regular safety meetings
- Safety program for all existing and newly hired staff, including supervisors and construction and field services staff
- Project safety inspections
- On-site meetings
- Emergency procedures
- Accident investigations
- Fire protection and prevention
- Safe work practices
- Tailgate safety talks prior to engaging field activities
- Inspection protocols for multiple shifts and weekend shutdown/startup
- Protocols for jobsite security and safety responsibility/accountability

**Signature:**

**Title:**

**Date:**
FORM D / M / W B E
RECORD OF D/M/WBE PROGRAM EXPERIENCE

Describe your firm’s experience in promoting opportunities for D/M/WBEs by completing Tables 1-5. This information should include:

- Demonstrated good faith efforts in having met or exceeded D/M/WBE participation goals on past contracts, preferably of similar scope.
- Demonstrated success in conducting outreach efforts/events including collaborating with local resources to allow for increased participation of small businesses including D/M/WBEs.
- Documented system of tracking and reporting good faith efforts to solicit D/M/WBEs proactively and ensure opportunities are communicated effectively.
- Experience coordinating and or facilitating training or mentor-protégé programs for subcontractors including D/M/WBEs.
- Demonstrated experience utilizing a broad spectrum of D/M/WBEs for work items and as material suppliers in operations that traditionally have been self-performed by contractors.
- A satisfactory record of integrity and business ethics as it relates in administering D/M/WBE program regulations.

### NAME OF PROPOSER

### NAME OF FIRM

<table>
<thead>
<tr>
<th>ROLE OF FIRM</th>
<th>Principal Participant:</th>
<th>Designer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction Inspection:</td>
<td>Constructor:</td>
<td></td>
</tr>
<tr>
<td>Other (describe):</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Form D/M/WBE - Table 1  RECORD OF D/M/WBE OUTREACH

Briefly provide examples of outreach efforts or events that your firm organized/developed which were used to expand the pool of available and interested D/M/WBEs to work on contracts under your direction. Outreach examples should relate to specific highway/bridge contracts which have occurred during the most recent 5 years.

| Example 1 |
| Example 2 |
| Example 3 |
**Form D/M/WBE - Table 2**  
**RECORD OF D/M/WBE SOLICITATION**

Briefly provide examples of effective techniques used by your firm to creatively and proactively solicit D/M/WBEs for specific contracts under your direction. Solicitation examples should relate to highway/bridge projects which have occurred during the most recent 5 years. Include types and frequency of solicitations as well as your follow-up procedures and response expectations.

<table>
<thead>
<tr>
<th>Solicitation Examples</th>
<th>Follow-up Procedures</th>
<th>Response Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

**Form D/M/WBE - Table 3**  
**RECORD OF D/M/WBE PRACTICES**

1) **Describe your firm’s practice of what constitutes an acceptable proposal from a D/M/WBE. Include specific attributes of D/M/WBE firms that you evaluate.**

2) **Describe your firm’s approach on which work items are identified to be performed by D/M/WBEs. Provide examples of non-traditional approaches used to find work items for D/M/WBEs on highway/bridge projects within the most recent 5 years.**

3) **Describe your firm’s experience in promoting opportunities for D/M/WBEs through good faith efforts on contracts of similar complexity, within the most recent 5 years.**

4) **Explain your firm’s past experience of subcontracting a portion of the “primary work operations” to D/M/WBEs that your firm would normally perform with your own workforce, within the most recent 5 years.**
Form D/M/WBE - Table 4  RECORD OF MEETING D/M/WBE CONTRACT GOALS

Provide the information requested below for all projects completed within the most recent 5 years where the firm was the prime contractor or prime consultant. Projects listed on Form D/M/WBE shall be the most recent of the projects listed on Form E-1 and Form PP. Insert more rows below if needed. For every contract where the D/M/WBE contract goal was not achieved, attach a one page explanation. Other comments may be provided on this page below this table.

<table>
<thead>
<tr>
<th>Contract Name &amp; Contract Number</th>
<th>D/M/WBE contract goal (%)</th>
<th>D/M/WBE commit. at Award (%)</th>
<th>Current or Final Attainment (%) (see Note 1)</th>
<th>Customer Contact Information (Name/ Telephone / Email)</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

1. Attainment as of date of SOQ submittal.
Form D/M/WBE - Table 5  RECORD OF D/M/WBE PROGRAM INTEGRITY

List all convictions, charges and/or investigations related to allegations of DBE and MWBE fraud which have been brought against your firm or any subsidiary within the most recent 5 years. For each item listed, describe the precise reasons and circumstances which led to the charges, the outcome (if completed) and your explanation of why this happened and what your firm has done to prevent the situation from occurring again.
REQUEST FOR QUALIFICATIONS

APPENDIX D

ABBREVIATIONS AND DEFINITIONS

January 15, 2020
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2.0 DEFINITIONS ................................................................................................................... 2
APPENDIX D TO REQUEST FOR QUALIFICATIONS

This RFQ includes abbreviations and specific defined terms as indicated below.

1.0 ABBREVIATIONS

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CM</td>
<td>Construction Manager</td>
</tr>
<tr>
<td>CQAE</td>
<td>Construction Quality Assurance Engineer</td>
</tr>
<tr>
<td>CQCE</td>
<td>Construction Quality Control Engineer</td>
</tr>
<tr>
<td>DB</td>
<td>Design-Build</td>
</tr>
<tr>
<td>DBE</td>
<td>Disadvantaged Business Enterprise</td>
</tr>
<tr>
<td>DQAE</td>
<td>Design Quality Assurance Engineer</td>
</tr>
<tr>
<td>DQCE</td>
<td>Design Quality Control Engineer</td>
</tr>
<tr>
<td>DM</td>
<td>Design Manager</td>
</tr>
<tr>
<td>DOT</td>
<td>Department of Transportation</td>
</tr>
<tr>
<td>FHWA</td>
<td>Federal Highway Administration</td>
</tr>
<tr>
<td>IA</td>
<td>Independent Assurance</td>
</tr>
<tr>
<td>JV</td>
<td>Joint Venture</td>
</tr>
<tr>
<td>D/M/WBE</td>
<td>Disadvantaged/Minority/Women Business Enterprise</td>
</tr>
<tr>
<td>N/A</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>NEPA</td>
<td>National Environmental Policy Act</td>
</tr>
<tr>
<td>PI</td>
<td>Public Information</td>
</tr>
<tr>
<td>PM</td>
<td>Project Manager</td>
</tr>
<tr>
<td>QA</td>
<td>Quality Assurance</td>
</tr>
<tr>
<td>QC</td>
<td>Quality Control</td>
</tr>
<tr>
<td>QM</td>
<td>Quality Manager</td>
</tr>
<tr>
<td>RE</td>
<td>Resident Engineer</td>
</tr>
<tr>
<td>RFP</td>
<td>Request for Proposals</td>
</tr>
<tr>
<td>RFQ</td>
<td>Request for Qualifications</td>
</tr>
<tr>
<td>ROD</td>
<td>Record of Decision (State &amp; Federal)</td>
</tr>
<tr>
<td>ROW</td>
<td>Right(s)-of-Way</td>
</tr>
<tr>
<td>SEQR</td>
<td>State Environmental Quality Review</td>
</tr>
<tr>
<td>SOQ</td>
<td>Statement of Qualification</td>
</tr>
</tbody>
</table>
2.0 DEFINITIONS

“**Addenda/Addendum**” means written supplemental additions, deletions, and modifications to the provisions of the RFQ issued by the Department, after the date of issuance of the RFQ.

“**Advertisement**” means a public announcement inviting prospective Proposers to obtain an RFQ or RFP and submit an SOQ or a Proposal. The Advertisement shall include a brief description of the Work proposed to be the subject of the procurement, with an announcement where the RFQ may be obtained, the terms and conditions under which SOQs will be received, and such other matters as the Department may deem advisable to include therein.

“**Affiliate**” means:

A) Any Person that directly or indirectly, through one or more intermediaries, controls, is controlled by, or is under common control with the Proposer or any Principal Participant.

B) Any Person for which 10% or more of the equity interest in such Person is held directly or indirectly, beneficially or of record, by the following:
   1) The Proposer;
   2) Any Principal Participant; or
   3) Any Affiliate under part (A) of this definition.

For purposes of this definition, the term “control” means the possession, directly or indirectly, of the power to cause the direction of the management of a Person, whether through voting securities, by contract, by family relationship, or otherwise.

“**Clarifications**” means a written or oral exchange of information that takes place between a Proposer and the Department after the receipt of all SOQs during the evaluation process. The purpose of Clarifications is to address minor ambiguities, omissions, errors or mistakes and clerical revisions in an SOQ.

“**Commissioner**” means the Commissioner of the New York State Department of Transportation.

“**Conflict of Interest**” means that a Person or organization: (1) had or has relations with Persons: (2) engaged or is engaging in activities; or (3) performed or is performing services for NYSDOT or another entity concerning the Project or a related project, that afford such Person or organization with a competitive advantage or that might otherwise impair the Person or organization’s objectivity, or that render such Person or organization unable, or potentially unable, to render impartial assistance or advice on the Project.

“**Construction Inspection (CI)**” means to inspect all construction operations and to enforce all safety measures (for employees and the traveling public) performed by the Design-Builder to ensure conformance with the contract documents. This includes performing daily inspection and testing activities in accordance with all the requirements set forth in Department policies, manuals, engineering bulletins, and engineering instructions; preparation of applicable MURK forms; preparation of monthly estimates; monitoring compliance to safety procedures, including fall protection and work zone traffic control (WZTC) requirements; monitoring compliance to
environmental requirements. Construction Inspection also includes Contract Administration functions including, but not limited to keeping required records, monitoring the DB Contractor’s progress, monitoring certified payroll compliance and processing of payments, monitoring adherence to Equal Opportunity and Labor requirements contained in the contract, taking measurements as required for payment, and maintaining a contemporaneous project diary documenting conformance with the contract documents. The Scope of Work to be performed as part of the Construction Inspection task may be changed after the RFQ Phase.

“Construction Inspection Professional Engineering Firm” means an independent Engineering firm, licensed in New York State to perform Engineering Services and having experience in Construction Inspection as defined herein. This firm shall be included as part of the Proposer’s team during the RFP Phase and shall be hired by the Design-Builder to perform Construction Inspection for the Project.

“Construction Manager” means the Design-Builder’s designated representative who leads construction activities of the Design-Build Contract, including overall construction oversight, assignment of the construction workforces, coordination of the construction workforces, etc.

“Construction Subcontractor” means a subcontractor on the Proposer’s Team that will be responsible for construction of the Project.

“Constructor” means a Principal Participant or subcontractor retained by the Design-Builder, who is involved in the actual construction of the Project.

“Contract” means the written agreement between the Department and the Design-Builder setting forth the obligations of the parties with respect to the Project, including, but not limited to, the performance of the Work, the furnishing of labor and materials, and the basis of payment, and including all provisions required by law to be inserted in the Contract whether actually inserted or not. The Contract will include the Contract Documents and any amendments, supplemental agreements and Change Orders that are required to complete the design and construction of the Work in an acceptable manner, including authorized extensions thereof, all of which constitute one instrument.

“Contract Documents” means the documents identified as such in the Contract, including all provisions required by law to be inserted in the Contract whether actually inserted or not.

“Deficiency” means a material failure of an SOQ to meet the Department’s requirements or a combination of significant Weaknesses in an SOQ that increases the risk of unsuccessful Contract performance to an unacceptable level.

“Department” means the New York State Department of Transportation.

“Design-Build (DB)” means a Project delivery methodology by which a single firm has responsibility for the design and construction of the Project under a single contract with the Department.

“Design-Builder” means the Person/Firm(s)/Joint Venture selected pursuant to the RFP that enters into the Contract with the Department to design and construct the Project.

“Design-Build Team” means the Constructor(s), Designer(s), Construction Inspection Professional Engineering Firm(s), and Materials Testing Firm(s) or Laboratory.
“Design Manager” means the Design-Builder’s designated person who shall have primary responsibility for coordination and oversight of all the Project Designs including design plans, calculations, and specifications. He/She shall be a registered Professional Engineer in the State of New York.

“Design Quality Assurance Engineer” means the Department’s representative with primary responsibility for monitoring and/or auditing the Design-Builder’s design and engineering activities for compliance with the Contract requirements and the Design-Builder’s Quality Control Plan.

“Design Quality Control Engineer” means the person appointed by Design-Builder who reports directly to the Design-Builder’s Quality Manager and is responsible for the QC of all Work conducted by the Designer. The Design QC Engineer shall be a New York-licensed professional engineer with similar experience as the Design Manager. The Design QC Engineer shall ensure that checkers are assigned for each design discipline and for each Design Unit and that they are properly scheduled.

“Designer” means a Principal Participant or other entity, licensed in New York State to perform Engineering Services and having experience in bridge and/or highway and/or infrastructure design, that has the primary responsibility for design services for the Project. This entity shall be included as part of the Proposer’s team during the RFP Phase and shall be hired/employed by the Design-Builder to perform design services for the Project.

“Disadvantaged Business Enterprise (DBE)” means a for-profit, small business concern as defined pursuant to Section 3 of the federal Small Business Act (Public Law 85-536, as amended) and Small Business Administration regulations implementing it (13 CFR Part 121) that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals and whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it, which meets the definitions set forth in 49 Code of Federal Regulations (CFR) 26.

“Disadvantaged/Minority/Women Business Enterprise” is a general term that refers to a Disadvantaged Business Enterprise (DBE), a Minority Business Enterprise (MBE) or a Women’s Business Enterprise (WBE). The DBE program applies to Federal-Aid contracts, and the MBE/WBE (M/WBE) program applies to Non-Federal-Aid contracts.

“Dispute” means a matter of Contract performance or Contract compensation, including granting of extensions of time, in which there is or may be disagreement between the Design-Builder and the Department and which may involve adjustment of Contract Items or the addition of new items to the Contract, extension of time for performance, and/or adjustments in compensation necessitated by the resolution of such disagreement.

“Equity Participant” means any Person holding (directly or indirectly) a 15% or greater interest in the Proposer.

“Independent Assurance (IA)” means activities that are undertaken in accordance with 23 CFR 637.203(a)(2), providing an unbiased and independent evaluation of all the sampling and testing procedures, equipment calibration, and qualifications of personnel (Design-Builder’s or
Department’s) used in the Acceptance Program, including the Design-Builder’s QC. The Independent Assurance (IA) agent for the Project will be designated by the Department.

“Lead Principal Participant” means the Principal Participant that is designated by the Proposer as having the lead responsibility for managing the Proposer’s organization.

“Materials Testing Firm or Laboratory” means an independent testing firm or Laboratory having experience in performing Quality Control activities as defined herein. This firm shall be included as part of the Proposer’s team during the RFP Phase and shall be hired by the Design-Builder to perform Quality Control sampling and Testing activities for the Project. The Materials Testing Firm or Laboratory shall report to the Construction Inspection Professional Engineering firm.

“Minority-Owned Business Enterprise (MBE)” means a business enterprise owned and run by a recognized minority group and certified by New York State as set forth in 5NYCRR, Part 140 – 145.

“Person” means any individual, firm, corporation, company, sole proprietorship, limited liability company (LLC), joint venture, voluntary association, partnership, trust, unincorporated organization, or other legal entity.

“Principal Participant” means any of the following entities:

A) The Proposer;

B) If the Proposer is a partnership, joint venture, or limited liability company, any general partner or any member of the partnership, joint venture or LLC; and/or

C) Any Equity Participant.

“Project” means the improvements to be designed and constructed by the Design-Builder and all other Work product to be provided by the Design-Builder in accordance with the Contract Documents.

“Project Manager” means the Design-Builder’s designated representative responsible for all aspects of the Work, including construction oversight, design oversight, project finances, project scheduling, etc. Disputes regarding design or construction that cannot be resolved with the designer or in the field will be brought to the attention of the Design-Builder’s Project Manager for resolution.

“Project Superintendent” means the Design-Builder’s on-site designated representative who oversees the construction of the Design-Build Contract, including directing and coordinating the activities of the Design-Builder’s workforce and all subcontractors, ensuring that the work progresses according to schedule, and ensuring that material and equipment are delivered to the site on time, etc.

“Proposal” means the proposal submitted by the Proposer in response to the RFP, including any revisions thereto. If the RFP requests submittal of best and final offers, the term “Proposal” means the best and final offer submitted by the Proposer, including any revisions thereto.
“Proposer” means a Person submitting a Statement of Qualifications for the Project in response to this RFQ. In the context of responses to the RFP, the term means a firm on the shortlist that submits a Proposal.

“Quality Assurance (QA)” means all planned and systematic oversight actions by the Department necessary to provide confidence that the Design-Builder is performing QC in accordance with the Quality Control Plan, that all Work complies with the Contract and that all materials incorporated in the Work, all equipment, and all elements of the Work will perform satisfactorily for the purpose intended. Quality Assurance includes, but is not limited to, monitoring and verification of design through auditing, spot-checking and participation in the review of the design, and monitoring and verification of construction, manufacturing/process facilities and equipment, on site equipment and QC documentation through auditing, spot inspections and Verification Sampling and Testing at production sites and the Project Site. Quality Assurance also includes Independent Assurance, consultation and provision of written comments by the Department, documentation of QA activities, final inspection and final acceptance. The Scope of Work to be performed as part of the Quality Assurance task may be changed after the RFQ Phase.

“Quality Assurance Program” means the overall quality program and associated activities including the Department’s Quality Assurance, Design-Builder Quality Control, the Contract’s quality requirements for design and construction to assure compliance with Department Specifications and procedures.

“Quality Control” means the total of all activities performed by the Design-Builder, Designer, Construction Inspection Professional Engineering Firm and the Materials Testing Firm or Laboratory, subcontractors, producers or manufacturers to ensure that the Work performed by the Design-Builder conforms to the Contract requirements. For design, Quality Control activities shall include, but not be limited to, procedures for design quality, checking, design review including reviews for constructability, and review and approval of Working Plans. For construction, Quality Control activities shall include, but not be limited to, procedures for materials handling and construction quality, inspection, sampling and testing of materials both on site and at the plant(s), field testing of materials, obtaining and verifying Materials Certifications, record keeping, and equipment monitoring and calibration, production process control, and monitoring of environmental compliance. Quality Control also includes documentation of all QC design and construction efforts. The Scope of Work to be performed as part of the Quality Control task may be changed after the RFQ Phase.

“Quality Control Plan” means the Design-Builder’s plan for implementing the Design-Builder’s overall quality program and associated activities, including Design-Builder’s QC and procedures to assure and document quality of design and construction activities through reviews, inspections, testing, internal communications, and necessary interfaces with the Department and the Department’s QA activities.

“Quality Manager” means the individual identified by the Design-Builder who is responsible for the overall Quality Control program and Quality Control activities of the Design-Builder, including the quality of management, design and construction. (also referred to as the “Quality Control Manager”).

“Reference Documents” means the documents provided with and so designated in the RFP. The Reference Documents, including Plans contained therein and/or so designated, are not
Contract Documents and were provided to the Design-Builder for informational purposes only and are relied upon at the Design-Builder’s own risk.

“Region” means one of 11 geographical subdivisions of the State used to designate or identify the location of the proposed Work.

“Regional Director” means the director, acting through the Commissioner, who is delegated the authority and responsibility to execute the total Department prescribed Work Plans for his/her respective Region.

“Request For Proposals (RFP)” means a written solicitation issued by the Department (and as amended by any Addenda) seeking Proposals (including quality and price) to be used to identify the Proposer offering the best value to the Department. The RFP will be issued only to Persons who are on the Short-List.

“Request For Qualifications (RFQ)” means the written solicitation, including all Addenda thereto, issued by the Department seeking SOQs in order to identify and Short-List the Proposers to receive the RFP for the Project.

“Resident Engineer” means a qualified individual as specified in the RFQ/RFP, who directs the organization and coordination of the inspectors and the on-site Construction Quality Control inspection of the execution of the construction by the Design-Builder. He/She ensures that the construction is executed in accordance with the approved designs, drawings and specifications related to the work under construction.

“Resource Provider” means the Individual to be specified by the Proposer who has full authority to move resources (personnel and equipment) to advance this Project on schedule, potentially drawing from other ongoing competing work. The Resource Provider should have broad oversight of all construction operations, procurement of equipment and materials, and the assignment of personnel.

“Short-List” means the list of Persons that the Department determines are the best highly qualified potential Design-Builders for the Project, based on an evaluation of the SOQs submitted by such Persons.

“Statement of Qualifications (SOQ)” means the information prepared and submitted by a Proposer in response to this RFQ.

“Strength” means a feature or aspect of the SOQ that exceeds the minimum requirements of the RFQ and increases the chance of successful Contract performance. A significant Strength in the SOQ is a feature or aspect that exceeds the minimum requirements of the RFQ and increases the chance of successful Contract performance.

“Verification Sampling and Testing” means sampling and testing performed by the Department, or by a firm retained by the Department, to validate the Design-Builder’s QC sampling and test data that was used in the acceptance decision.

“Weakness” means a flaw in the SOQ that increases the risk of unsuccessful Contract performance. A significant Weakness in the SOQ is a flaw that appreciably increases the risk of unsuccessful Contract performance.

“Work” means all of the administrative, design, engineering, utility support services, procurement, legal, professional, manufacturing, supply, installation, construction, supervision, management, testing, verification, labor, materials, equipment, maintenance, warranty, documentation, and other duties and services to be furnished and provided by the Design-Builder as required by the Contract Documents, including all efforts necessary or appropriate to achieve final acceptance of the Project and to fulfill the Design-Builder’s warranties. In certain cases, the term is also used to mean the products of the Work.
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