

(Rev. 6/21/2016)

**Modified Standard  
Request for Qualifications**  
(Electronic Submission Required)

Risk Analysis



Project No. F-ST99(410)  
Corridor Risk Study

August 18, 2016

**UTAH DEPARTMENT OF TRANSPORTATION  
Modified Standard Request for Qualifications  
Project No. F-ST99(410) / Corridor Risk Study**

**Summary Sheet**

1. **Project Number:** F-ST99(410)
2. **Location:** Corridor Risk Study
3. **ePM PIN No.:** 14965
4. **Requested Services:** Engineering / Risk Analysis
5. **Source(s) of Funding:** Federal
6. **UDOT Contract Administrator:** Mr. Phil Ellsworth  
Contract Administrator  
Utah Department of Transportation  
Consultant Services Division  
Box 148490  
4501 South 2700 West  
Salt Lake City, Utah 84129-5998  
801-957-8681  
[pellsworth@utah.gov](mailto:pellsworth@utah.gov)  
send SOQs to [CSSOQ@utah.gov](mailto:CSSOQ@utah.gov)
7. **UDOT Project Management:** Reuel Alder  
Project Manager  
Utah Department of Transportation
8. **Communications:** Based on revisions to Utah Code 63G-6a-1503(3), UDOT has an official process for communication regarding RFQs after advertisement or posting of RFQs. Consultants may not contact or communicate regarding this RFQ with any member or potential member of a Selection Team except through the following official RFQ communication process.

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

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

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Consultants desiring to meet with the UDOT PM for a formal communication meeting should contact the UDOT Contract Administrator via email to request an appointment PRIOR to the deadline identified in the selection schedule table on Page 4. The UDOT Contract Administrator will schedule appointments based on the number of firms requesting appointments. Include the name and contact information of the primary individual for your appointment.

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

9. **Modified Standard Statement of Qualifications (SOQ) Deadline:** See the Selection Schedule on Page 4

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

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

10. **Qualification Based Selection:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Consultant cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 24. Refer to Page 7 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 27.

11. **Type of SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*, see Page 12.

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

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

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

14. **Project Completion:** Approximately 6 months from Notice to Proceed.

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

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

**Consultant Selection Schedule**

<b>Date</b>	<b>Action</b>
Thursday, August 18, 2016	Posting of RFQ on UDOT Consultant Services Project Advertisement website
<b>Thursday, August 25, 2016</b>	<b>Deadline to request a one-on-one discussion meeting</b>
<b>Monday, August 29, 2016</b>	<b>Appointments to discuss the project</b>
<b>Thursday, September 8, 2016</b>	<b>SOQs are due electronically by 11:00 AM</b>
Thursday, September 22, 2016	RFQ Selection Team Meeting
Thursday, September 28, 2016	Consultant Selection Interviews
Thursday, September 29, 2016	Consultant Selection
Tuesday, October 4, 2016	Pre-Negotiation Meeting with Selected Consultant

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**Appendix B:** *Proposed Key Personnel to Be Used on UDOT Project*

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**Acceptance and Completion Criteria**

**Overview:**

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

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

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 27. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.

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

**Project Dates:**

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

**Required Percentage of Work for Prime Consultant:**

The selected Consultant must perform work valued at not less than **50%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items not usually furnished by a consultant performing the particular type of services requested in *Appendix C Scope of Work*.

**Required Completion and Acceptance Criteria:**

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

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Applicable Federal and State Requirements:

The Consultant shall conform to all applicable state and federal regulations.

Debarment Certification:

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

Authorization to Begin Work:

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

Required Key Personnel Qualifications:

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

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

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

UDOT's requirements for listing current or former UDOT employees as key personnel in SOQ's are as follows:

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

Required Availability of Key Personnel:

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

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Change in Project Team During Negotiations:

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

Required Modified Standard SOQ Contents:

The SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*.

Modified Standard SOQ Evaluation Procedures:

The RFQ Selection Team will evaluate the SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*.

Conditions of Proposal:

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

Disposition of Modified Standard SOQs:

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

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

Ownership of Documents:

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

Financial Screening:

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening

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process. **Consultants are required to have an independent audit by a CPA firm for this RFQ. Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

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

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

Audits:

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

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

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

Insurance Certificates:

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Locate current insurance requirements within the Consultant Services Manual of Instructions from the UDOT website [www.udot.utah.gov/go/csmanuals](http://www.udot.utah.gov/go/csmanuals).

Health Reform – Requirement for Health Insurance Coverage in State Contracts:

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

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Subscription to the UDOT Consultant Services Update Service:

UDOT recommends Consultants interested in proposing an SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT web site [www.udot.utah.gov/go/subscriptionlist](http://www.udot.utah.gov/go/subscriptionlist).

**If there are any changes affecting this RFQ, notice will be sent out via an email through the Update Service.**

Consultant and/or Corporate Logos or Branding:

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

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

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

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

Right to Cancel:

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

Protests:

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

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

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

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Conflict of Interest:

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

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## **Appendix A**

### **Guidelines for Preparing a Modified Standard Statement of Qualifications**

**Introduction:**

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

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

**Electronic Submission:**

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

**Modified Standard SOQ Sections:**

**The SOQ should contain the following sections in the order listed.**

**One PDF**

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

**Modified Standard SOQ Evaluation Criteria:**

The SOQ evaluation criteria are listed below in red.

**Cover Page**

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

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

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information**. **SOQs will be**

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**considered non-responsive and will be disqualified if the Cover Page is not attached to the SOQ; if the Acknowledgement is not included on the Cover Page; and/or if there is additional information included on the Cover Page.**

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

1. **Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.
  - Project Team organizational charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms)). Identify firms and individuals that will be providing key services on the project (including all technical expertise necessary to perform the Scope of Work identified in Appendix C Scope of Work). **[20% of Project Team points]**
  - Describe the qualifications, experience, and availability of key personnel on your proposed project team. Correlate the qualifications and past experience with the Contract Goals and Scope of Work identified in Appendix C *Scope of Work*. (NOTE: Do not include percentages of availability, as this may be misinterpreted as a reference to cost.) **[65% of Project Team points]**
  - Provide a spreadsheet list of projects **completed** by key team members during the last ten years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). Note: Columns may be combined in order to meet the font size and margin requirements under Modified Standard SOQ Format Requirements on Page 19). **[15% of Project Team points]**
    - Name of Project Manager / Key Team member(s)
    - Year
    - Type of Project
    - Project Name
    - Project Location
    - Project Description
    - Services Performed / Specific Project Role
    - Client
    - Reference Contact and Telephone Number

A maximum of 25 points is available for this section.

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

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- Describe your project team firms' capability, experience and unique qualifications to perform the specific type of work identified in Appendix C *Scope of Work*. **[25% of Capability of Consultants points]**
- Discuss your plan to ensure that all team members are collaborative and fully engaged in the process. **[40% of Capability of Consultants points]**
- Discuss the logistics relating to how the members of the project team will provide the services requested. **[15% of Capability of Consultants points]**
- Choose a similar project identified in the Project Team section and discuss in detail what your firm did to make that project a success and explain how any lessons learned and successes will benefit this project. **[20% of Capability of Consultants points]**

A maximum of 25 points is available for this section.

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

- Describe the course of action proposed to meet the Contract Goals and Scope of Work identified in Appendix C *Scope of Work*. Be realistic, clear and concise. **[40% of Approach to the Project points]**
- Identify a schedule of key project milestones and discuss the rationale behind this schedule. **[25% of Approach to the Project points]**
- Identify risks, challenges, conflicts and potential mitigation related to the successful completion of this Contract. **[35% of Approach to the Project points]**

A maximum of 50 points is available for this section.

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

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

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

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Modified Standard SOQ Format Requirements:

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

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

**One-point penalty deductions:**

1. **8-1/2" X 11" or 11" X 17" Page Sizes** – This requirement is addressed below in the list of Three-Point Penalty Deductions.
2. **One (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within the margin.
3. **Font and Spacing Requirement** – The body of the SOQ and the Project Experience Table are required to be written with a 10-point [or greater] standard Arial or Times New Roman font, excluding the Cover Page and Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will also be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point. The font will be checked in the:
  - a. Body of the SOQ; and,
  - b. Project Experience Table.
4. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
5. **Page Headers/Footers are required** – May be within the one-inch margins; and must include Project Number, Project Location/Description, and Current Date.
6. **Related Experience Chart and Project Organization Chart are required** – Sample charts are available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).
7. **Appendix B *Proposed Key Personnel to be Used on UDOT Project*** – The completed form is required and will not count towards the page maximum if no additional information is included.

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

**Two-point penalty deductions:**

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- 8. Send SOQs to the Contract Administrator** – Send SOQs to the Contract Administrator, do not send SOQs directly or indirectly to any known or presumed RFQ Selection Team members or other UDOT personnel, see instructions on Page 3.
- 9. PDF Submission** – SOQs are required to be submitted in PDF files. Unless specifically addressed in the RFQ, only one PDF will be accepted.

**A two-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirement(s) for a maximum four-point penalty per SOQ.**

**Three-point penalty deductions:**

- 10. Seven (7)-Page Maximum** – (The SOQ has a maximum page limit of (Seven pages.)

A page is defined as a single-sided 8-1/2" X 11" or 11" X 17" sheet that contains text, pictures, tables, graphs, charts, plan sheets or any other graphic. **There is a limit of up to ONE 11" X 17" sheet.**

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

**Any Modified Standard SOQ that exceeds the 7-page maximum will receive a three-point penalty per page over the limit.**

**Disqualification:**

- 11. Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline.
- 12. Electronic PDF Submission** – Any SOQ not received in the appropriate PDF format via email (containing all of the sections in the order presented in Modified Standard SOQ Sections on Page13).
- 13. Cost Discussion** – Any SOQ received with any reference to consultant costs. Consultant cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project. Refer to Page 7 for further details. On the Project Experience Chart, if construction estimates are not applicable, insert "NA", do not include the consultant's contract amounts.
- 14. Cover Page** – Any SOQ received without a Cover Page, without the Acknowledgement on the Cover Page, and/or with additional information. No additional back page is allowed. Refer to Page 14 for further details.
- 15. Use of employees employed by another consultant** – Any SOQ received using employees currently employed by another consultant or presented as staff on two SOQs

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for the same advertisement. (This does not apply to a sub-consultant firm competing on one or more project teams.) Refer to Required Key Personnel Qualification on Page **Error! Bookmark not defined.** for more information.

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

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

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

**Any SOQs committing violations to the above format requirements will be disqualified by Consultant Services.**

Modified Standard RFQ Selection Team:

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

The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the SOQs. Final SOQ score results are determined from the average of voting RFQ Selection Team members' scores. Interviews occur when final averaged scores of the top-ranked firms have a small enough point deviation to continue a competitive selection process. If one or more SOQs are within 3 points (or less) of the first-ranked SOQ, the Selection Team will invite those teams to interviews. If one or more SOQs are greater than 3 points, but not more than 5 points, from the first-ranked SOQ the Selection Team may determine, at their discretion, if interviews will be conducted with those teams. If there are greater than 5 points separating the first ranked SOQ from the second ranked SOQ, the Selection Team will not conduct interviews and will award the selection to the first ranked team.

If the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the Selection Team will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection – Interview Format Worksheet*, found on the web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

Selection Interviews:

If the RFQ Selection Team determines interviews are necessary, the following project-specific topics may be some of the issues discussed.

- Understanding of the Work

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

“Selecting by Consent” Process:

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

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by “consent”. Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). See the form for more information regarding this process.

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Qualitative Assessment Guidelines:

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

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

Consultant Debriefing:

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

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

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

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

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Summary:

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



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## Appendix C

### Contract Goals

Evaluate US-40, or other similar corridor and determine the value of performing corridor risk analysis'.

### Scope of Work

The purpose of this study is to complete a risk analysis on a selected corridor and document the process for UDOT to use on other high priority corridors. UDOT will never have a budget sufficiently large to actively manage every asset we are responsible for. We will continue to react to failures as they occur. However, some of our assets are important enough because of traffic volumes and location to justify a proactive management approach. A risk analysis will help us to identify and manage these high priority assets to avoid closures and minimize impacts to the traveling public.

We recognize that not all risks can be eliminated. Not all risks can be managed but preparation and foresight will increase our performance and UDOT seeks a way to improve our performance by identifying, cataloging, prioritizing, and either eliminating or mitigating risk. We seek to consider the corridor as a system meeting a variety of needs and facing a variety of risks. Some risks may be opportunities such as better coordination of preservation activities to minimize impacts on the traveling public. Some risks may be programmatic or natural hazards or related to the condition of assets. This study is to help us look at a corridor as a system and then identify, prioritize, eliminate, or mitigate risks. Finally this study is intended to provide UDOT with a continuous risk management process to assist in managing the Utah Transportation System.

This is an initial pilot activity to be focused on a single corridor such as US 40 from I-80 easterly to the Colorado border. The US 40 corridor has a lot a variability in volumes, vehicle types, land use and environment. UDOT has recently completed a corridor needs analysis and has several projects planned for the near future. See the following links:

<http://uplan.maps.arcgis.com/apps/MapSeries/index.html?appid=e189e2fa29584c57ab4371007a16bb3b>  
and

<http://uplan.maps.arcgis.com/home/webmap/viewer.html?webmap=13b69fa3f8754c708623aab2684b14a0>

UDOT envisions a steering committee formed to guide the study with representatives from a Region and the Central Offices. UDOT has not performed a risk analysis this type before and looks to proposers for innovative approaches. Deliverables are expected to be:

- Completed corridor risk analysis
- System view of the corridor
- Propose risk targets and risk thresholds for assets that should be proactively managed
- Repeatable process for UDOT to use on other corridors

## Appendix D

### Additional Information

#### QC/QA Plan Requirements:

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site [www.udot.utah.gov/go/qcqa](http://www.udot.utah.gov/go/qcqa)
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

#### UDOT Reference Items:

- UDOT CADD use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS).
- UDOT Construction Manual of Instruction is available online at the UDOT web site [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Consultant Services Manual of Instruction is available on-line at the UDOT web site [www.udot.utah.gov/go/CSManuals](http://www.udot.utah.gov/go/CSManuals).
- UDOT Drainage Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Environmental Process Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- Other UDOT manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Project Delivery Networks is available on-line from the UDOT web site at [www.udot.utah.gov/go/ProjectManagement](http://www.udot.utah.gov/go/ProjectManagement).
- UDOT ProjectWise use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS).
- UDOT Reference Material is available on-line from the UDOT web site at [www.udot.utah.gov/go/StandardsReferences](http://www.udot.utah.gov/go/StandardsReferences).

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- UDOT Right of Way Design and Operations Manuals are available on-line from the UDOT Web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Roadway Design Manual of Instruction is available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals).
- UDOT Standards are available on-line from the UDOT web site at [www.udot.utah.gov/go/2012Standards](http://www.udot.utah.gov/go/2012Standards).
- UDOT 2016 Strategic Direction & Performance Measures are available on-line from the UDOT web site at [www.udot.utah.gov/go/StrategicDirection](http://www.udot.utah.gov/go/StrategicDirection).
- UDOT Structures Design and Detailing Manual and the Bridge Management Manual are available on-line from the UDOT web site at [www.udot.utah.gov/go/STRManuals](http://www.udot.utah.gov/go/STRManuals)).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/HighwaySignPolicy](http://www.udot.utah.gov/go/HighwaySignPolicy).
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>.

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The Brooks Act of 1972:  
Federal Government Selection of Architects and Engineers

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

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

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

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

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

In this chapter, the following definitions apply:

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

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

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

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

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