STATE OF COLORADO

DEPARTMENT OF TRANSPORTATION
Contracts and Market Analysis Branch
4201 East Arkansas Avenue, 4th Floor
Denver, Colorado 80222
Telephone: (303) 757-9351
Facsimile: (303) 757-9868

Consultants,

This package is for your use in preparing your Statement of Interest (SOI)/Work Plan (WP) for the professional services selection process for the Colorado Department of Transportation (CDOT). The consultant is encouraged to follow the outline and page distribution indicated in these instructions. The selection panel members will have limited time to review the submittals. If the panel has difficulty finding the desired information, they may consider the submittal as non-responsive and a lower score may result. Consultants must be pre-qualified one week prior to the SOI/WP submittal deadline.

Pages in excess of the page limits for each section will be removed from the submittal.

CDOT'S SELECTION PROCESS IS SUMMARIZED AS FOLLOWS:

SOI/WP Pre-score Activity

The CDOT Contracting Officer reviews the SOI/WP for completeness and compliance with the newspaper advertisement and these instructions. If acceptable, the Contracting Officer transmits the SOI/WP package to each panel member. The package includes:

- SOI/WP Scoring Guidelines
- Draft Scope of Work
- Notice to Consultants
- Acceptance Checklist
- SOI/WP for Each Consultant

In addition to the package, CDOT's Contracting Officer E-mails every panel member their copy of the Excel Scoring Spreadsheet for this SOI/WP.

SOI/WP Scoring Activity

- Prior to the selection panel meeting the following occurs:
  - Every panel member scores every SOI/WP independently.
  - The Business Programs Office scores every SOI/WP for Underutilized Disadvantaged Business Enterprise (UDBE) participation.
  - The Business Programs Office scores every SOI/WP for Emerging Small Business (ESB) participation.
  - The Agreements Office Contracting Officer scores every SOI/WP for workload factor (new scoring criteria).

The workload factor is based on the amount of new contracts awarded to the consultant in the previous two years. The scoring scale will be evaluated each year in July, based on the total dollar amount of new contracts awarded to all consultants during the two prior fiscal years to assure that it remains current and relevant to the amount of work that consultants have with the Department.

For FY 2009 / 2010, the scale is as follows:

A)	$00.00 - $900,000	5 points
B)	$900,000 to $2 million	4 points
C)	$2 million to $4 million	3 points
D)	$4 million to $10 million	2 points
E)	Over $10 million	1 point

The Agreements Office evaluates this factor prior to the selection meeting. The total value of all contracts awarded to each consultant for the two years preceding the SOI/WP submittal date are included. This factor comprises 10 percent of the total score. The workload score is not provided to the selection board until the selection meeting, after each of the panel members have already scored all consultant submittals and they have reached consensus on all of their scoring factors.

Selection or Short-list Panel Meeting

A selection panel meeting is held to compile scores and discuss the panel member's evaluations of the consultant's SOI/WP based on the following criteria:

- Project Team
- Firm Capability
- Past Performance on Similar Projects or Similar Teams
- Work Location
- Capacity (new scoring criteria)
- Project Goals
- Project Control
- Project Concept
- Project Critical Issues

The selection panel reaches a consensus ranking of either the selected firm, if there is not going to be an optional presentation and interview phase, or the short list of firms (minimum of the top 3 qualified consultants), if there is going to be a presentation and interview phase. The panel provides its recommendation to the Agreements Officer, who obtains the concurrence of the Contract Administrator, and then provides selection documentation to the Chief Engineer for approval. The Chief Engineer's approval is necessary before the Agreements Office can proceed with selection notification or the interview phase.

Presentation and Interview Selection Panel Meeting **NOT APPLICABLE FOR THIS PROJECT**

The short listed firms have two weeks to prepare their presentation for their interview with the selection panel. The purpose this meeting is to allow consultants time to present their analysis of the project and to allow the panel time to clarify the consultant's qualifications in a question and answer session.

Final Selection

In making the final selection recommendation to the Chief Engineer, the panel reaches consensus on the ranking of the selected firm. The panel provides its recommendation to the Contracting Officer, who obtains the concurrence of CDOT's Contract Administrator. Then the Contracting Officer provides selection documentation, including the board's ranking, to the Chief Engineer for approval. The Chief Engineer's approval is necessary before proceeding with selection notification.

SOI/WP Documentation

In addition to these instructions, the following documents are needed to prepare an SOI/WP and can be found on the CDOT consultant management web-site www.dot.state.co.us/Consultants/.

- SOI/WP Notice to Consultants Cover Memo
- Key Event Schedule (KES)
- Invitation for Consultant Services (Newspaper ad)
- Consultant Evaluation Excel Scoring Spreadsheet (Example)
- Draft Scope of Work
  - This scope of work is subject to review by CDOT and may change.
  - Consultants should be aware that the final scope of work may involve input from the selected consultant.
- List of Eligible ESB Consultants and ESB Requirements and Definitions
- List of Certified UDBE Consultants and UDBE Requirements and Definitions
- SOI/WP Preparation Instructions for consultants

Additional Requirements

- All firms submitting a SOI/WP must be pre-qualified at least seven calendar days prior to the SOI/WP submittal date. Pre-qualification must be done annually.

- Professional liability insurance and other insurance are required for the length of the contract from selected consultant. Proof of insurance must be submitted with the final cost proposal.

Pre-qualification and insurance questions should be directed to the Agreements Office, at 303-757-9618.

Consultant selection process questions should be directed to:

Brian Hancock Contracts Officer at 303 757-9351

The Agreements Office recommends that you prepare your SOI/WP in a 10 or 12 point font. If a smaller font is used, it may reflect negatively on your scores if panel members can not read your submission. A page for the submittal is defined as a standard 8-1/2 x 11 inch sheet of paper printed on one side only. If you notice any conflicts between the instructions and the guidelines in the public advertisement (notice to consultants), information in the public advertisement takes precedence.

Please do **not** include company prime or sub-consultant firm resumes, or staff resumes.

Sincerely,

Brian Hancock, Contracts Officer
Consultant Agreements

Professional Consultant Services

Statement of Interest (SOI)/Work Plan (WP)

Preparation Instructions for Consultants

Colorado Department of Transportation
Agreements Office
4201 East Arkansas Avenue, 4th Floor West
Denver, Colorado 80222-3400
Telephone Number: (303) 757-9351
Fax Number: (303) 757-9867

I. CONSULTANT SOI/WP INSTRUCTIONS

A. Statement of Interest (SOI) / Work Plans (WP) Should Contain the Following Elements:

1. Cover or Introductory Letter **(**2 page limit - 8 1/2 x 11 paper - one side)

2. Statement of Interest Section **(**5 page limit, which includes the one page limit for capacity - 8 1/2 x 11 paper - one side)

3. A Work Plan Section **(**4 page limit - 8 1/2 x 11 paper - one side)

4. An Optional Section **(**5 page limit - 8 1/2 x 11paper - one side**,** and up to 3 of the 5 pages can be - 11 x 17 paper - one side)

5. The Commendation Section **(**No page limit - 8 1/2 x 11 paper - one side)

B. Cover or Introductory Letter

1. <u>Address the cover or introductory letter to the Agreements Contracting Officer</u>:
   Brian Hancock, Contracting Officer ~ Agreements
   Colorado Department of Transportation
   Agreements & Consultant Management Section
   4201 E. Arkansas Avenue, 4th Floor - West
   Denver, Colorado 80222-3400

2. Include the following elements of information in the letter as a minimum and highlight these items in bold letters.

   a) Project number and project location for project specific contracts.
   b) Statement that the firm is pre-qualified with CDOT and the firm's pre-qualification expiration date.
   c) Certification that the information and data submitted is true and complete to the best knowledge of the individual signing the letter.
   d) Name, telephone number, e-mail address and fax number of the individual to contact regarding their SOI/WP submittal.
   e) CDOT **requires** an original signature signed in ink, by an authorized principal, partner, or officer of the firm.

C. Statement of Interest Section (SOI)

1. The following outline is to aid you in preparing your SOI. Your responses to the elements of this outline should demonstrate the knowledge and expertise your firm brings to the project.
   a) <u>Project Team</u>

      (1) Identify your:
         (a) Project Principal
         (b) Project Manager
         (c) Key Staff

(d) Sub-consultants.

(2) Present a brief discussion regarding how the team's qualifications and experience relate to this project.

(3) Include the following:

(a) Principal's level of involvement in the project
(b) Qualifications and relevant individual experience of prime and sub-consultant team members
(c) Unique knowledge of team members related to the project
(d) Commitment of time and availability of key staff members
(e) Length of time with the firm for each key team member
(f) Experience on similar projects as a team

(4) A project team organization chart maybe included in the optional section and, if it's included there, it is counted as a page of optional section.

b) Firm Capability

(1) Address the firm's size and the disciplines of technical staff.

(2) Include the firm's relevant experience and accomplishments as a Prime Consultant that were are not listed in the project team section.

(3) Outline computer software availability and its compatibility with CDOT software.

(a) All consultants are **required** to use the following Bentley Suite software packages, which are currently used by CDOT:
(i) INROADS for project design
(ii) Microstation for project drafting

(4) Indicate the Consultant's availability to do the project concurrent with existing and projected work loads.

(5) Consider including the following:

(a) Graphs depicting firms capacity to do the project
(b) Information on the sub-consultant's role
(c) The sub-consultants function and integration into the team
(d) Match of personnel to the existing and future work load

c) Past Performance on Similar Projects or Similar Teams

(1) List current and past projects completed within the past three years with CDOT

(2) List similar projects which are on-going or completed within the past three years for other agencies.

(3) Demonstrate your firm's or team's ability to do the following for projects listed above:
(a) Control costs
(b) Meet schedules

(c) Provide quality work.

(4) Include the project name, project manager's name and telephone number for all projects listed above.

(5) Describe your firm's role for all the projects listed above.

(6) Please include any letters of commendation you received on the projects listed above in the commendation section, where they will not count against your page limits.

d) Work Location

(1) Describe where the key work elements of this project will be done by the prime and the sub-consultants. Include the following points in your description:

(a) Team's work location relative to the project location.
(b) Accessibility of the project team for coordination with the CDOT project manager and the project location.
(c) Firm's familiarity with the project area and local practices.
(d) Firm's knowledge of the local labor and materials market.

e) Capacity

(1) This factor is based on the prime consultant's capacity to do work in Colorado.

(2) The advertisement lists the disciplines that will be included in the contract.

(a) For each discipline listed, include a list of your firm's quarterly capacity, in work hours, for your Colorado offices.
(b) Provide all of the work hours your firm has committed in each of the disciplines for each of the next four quarters, including all contracts for work outside CDOT.

(3) Please note that you are only allowed up to **one** page for capacity, which is included in the five page SOI section limit, moreover, if you submit six pages in the SOI section of your submission, the Contracting Officer will remove the sixth page prior to putting the selection panel package together.

(4) In addition to the required information listed above, you may include narrative describing additional resources you plan to utilize for any of the listed disciplines.

(5) For your information, the selection board will give this score a value of plus one, zero, or minus one
(a) Capacity is scored by consensus of the selection panel
(b) This score will be used to adjust the workload score, however, it will not adjust it above 5.00 points (the Maximum score, which is outstanding) or below 1.00 point (the minimum score, which is unsatisfactory).

f) Underutilized Disadvantaged Business Enterprise (UDBE) Participation

(1) For each UDBE you are using to meet the project's UDBE goal, include in the Commendation Section the following:

(a) Appropriate CDOT DBE commitment form:
  (i) Certificate of Proposed DBE participation for Project Specific (PS) Consultant Contracts (Form 1331)
  (ii) DBE Bid Conditions Assurance for Non-Project Specific (NPS) Consultant Contracts (Form 1330)
(b) A letter of acceptance from each DBE listed on the Form 1330 or 1331.
(c) A copy of each DBE's certificate or a letter of certification from the Colorado Department of Transportation's Certification Office or from the City of Denver's Certification Office.
(d) Please attach letters and certificates in the commendation section so they will not count against your page limits. Also, if the certificate or letter of certification is not included, their UDBE participation may **not** be included in your score.

(2) List:

(a) Whether your firm is a certified UDBE.
(b) Which items of work is committed to each UDBE.
(c) The percentage of the project your firm is committing to each UDBE.
(d) Your firm's total percentage commitment to DBEs on this project.
(e) Which, if any, of the UDBE Firms have received fewer than 5 CDOT contracts and subcontracts in the past 3 years?

(3) Consider:
(a) The document entitled "UDBE Definitions and Requirements" describes the UDBE commitment and other requirements associated with the consultant's UDBE participation.
(b) Consultants are expected to commit "meaningful work" to the UDBE sub-consultants.

(4) For your information, DBE factors are scored separately by CDOT's Business Programs Office.

g) Emerging Small Business (ESB) Usage

(1) Include "letters of acceptance" from the ESB firms and a copy of their notice of eligibility from CDOT in the commendation section, so that they will not count against your page limits. If their notice of eligibility is **not** included, their ESB participation may **not** be included in your score.

(2) State:

(a) Whether your firm is an eligible ESB firm.
(b) Which items of work your firm is committing to each ESB.
(c) Which, if any, of the ESB firms have never had CDOT contracts.

(3) Consider:

(a) Utilization of an ESB firm for at least a part of the work.
(b) Utilization of an ESB firm who has never had a CDOT contract.

(c) The prime consultant is expected to commit “meaningful work” to their ESB sub-consultants.

(4) For your information, ESB factors will be scored separately by CDOT’s Business Programs Office.

D. WORK PLAN SECTION

1. Project Goal

a) Indicate the following:

(1) Your firms understanding of the project goals.

(2) A list of deliverables required on the project.

(3) For non-project specific selections, which have no identified tasks, describe a hypothetical project or the approach you have taken on a similar project.

2. Project Control

a) List the names of staff members responsible for the following items and describe how they plan to manage them.

(1) Cost Control

(a) Controlling consultant contract costs.
(b) Controlling construction costs to stay within the budget.

(2) Quality Control

(a) Insuring that CDOT procedures are followed.
(b) Insuring that project plans, specifications and estimates are free of errors and meet CDOT and other agency standards.

(3) Scheduling

(a) Managing the required work to meet the established schedule.
(b) For your information, a detailed work hour schedule should **not** be included.

3. Project Concept

a) Briefly describe the actions you plan to take to achieve the project goals and objectives.

(1) Consider the following items:

(a) Have you formulated a successful approach to the project?
(b) Are possible design alternates suggested?
(c) Have you exhibited sensitivity to general public concerns?
(d) Have you demonstrated a clear and concise understanding of the project based on the data which has been provided?

4. Critical Issues (Problems and Solutions)

   a) This is your opportunity to present an analysis of the most significant issues that you believe you will have to address in order to successfully complete this contract.
      (1) Consider the following points in presenting your analysis:
      (2) Are major problems identified?
      (3) Are the problems significant?
      (4) Are solutions reasonable?

5. Miscellaneous Section (Optional)

   a) This section provides the Consultant with the opportunity to submit additional Information:

      (1) Graphs
      (2) Charts
      (3) Photographs

   b) Up to three pages can be 11 x 17 inches, but they must be folded to 8.5 x 11 inches.

6. Commendation Section

   a) Attach the following in the order shown:

      (1) Letters of acceptance from UDBE firms regarding their availability to be a sub-consultant.
      (2) Either CDOT Form 1330 (Non-Project Specific Consultant Contracts) or CDOT Form 1331 (Project Specific Consultant Contracts)
      (3) Copies of their certificates from the City of Denver's Certification Office.
      (4) Letters of acceptance from ESB firms regarding their availability to be a sub-consultant.
      (5) Copies of their ESB approval letters from CDOT
      (6) Letters of commendation or awards for similar previous work completed within the last three years. These letters should be of reasonable length and pertinent to the project.

II. CONSULTANT SELECTION PROTEST RULES

A. Protests will be handled as follows:

1. Any actual or prospective consultant who is aggrieved in connection with a solicitation or award of a contract may protest to the Chief Engineer. The protest shall be submitted in writing within seven working days after the aggrieved person knows or should have known of the facts giving rise to the protest.

2. The Chief Engineer or designee shall have the authority to settle and resolve a protest of a consultant, actual or prospective, concerning the solicitation or award of a contract. A written decision regarding the protest shall be rendered within seven working days after the protest is filed. The decision shall be based on and limited to a review of only those issues raised by the aggrieved consultant, and will set forth each factor taken into account, in reaching the decision. The decision will constitute the final agency action of the Colorado Department of Transportation regarding the protest.

3. Entitlement to costs: When a protest is sustained by the Chief Engineer or designee, or upon administrative or judicial review, and the consultant should have been awarded the contract under the solicitation, but was not. The protestor will be entitled to reasonable costs incurred in connection with the solicitation, including SOIWP preparation costs. No other costs or fees will be permitted or awarded, and reasonable costs and fees will not include attorney's fees.

III. Scoring Spreadsheet Examples – Please Note:

The weight factors may change from project to project as weight factors may be customized for each project by CDOT's Project Manager.

Project No.:			CMS ID:		
Colorado Department of Transportation					
Consultant Evaluation - Statement of Interest Scoring					
Board Member	**A**	**Consultant:**	**N/A**		
Evaluation Factors 5 - Superior; 4 - Satisfactory Plus 3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory				**Board Score**	**Weight**	**Extended Score**
Project Team				**0.00**	**4.50**	**0.00**
1) Qualifications and ability of professional personnel (Show years of experience and similar project experience) 2) Experience on similar projects as a team 3) Commitment of key members						
Comments:						
Firm Capability				**0.00**	**4.50**	**0.00**
1) Firm's size, organizational structure and flexibilty 2) Production facilities and key capabilities such as CADD, MOSS, etc. 3) Firm's technical disciplines and the capabilities of sub-consultants included on the team						
Comments:						
Past Performance on Similar Projects/Similar Teams						
				0.00	**4.50**	**0.00**
1) Demonstrated ability to control costs 2) Demonstrated ability to do quality work 3) Demonstrated ability to meet schedule						
Comments:						
Work Location				**0.00**	**2.50**	**0.00**
1) Team's work location relative to the project location 2) Accessibility of the project team for coordination with the CDOT Project Manager and project location						
Comments:						
Capacity (Score this item as +1, 0, or -1)				**0**	**N/A**	**N/A**
1) Comparison of firm's stated capacity and the amount of that capacity committed 2) Consider information regarding additional resources available						
Comments:						
Total of Sheet 1 - SOI Score:						**0.00**

Project No.:				CMS ID:	
Colorado Department of Transportation					
Consultant Evaluation - Work Plan Scoring					
Board Member Designation	**A**	**Consultant Name**	**N/A**		
Evaluation Factors 5 - Superior; 4 - Satisfactory Plus; 3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory				**Board Score**	**Weight**	**Extended Score**
Project Goals				**0.00**	**4.50**	**0.00**
1) Firm demonstrated clear understanding of the project goals			2) A list of deliverables required on the project			
3) For non-project specific contracts use a hypothetical project.						
Comments:						
Project Control				**0.00**	**4.50**	**0.00**
1) Cost Control:	1) Controlling the consultant contract costs					
	2) Controlling the construction costs (if relevant) to stay within budget					
2) Quality Control:	1) Insuring that CDOT procedures are followed where appropriate					
	2) Insuring that project plans, specs. and estimates are free of errors and meet CDOT & other agency Stds.					
3) Schedule:	1) Managing the required work to meet the established schedule					
	2) A detailed work hour schedule should NOT be included					
Comments:						
Project Concept				**0.00**	**4.50**	**0.00**
1) Has the firm formulated a successful approach to the project?						
2) Where appropriate, are possible design alternates suggested?						
3) Where appropriate, have you exhibited a sensitivity to the general public concerns?						
4) Has the firm demonstrated a clear and concise understanding of the project based on the data which has been provided?						
Comments:						
Project Critical Issues				**0.00**	**4.50**	**0.00**
1) Are the major problem identified?			2) Are the discussed problems significant?			
3) Are possible solutions reasonable?						
Comments:						
Total of Sheet 2 / Work Plan Score:						**0.00**
Total of Sheets 1+ 2 / SOI and Work Plan Score:						**0.00**

Project No.:		CMS ID:	
Colorado Department of Transportation			
Consultant Evaluation - Presentation / Interview Scoring			
Board Member Designation	A	Consultant Name	N/A

Evaluation Factors 5 - Superior; 4 - Satisfactory Plus 3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory	Board Score	Weight	Extended Score
Presentation / Interview	0.00	18.00	0.00

Comments:

Presentation / Interview Score:	0.00
Total of Sheets 1+ 2 + 3 / SOI + Work Plan + Interview Scores:	0.00

Project No.:	0	CMS ID:	0

Colorado Department of Transportation

Consultant Evaluation - Statement of Interest Scoring

	UDBE & ESB	Consultant:	N/A

Evaluation Factors 5 - Superior; 4 - Satisfactory Plus 3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory	Board Score	Weight (Fixed)	Extended Score
Underutilized Disadvantaged Business Enterprise (UDBE)		1.00	0.00

1) Prime Consultant is a UDBE - Award 5 points **(Note: Total points for 1) through 3) below may not exceed 4 points)**

2) Prime Consultant is not a UDBE Firm - score can vary from 0 to 4 points based on the following:

1) Prime consultant submitted UDBE participation that meets or exceeds UDBE goal for the project … 3 points

2) Prime consultant submitted some UDBE participation, but does not meet UDBE goal for the project … 1 point

3) Prime consultant submitted at least one UDBE subconsultant that has received less than 5 CDOT contracts or subcontracts in last 3 years … 1 point

4) Prime consultant submitted no UDBE participation … 0 points

Comments:

Emerging Small Business (ESB) Usage		1.00	0.00

1) Prime Consultant is an ESB - Award 5 points **(Note: Total points for 1) and 2) below may not exceed 4 points)**

2) Prime Consultant is not an ESB Firm - score can vary from 0 to 4 points based on the following:

1) Prime Consultant submits 1 or more ESBs that have never been a prime or subconsultant on a CDOT project - include cover letters of acknowledgment from ESB subs) - Award 2 points for each ESB

2) Prime Consultant submits ESBs who have previously been a prime or subconsultant on a CDOT project - include cover letters of acknowledgment from ESB subs) - Award 1 point for each ESB

3) Prime Consultant submits no ESB participation - Award 0 points

Comments:

Total of UDBE & ESB Scores:	0.00

Selection Factor Scoring Summary		Weight
Statement of Interest		
Project Team		4.50
Firm Capability		4.50
Past Performance on Similar Projects/Similar Teams		4.50
Work Location		2.50
Underutilized Disadvantaged Business Enterprise (UDBE)	**(Fixed)**	1.00
Emerging Small Business (ESB) Usage	**(Fixed)**	1.00
Workload	**(Fixed)**	2.00
Statement of Interest Total (Must equal 20)		**20.00**
Work Plan		
Project Goals		4.50
Project Control		4.50
Project Concept		4.50
Project Critical Issues		4.50
Workload	**(Fixed)**	2.00
Work Plan Total (Must equal 20)		**20.00**
Interview		
Interview	**(Fixed)**	18.00
Workload	**(Fixed)**	2.00
Interview Total (Must equal 20)		**20.00**

IV. DBE Bid Conditions Assurance for NPS Consultant Contracts Form 1330

Please refer to the CDOT Management page: http://www.dot.state.co.us/FormsMgmt/ to download this form.

V. Certificate of Proposed DBE Participation for Project Specific Consultant Contracts Form 1331

Please refer to the CDOT Forms Management page: http://www.dot.state.co.us/FormsMgmt/ to download this form.