



INDIANA DEPARTMENT OF TRANSPORTATION  
**Professional Services Bulletin**  
**ON LINE**

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*FRANK O'BANNON, Governor*  
*J. BRYAN NICOL Commissioner*

## Professional Services Bulletin - 2003- No. 14

April 4, 2003

This "Professional Services Bulletin" is the official notice of professional services requested by the Indiana Department of Transportation (INDOT). You may submit statements of interest if you have qualifications data currently on file with INDOT's Consulting Services Unit or submit qualifications data with the Statement of Interest. A Statement of Interest must include a technical proposal, describing the capabilities and proposed method of completing the requested services.

Statements of interest must comply with the following requirements:

1. Submit Statement of Interest in a single sealed envelope.
2. Write the following information in the bottom left hand corner of the envelope containing the statements of interest:
  - a. "PSB - 2003 - No. 14"
  - b. Name of firm submitting Statement of Interest
3. INDOT will not accept statements of interest sent collect or be responsible for the consultant's mailing and/or shipping costs.
4. For joint ventures, indicate the work and estimated percentage of the total project to be performed by each participant. If selected, all joint venture participants will be required to sign the INDOT consultant contract as wholly responsible parties.
5. Only statements of interest received by the Consulting Services Unit prior to:  
**4:00 P.M., Indianapolis Time (EST), May 19, 2003,**  
will be given consideration. Statements of interest received after the deadline will be returned to the consultant unopened.

6. Send statements of interest to:  
Jodi Williams, Program Coordinator  
Consulting Services Unit  
Indiana Department of Transportation  
100 North Senate Avenue, Room N730  
Indianapolis, Indiana 46204-2249

The Indiana Department of Transportation will ensure that all certified Disadvantaged Business Enterprises (DBE) will be afforded full opportunity to submit statements of interest and will not discriminate against any consultant on the grounds of race, color, religion, sex, disability, national origin, or ancestry in the selection process.

All consultants selected to provide services shall be required to comply with the following:

- A. INDOT Disadvantaged Business Enterprise Program:
  1. General
    - a. Notice is hereby given to the consultant or subcontractor that failure to carry out the requirements set forth in 49 CFR, Part 26 shall constitute a breach of contract and, after notification, may result in termination of the contract or such remedy as the state deems appropriate.
    - b. The referenced section requires the following policy and disadvantaged business enterprise (DBE) obligation to be included in all subsequent agreements between the consultant and any subcontractor:
      - (1) It is the policy of the Indiana Department of Transportation that disadvantaged business enterprises, as defined in 49 CFR Part 26, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with federal funds under this contract. Consequently, the DBE requirements of 49 CFR Part 26 will apply to any contract entered into as a result of this "Professional Services Bulletin".
      - (2) The consultant agrees to ensure that disadvantaged business enterprises, as defined in 49 CFR Part 26, have the maximum opportunity to participate in the performance of contracts and subcontracts financed in whole or in part with federal funds provided under contracts with INDOT. In this regard, the consultant shall take all necessary and reasonable steps, in accordance with 49 CFR Part 26, to ensure that disadvantaged business enterprises have the maximum opportunity to compete for and perform contracts. The consultant shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of federally-assisted contracts.
      - (3) In accordance with the STURAA of 1987, women business enterprises (WBE) have been considered to be socially and economically disadvantaged; therefore the DBE program has been combined.
    - c. As part of the consultant's equal opportunity affirmative action program, it is required that the consultant shall take positive affirmative actions and put forth

good faith efforts to solicit statements of interest from and to utilize disadvantaged business enterprise subcontractors, vendors or suppliers.

2. Definitions

The following definitions apply to this section:

- a. “Disadvantaged Business Enterprise” or DBE means a for profit small business concern 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.
- b. “Small Business Concern” means a small business concern as defined pursuant to section 3 of the Small Business Act and SBA regulations implementing it (13 CFR Part 121) that also does not exceed the cap on average annual gross receipts specified in 49 CFR Sec. 26.65(b).
- c. “Socially and Economically Disadvantaged Individuals” means (i) any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis; or (ii) any individual in the following groups, members of which are reputedly presumed to be socially and economically disadvantaged:
  - (1) Black Americans which includes persons having origins in any of the Black racial groups of Africa;
  - (2) Hispanic Americans which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;
  - (3) Native Americans which includes persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians;
  - (4) Asian-Pacific Americans which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kirbati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong;
  - (5) Subcontinent Asian Americans which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;
  - (6) Women;
  - (7) Any additional groups whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.

3. Subcontracts

- a. If the consultant intends to subcontract a portion of the work, the consultant is required to take affirmative actions to seek out and consider disadvantaged

business enterprises as potential subcontractors prior to any subcontractual commitment.

- b. The contracts made with potential disadvantaged business enterprise subcontractors and the results thereof shall be documented and made available to INDOT and the Federal Highway Administration when requested.
- c. In those cases where the consultant originally did not intend to subcontract a portion of the work and later circumstances dictate subletting a portion of the contract work, the affirmative action contracts covered under paragraphs 3.a. and 3.b. of this section shall be performed.
- d. No subletting will be approved until the consultant demonstrates compliance with paragraphs 3.a. and 3.b. of this section by submitting Form DBE-2 when subcontracts with non-DBE firms are proposed.

4. Affirmative Actions

The consultant agrees to establish and conduct a program, which will enable disadvantaged business enterprises to be considered fairly as subcontractors and suppliers under this contract. In this connection the consultant shall:

- a. Designate a liaison officer who will administer the consultant's disadvantaged business enterprise program.
- b. Ensure that known disadvantaged business enterprises will have an equitable opportunity to compete for subcontracts, so as to facilitate the participation of disadvantaged business enterprises.
- c. Maintain records showing (1) procedures which have been adopted to comply with the policies set forth in this clause, including the establishment of a source list of disadvantaged business enterprises, (2) awards to disadvantaged business enterprises on the source list and, (3) specific efforts to identify and award contracts to disadvantaged business enterprises.
- d. Cooperate with the state in any studies and surveys of the consultant's disadvantaged business enterprise procedures and practices that the state may from time to time conduct.
- e. Submit periodic reports of subcontracting to known disadvantaged business enterprises with respect to the records referred to in subparagraph (3) above, in such form and manner and at such times as the state may prescribe.

5. Leases and Rentals

The consultant shall notify the Indiana Department of Transportation when purchases or rental of equipment (other than leases for hauling) are made with disadvantaged businesses. The information submitted shall include the name of the business, the dollar amount of the transaction, and the type of purchase made or type of equipment rented.

- 6. Your firm will not be considered a disadvantaged business enterprise (DBE) unless it is currently certified by the Indiana Department of Transportation. If you feel your firm qualifies, please contact Charlotte A. Leavell, Division Chief of the Civil Rights Division, Room N855 of the Indiana Government Center North, Indianapolis, Indiana 46204, to obtain the proper forms.

B. Drug-Free Workplace Certification

A certification is required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana as a requirement on all contracts and grants with the state of Indiana in excess of \$25,000.00. No award of a contract or grant shall be made, and no contract, purchase order or agreement shall be valid unless and until a certification has been fully executed by the consultant and attached to the contract or agreement as part of the contract documents. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract payments, termination of the contract or agreement and/or debarment of contracting opportunities with the state for up to three (3) years.

By signing the certification, which will be attached to the consultant contract, the consultant certifies and agrees that it will provide a drug-free workplace by:

- (a) Publishing and providing all employees engaged in the performance of the contract a statement notifying such employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the consultant's workplace and specifying the actions that will be taken against employees for violations of such prohibition;
- (b) Establishing a drug-free awareness program to inform such employees about (1) the dangers of drug abuse in the workplace; (2) the consultant's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace;
- (c) Notifying such employees in the statement required by subparagraph (a) above that as a condition of continued employment on the contract resulting from this solicitation, the employee will (1) abide by the terms of the statement; and (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction;
- (d) Notifying in writing the Indiana Department of Administration within ten (10) days after receiving notice under subdivision (c)(2) above, from an employee or otherwise receiving actual notice of such conviction;
- (e) Within thirty (30) days after receiving notice under subdivision (c)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency; and
- (f) Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (a) through (e) above.

Before any contract will be made, the consultant must agree to the above terms. A certification agreeing to such will be attached to each consultant contract, which must be signed by the consultant.

C. Facilities Capital Cost of Money (September 1987)

1. Facilities capital cost of money will be an allowable cost under the contemplated contract, if the criteria for allowability in subparagraph 31.205-10(a)(2) of the Federal Acquisition Regulation are met. One of the allowability criteria requires the prospective contractor to propose facilities capital cost of money in its offer.
2. If the prospective Contractor does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.

## Item #1

# **LOUISVILLE – SOUTHERN INDIANA OHIO RIVER BRIDGES GENERAL ENGINEERING CONSULTANT (GEC)**

## **BACKGROUND INFORMATION**

The Indiana Department of Transportation (INDOT), in partnership with the Kentucky Transportation Cabinet (KYTC) and the Federal Highway Administration (FHWA), is seeking statements of interest for consulting engineering firms who wish to be considered to provide professional engineering services to serve as the General Engineering Consultant (GEC) for the oversight of the design and construction of the Louisville – Southern Indiana Ohio River Bridges Project (LSIORBP). This project provides for construction of two new Ohio River Bridges; one bridge with the associated approaches on the east end of Louisville to close the existing gap in the I-265 outer beltway, and a new downtown bridge next to the existing I-65 Kennedy Bridge (new bridge for northbound I-65, and existing bridge for southbound I-65). The project also provides for relocation and reconstruction of the Kennedy Interchange (KI, confluence of I-65, I-71, and I-64) south of its existing location. The KI relocation will minimize conflicts with existing traffic during construction, separate the I-64 thru movement from the weaves, and address the many safety and congestion deficiencies. Project related information, including the executed Section 106 Memorandum of Agreement (MOA), can be found on the Louisville Bridges website at <http://www.kyinbridges.com> . The GEC will be directly responsible for implementation of the commitments included in the Section 106 Memorandum of Agreement. This project is estimated to cost approximately \$1.9 billion (2003 dollars).

A mandatory Pre-submittal Meeting will be held on **April 22, 2003 at 10 am Louisville Time (Eastern Daylight Time) at the Executive Inn 978 Philips Lane in Louisville Kentucky (adjacent to Louisville International Airport and Kentucky Fair and Exposition Center)** to present background information on the project and to answer any questions that may come up. The Final Environmental Impact Statement (FEIS) is scheduled to be published in April 2003, if it fully comports with the requirements of the FHWA. No questions regarding the project will be accepted prior to the Pre-submittal Meeting. After the Pre-submittal Meeting, contract related questions can be e-mailed (no questions by telephone please) to Mr. Jeffery B. Clanton, INDOT Consultant Services Manager, at [jclanton@indot.state.in.us](mailto:jclanton@indot.state.in.us). After the Pre-submittal Meeting, project related questions can be e-mailed (no questions by telephone please) to Mr. Michael D. Hazeltine, INDOT Louisville – Southern Indiana Ohio River Bridges Project Manager, at [mhazeltine@indot.state.in.us](mailto:mhazeltine@indot.state.in.us). All questions will be answered by e-mail, and the response will be directed to the single e-mail address provided by each firm as the principal point of contact during check-in at the Pre-submittal Meeting. Prospective consultants shall make no attempt to contact any other employees of INDOT, KYTC, or FHWA associated with the Louisville Bridges Project regarding this PSB prior to the consultant selection.

This will be a phased contract. The pre-construction phase will cover oversight of mitigation commitments, design, right-of-way acquisition, utility relocations, and limited construction management and inspection.

**Award of this contract shall prohibit all GEC team members, including all affiliated and subsidiary firms of the GEC, from providing any design services on any other section contracts associated with the Louisville – Southern Indiana Ohio River Bridges Project. Affiliated firms are defined as any business entity which is closely associated to another business entity so that one entity controls or has the power to control the other entity either directly or indirectly; or, when a third party has the power to control or controls both; or where one business entity has been so closely allied with another business entity through an established course of dealings, including but not limited to the lending of financial wherewithal, engaging in joint ventures, etc. as to cause a public perception that the two firms are one entity.**

The GEC will be a cost plus fixed fee contract. Based on satisfactory performance during the pre-construction, INDOT reserves the right to negotiate a supplemental agreement for construction management and inspection. It is important that once a firm/joint venture is selected, the associated core management team remain available throughout the life, unless otherwise approved by the Bi-State Management Team.

The Commissioner of the INDOT, the Secretary of the KYTC, and advisors from their respective agencies will form the Bi-State GEC Selection Team. FHWA will participate as an observer on the GEC Selection Team, but not participate in rating, ranking, or selecting a consultant. The Bi-State GEC Selection Team will conduct oral interviews of the short-listed consultants. The actual working project manager and deputy project manager for the consultant shall make the presentation for the oral interview, along with other key team members. After oral interviews and appropriate discussion, the Commissioner of the INDOT and the Secretary of the KYTC, with input from their respective advisors, shall determine the firm best qualified for this project. All discussion of the interviews by the Bi-State GEC Selection Team will be conducted in executive session. A public announcement of the selected firm will be made jointly by INDOT and KYTC during the same time period as the Record of Decision is being finalized and issued.

Consultants will submit 20 hard copies and 200 CDs in PDF format of the Statement of Interest. A CD of each GEC Statement of Interest will be provided to each member of the Regional Advisory Council (RAC), the Area Work Groups (AWGs), and the Historic Preservation Advisory Teams (HPATs). Members of the RAC, AWGs, and HPATs will be allowed to view the consultant Statements of Interest, view the oral presentations and provide oral comments during a 1-hour session after the interviews are completed, and review & comment on the draft Scope of Work once a GEC has been selected. We believe that this will foster a spirit of cooperation as the project transitions to the implementation stage.

Working documents such as evaluation, rating, and ranking forms will be confidential and will not be published. Associated correspondence between members of the Bi-State GEC Selection Team is preliminary and not subject to Freedom of Information Act (FOIA) or open records law. Selection and deliberation discussions will only involve members of the Bi-State GEC Selection Team. Only members of the Bi-State GEC Selection Team will be involved in rating consultants, asking questions during the oral interviews, and negotiating the final Scope of Work



and Estimate. Anyone associated with a responding firm, will not be allowed to be an observer or participate in conversations or interviews with any other firm than their own firm.

During the Statement of Interest phase, firms may participate as members of more than one consultant team.

Selection of consultants is not based on competitive bidding. Consultants will be selected on the basis of :

1. consultant's related work experience and qualifications to perform the work,
2. consultant's knowledge and experience working in historically and environmentally sensitive areas,
3. consultant's existing work load and ability to complete the work in the time required,
4. performance on similar work,
5. understanding of the project,
6. consultants commitment to subcontract to currently certified disadvantaged business enterprises with either Kentucky or Indiana, and
7. project approach.

All firms submitting a Statement of Interest in response to this Professional Services Bulletin will be notified after the consultant selection has been approved.

The selected consultant and INDOT will be parties to this agreement. INDOT and the KYTC will enter into a separate Bi-State Agreement to cover the KYTC's participation in the project.

It is the intent of KYTC and INDOT to establish a Bi-State Management Team to cooperatively oversee all activities associated with the agreement (see Appendix 2, flowchart of Proposed Louisville Bridges Management Structure). The Bi-State Management Team will review the submitted work product of the consultant. A project phase will not be considered complete until the Bi-State Management Team has approved the consultant's product. Representatives from other public agencies may be asked to participate in various phases of the project as the need arises.

## **SCOPE**

The GEC will serve as an extension of INDOT and KYTC design and construction project oversight staff to accomplish overall project management. The GEC will partner with INDOT, KYTC, and FHWA to develop a Project Management Plan that clearly outlines roles and responsibilities, approval authority, Quality Control/Quality Assurance (QA/QC) mechanisms, and an independent environmental monitor.

The GEC will be responsible for management and coordination of all activities associated with design and development of right-of-way plans for the project. The GEC will be directly responsible for implementing the commitments included in the Section 106 Memorandum of Agreement (see Section 106 MOA). The GEC will also provide oversight of the development of a sequence of construction and maintenance of traffic plans, scheduling of construction contracts, coordinate value engineering for the project, have responsibility for an extensive public

information/agency coordination program, assure that the requisite environmental permits are acquired and mitigation commitments are implemented, and complete appropriate environmental documentation, as required by 23 CFR 771, and related laws and regulations. The GEC will be responsible for financial management, including tasks such as scheduling, tracking cash flow, tracking contractor progress-of-work, checking consultant/contractor billings (with INDOT/KYTC oversight), and updating the Finance Plan. Proper financial management will avoid project cost escalation, and assure that revenue sources and cash flow requirements are managed effectively.

INDOT may negotiate a supplemental agreement for construction management and oversight based on satisfactory performance during the preconstruction phase. The GEC will be responsible for contract administration, construction inspection, coordination of the contractor's work, and oversight to assure implementation of commitments made in the FEIS.

GEC services would likely include the following:

1. **Bi-State Project Management** - Serve as staff to the Bi-State Management Team to coordinate efforts between KYTC and INDOT and provide overall project management.
  - Establish project office in both Clark County Indiana and Jefferson County Kentucky within the vicinity of the project. Core project staff may be located in one main office with the other office serving as a satellite office.
  - If possible, an office will be located in a National Register eligible or listed property
  - Each Office will have an Ombudsman and necessary project staff to work with the respective DOTs to address questions and resolve conflicts. The Ombudsman must have a working knowledge of Section 106 of the Historic Preservation Act and right-of-way acquisition. The Ombudsman must also have good dispute resolution skills and be able to resolve conflicts and address complaints as they arise.
  - Establish Master Summary Schedule and maintain critical path for the PE/ROW/construction/mitigation/enhancement contracts for the various design segments (see Appendix 2, flowchart of Proposed Louisville Bridges Management Structure).
  - Develop and maintain Finance Plan and coordinate associated programming of PE, ROW, Construction, and Mitigation contracts.
  - Arrange regular Bi-State Management Team Meetings and follow-up on associated issues.
  - Other associated project duties as necessary
2. **Public Affairs** – GEC must be experienced in public involvement and project information . GEC must be able to:
  - Hire public relations firm to provide media with project updates and work zone information.
  - Establish and maintain a project website.

- Coordinate with each State's Districts and Divisions, including Public Affairs, to maintain project information details that can be provided to the general public and news media.

### 3. **Mitigation & Enhancement Commitments in the FEIS and Section 106 MOA:**

- Convene Indiana Historic Preservation Advisory Team (IHPAT) and Kentucky Historic Preservation Advisory Team (KHPAT), accomplish requisite coordination with the Bi-State Historic Consultation Team and Bi-State Management Team, and issue related progress reports, per MOA. Provide administrative staffing and support for the IHPAT, KHPAT, Bi-State Historic Consultation Team, and Bi-State Management Team.
- Provide the public an opportunity to provide feedback on the Historic Preservation Plans and context sensitive design features of the respective design plans as appropriate.
- Facilitate conflict resolution between the IHPAT, KHPAT, SHPOs, and ACHP in accordance with the MOA. Work to resolve any other complaints that may arise. Manage and resolve MOA amendments and dispute resolution.
- Establish *Independent Environmental Monitor* to track all environmental commitments and to assure that FEIS/ROD commitments are implemented during design and construction.
- Provide archeological reconnaissance and requisite coordination with agencies per MOA so the project will be able to advance to construction.
- Provide Phase II hazardous materials investigations and prepare contracts for associated clean-up so the project will be able to advance to construction.
- Assure that contracts have properly cleared construction staging areas, wetland mitigation sites, borrow or waste sites, dredge disposal sites, utility relocation sites, or other ancillary activities associated with construction.
- Update historic preservation surveys in accordance with MOA.
- Complete National Register Documentation and Nominations in accordance with the MOA.
- Provide subconsultants as needed (subconsultants will need to be approved by the Bi-State Management Team, in consultation with the Bi-State Historic Consultation Team and respective State Historic Preservation Advisory Team, per MOA) to develop Historic Preservation Plan, Streetscape Designs, Trolley Barn Exhibit, and historic brochures, per the MOA. Coordinate/implement site-specific MOA commitments.
- With KYTC & INDOT, organize/host Smart Growth Conference in accordance with MOA.
- Review/approve/monitor as necessary, the various contractor vibration/blasting plans and coordinate with the IHPAT or the KHPAT, as appropriate. Notify the Bi-State Management Team and appropriate SHPO if damage occurs, and coordinate the repairs with the responsible contractor to assure repairs are accomplished in accordance with the Secretary of the Interior's Standards. Coordinate access for vibration monitoring with adjoining private properties.

4. **Right-of-Way Acquisition** – GEC must be able to support right-of-way forces of respective states at desired level. At this time, it is anticipated that KYTC may utilize the GEC for right-of-way acquisition. The GEC must have right of way personnel who are prequalified by the KYTC. INDOT has indicated that they may well utilize their own forces for right-of-way acquisition. These decisions will need to be made once the phasing of the projects has been determined, and evaluated in light of other INDOT and KYTC right-of-way workload commitments.
  - Acquire properties and preservation easements, relocate properties, and dispose of properties, in accordance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 as amended, MOA, and direction of the Bi-State Management Team.
  - Acquire properties as soon as possible so that archeological reconnaissance and coordination can be completed so properties are cleared in time for construction, in accordance with the critical path for the project.
  
5. **Design Coordination** – Support design forces of respective states at desired level. GEC must be able to:
  - Develop Interchange Justification Report for approval by FHWA.
  - Provide input to development of Professional Services Bulletin (PSBs in Indiana, Request For Proposals (RFPs) in Kentucky) and associated Scope of Work (SOW) for the multiple contracts within each design segment (see Appendix 2, flowchart of Proposed Louisville Bridges Management Structure) as requested by the Bi-State Management Team.
  - Expertise with signature bridge competitions.
  - Expertise with Context Sensitive Design (CSD), Context Sensitive Solutions (CSS), and environmental stewardship.
  - Experience with value engineering.
  - Experience with constructability reviews.
  - Experience with design QC/QA.
  - Experience with utility coordination.
  - Hydraulics.
  - Blasting.
  - ITS.
  - Geotechnical.
  - Experience in working in historical and environmentally sensitive areas
  - “Directed Expense Provision” to retain specialized subconsultants as needed for the River Boat Pilot Simulation for Coast Guard (use their approved subconsultant), etc., subject to the approval of the Bi-State Management Team.
  
6. **Construction Coordination** – Support construction forces of respective states at desired level. Based on satisfactory performance in the preconstruction phase, KYTC and INDOT reserves the right to negotiate a supplemental agreement for the construction phase to provide overall construction management and inspection services. GEC must be able to:

- Manage multiple construction contracts within each of the design segments (see Appendix 2, flowchart of Proposed Louisville Bridges Management Structure).
- Coordinate construction phasing, traffic control plans, use of ITS/Trimarc, enhanced transit/rideshare, and Hoosier Helper.
- Construction QC/QA, and Materials & Test Support.
- Construction inspection and bridge inspection, as needed to complement state forces.
- Review, comment, and approve shop drawings and other required submittals.
- Document plans errors and omissions and provides assistance in recovery of costs from design teams.

## **7. Ombudsman**

- The GEC will provide an Ombudsman in each project office (one in Jefferson County Kentucky, and a 2<sup>nd</sup> in Clark County Indiana, in the vicinity of the project) to work with the respective DOTs to address questions and resolve conflicts.
- The Ombudsman must have a demonstrated expertise in historic preservation practices as related to the goals of the project and right-of-way acquisition.
- The Ombudsman must also have a demonstrated expertise in dispute resolution skills and be able to resolve conflicts and address complaints as they arise.
- The Ombudsman will conduct an annual Customer Survey (approved by the Bi-State Management Team) of all the members of the RAC, AWGs, HPATs, consultants, sub-consultants, and contractors to provide feedback on GEC performance.

## **8. Financial Management and Scheduling**

- The GEC will be responsible for financial management.
- Demonstrated expertise in scheduling using critical path methods.
- Demonstrated expertise in project accounting and fiscal management for a project of this size.
- Demonstrated expertise in tracking cash flow, tracking contractor progress-of-work, and checking consultant/contractor billings (with limited INDOT/KYTC oversight).
- Develop and update as necessary the Finance Plan in accordance with FHWA Finance plan Guidance (May 23, 2000).
- Demonstrate expertise in financial management to avoid project cost escalation, and to assure that revenue sources and cash flow requirements are managed effectively.

Critical to the success of the project will be the GEC's ability to foster and facilitate team building/partnering concepts between agencies, design teams, the public, contractors, etc. which will encourage an open and honest exchange of information and ideas throughout the entire process.

A local office will be required in both Clark County Indiana and Jefferson County Kentucky within the vicinity of the project. If the consultant is located outside of the project area, the Statement of Interest will need to discuss how local presence will be established. The consultants KEY PERSONNEL will be permanently assigned to these offices as long as there is a need for their presence on the project. Changes in KEY PERSONNEL must be reviewed and approved by the Bi-State Management Team. The consultant will be required to provide office space, access to clerical staff, and parking for three individuals from the agencies management staff. The primary office space must also have conference capabilities including state of the art teleconferencing and video conferencing capabilities (able to link to FHWA and DOT Video Conferencing equipment) and provide such facilities for INDOT, KYTC, and FHWA use.

The consultant will be required to build, operate, maintain and manage a project communications network between all project relevant State, Federal and consultant personnel (via server, etc.), and maintain a project website. The network must provide and maintain an effective and efficient means for performing electronic communication (i.e. internet access). This includes but is not limited to: e-mail communication and the electronic transfer of all types of files, such a project reports, correspondence, schedules, spreadsheets, CADD drawing files, etc.. The consultant must also consider file security and timeliness of the electronic transfers in the design of the system.

## **STATEMENT OF INTEREST**

Prospective consultants should submit statements of interest, which include the following information:

Proposals - Proposals will be limited to 100 pages in length (single sided) not including covers and tabs. All appendices will count as part of the 100 pages.

Business Organization - State the full name and address of your organization and, if applicable, the branch or subordinate office that will perform or assist in performing the work. Indicate whether you operate as an individual, partnership or corporation. If a corporation, include the state in which you are incorporated. Provide the name and the qualifications of the project manager, and three references (name and phone number) from other State DOTs that have first hand knowledge of the project managers' competency to manage a project of this caliber.

If more than one firm is involved in this project, state the type of arrangement between the firms and the percentage of work to be performed by each. A one page organizational chart showing all firms involved and key personnel assignments is required. Indicate office locations at which the work will be performed.

KEY PERSONNEL should be listed and include, at a minimum: project manager, deputy project manager, financial manager, design engineer, and public relations manager.

Project Statement and Schedule – Provide a statement of your understanding of the work elements involved in this project with a detailed outline of your proposal to achieve each work element. Provide a detailed schedule for you anticipated work on this project, including projected dates of major milestones.

Subconsultants – List the firms and/or individuals who will be engaged as subconsultants for this project. Provide detailed information regarding the qualifications and experience during the past five years of the individuals in those firms who will be assigned to work on this project. Prequalification with the Kentucky Transportation Cabinet is not required.

Current Workload – Include a discussion of your current workload and personnel availability for this project. Include a list of existing and pending contracts with the Indiana Department of transportation and existing, pending and total fees for each INDOT division and Kentucky Transportation Cabinet.

DBE Status – Indicate whether you or your subconsultants are certified as DBE companies with the State of Indiana and/or the Commonwealth of Kentucky.

Consultant Qualifications and Prior Experience – Include a discussion of qualifications and recent related experience of the key persons in your firm who will be assigned to work on this project. Include you firm’s experience only if persons who will work on this project contributed to that experience. Emphasis should be placed on experience directly applicable to this project by persons in you firm who will be actively engaged in this project and who will play a significant role. Prequalification with the Kentucky Transportation Cabinet is not required.

The GEC must have expertise, knowledge and understanding in these areas:

- The ability to coordinate the design efforts of a minimum of six consultant design teams, along with some portions of the plan development that may be done by agency staff, which will also have to be incorporated into the final design packages.
- The ability to coordinate/schedule the efforts of numerous contractors that will be involved in the construction of this project, using critical path methods and risk assessment techniques.
- Per the Section 106 MOA, “professionals with experience in the following areas: architecture, landscape architecture, historic preservation, archeology, anthropology, landscape history, as well as highway, bridge, and tunnel design to help implement the provisions of the MOA.”
- Expertise in CSD/CSS and environmental stewardship.
- Expertise in conflict resolution.
- Ability to manage, and track project costs for escalation during design and construction. In addition, demonstrate the ability to apply cost effectiveness strategies and mechanisms for cost containment.
- Expertise in scheduling using critical path methods.
- Expertise in project accounting and fiscal management for a project of this size.
- Expertise in tracking cash flow, tracking contractor progress-of-work, and checking consultant/contractor billings (with limited INDOT/KYTC oversight).

- Develop and update as necessary the Finance Plan in accordance with FHWA Finance Plan Guidance (May 23, 2000) and coordinate the associated programming of projects within the respective State program development processes.
- Expertise in financial management to avoid project cost escalation, and to assure that revenue sources and cash flow requirements are managed effectively.
- A thorough knowledge of AASHTO Geometric Design Standards and AASHTO Bridge Design Specifications and both INDOT's and KYTC's Road and Bridge Standards and Specifications.
- Expertise with ITS.
- A thorough knowledge of INDOT's and KYTC's requirements for the development of complete right of way plans (including engineer's plats), complete construction plans for Structures and Roadway.
- Expertise in large, complex interstate and interchange design and urban design and construction.
- Expertise in long span as well as routine steel and concrete bridge design and construction.
- A thorough knowledge of INDOT's and KYTC's requirements for the development of utility plans, maintenance of traffic plans, sign plans, signal plans, pavement marking plans, and landscaping plans.
- Expertise in coordinating utility designs (utility field inspections) and utility construction activities with the many utility companies that will be involved.
- Geotechnical expertise in the design and construction of Tunnels and Geotechnical features (foundations, walls, embankments, etc.) for large navigable waterway crossings and complex interchanges.
- Expertise in the development and implementation of an intensive public information and involvement program that will remain in effect through both the design and construction phases of this project.
- Specialized historic preservation expertise is required to coordinate and implement the MOA commitments.
- Experience in working within historic and environmentally sensitive areas.
- A thorough knowledge of INDOT's and KYTC's contract administration, project documentation, project inspection and materials policies, processes and procedures.
- Expertise in administering contracts and inspection of large complex projects.
- Expertise in partnering large complex projects.
- Expertise in reviewing shop drawings and other required submittals.
- Experience in documenting plan errors and omissions and providing assistance in the recovery of costs from the design teams responsible for the design.
- Experience in schedule review and analysis and claim avoidance analysis and resolution procedures.
- Expertise in maintaining the established budgets for the project.
- Knowledge and experience in the environmental permitting process, including agency coordination for all jurisdictions.
- Experience and knowledge in the requirements of the National Environmental Policy Act, National Historic Preservation Act, and other related laws as well as the requirements of



FHWA's environmental regulations contained in 23 CFR 771 for reevaluations and supplemental documentation.

- Experience in the production of effective graphical presentation techniques (i.e., video-imaging, computer graphics renderings, etc.) for controversial design and construction projects.
- A thorough knowledge of value engineering procedures.
- Ability to coordinate a project safety program.
- Understanding of contractor's value engineering proposals during construction and analysis thereof.
- Ability to handle and analyze field problems and the reactions to these problems/situations.
- Experience in developing, implementing, and operating a congestion management program to improve traffic operations in and around the project area during construction.
- Experience in developing maintenance of traffic strategies, maximizing operational improvements of local area networks, developing work zone incident management strategies, and communicating the associated public information regarding construction sequencing and avoidance alternatives.
- Experience in providing constructability reviews.

## Appendix 1

### Questions and Answers regarding the Louisville – Southern Indiana Ohio River Bridges GEC PSB and Pre-submittal Meeting

The following list of questions and answers was developed to respond to questions that might come up, regarding the GEC PSB procurement process. A mandatory Pre-submittal Meeting will be held on **April 22, 2003 at 10 am at the Executive Inn, 978 Philips Lane in Louisville Kentucky (adjacent to Louisville International Airport and Kentucky Fair and Exposition Center)** to present background information on the project and to answer any questions that may come up. No questions regarding the project will be accepted prior to the Pre-submittal Meeting. After the Pre-submittal Meeting, contract related questions can be e-mailed (no questions by telephone please) to Mr. Jeffery B. Clanton, INDOT Consultant Services Manager, at [jclanton@indot.state.in.us](mailto:jclanton@indot.state.in.us). After the Pre-submittal Meeting, project related questions can be e-mailed (no questions by telephone please) to Mr. Michael D. Hazeltine, INDOT Louisville Bridges Project Manager, at [mhazeltine@indot.state.in.us](mailto:mhazeltine@indot.state.in.us). All questions will be answered by e-mail, and the response will be directed to the single e-mail address provided by each firm as the principal point of contact during check-in at the Pre-submittal Meeting. Prospective consultants shall make no attempt to contact any other employees of INDOT, KYTC, or FHWA associated with the Louisville Bridges Project regarding this PSB prior to the consultant selection. This will assure that all prospective consultants will receive the same information to assist in preparing their proposals.

## Questions and Answers from the Louisville Bridges GEC PSB

1. **Is it mandatory that sub-consultants attend the Pre-Submittal Meeting?**  
The prime consultant must attend, but attendance by sub-consultants is optional.
2. **Will the GEC be involved in selection of the design consultant?**  
The GEC role will be limited to helping INDOT and KYTC to develop PSBs (RFPs for KYTC) and the associated scope of services only. The GEC role will involve logistical arrangements, but they will not be a participant in the selection process.
3. **Will the GEC be responsible for voucher approval from design consultants?**  
The GEC may be responsible for some of the review and verification of the information contained in the voucher, but INDOT and KYTC will be the approving agencies.
4. **What is the estimated value of the contract?**  
We cannot address this question at this time, as it is subject to negotiation and terms of the contract.
5. **What will be the role of the GEC in urban design and architecture?**  
Urban design issues will be addressed by the “Kennedy Interchange – East Louisville Downtown Area Planning” and the “Downtown/East Louisville Access Planning” studies described in the FEIS. These studies, together with the Historic Preservation Plans, will serve to inform the urban design & architecture consultants for the respective design segments.
6. **What will be the relationship of the GEC to the Design team?**  
The GEC will not be responsible for any design but will be responsible to manage the various design team activities to assure the goals and objectives of the project are met. This will require the GEC to research the project files and develop a thorough understanding of the project history and become aware of the commitments that have been made during the study. The GEC will coordinate all activities between the design teams and will assist in such things as the sequence of construction, maintenance of traffic, and establishing logical construction breaks for the projects.
7. **Will the GEC handle utility coordination?**  
Possibly, to be negotiated at a later date.
8. **Who will handle the environmental permit reviews?**  
The GEC, in coordination with each State, will complete permit review.
9. **How extensive will construction inspection be?**  
Phase II of this contract will be negotiated later. The GEC will be responsible for providing project inspectors who will answer to the project manager for construction. The GEC will also participate in the partnering process, will document plan errors and omissions, will review and analyze schedules and will provide claims avoidance analysis and resolution. The inspection services are Phase II work, the firm or firms providing these services must be identified in the Expression of Interest.

**10. Which State will take the lead with design of the bridges?**

Not known at this time. To be determined at a later date.

**11. Who will do the shop drawing reviews for the bridges?**

The bridge designer will do the review, however the GEC, in consultation with the States, will oversee this element to ensure the reviews are conducted in a timely manner.

**12. What will be the schedule for selection after the May 19, 2003 deadline for statements of interest?**

The Bi-State GEC Selection Team plans to short-list the statements of interest down to 3-5 by May 30, 2003, and complete oral interviews the week of July 7, 2003, and announce the selection of a GEC in the same time period as the ROD is being finalized and approved.

**13. When will section design begin?**

The procurement for the section design teams will begin after the GEC is selected.

**14. When will the section designs be advertised?**

Unknown at this time. To be determined.

**15. What about additional cultural resource work?**

The GEC will be responsible for implementing the various provisions of the MOA regarding additional archeological reconnaissance and to follow-up with the agencies if disputes, amendments, and/or project modifications are necessary. The GEC will need to demonstrate a high degree of competency in the area of historic preservation, successful coordination with the agencies, and dispute resolution.

**16. Will the GEC or associated firms be able to bid on the design segments?**

Award of this contract shall prohibit all GEC team members, including all affiliated and subsidiary firms of the GEC, from providing any design or construction services on any other contracts associated with the Louisville – Southern Indiana Ohio River Bridges Project. Affiliated firms are defined as any business entity which is closely associated to another business entity so that one entity controls or has the power to control the other entity either directly or indirectly; or, when a third party has the power to control or controls both; or where one business entity has been so closely allied with another business entity through an established course of dealings, including but not limited to the lending of financial wherewithal, engaging in joint ventures, etc. as to cause a public perception that the two firms are one entity.

**17. How many design segments will there be?**

It is anticipated that there will be a minimum of 6 design consultants (see Appendix 1 flowchart of Proposed Louisville Bridges Management Structure). There could be additional sections if the Bi-State management Team determines it to be in the best interest of the project.

## Appendix 2

### Flowchart of Proposed Louisville Bridges Management Structure

# Proposed Louisville Bridges Management Structure

