

INDIANA DEPARTMENT OF TRANSPORTATION

REQUEST FOR QUALIFICATIONS

TO DESIGN AND BUILD

THE

I-65/I-70 NORTH SPLIT PROJECT

THROUGH A

PUBLIC-PRIVATE PARTNERSHIP AGREEMENT

Issued: April 4, 2019

Addendum #1 Issued: April 22, 2019

SOQ Due Date: May 17, 2019

TABLE OF CONTENTS

PART A	1
1. EXECUTIVE SUMMARY / INTRODUCTION.....	2
1.1. Overview of the Opportunity	2
1.2. Procurement Model	2
1.3. Project Goals	2
1.4. Procurement Process	3
1.5. RFQ and Overall Procurement Schedule.....	4
2. THE PROJECT AND DESIGN-BUILD CONTRACTOR RESPONSIBILITIES.....	5
2.1. Project Description.....	5
2.1.1. Overview	5
2.1.2. Project Design Features	5
2.1.3. INDOT Prequalification Categories	6
2.2. Environmental Status of Project.....	7
2.3. Permitting.....	8
2.4. Right-of-Way (ROW) Acquisition	9
2.5. Site Conditions and Special Requirements.....	9
2.5.1. Geotechnical	9
2.5.2. Utilities.....	9
2.5.3. Hazardous Materials.....	9
2.5.4. Hydrology	10
2.5.5. Noise Analysis/Abatement.....	10
2.5.6. Historic	10
2.5.7. Aesthetics and Landscaping.....	10
2.5.8. Other Due Diligence Activities	10
2.6. Third Parties	11
2.6.1. Railroad Companies.....	11
2.6.2. Utility Companies	11
2.6.3. Governmental Agencies, Key Stakeholders Coordination.....	11
2.7. Design and Construction Standards	11
2.8. Maintenance During Construction; Design-Build Contractor Warranties; Parent Guaranties.....	12

3.	PROJECT PROCUREMENT AND FINANCING.....	13
3.1.	Design-Build Contract Through a PPA	13
3.2.	Payment Structure	13
3.3.	Federal Requirements	13
4.	NATURE OF THE AGREEMENT/CONTRACTUAL RELATIONSHIP	14
4.1.	Overview	14
4.2.	Wages.....	14
4.3.	DBE Requirements	14
4.4.	Performance Security, Insurance and Indemnity	15
5.	DESCRIPTION OF PROCUREMENT PROCESS.....	16
5.1.	Statutory Authority	16
5.2.	Overall Process	16
5.3.	Payment for Work Product.....	17
5.4.	Questions and Requests for Clarification or Interpretation; Addenda	17
5.5.	Project Documents	19
6.	SOQ CONTENT AND SUBMITTAL REQUIREMENTS.....	20
6.1.	General.....	20
6.2.	Format	20
6.3.	Contents and Organization	21
6.4.	SOQ Submittal Requirements.....	22
7.	EVALUATION PROCESS AND CRITERIA.....	23
7.1.	SOQ Evaluation Procedure.....	23
7.2.	Responsiveness	23
7.3.	Pass/Fail Evaluation	23
7.4.	Qualifications and Approach Evaluation Criteria and Weighting	24
7.4.1.	Proposer Structure and Experience (80 Points Maximum).....	25
7.4.2.	Approach to Project (20 Points Maximum)	25
7.5.	Changes in the Approach to the Project	26
7.6.	Changes in Proposer Organization	26
7.7.	RFP Procedure and Evaluation	27
8.	COMMUNICATIONS, PUBLIC INFORMATION AND ORGANIZATIONAL CONFLICTS OF INTEREST.....	28

8.1.	Improper Communications and Contacts.....	28
8.2.	Confidentiality and Disclosure of SOQs.....	30
8.2.1.	Public Records Act.....	30
8.2.2.	INDOT Obligations During Discussions or Negotiations.....	31
8.3.	Organizational Conflicts of Interest.....	31
8.4.	Limitations on Proposer Team Membership.....	33
8.4.1.	Prequalification and Licensing Requirements.....	33
8.4.2.	Participation on More Than One Proposer Team.....	34
9.	PROTEST PROCEDURES; DEBRIEFINGS.....	35
9.1.	Applicability.....	35
9.2.	Required Early Communication for Certain Protests.....	35
9.3.	Deadlines for Protests.....	35
9.4.	Content of Protest.....	36
9.5.	Filing of Protest.....	36
9.6.	Comments from Other Proposers.....	36
9.7.	Burden of Proof.....	36
9.8.	Decision on the Protest.....	36
9.9.	Protestant’s Payment of Costs.....	37
9.10.	Rights and Obligations of Proposers.....	37
9.11.	Debriefings.....	37
10.	INDOT RESERVED RIGHTS.....	38
	PART B.....	1
	Statement of Qualifications.....	1
	SOQ CONTENTS.....	1
1.	GENERAL.....	1
2.	Proposer and Team Structure and Experience.....	2
2.1.	Proposer.....	2
2.2.	Equity Members.....	3
2.3.	Major Participants and Other Team Members.....	3
2.4.	Proposer and Team Structure.....	3
2.5.	Relevant Experience.....	4
2.6.	Form B-1, Organizational Charts and Key Personnel Resumes.....	5

2.7.	Proposer Legal Information.....	8
2.7.1.	Legal Issues	8
2.7.2.	Legal Liabilities.....	8
2.7.3.	Legal Proceedings.....	9
3.	Approach to Project	9
4.	Additional Materials	10
4.1.	Forms B-2 and C	10
4.2.	Surety Letter	10
4.3.	INDOT Certificate of Qualification Materials	11
4.4.	Form D.....	11
4.5.	Form E	11
4.6.	Form F	11
	PART C FORMS AND EXHIBIT.....	1
	FORM A TRANSMITTAL LETTER.....	2
	FORM B-2 INFORMATION REGARDING PROPOSER, EQUITY MEMBERS, MAJOR PARTICIPANTS AND FINANCIALLY RESPONSIBLE PARTIES	8
	FORM C CERTIFICATION.....	11
	FORM D ENTITIES PREQUALIFIED BY INDOT FOR SPECIFIC WORK TYPES	15
	FORM E PROJECT INFORMATION.....	16
	FORM F	18
	CURRENT CONTRACTUAL OBLIGATIONS.....	18
	EXHIBIT A SOQ SUBMITTAL OUTLINE	

PART A

[THIS PAGE INTENTIONALLY LEFT BLANK]

1. EXECUTIVE SUMMARY / INTRODUCTION

1.1. Overview of the Opportunity

The Indiana Department of Transportation (“INDOT”), is pleased to present this Request for Qualifications (“RFQ”) to prospective entities or groups of entities (the “Proposers”) interested in submitting statements of qualifications (“SOQs”) to design and build the I-65/I-70 North Split Project (“Project”) in Marion County, Indiana through a public-private partnership agreement (“PPA”) with INDOT. I-65 and I-70 are nationally significant corridors, serving the Midwest and United States in four directions. The I-65/I-70 North Split interchange is the second-most heavily traveled interchange in Indiana, accommodating about 214,000 vehicles per day.

The Project involves a complete reconstruction of the I-65/I-70 North Split interchange. The Project will improve the safety and operations of the interchange and includes 39 new or replacement bridges, 8 rehabilitated bridges and replacement of approximately 27 lane miles of pavement. A general map of the Project can be found on the procurement website: <https://www.in.gov/dot/div/contracts/NorthSplit/NorthSplit.htm> (the "Procurement Website").

I-65 and I-70 are non-tolled highways, as shall the Project.

1.2. Procurement Model

It is anticipated that the Design-Build Contractor will design and build the Project for a lump sum price, payable as progress payments based upon an agreed schedule of values. INDOT is committed to improving mobility in the region and using project delivery methods that provide overall best value to the citizens of the State, including the use of best value design-build projects through a PPA.

1.3. Project Goals

Goals for the Project (which are not listed in order of importance) include:

- (a) Improve the condition of the bridges and pavement.
- (b) Improve safety by reducing or eliminating conditions that contribute to crashes.
- (c) Improve interchange operations and reduce congestion.
- (d) Meet federal DBE goals.

(e) Develop innovative solutions for the Project, including life-cycle considerations, traffic operations, safety, construction sequencing and maintenance of traffic during construction.

(f) Design and construct the Project to meet or exceed all technical, environmental, and social requirements and commitments.

(g) Provide a safe project for workers and the traveling public.

(h) Provide a high-quality, durable and maintainable facility.

1.4. Procurement Process

INDOT will be the procuring agency for the Project. INDOT will use a two-step process to select the Design-Build Contractor. This RFQ represents the first step in the process. INDOT will evaluate the SOQs received in response to this RFQ and, on the basis of these evaluations, intends, but is not bound to, short-list up to four of the most highly qualified Proposers for delivering the Project (“Short-Listed Proposers”) in accordance with the procedures and evaluation criteria described in Part A, Section 7 of this RFQ.

In the second step, INDOT intends to invite the Short-Listed Proposers to submit proposals and select one of the Short-Listed Proposers in accordance with the criteria and procedures set forth in the Request for Proposals (RFP). Only Short-Listed Proposers are eligible to submit Proposals and be awarded the PPA. A Proposal is Short-Listed Proposers’ individual submittal satisfying the requirements of the RFP.

1.5. RFQ and Overall Procurement Schedule

Issue Request for Qualifications	April 4, 2019
Deadline for questions regarding the RFQ and any addenda, if any, issued before April 12, 2019	April 15, 2019
Deadline for questions regarding any addenda, if any, issued on or after April 12, 2019	Three calendar days after the addendum is issued unless otherwise provided in the addendum (but no later than three calendar days prior to the SOQ Due Date)
SOQ Due Date	May 17, 2019 by noon Eastern Daylight-Saving Time (EDT)
Anticipated Announcement of Short-Listed Proposers	June 12, 2019
Following announcement of the Short-Listed Proposers, as of the date of this RFQ, INDOT anticipates the following procurement activities and schedule:	
Circulate Draft RFP to Short-Listed Proposers	July 2019
Issue Final RFP	October 2019
Proposal Due Date	March 2020
Award and Execution of PPA (Commercial Close)	May 2020

This schedule is subject to modification at the sole discretion of INDOT. Proposers will be notified of any change in the schedule for the RFQ through an addendum to this RFQ.

2. THE PROJECT AND DESIGN-BUILD CONTRACTOR RESPONSIBILITIES

2.1. Project Description

2.1.1. Overview

The Project includes reconstruction of the I-65/I-70 North Split on the northeast corner of downtown Indianapolis.

The purpose of the Project is to rehabilitate and improve the existing interstate facilities within the North Split project area.

2.1.2. Project Design Features

The Project limits are defined as follows:

1. The western project limit on I-65 will be to the east approach of the I-65 bridge spanning over Senate, Capital, Illinois, Meridian, Pennsylvania, Delaware, and Alabama Streets.
2. The eastern project limit will be to the east approach of I-70 bridge over Valley Avenue.
3. The southern project limit on the I-65/I-70 east leg will be to just south of the I-65/I-70 bridge over Washington Street.

The anticipated Project scope of work includes:

1. I-65 and I-70 mainline pavement reconstruction or replacement
2. Reconfiguration of ramps
3. New signing, lighting and ITS facilities
4. Aesthetics and landscaping improvements
5. 39 new or replacement bridges and 8 rehabilitated bridges

Additional information regarding the Project scope of work is provided in Part A, Sections 2.2 through Section 2.8. The end result of the Project will be a reconstruction of the I-65/70 North Split.

This is a best value procurement. It is anticipated that the successful Proposer will be selected based on a combination of a technical proposal score and price proposal score as further provided in the RFP.

Descriptions of these Project features are general in nature, and more precise delineations will be set forth in the RFP and draft PPA.

2.1.3. INDOT Prequalification Categories

Proposer and/or members of the Proposer team must have certain INDOT Certificates of Qualification as set forth below in order to be eligible to be determined a Qualified Proposer (<https://www.in.gov/indot/2740.htm>).

(a) The Proposer (or its Equity Members) must be prequalified for at least \$250 million in the Aggregate/\$Unlimited by INDOT.

(b) The Proposer (or its Equity Members) must be prequalified for at least \$50 million in the aggregate in one of the following INDOT construction prequalification work types:

- (i) A (a) Concrete Pavement – General
- (ii) D (b) Highway or Railroad Bridges over Highways

Subcontractors will not be counted toward Sections 2.1.3(a) or 2.1.3(b) of this assessment of prequalification.

(c) The Proposer team, in the aggregate, (including subcontractors and subconsultants) must be prequalified in the following INDOT consultant prequalification work types:

- (i) 8.2 Complex Roadway Design
- (ii) 9.2 Level 2 Bridge Design

For purposes of Section 2.1.3(c), Proposer, its subcontractors and subconsultants will be considered toward this assessment of prequalification.

The RFP will contain a list of all the INDOT consultant and contractor prequalification categories required to be held by the Proposer team for the Project. These prequalification categories may include, without limitation, the following:

Additional INDOT Contractor Prequalification Categories:

- (i) D (c) Bridge Involving Protection of Railroad Tracks

- (ii) E (a) Traffic Control: Signal Installation
- (iii) E (d) Traffic Control: Sign Installation
- (iv) E (g) Traffic Control: Pavement Markings
- (v) E (k) Guardrail, Cable Barrier, Crash Attenuators, and Fence

Additional INDOT Consultant Prequalification Categories:

- (i) 5.1 Environmental Documentation Preparation – EA/EIS
- (ii) 5.6 Waterway Permits
- (iii) 5.8 Noise Analysis and Abatement Design
- (iv) 5.10 Historical/Architectural Investigations
- (v) 5.14 Phase II ESA and Further Site Investigation/Corrective Action
- (vi) 6.1 Topographic Survey Data Collection
- (vii) 7.1 Geotechnical Engineering Services
- (viii) 10.1 Traffic Signal Design
- (ix) 10.2 Traffic Signal System Design
- (x) 10.3 Complex Roadway Sign Design
- (xi) 10.4 Lighting Design
- (xii) 10.5 Intelligent Transportation System Design
- (xiii) 10.6 Intelligent Transportation System Integration
- (xiv) 16.1 Utility Coordination
- (xv) 17.2 Small Structure and Pipe Hydraulic Design
- (xvi) 17.3 Storm Sewer and Detention Design

2.2. Environmental Status of Project

An Environmental Assessment (as defined under National Environmental Policy Act, “NEPA”) is being prepared by INDOT for the Project. It is anticipated to be released for

public comment and involvement in Spring/Summer 2020. Any comments received during the advertised 30-day comment period will be summarized and included in the request for final environmental determination. It is anticipated that final environmental determination will be made in Summer/Fall 2020.

It is important to note that, at this time, portions of the Project remain in the environmental process. Final environmental approvals and related commitments have not yet been secured. Additional alternatives, including a no-build alternative, are always considered in the environmental process, and it is possible that the Project scope may need to be modified to comply with the environmental process, or that a no-build alternative may be adopted. Nothing contained in this RFQ, including any description of the Project, is intended to modify, limit, or otherwise constrain the environmental process or commit INDOT or any other entity to undertake any action with respect to the Project, including any procurement for the final design and construction of the Project.

2.3. Permitting

If determined necessary, INDOT intends to advance the USACE Section 404 and IDEM Section 401 permits commensurate with the state of the Project development. The Project will be reviewed by USACE in Summer 2019 in order to determine jurisdictional determinations. After the jurisdictional determinations are made, INDOT will determine whether there is a need to purchase credits or otherwise provide on-site or off-site mitigation.

Upon award, the Design-Build Contractor will be responsible for obtaining all Rule 5 permits and any modifications required for the INDOT obtained Section 404 and Section 401 permits.

The Design-Build Contractor will be required to obtain and maintain:

- relevant Federal Aviation Administration (FAA) permits and related coordination with the Indianapolis Airport Authority required to construct the Project;
- relevant local permits and approvals from the City of Indianapolis; and
- all other regulatory, environmental, building and other permits, including any permit modifications to design and construct the Project.

The Design-Build Contractor's responsibility will include compliance with all NEPA commitments for mitigation and monitoring as set forth in the NEPA documents and all permit conditions included in any approvals, authorizations, determinations, and conditional permits. The Design-Build Contractor will finalize all permit applications based on its proposed design and obtain final permits from all the permitting agencies, including

taking responsibility for any changes in permits or permit conditions arising out of the Design-Build Contractor's design. INDOT will support the Design-Build Contractor in coordination with environmental regulatory and permitting agencies.

The RFP will provide further details regarding permits and allocation of responsibility for securing them.

2.4. Right-of-Way (ROW) Acquisition

No additional right-of-way (ROW) will be acquired for the Project as of the date of this RFQ. The Project will be constructed within existing INDOT ROW.

2.5. Site Conditions and Special Requirements

2.5.1. Geotechnical

INDOT has already performed certain geotechnical investigation work for the Project, and certain historical geotechnical investigation exists for the Project. INDOT will make such historical and new information available to Short-Listed Proposers.

INDOT does not anticipate that Proposers will need to conduct any geotechnical investigation in order to respond to this RFQ. To the extent that any Short-Listed Proposer desires additional geotechnical investigation prior to submittal of its Proposal, then such Proposer will need to coordinate with INDOT prior to conducting any investigation. INDOT may decide to perform additional geotechnical investigation based on input received from Short-Listed Proposers during the draft RFP process.

2.5.2. Utilities

INDOT has certain historical utility information for the Project and will make such information available to Short-Listed Proposers. INDOT is currently undertaking additional utility investigation work, which also will be made available to Short-Listed Proposers. INDOT does not anticipate that Proposers will need to conduct any utility investigations in order to respond to this RFQ. Short-Listed Proposers may, during the RFP process, be asked to provide input on what, if any, additional utility investigation information may need to be collected. INDOT may decide to perform additional utility investigation based on the input received from Short-Listed Proposers during the RFP process.

2.5.3. Hazardous Materials

INDOT is completing a preliminary site investigation to identify possible hazardous material sites near the Project area.

The RFP will provide further details regarding hazardous materials. The Proposer may be required to prepare a mitigation and abatement plan based upon Indiana rules and regulations for addressing hazardous materials, which may include handling and disposing of these materials. Also, the Proposer will be responsible for obtaining all the necessary prequalifications and permits from the federal, state, and local governing agencies where the work is performed.

2.5.4. Hydrology

INDOT has certain hydrologic information for the Project and will make such information available to Short-Listed Proposers. INDOT is currently undertaking additional hydrologic investigation work which also will be made available to Short-Listed Proposers. INDOT does not anticipate that Proposers will need to conduct any hydrologic investigations in order to respond to this RFQ.

2.5.5. Noise Analysis/Abatement

INDOT is completing a noise analysis for the Project. These requirements will be further defined in the RFP.

2.5.6. Historic

There are historic properties adjacent to the construction areas. The Section 106 consultation process is underway. If it is determined there will be adverse effects to historic properties as a result of the Project, a Memorandum of Agreement (MOA) will be developed by INDOT. The MOA will identify mitigation measures for adverse effects to historic properties. These measures will be included in the environmental requirements of the RFP.

2.5.7. Aesthetics and Landscaping

Aesthetic and landscaping features will be addressed in the RFP. Requirements will be established through community involvement and will be included in the aesthetic requirements of the RFP.

2.5.8. Other Due Diligence Activities

INDOT is assessing if any additional information regarding site conditions or other due diligence beyond that which is provided in this Part A will be provided. The Short-Listed Proposers may, during the RFP process, be asked to provide input on this topic; however, INDOT is under no obligation to provide such additional information.

2.6. Third Parties

2.6.1. Railroad Companies

The CSXT Railroad has a rail line and facilities that will be impacted by the Project. INDOT is conducting preliminary coordination activities with the railroad. The Design-Build Contractor will be responsible for final coordination with the railroad, including design and construction reviews. The PPA is expected to require the Design-Build Contractor to be responsible for causing the necessary railroad work or protection to be performed in accordance with the applicable standards and laws and for the costs associated with the railroad work or protection, except to the extent the railroad is legally responsible for such costs.

The RFP will provide further details regarding railroad coordination and costs and the responsibility therefor.

2.6.2. Utility Companies

INDOT is coordinating with affected utilities during the procurement process. The Design-Build Contractor will be responsible for coordination with utility owners, obtaining utility agreements and compliance with such utility agreements during the term of the PPA. The Design-Build Contractor will be responsible for performing or causing certain necessary utility relocations/adjustments to be performed in accordance with applicable standards and laws and for the costs associated with utility relocations/adjustments, except to the extent the utilities are legally responsible for such costs or INDOT expressly retains such responsibilities in accordance with the PPA.

The RFP will provide further details regarding utility relocations/adjustments and the responsibility thereof.

2.6.3. Governmental Agencies, Key Stakeholders Coordination

Key stakeholders include the City of Indianapolis, the Indianapolis Airport Authority, the Indianapolis Metropolitan Planning Organization, and Federal Highway Administration (FHWA), and it is anticipated that the Design-Build Contractor will play an active role in coordinating with these and other stakeholders. The RFP will set forth the parties' respective obligations for coordination with all governmental agencies and third-party stakeholders.

2.7. Design and Construction Standards

INDOT anticipates including in the RFP a set of Project-specific standards and specifications, as well as a baseline Project definition and configuration. The RFP may permit Short-Listed Proposers to propose, for INDOT's consideration, alternative

technical concepts (ATCs), exceptions and deviations from certain of these standards and requirements. The ATC process, including any constraints or parameters on potential submissions, will be set forth in the RFP. All requests for deviations shall follow the requirements set forth in the RFP and the PPA. Proposers should note, however, that there may be restrictions on deviations from federal and state mandated design and construction standards, as well as the Project definition set forth in the final environmental document.

2.8. Maintenance During Construction; Design-Build Contractor Warranties; Parent Guaranties

The Design-Build Contractor will be responsible for performing certain maintenance during construction of the Project as required by applicable Project-specific standards. The Design-Build Contractor will also be required to provide a warranty of the design and construction work for specified portions of the Project for a period specified in the PPA. Warranty bonds from the Design-Build Contractor will be required to support its obligations with respect to such warranties and work relating to such portions.

A guaranty of the Design-Build Contractor's obligations under the PPA will be required under the following circumstances: (i) Proposer was advised by INDOT that a guaranty would be required as a condition to the shortlisting of Proposer, (ii) Design-Build Contractor's organization is a newly formed corporation or a limited liability entity, (iii) Proposer (or an Equity Member if Proposer is a partnership, joint venture or limited liability company) is not the ultimate parent entity in its organizational/corporate structure; (iv) the form of organization of Proposer changes after shortlisting and INDOT determines, in its sole discretion, to require a guarantor as a condition to approving such change; (v) if financial statements of a Financially Responsible Party are provided to demonstrate financial capability of Proposer or an Equity Member; (vi) as noted in **Form E**, note number 1; or (vii) Proposer's financial capability adversely changes between short-listing and the due date for the Proposal, as determined by INDOT, in its sole discretion. In the event a parent and/or other guaranty is required, it must come from the ultimate parent or another entity acceptable to INDOT. "Financially Responsible Party" means the parent company, affiliate or other entity (if any) whose financial statements the Proposer provides to demonstrate in its SOQ the financial capacity of the Proposer and/or Equity Member.

Additional details regarding the foregoing items and responsibilities shall be set forth in the RFP.

3. PROJECT PROCUREMENT AND FINANCING

3.1. Design-Build Contract Through a PPA

INDOT intends to procure and deliver the Project under a best-value design-build model, with the winning Proposal being selected based on a combination of a technical proposal score and price proposal score. Notwithstanding anything to the contrary in this RFQ, INDOT reserves the right to revise the scope of the Project, this procurement and the delivery model.

3.2. Payment Structure

The structure for the PPA is intended to include the following features:

- (a) It is anticipated that the Design-Build Contractor will design and build the Project for a lump sum price payable as progress payments based upon an agreed schedule of values.
- (b) The funds for this Project have been appropriated and include a combination of state and federal funds.

3.3. Federal Requirements

Proposers are advised that the RFP will be drafted based on the assumption that the Project will remain eligible for federal-aid funds. Accordingly, the procurement documents and PPA will conform to requirements of applicable federal law and FHWA regulations, including Buy America requirements, Title VI of the Civil Rights Act of 1964, as amended, regarding Equal Employment Opportunity (EEO) and Title 49 Code of Federal Regulations Part 26, as amended regarding DBEs. INDOT reserves the right to modify the procurement process described herein to address any concerns, conditions or requirements of FHWA. Proposers will be notified of any such modifications as provided in this Part A, Section 5.4. The Project is considered a major project by FHWA requiring major project review.

4. NATURE OF THE AGREEMENT/CONTRACTUAL RELATIONSHIP

4.1. Overview

INDOT intends to enter into a PPA for the design and construction of the Project. The anticipated PPA will, among other things, obligate the Design-Build Contractor to (a) design and construct the Project; (b) maintain the Project during construction; and (c) provide a warranty of the design and construction work for some or all of the Project, under the terms and conditions specified by INDOT in the PPA.

Notwithstanding anything to the contrary in this RFQ, INDOT reserves the right to revise the scope of this procurement.

4.2. Wages

The Design-Build Contractor will be required to comply with 40 U.S.C. §§ 3141 to 3144, 3146 to 3148 (as amended, the “Davis-Bacon Act”), as applicable.

4.3. DBE Requirements

INDOT is required to apply the Disadvantaged Business Enterprise (“DBE”) program requirements to all projects receiving federal dollars, including this Project. Where opportunities exist, INDOT is required to make opportunities available to minority and women-owned firms, including certified DBE firms. Opportunities may include consultant and construction subcontracts as well as other service providers. INDOT must apply the program on federal-aid projects as set forth in 49 CFR Parts 23 and 26 as well as the federal contractual requirements set forth in FHWA Form 1273. Information regarding these requirements will be included in the RFP.

In responding to this RFQ, a Proposer is not required to include team members to satisfy DBE goals. Information regarding DBE requirements and goals for the Project will be included in the RFP. It is currently anticipated that each Short-Listed Proposer will, as part of its Proposal, list any DBEs on its team as of the Proposal Due Date, as well as provide a DBE performance plan on how it intends to meet the DBE goals during the design and construction of the Project. Additional creative efforts to expand inclusion of other disadvantaged, minority and women-owned firms and workers is encouraged.

4.4. Performance Security, Insurance and Indemnity

INDOT anticipates that the PPA will require the Design-Build Contractor to provide both payment and performance security and insurance coverage in connection with the design and construction work, and to indemnify, defend and hold INDOT and related entities and persons harmless against third party and other claims as specified in the PPA. Specific requirements for the performance and payment security, insurance and indemnification will be set forth in the RFP and the PPA. INDOT does not have the authority to provide a general indemnification to the Design-Build Contractor.

5. DESCRIPTION OF PROCUREMENT PROCESS

5.1. Statutory Authority

INDOT is issuing this RFQ in accordance with the provisions of Indiana Code 8-15.7 et seq., as amended (the “Statute”) and other applicable provisions of law.

5.2. Overall Process

The procurement involves a two-step process: this RFQ followed by an RFP.

INDOT will evaluate the SOQs it receives in response to this RFQ and will determine, according to criteria generally outlined herein, the Short-Listed Proposers eligible to respond to the RFP.

Following the determination of Short-Listed Proposers, INDOT anticipates releasing a draft RFP for review and comment by the Short-Listed Proposers, including a scope of work for the Project. INDOT will schedule one or more one-on-one or group meetings to discuss issues and respond to comments and questions identified by the Short-Listed Proposers. Specific details concerning the draft RFP process will be made available to the Short-Listed Proposers following the announcement of the short-list.

The draft RFP process will include disclosure of materials and communications with INDOT that are confidential in nature, and Short-Listed Proposers will be required to execute a confidentiality agreement, the form of which will be provided following short-listing.

After consideration of industry input, INDOT intends to issue a final RFP to the Short-Listed Proposers. Additional one-on-one meetings are currently contemplated after such issuance. Answers to questions or clarifications or interpretation that arise after the issuance of the final RFP may be addressed in the form of addenda.

Following receipt and evaluation of Proposals, INDOT may select a Short-Listed Proposer (“Preferred Proposer”), based on the evaluation criteria set forth in the RFP, to negotiate and finalize the PPA for award and execution. INDOT currently contemplates that a best value evaluation process based on a combination of a technical proposal score and price proposal score as further provided in the RFP will be utilized to evaluate Proposals.

The RFP will set forth INDOT’s rights and remedies if INDOT is unable to finalize the terms and conditions of the PPA with the Preferred Proposer, the Preferred Proposer elects not to execute the PPA or any other condition to execution of the PPA with the Preferred Proposer is not satisfied, which may include, without limitation, that INDOT may select the next highest rated Short-Listed Proposer(s) in succession to finalize the PPA

for award and execution. Alternatively, INDOT may, at any time, terminate the procurement. INDOT further reserves any and all rights set forth in the Statute and any other applicable statutes and procedures.

5.3. Payment for Work Product

INDOT will offer to pay a stipend for work product in the amount of \$600,000 to each unsuccessful Short-Listed Proposer that complies with the terms of the RFP, meets the eligibility requirements for a stipend that will be set forth in the RFP and submits a responsive and timely Proposal. The stipend will be paid in exchange for ownership of the Proposer's work product and the ideas within.

Payment of such stipend shall be provided in return for the transfer and assignment to INDOT of rights to intellectual property, ideas, techniques, concepts and approaches included in the unsuccessful Short-Listed Proposer's Proposal, and INDOT reserves the right to use such property, ideas, techniques and approaches in connection with a PPA awarded for the Project, or in connection with any subsequent procurement, with no obligation to pay additional compensation to the unsuccessful Short-Listed Proposer.

It is currently anticipated that the payment for work product shall be paid to eligible Short-Listed Proposers within 90 days after the award and execution of the PPA or the decision not to award. Short-Listed Proposers eligible for the stipend will have the option to forego the stipend and retain such intellectual property rights. Additional details about the stipend, and specific provisions regarding payment of the stipulated amount, will be included in the RFP.

No other payment will be made in connection with this RFQ, and no payment will be made to Proposers that are not short-listed, fail to submit responsive Proposals by the Proposal Due Date or are disqualified from the process prior to award.

5.4. Questions and Requests for Clarification or Interpretation; Addenda

To facilitate receipt, processing, and response, Proposers must submit all questions and requests for clarification or interpretation in writing by e-mail or letter to the RFQ Procurement Contact by the deadlines listed in this Part A, Section 1.5 at the following address:

I-65/I-70 North Split Project
Attn: Cat Schoenherr
Indiana Department of Transportation
100 North Senate Avenue, Room N601
Indianapolis, Indiana 46204
Telephone: (317) 233-2072
Email: NorthSplitDBBV@indot.in.gov

Proposers are responsible for ensuring that any written communications clearly indicate on the first page or in the subject line, as applicable, that the material relates to the Project.

Questions and comments, including requests for clarification or interpretation, shall: (i) be sequentially numbered; (ii) specifically reference the relevant RFQ section and page number, unless such request is of general application (in which case the request for clarification or interpretation shall so note); (iii) not identify Proposer's identity in the body of the question, (iv) be self-standing and comprehensible independent of other questions or requests for clarification or interpretation (i.e., not reference prior questions asked without reiterating the substance of the reference), and (v) conspicuously identify whether Proposer views its question or comment as confidential in nature. Any suggested edits to RFQ language must be in redline.

INDOT will provide responses to Proposer clarification or interpretation requests within a reasonable time following receipt, subject to the deadlines set forth in this Part A, Section 1.5. INDOT will post responses to those questions of general application and requests for clarification or interpretation that INDOT deems to be material and not adequately addressed in previously provided documents on the Procurement Website.

No telephone or oral requests will be considered. No requests for additional information or clarification to any person other than the RFQ Procurement Contact will be considered. Questions from a Proposer shall be submitted only by a single representative of that Proposer, and must include the requestor's name, address, telephone number and e-mail address, and the Proposer that he/she represents.

The questions and INDOT's responses will be in writing and will be posted to all Proposers, except that INDOT intends to respond individually to those questions identified by a Proposer and deemed by INDOT as containing confidential information relating to Proposer's SOQ. INDOT reserves the right to disagree with Proposer's assessment regarding confidentiality of information in the interest of maintaining a fair process or complying with applicable law. Under such circumstances, INDOT will inform Proposers and may allow Proposer to withdraw the question, rephrase the question, or have the question answered non-confidentially or, if INDOT determines that it is appropriate to provide a general response, INDOT will modify the question to remove information that INDOT determines is confidential. INDOT may rephrase questions as it deems appropriate and may consolidate similar questions. INDOT may also create and answer questions independent of the Proposers' questions. INDOT contemplates issuing multiple sets of responses at different times during the procurement process.

INDOT reserves the right to revise this RFQ by issuing addenda to this RFQ at any time before the SOQ Due Date and will post any addenda on the Procurement Website. In issuing an addendum shortly before the SOQ Due Date, INDOT will consider whether an extension of the SOQ Due Date is warranted.

Proposers should monitor the Procurement Website for information concerning this procurement and will be required to acknowledge in their transmittal letter (Part C, Form A) that they had access to all relevant materials posted thereon.

5.5. Project Documents

INDOT has assembled certain documents and information relating to the Project (the "Project Documents") which are available to Proposers on the Procurement Website.

The Project Documents may be accessed at the Procurement Website. Except as otherwise specifically provided, INDOT does not make any representation or warranty as to the completeness of the list of available documents on the Procurement Website or the accuracy, utility, completeness or relevance of any document contained thereon. Except as otherwise specifically provided in the RFP and PPA, Proposers shall not be entitled to rely on such documents and shall use or elect not to use them at their sole risk.

6. SOQ CONTENT AND SUBMITTAL REQUIREMENTS

6.1. General

INDOT expects SOQs submitted in response to this RFQ to provide enough information about the requested items so as to allow INDOT to evaluate Proposers based on the criteria set forth herein.

SOQs shall be submitted exclusively in the English language, inclusive of English units of measure, and cost terms in United States of America dollar denominations.

6.2. Format

Each responding Proposer shall submit one original and five copies (for a total of six) of its SOQ, for submission in loose-leaf three ring binders, contained, collectively, in one or more durable, sealed containers. The original must be clearly marked "Original" on its face and spine. Each copy shall be numbered 1 through 5 on its face and spine. Each copy shall have the Proposer's name clearly marked on the face and spine.

In addition to the hardcopy SOQ submittal, each responding Proposer shall submit an electronic copy (USB flash drive) of the SOQ in searchable and printable portable documents format (.pdf or PDF) (except that original executed letters need not be searchable). The PDF submissions must be organized to correspond to the tab requirements set forth in this Part A, Section 6.3 below. Proposer may elect to index the PDF submission or provide a series of discrete PDF files, named so as to correspond to the tab requirements set forth in this Part A, Section 6.3 below. Proposer's flash drive must be appended to Proposer's "Original".

Submittals must be prepared on 8-1/2" x 11" white paper, except as noted below. Double-sided printing is requested. 11" x 17" pages are allowed (and shall be included in the page count if contained in Volume 1) for graphics, schematics, organizational charts, but not for narrative text. Printed lines may be single-spaced. Volume 1 (as described in Part B) shall have all pages sequentially numbered and shall not exceed 45 pages. The following do not count toward the page limit and need not be sequentially numbered:

- **Form A** and any letters required to be appended in **Form A**
- **Form B-1**
- **Form B-2**
- **Form C**
- **Form D**

- **Form E** (which has a separate maximum 8-page limit, which page limit shall exclude the separate “Notes” page of the form);
- **Form F**
- The Executive Summary
- The Confidential Contents Index
- Table of contents
- The disclosures provided in response to Part B, Sections 2.7.1, 2.7.2 and 2.7.3 (each of which should be provided in an appendix to Volume 1)
- Documents and materials required to be provided in an appendix (i.e., resumes)

The font size shall be no smaller than twelve-point, except the font in organizational charts, graphics and tables in Volume 1 may be ten-point so long as the organizational charts, graphics and tables are legible.

Standard corporate brochures, awards, licenses and marketing materials shall not be included in the SOQ.

Where forms are provided for submittal, Proposers may not alter the forms other than to complete the required information and to provide responses to the listed questions.

6.3. Contents and Organization

Proposers must organize their SOQs in the order set forth in Part B. If a Proposer elects to include material in addition to the information specifically requested, such Proposer shall append that material to the end of the most appropriate defined section of the outline. Additional material is subject to any applicable page limitation and no videos or web links should be included. Each binder may be subdivided as needed, so long as Proposers tab the contents of their SOQ to correspond to the section, and subsection order and numbering system shown in Exhibit A. Tabs or dividers will not count towards the maximum number of pages unless they contain project information. Dividers may contain text, photos or images but may not contain information that may be interpreted to contribute to the overall evaluation of the SOQ.

6.4. SOQ Submittal Requirements

All packages constituting the SOQ shall be individually and clearly labeled with the name of Proposer and additionally labeled as follows:

Request for Qualifications
Response to the Request for Qualifications to
Design and Build the I-65/I-70 North Split Project
through a Public-Private Partnership Agreement

SOQs shall be delivered by hand or express mail courier to the INDOT “RFQ Procurement Contact” identified below.

Cat Schoenherr
Indiana Department of Transportation
100 North Senate Avenue, Room N601
Indianapolis, Indiana 46204
Telephone: (317) 233-2072
Email: NorthSplitDBBV@indot.in.gov

INDOT will not accept facsimile or e-mail submission of SOQs.

Acknowledgment of receipt of SOQs will be evidenced by the issuance of a receipt by the RFQ Procurement Contact or his/her designee.

SOQs must be submitted by noon Eastern Daylight-Savings Time (“EDT”) on the SOQ Due Date specified in this Part A, Section 1.5. Time is of the essence and any SOQs received after that date and time will be rejected and returned unopened. SOQs will be accepted by INDOT during normal business hours up to the SOQ Due Date and time specified.

Proposers are solely responsible for assuring that INDOT receives their SOQs by the specified delivery date and time at the address listed above. INDOT shall not be responsible for any delays in delivery beyond the control of INDOT, including those caused by weather, difficulties experienced by couriers or delivery services, misrouting of packages by courier or delivery services, improper, incorrect or incomplete addressing of deliveries and other occurrences.

7. EVALUATION PROCESS AND CRITERIA

7.1. SOQ Evaluation Procedure

The SOQ evaluation will consist of two phases, which may occur concurrently: (1) responsiveness and pass/fail evaluation; and (2) qualifications and approach evaluation. Evaluation criteria associated with each phase of the evaluation is further detailed below. INDOT will evaluate the SOQs it receives in response to this RFQ and will determine, according to the criteria outlined herein, the Short-Listed Proposers eligible to respond to the RFP.

INDOT anticipates utilizing one or more committees to review and evaluate the SOQs in accordance with the above criteria. At various times during the deliberations, INDOT may request additional information or clarification from Proposer or may request Proposer to verify or certify certain aspects of its SOQ. The scope, length and topics to be addressed in any such clarification response shall be prescribed by, and subject to, the sole discretion of INDOT. INDOT may contact firm and personnel references supplied by Proposer as well as other potential references not listed, including internal personnel of INDOT. Proposers are requested to verify that all contact information is correct and are further advised that if any contact information provided is not current, INDOT may elect to exclude the experience represented by that project or personnel reference in determining Proposer's qualifications.

Evaluations of SOQs are subject to the sole discretion of INDOT and its staff, with assistance from such professional and other advisors as INDOT may designate. INDOT will make the final determinations of the Short-Listed Proposers, as it deems appropriate, in its sole discretion, and in the best interests of the Project and the State.

Each Proposer will be notified in writing via e-mail and a hardcopy letter whether or not it has been selected for the short-list.

7.2. Responsiveness

Each SOQ received by the SOQ Due Date will be reviewed for (a) the responsiveness of the Proposer to the requirements set forth in this RFQ, (b) conformance to the RFQ instructions regarding organization and format, and (c) nonconformities, irregularities and apparent clerical mistakes which are unrelated to the substantive content of the SOQ. Those SOQs not responsive to this RFQ may be excluded from further consideration and the Proposer will be so notified. INDOT may also exclude from consideration any Proposer whose SOQ contains a material misrepresentation.

7.3. Pass/Fail Evaluation

Following or in conjunction with evaluation of each timely submitted SOQ for responsiveness, INDOT will evaluate each SOQ based upon the following pass/fail

criteria. A Proposer must obtain a “pass” on all pass/fail items in order for its SOQ to be evaluated qualitatively under this Part A, Section 7.3.

(a) The SOQ contains an original executed transmittal letter as required in Part B, General.

(b) Proposer is capable of obtaining (i) a payment bond or bonds in the aggregate amount of \$250 million from an Eligible Surety, and (ii) a performance bond or bonds in the aggregate amount of \$250 million from an Eligible Surety. As used herein, an “Eligible Surety” is a bonding surety licensed in the State, listed on the U.S. Department of the Treasury’s “Listing and Approved Sureties” (found at <https://www.fiscal.treasury.gov/fsreports/ref/suretyBnd/c570.htm>), rated “A” or higher by at least two nationally-recognized rating agencies (Fitch Ratings, Moody’s Investor Service and Standard & Poor’s Ratings Group) or rated least A-/VII or higher according to A.M. Best’s Financial Strength Rating and Financial Size.

(c) Neither Proposer nor any other entity that has submitted **Form C** as required by this RFQ is currently disqualified, removed, debarred or suspended from performing or bidding on work for the federal government or any state government.

(d) The information disclosed in **Form C** and/or in response to Part B, Section 2.7 does not, in INDOT’s determination, materially adversely affect Proposer’s ability to carry out the Project responsibilities potentially allocated to it in the PPA.

(e) The Proposer team is prequalified in Indiana for the amount and areas of work set forth in this Part A, Sections 2.1.3(a), 2.1.3(b) and 2.1.3(c) or otherwise meets the requirements set forth in this Part A, Section 8.4.1. If not yet prequalified as of the SOQ Due Date, Proposer has certified, on behalf of itself and its team, that it has submitted all documents necessary for INDOT to make a prequalification determination consistent with Section 2.1.3.

(f) The information disclosed in Form F does not, in INDOT’s sole discretion, materially and adversely affect Proposer’s financial capability and capacity to carry out the Project responsibilities allocated to it in the PPA.

(g) Proposer or Proposer team members (on behalf of Proposer) make the express, written commitments as required by Part B, Section 2.6 regarding the availability of individuals designated in the SOQ for the Key Personnel positions.

7.4. Qualifications and Approach Evaluation Criteria and Weighting

Each responsive SOQ passing all of the “pass/fail” requirements set forth above will be evaluated and scored according to the criteria set forth below. The order in which the

evaluation criteria appear within each category (i.e., Proposer structure and experience and approach to project) is not an indication of weighting or importance.

7.4.1. Proposer Structure and Experience (80 Points Maximum)

The structure of the Proposer team and the background and experience of Proposer, individual team members, and Key Personnel with designing, and constructing comparable projects will be evaluated in accordance with the following criteria:

- (a) The extent and depth of the experience of Proposer and its individual team members with performing design-build work on comparable projects (e.g., comparable scope and complexity) and in performing responsibilities as are anticipated to be within Design-Build Contractor's scope of work;
- (b) The stability, strength and likelihood of success of the Proposer's proposed management structure and team;
- (c) The extent and depth of experience of the management team and Key Personnel listed as required by Part B, Section 2 with performing design-build work on comparable projects (e.g., projects of comparable scope and complexity) and in performing personnel roles similar to those proposed for such individuals by Proposer in connection with the Project; and
- (d) The extent, depth and success of Proposer, its individual team members, the management team and Key Personnel listed as required in Part B, Section 2 in working together.

Project information and personnel references, as well as the information provided in response to Part B, Sections 2 and 3 will be used, as deemed appropriate by INDOT, to assist in the evaluation of the Proposer structure and experience category.

7.4.2. Approach to Project (20 Points Maximum)

Proposer's approach to the Project (as referenced in Part B, Section 3) will be evaluated based on the extent to which the Approach to the Project demonstrates:

- (a) An understanding of Project scope and complexity, and a sound approach to activities to be undertaken with respect to the development, design and construction of the Project;
- (b) An understanding of the Project-specific risks and potential solutions (regardless of risk ownership) that may arise during the development, design and construction phases;

- (c) An understanding of the need for, and the ability to provide, sufficient materials, equipment and qualified personnel to undertake Design-Build Contractor's anticipated obligations for the Project;
- (d) A focus and commitment to quality and efficient and effective management; and
- (e) The efficiency and effectiveness of the Proposer's general approach to contracting, integrating INDOT into the Project development phase and structuring the roles and relationships among INDOT, the Proposer and third parties.

7.5. Changes in the Approach to the Project

INDOT understands that as Proposers and INDOT continue their individual and collective efforts to analyze and develop optimal design and construction plans for the Project, it is likely that the approaches to such elements of the scope of work will change and evolve. INDOT wishes to encourage that evolution and continued focus by Proposers on the best transportation solutions for the Project. Accordingly, it is INDOT's intention to use the Approach to the Project only for purposes of evaluating the SOQs. Proposers may modify, alter and enhance their respective approaches to design and construction in conjunction with their Proposals, subject to compliance with the requirements of the RFP. Proposers may not, however, change their Approach to the Project in a way that renders the SOQ a misrepresentation of Proposer's intentions, strategies, and capabilities.

7.6. Changes in Proposer Organization

Subject to the limitations herein, INDOT may permit Short-Listed Proposers to add, delete or substitute team members and reorganize their teams during the procurement process unless the change results in actual or potential organizational conflicts of interest or renders Proposer team, in INDOT's sole determination, less qualified to develop the Project. Notwithstanding the foregoing, following submittal of the SOQs, the following actions may not be undertaken without INDOT's prior written consent:

- (a) Deletion, substitution or change in composition of a Short-Listed Proposer team member identified in its SOQ or a change in the role or scope of work of a team member;
- (b) Deletion or substitution of Key Personnel identified in Part B, Section 2.6, of its SOQ or a change in the role or position of such Key Personnel;
- (c) Deletion or substitution of an Equity Member, Major Participant, a Financially Responsible Party, a guarantor of a Short-Listed Proposer or any other entity

that will bear financial responsibility or liability for the performance of the Short-Listed Proposer; and

(d) Other changes, direct or indirect in the equity ownership of a Short-Listed Proposer (excluding changes resulting from public trading of stock that do not result in a change in control of such entity).

As used in this RFQ, an "Equity Member" means (i) each member of a joint venture; (ii) each general partner of a limited or general partnership; (iii) each managing member of a limited liability corporation; (iv) each entity holding an equity interest in the Proposer entity if the proposer entity was formed less than one year prior to the SOQ Due Date; (v) each entity proposed to holding an equity interest in the Proposer entity if the Proposer entity is not yet formed as of the SOQ Due Date; and (vi) each other entity with a Controlling Interest in Proposer (whether as a member, partner, shareholder, joint venture member or otherwise). Notwithstanding the foregoing, if the applicable entity is a publicly traded company, shareholders with less than a 10% interest in the entity shall not be considered Equity Members. As used in this RFQ, "Controlling Interest" means an interest held by a Person in another Person, when (a) such Person holds, directly or indirectly, beneficially or of record, a majority of the voting rights in such other Person; or (b) such Person possesses, directly or indirectly, the power to cause the direction of the management of such other Person, whether through voting securities, by contract, family relationship or otherwise.

7.7. RFP Procedure and Evaluation

Short-Listed Proposers are advised that the evaluation criteria and weightings for the evaluation of the Proposals will differ from the criteria set forth herein to evaluate SOQs. In addition, the evaluation and scoring of the SOQs shall not carry over or be used in any way in the evaluation of the Proposals.

8. COMMUNICATIONS, PUBLIC INFORMATION AND ORGANIZATIONAL CONFLICTS OF INTEREST

8.1. Improper Communications and Contacts

The following rules of contact shall apply during the procurement for the Project, effective as of the date of issuance of this RFQ through the execution of the PPA. These rules are designed to promote a fair, competitive and unbiased procurement process. Additional rules or modifications to these rules may be issued by INDOT in connection with the RFP process and in the RFP. Contact includes face-to-face, telephone, facsimile, electronic-mail (e-mail or text), or formal written communication, either directly or indirectly by an agent, representative, promoter or advocate of a Proposer.

The specific rules of contact are as follows:

(A) After submittal of SOQs, no Proposer or any of its team members may communicate with another Proposer or its team members with regard to the RFP or either team's Proposal; provided, however, that (i) Proposer or its team members may communicate with another Proposer team only for the purpose of obtaining price information for concrete or asphalt pavement materials and/or installation; and (ii) subcontractors that are shared between two or more Proposer teams (subject to the restrictions and requirements set forth in Part A, Section 8.4.2) may communicate with their respective team members so long as those Proposers establish reasonable protocols to ensure that the Proposer team and/or subcontractor will not act as a conduit of information between the teams (contact among Proposer organizations is allowed during INDOT sponsored informational meetings);

(B) INDOT shall be the sole contact for purposes of this procurement, the RFQ and the RFP. Proposers shall correspond with INDOT regarding the RFQ and RFP only through designated representatives (which initially shall be the RFQ Procurement Contact identified in this Part A, Section 6.4);

(C) Commencing with the issuance of this RFQ and continuing until the earliest of (i) award and execution of the PPA, (ii) rejection of all Proposals by INDOT or (iii) cancellation of the procurement, no Proposer or representative thereof shall have any *ex parte* communications regarding the RFQ, RFP, the PPA or the procurement described herein with:

- Any member of INDOT; and
- Any INDOT staff, advisors, contractors or consultants involved with the procurement (including those referenced in this Part A, Section 8.3),

except for communications expressly permitted by the RFQ or RFP or except as approved in writing in advance by INDOT's Deputy Commissioner of Major Project Delivery, in his/her sole discretion. The foregoing restriction shall not, however, preclude or restrict communications with regard to matters unrelated to the RFQ, RFP, the PPA or the procurement or limit participation in public meetings or any public or Proposer workshop related to this RFQ or the RFP. Any Proposer engaging in such prohibited communications may be disqualified at the sole discretion of INDOT;

(D) Proposers shall not contact the following identified stakeholders regarding the Project, including employees, representatives, members, consultants and advisors of the entities listed below. INDOT will provide any necessary coordination during the RFQ stage with such entities in order that, among other things, the procurement be implemented in a fair, competitive and transparent manner and with uniform information:

- City of Indianapolis
- Indianapolis Airport Authority
- Indianapolis Metropolitan Planning Organization
- FHWA
- Environmental, regulatory and permitting agencies, including but not limited to:
 - Indiana State Historic Preservation Officer
 - U.S. Army Corps of Engineers
 - Indiana Department of Environmental Management
 - Indiana Department of Natural Resources
- Utilities
- CSXT Railroad

Information requests concerning these entities shall be sent to the RFQ Procurement Contact;

(E) Any communications determined to be prohibited or improper, at the sole discretion of INDOT, may result in disqualification;

(F) Any official information regarding the Project will be disseminated from INDOT's office on agency letterhead. Any official correspondence will be in writing and signed by either the RFQ Procurement Contact or INDOT's Deputy Commissioner of Major Project Delivery;

(G) INDOT will not be responsible for and Proposers may not rely on any oral or written exchange or any other information or exchange that occurs outside the official process specified herein.

8.2. Confidentiality and Disclosure of SOQs

8.2.1. Public Records Act

Once submitted, the SOQs shall become the property of INDOT, may not be returned to Proposers and are subject to the Indiana Public Records Act, Indiana Code 5-14-3 and relevant provisions of Indiana Code 8-15.7 (collectively, the "Public Records Act"). Proposers are encouraged to familiarize themselves with the Public Records Act. In the event Proposer submits any documents which Proposer believes are not subject to disclosure pursuant to the Public Records Act, it must conspicuously mark each document "CONFIDENTIAL" in the header or footer of each such page affected. Blanket designations that do not identify the specific information shall not be acceptable and may be cause for INDOT to treat the entire SOQ as public information.

INDOT will not advise a Proposer as to the nature or content of documents entitled to protection from disclosure under the Public Records Act or other applicable laws, as to the interpretation of such laws, or as to definition of trade secret. Nothing contained in this provision shall modify or amend requirements and obligations imposed on INDOT by the Public Records Act or other applicable law. INDOT reserves the right to disagree with Proposer's assessment regarding confidentiality of information in the interest of complying with the Public Records Act. The provisions of the Public Records Act or other laws shall control in the event of a conflict between the procedures described above and the applicable law.

Information submitted by Proposers may be made available to FHWA representatives. INDOT intends to follow procedures established by FHWA to avoid disclosure, to the extent possible, of such information under the Freedom of Information Act.

In the event of any proceeding or litigation concerning the disclosure of any material submitted by Proposer, INDOT will be the custodian retaining the material until otherwise ordered by a court or such other authority having jurisdiction with respect thereto, and such Proposer will be responsible for otherwise prosecuting or defending any action concerning the materials at its sole expense and risk; provided, however, that INDOT reserves the right, in its sole discretion, to intervene or participate in the litigation in such

manner as it deems necessary or desirable. All costs and fees (including attorneys' fees and costs) incurred by INDOT in connection with any litigation, proceeding, or request for disclosure shall be reimbursed and paid by Proposer objecting to disclosure. Each Proposer shall be responsible for all of its own costs in connection with any litigation, proceeding, or request for disclosure.

In no event shall INDOT, or any of its agents, representatives, consultants, directors, officers or employees be liable to a Proposer or Proposer team member for the disclosure of all or a portion of a SOQ submitted under this RFQ.

8.2.2. INDOT Obligations During Discussions or Negotiations

Pursuant to IC 8-15.7-4-6, INDOT may not disclose the contents of Proposals during discussions or negotiations with eligible offerors (Proposers), except as otherwise required by law or under order from a court with jurisdiction.

8.3. Organizational Conflicts of Interest

It is INDOT's policy that any person or firm under contract, or previously under contract, with INDOT to prepare procurement documents, preliminary plans, planning reports or other project development products for the Project will not be allowed to participate in any capacity on a Proposer or Design-Build Contractor team as further defined in the INDOT P3 Guidelines available at:

https://www.in.gov/indot/files/P3_Implementation_Guidelines.pdf.

It is INDOT's policy that any person or firm under contract with INDOT to perform "Procurement Services" as defined in INDOT P3 Guidelines will not be allowed to participate in any capacity on a Proposer or Design-Build Contractor team. Exceptions to this policy may be granted by INDOT, upon written request from such person or firm, if it is determined that the person's or firm's involvement is in the best interest of the public and does not constitute an unfair advantage. Proposer teams seeking such exception shall submit such written request as soon as possible because INDOT shall not extend the SOQ due date or be responsible for any inability or failure to respond prior to the SOQ due date to any such request.

In addition to the foregoing, the organizational conflict of interest rules found in 23 CFR Part 636, Subpart A, including 23 CFR § 636.116, also apply to this procurement. 23 CFR § 636.103 defines an "organizational conflict of interest" as follows:

"Organizational conflict of interest means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the owner, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage."

Proposer shall provide information concerning organizational conflicts of interest and disclose all relevant facts concerning any past, present or currently planned interests which may present an organizational conflict of interest. Proposer shall state how its interests or those of any of its team members, consultants, contractors or subcontractors, including the interests of any chief executives, directors or key personnel thereof, may result in, or could be viewed as, an organizational conflict of interest.

Proposer is prohibited from teaming with, receiving any advice or discussing any aspect relating to the Project or the procurement of the Project with any person or entity with an organizational conflict of interest, including, but not limited to:

- Nossaman LLP
- HNTB Corp.
- United Consulting Engineers, Inc.
- Corradino, LLC
- Terracon (formerly Earth Exploration, Inc.)
- SJCA P.C.
- VS Engineering, Inc.
- Borshoff
- Hirons
- Taylor, Siefker, & Williams
- ASC Group
- Metric Environmental
- Cardno Inc.
- **Compass Outreach Solutions, LLC**
- Perkins Coie, LLC
- “Affiliates” of the foregoing (meaning parent companies at any tier, subsidiary companies at any tier, entities under common ownership, joint ventures and partnerships involving such entities, and other Financially Responsible Parties for

the entity). “Common ownership” does not include the holding of stock in a publicly-traded company, unless such stock ownership is a majority position or results in control of the affected entity.

Such persons and entities are also prohibited from participating on a Proposer team as a Major Participant, contractor, subcontractor, consultant or subconsultant.

By submitting its SOQ, each Proposer agrees that, if an organizational conflict of interest is thereafter discovered, Proposer must make an immediate and full written disclosure to INDOT that includes a description of the action that Proposer has taken or proposes to take to avoid or mitigate such conflicts. If an organizational conflict of interest that Proposer knew, or should have known about, but failed to disclose is determined to exist during the procurement process, INDOT may, at its discretion, disqualify Proposer. If an organizational conflict of interest that Proposer knew, or should have known about, but failed to disclose exists and Proposer has entered into a PPA as Design-Build Contractor, INDOT may, at its sole discretion, terminate the PPA. In either case, INDOT reserves all legal rights and remedies.

Proposers are also advised that INDOT’s guidelines in this RFQ are intended to augment applicable federal and state law, including federal organizational conflict of interest laws and rules and the laws and rules relating to NEPA. Such applicable law will also apply to Proposer teams and teaming and may preclude certain firms and their entities from participating on a Proposer team.

8.4. Limitations on Proposer Team Membership

8.4.1. Prequalification and Licensing Requirements

In order to be a Short-Listed Proposer, a Proposer team (inclusive of Proposer, its Major Participants and other identified subcontractors listed in the SOQ) shall, as of the SOQ Due Date, be prequalified by INDOT to perform the scope and amount of services for the Project as set forth in this Part A, Sections 2.1.3(a), 2.1.3(b), and 2.1.3(c). In other words, the Proposer team, in the aggregate, must possess all such required INDOT prequalifications in accordance with this Part A, Sections 2.1.3(a), 2.1.3(b), and 2.1.3(c) and such prequalifications must be valid and in effect.

If a Proposer team does not have all required INDOT prequalifications as set forth in this Part A, Sections 2.1.3(a), 2.1.3(b) and 2.1.3(c) as of the SOQ Due Date, such Proposer may still submit an SOQ and may be conditionally determined to be a Short-Listed Proposer so long as (i) it has submitted a prequalification package to INDOT as of the SOQ Due Date that, if approved, would result in such Proposer team having, in the aggregate, all required INDOT prequalifications as set forth in this Part A, Sections 2.1.3(a), 2.1.3(b), and 2.1.3(c); and (ii) all such required prequalifications are granted by

INDOT no later than 90 days after the SOQ Due Date. INDOT shall bear no risk, responsibility or liability for any delay by a Proposer team in obtaining, or failure by a Proposer team to obtain, any prequalification and such Proposer assumes all risk, responsibility and liability therefor. Except as approved by INDOT, in its sole discretion, no delay by INDOT in the prequalification process and no appeal rights (even if successful) for any denial of a prequalification or other rights or remedies of the Proposer or any team member associated with the prequalification process shall apply to this requirement and timeline. Failure of a Proposer team that has been conditionally determined by INDOT to be a Qualified Proposer to obtain the required prequalifications and deliver evidence thereof to INDOT on or before 90 days after the SOQ Due Date may, in INDOT's sole discretion, result in disqualification from the procurement process and loss of eligibility to submit a Proposal and earn award of the Project. Such determination shall be final and binding and not subject to protest or appeal.

Proposers are also advised that, as part of the RFP, they will be required to demonstrate evidence of additional prequalifications for their team for work required for the Project pursuant to INDOT's prequalification process. Additional details shall be set forth in the RFP.

In addition to the above, other members of a Proposer team that will be undertaking work that requires an INDOT prequalification or an Indiana license must be prequalified and licensed prior to performing the applicable work assigned to such member.

8.4.2. Participation on More Than One Proposer Team

To ensure a fair and competitive procurement process, Major Participants (see definition in Part B, Section 2) are forbidden from participating, in any capacity, on another Proposer team during the course of the procurement. If a Proposer is not short-listed as part of the RFQ evaluation process, the members of the unsuccessful Proposer team (including Major Participants) are thereafter free to participate on Short-Listed Proposer teams, subject to the requirements of this Part A, Sections 7.6 and 8.3. Any Proposer that fails to comply with the prohibition contained in this Part A, Section 8.4 may be disqualified from further participation as a Proposer for the Project. Individuals serving Key Personnel roles on one Proposer team may not serve Key Personnel roles on another Proposer team. In addition, entities that are under direct or indirect common ownership or have the same upstream parent may not be on separate Proposer teams or act as Equity Members, Major Participants, Financially Responsible Parties or guarantors on separate Proposer teams.

9. PROTEST PROCEDURES; DEBRIEFINGS

9.1. Applicability

This Part A, Section 9 sets forth the exclusive protest remedies available with respect to this RFQ. These provisions prescribe the exclusive procedures for protests regarding:

- (a) allegations that the terms of the RFQ are wholly ambiguous, contrary to legal requirements applicable to the procurement, or exceed INDOT's authority;
- (b) a determination as to whether an SOQ is responsive to the requirements of the RFQ or as to whether an SOQ passes the pass/fail criteria set forth in this RFQ; and
- (c) shortlist determinations.

9.2. Required Early Communication for Certain Protests

Protests concerning the issues described in Part A, Section 9.1 may be filed only after Proposer has informally discussed the nature and basis of the protest with INDOT, following the procedures prescribed in this Part A, Section 9.2. Informal discussions shall be initiated by a written request for a one-on-one meeting delivered to the address specified in Part A, Section 5.4. The written request shall include an agenda for the proposed one-on-one meeting. INDOT will meet with Proposer as soon as practicable to discuss the nature of the allegations. If necessary to address the issues raised in a protest, INDOT may, in its sole discretion, make appropriate revisions to the RFQ documents by issuing addenda.

9.3. Deadlines for Protests

- (a) Protests concerning the issues described in Part A, Section 9.1(a) must be filed as soon as the basis for the protest is known, but no later than 20 calendar days prior to the SOQ Due Date, unless the protest relates to an addendum to the RFQ, in which case the protest must be filed no later than 5 business days after the addendum is issued.
- (b) Protests concerning the issues described in Part A, Section 9.1(b) must be filed no later than 5 calendar days after receipt of the notification of non-responsiveness or that an SOQ has failed any of the pass/fail criteria set forth in this RFQ.
- (c) Protests concerning the issues described in Part A, Section 9.1(c) must be filed no later than 7 calendar days after the earliest of the notification of the Short-Listed Proposers and the public announcement of the Short-Listed Proposers.

9.4. Content of Protest

Protests shall completely and succinctly state the grounds for protest, its legal authority, and its factual basis, and shall include all factual and legal documentation in sufficient detail to establish the merits of the protest. The protest shall also include the name and address of the protestor and the RFQ or contract number. Statements shall be sworn and submitted under penalty of perjury.

9.5. Filing of Protest

Protests shall be filed by hand delivery on or before the applicable deadline to INDOT's Deputy Commissioner of Major Project Delivery with a copy to INDOT Chief Counsel at Indiana Department of Transportation, 100 North Senate Avenue, IGCN 755, Indianapolis, Indiana 46204 as soon as the basis for protest is known to Proposer. For any protests filed after the SOQ Due Date, Proposer filing the protest shall, at the request of INDOT, promptly send a copy of the protest with the other Proposers whose addresses may be obtained by contacting the RFQ Procurement Contact.

9.6. Comments from Other Proposers

Other Proposers may file statements in support of or in opposition to the protest within 5 calendar days of the filing of the protest. INDOT will promptly forward copies of all such statements to the protestant. Any statements shall be sworn and submitted under penalty of perjury.

9.7. Burden of Proof

The protestant shall have the burden of proving its protest by clear and convincing evidence. INDOT may, in its sole discretion, discuss the protest with the protestant and other Proposers. No hearing will be held on the protest. The protest shall be decided on the basis of written submissions.

9.8. Decision on the Protest

INDOT's Commissioner or his/her designee shall issue a written decision regarding the protest within 30 calendar days after the filing of the detailed statement of protest. If necessary to address the issues raised in a protest, INDOT may, in its sole discretion, make appropriate revisions to this RFQ by issuing an addendum.

The written decision of INDOT's Commissioner shall be final and non-appealable.

9.9. Protestant's Payment of Costs

If a protest is denied, Proposer filing the protest shall be liable for INDOT's costs reasonably incurred to defend against or resolve the protest, including legal and consultant fees and costs, and any unavoidable damages sustained by INDOT as a consequence of the protest.

9.10. Rights and Obligations of Proposers

Each Proposer, by submitting its SOQ, expressly recognizes and agrees to the limitation on its rights to protest provided in this Part A, Section 9, and expressly waives all other rights and remedies that may be available to Proposer under law. These provisions are included in this RFQ expressly in consideration for such waiver and agreement by Proposers. If a Proposer disregards, disputes, or does not follow the exclusive protest remedies provided in this section, it shall indemnify, defend and hold INDOT and its officers, employees, agents, and consultants harmless from and against all liabilities, fees and costs, including legal and consultant fees and costs, and damages incurred or suffered as a result of such Proposer's actions. Each Proposer, by submitting a SOQ, shall be deemed to have irrevocably and unconditionally agreed to this indemnity obligation.

9.11. Debriefings

All Proposers submitting SOQs will be notified in writing as to whether they have been shortlisted. Proposers not short-listed may request a debriefing. Debriefings shall be provided at the earliest time that appropriate person(s) within or affiliated with INDOT are available after notification of all of the Short-Listed Proposers. The debriefing shall be conducted by a procurement official familiar with the rationale for the short-list decision and INDOT advisors may also participate.

Debriefings shall:

- (a) Be limited to discussion of the unsuccessful Proposer's SOQ and may not include specific discussion of a competing SOQ;
- (b) Be factual and consistent with the evaluation of the unsuccessful Proposer's SOQ; and
- (c) Provide information on areas in which the unsuccessful Proposer's SOQ had weaknesses or deficiencies.

Debriefing may not include discussion or dissemination of the thoughts, notes, or rankings of individual evaluators or advisors.

10. INDOT RESERVED RIGHTS

In connection with this procurement, INDOT reserves to itself all rights (which rights shall be exercisable by INDOT in its sole discretion) available to it under the Statute and applicable law, including without limitation, with or without cause and with or without notice, the right to:

- Modify the procurement process to address applicable law and/or the best interests of INDOT and the State.
- Revise the scope, type, structure, or specific terms of this procurement.
- Modify the scope of the Project during the procurement process.
- Develop the Project, including any portion thereof, in any manner that it, in its sole discretion, deems necessary. If INDOT is unable to negotiate a PPA to its satisfaction with a Preferred Proposer, it may negotiate in succession with the next highest rated Proposer(s), terminate this procurement and pursue other development or solicitations relating to the Project or exercise such other rights under the Statute and other provisions of State law, as it deems appropriate.
- Cancel this RFQ or the subsequent RFP in whole or in part at any time prior to the execution by INDOT of a PPA, without incurring any cost obligations or liabilities, except as otherwise provided in this Part A, Section 5.3 of this RFQ.
- Issue a new request for qualifications after withdrawal of this RFQ or a subsequent RFP.
- Not short-list any Proposer responding to this RFQ.
- Not issue an RFP.
- Reject any and all submittals, responses and SOQs received at any time.
- Modify all dates set or projected in this RFQ.
- Terminate evaluations of responses received at any time.
- Suspend and terminate PPA negotiations at any time, elect not to commence PPA negotiations with any Short-Listed Proposer, and engage in negotiations with other than the highest ranked Short-Listed Proposer.
- Issue addenda, supplements and modifications to this RFQ.

- Appoint evaluation committees to review SOQs, make recommendations and seek the assistance of outside technical, financial and legal experts and consultants in SOQ evaluation.
- Require confirmation of information furnished by a Proposer, require additional information from a Proposer concerning its SOQ and require additional evidence of qualifications to perform the work described in this RFQ, regardless of whether the information or evidence was explicitly required by the RFQ.
- Seek or obtain data from any source that has the potential to improve the understanding and evaluation of the responses to this RFQ, including personal experience of evaluators.
- Add or delete Proposer responsibilities from the information contained in this RFQ or any subsequent RFP.
- Negotiate with a Short-Listed Proposer without being bound by any provision in its Proposal.
- Waive deficiencies, nonconformities, irregularities, and apparent clerical mistakes in a SOQ or in the processes under this RFQ, accept and review a non-conforming SOQ or permit clarifications or supplements to a SOQ.
- Disqualify any Proposer that changes its submittal after the SOQ Due Date without INDOT approval.
- Disqualify any Proposer under this RFQ, the RFP or during the period between the RFQ or RFP for violating any rules or requirements of the procurement set forth in this RFQ, the RFP or in any other communication from INDOT.
- Add to the list of Short-Listed Proposers any Proposer that submitted an SOQ in order to replace a previously Short-Listed Proposer that withdraws or is disqualified from participation in this procurement.
- Not issue any notice to proceed after execution of the PPA.
- Design and construct some of the Project or the entire Project.
- Exercise any other right reserved or afforded to INDOT under this RFQ or applicable laws and regulations.

This RFQ does not commit or bind INDOT to enter into a contract or proceed with the procurement described herein. Except as expressly set forth in Part A, Section 5.3, INDOT assumes no obligations, responsibilities, and liabilities, fiscal or otherwise, to reimburse all or part of the costs incurred or alleged to have been incurred by parties considering a response to or responding to this RFQ, or any subsequent RFP. All of such costs shall be borne solely by each Proposer.

PART B

Statement of Qualifications

Proposers are required to assemble their SOQ in the order prescribed and following the outline form contained in this Part. Italics indicate explanations or instructions to Proposer as opposed to a request for information. For the convenience of Proposers, an outline of the submittal requirements is set forth in Exhibit A.

SOQ CONTENTS

The SOQ shall contain the following:

1. GENERAL

(a) **Form A** (transmittal letter). A duly authorized official of Proposer or lead firm must execute the transmittal letter in blue ink. For Proposers that are joint ventures, partnerships, limited liability companies or other associations, the transmittal shall be appended with letters on the letterhead stationery of each Equity Member, executed by authorized officials of each Equity Member, stating that representations, statements and commitments made in the SOQ on behalf of the Equity Member's firm have been authorized by, are correct, and accurately represent the role of the Equity Member's firm in the Proposer team.

(b) **Executive Summary:** An Executive Summary, not exceeding five (5) pages. The Executive Summary shall be written in a non-technical style and shall contain sufficient information for reviewers with both technical and non-technical backgrounds to become familiar with Proposer's SOQ. The Executive Summary shall address why Proposer wants to become Design-Build Contractor.

(c) **Confidential Contents Index:** A page executed by Proposer that sets forth the specific items, including the section and page numbers within the SOQ at which such items are located that Proposer deems confidential information protected by the Public Records Act; provided, however, if there are no page numbers for the specific item (and page numbers are not required pursuant to this RFQ), the index need not include page numbers, but should provide a clear description of the location of the item. Blanket designations that do not identify the specific information shall not be acceptable and may be cause for INDOT to treat the entire SOQ as public information. Notwithstanding the foregoing, the list required under this Subsection (c) is intended to provide input to INDOT as to the confidential nature of a Proposer's SOQ, but in no event shall such list be binding on INDOT, determinative of any issue relating to

confidentiality or a request under the Public Records Act or override or modify the provisions of the Statute or INDOT's responsibilities thereunder.

2. Proposer and Team Structure and Experience

Proposers shall provide the following information as outlined in Sections 2.1, 2.2 and 2.3, relevant to the identity and qualifications of Proposer, Major Participants and any other team members that Proposer wishes to identify in its SOQ. Proposers shall provide the following information as outlined in Section 2.4, describing relevant experience of the Proposer and Major Participants. Proposer shall provide the following information as outlined in Section 2.5, per each Key Personnel.

The term "Major Participant" shall mean the following team members:

- (a) The lead construction/design-build firm (if not the Proposer);
- (b) The lead engineering/design firm(s) (if not the Proposer);
- (c) Each subcontractor (excluding concrete or asphalt pavement supply or installation subcontractors) that will perform work valued at 10% or more of the construction work;
- (d) Each subconsultant that will perform 30% or more of the design work; and
- (e) Any team members that are required for the Proposer team to satisfy the prequalification requirements for any work types described in Part A Section 2.1.3(c). If a Proposer is not yet prequalified in all of such categories and is submitting its SOQ to be conditionally qualified pursuant to Part A, Section 8.4.1, team members that have submitted a prequalification package to INDOT as of the SOQ Due Date in order to obtain the required prequalifications for the Project should be identified.

2.1. Proposer

Identify the legal name of Proposer. If the name is a "doing business as" ("DBA"), identify underlying names. Identify a single point of contact (a real person) and include the following information: name, title, address, telephone number and e-mail address. Identify the legal name and nature of Proposer and the state of its organization. If the Proposer firm is structured as a consortium, partnership or other form of joint venture, as applicable, it must be structured on a joint and several basis. If Proposer is a consortium, partnership or any other form of a joint venture, the SOQ shall contain an executed teaming agreement, but if an executed teaming agreement does not yet exist, the SOQ shall contain the summary of the key terms of the anticipated agreement, including the percentages of ownership, roles of the various parties and anticipated execution date,

which summary shall be executed and dated by all parties. Executed teaming agreements or summaries of teaming agreement key terms shall be included in an appendix. If the Proposer, or any part of the Proposer, has branch offices, state which office(s) will be performing the majority of the work.

2.2. Equity Members

For each Equity Member of Proposer, identify the entity's role, planned equity ownership percentage and the entity's legal nature and state of organization. If a Proposer is a single entity, it will be deemed to be the sole "Equity Member" for purposes of this RFQ and the SOQ submittal requirements. If a Proposer is a joint venture, partnership or limited liability corporation, the Equity Members shall be all joint venturers, partners or members, as applicable. If a Proposer is structured as a consortium, partnership or other form of joint venture, as applicable, it must be structured on a joint and several basis and any joint venture agreement or other agreement must expressly so state.

2.3. Major Participants and Other Team Members

Identify all Major Participants and any other team members that Proposer wishes to identify (e.g., quality assurance firms, design subconsultants, etc.) in its SOQ at this time ("Other Team Members"). For each Major Participant and Other Team Member, identify the entity's role and the entity's legal nature and state of organization. If the lead engineering firm is a consortium, partnership or any other form of joint venture, the SOQ shall contain an executed teaming agreement, but if an executed agreement does not yet exist, the SOQ shall contain a summary of the key terms of the anticipated teaming agreement, including percentages of ownership, roles of the various parties and anticipated execution date. Executed teaming agreements or summaries of teaming agreement key terms shall be included in an appendix to the SOQ. Proposers shall not include more than one lead contractor or lead engineering firm (provided that the foregoing does not preclude the lead contractor or lead engineer from being a consortium, partnership or any other form of joint venture as otherwise contemplated in the RFQ). If the lead contractor or lead engineering firm is structured as a consortium, partnership or other form of joint venture, as applicable, it must be structured on a joint and several basis and any joint venture agreement or other agreement must expressly so state. If any Major Participant, or any part of the Major Participant, has branch offices, state which office(s) will be performing the majority of the work.

2.4. Proposer and Team Structure

Describe Proposer's team and management structure, including its teaming arrangements, allocation of roles and responsibilities within Proposer team and how Proposer will institutionally operate. Describe how Proposer's management structure will facilitate completion of all work required for the Project. Describe the prior experience (if

any) of Proposer and Major Participants working together within a consortium, partnership or any other form of joint venture.

2.5. Relevant Experience

Proposers shall provide the following information, describing relevant experience held by Proposer and Major Participants, as applicable, with:

- Design and construction of highways and interstate-to-interstate interchanges; in particular those with a construction value of \$150 million or more.
- Experience in delivering design-build projects; in particular those delivered on schedule or ahead of schedule.
- Integration of design, utility relocation, environmental activities, and construction.
- Permitting, coordination and oversight by U.S. federal agencies such as the Army Corps of Engineers, the Federal Aviation Administration, and FHWA on environmentally sensitive transportation projects.
- Design and construction of highways and interstate interchanges in urban corridors with significant maintenance of traffic issues and delivery under live traffic conditions, including high volumes of truck traffic and efforts to minimize and mitigate construction impacts to the public through innovative maintenance of traffic and phased construction.
- **FORM E:** Proposers shall submit **Form E** and include up to eight projects in the aggregate for the entire Proposer team with respect to the above categories of this Part B, Volume 1, Section 2.5 in which the entity played a significant role during the past 10 years. For each project, include a project description describing the role of the entity on such project, relevance of the project and the entity's experience on such project to the Project and why that experience will provide value to INDOT should Proposer be awarded the PPA.

2.6. Form B-1, Organizational Charts and Key Personnel Resumes

Provide **Form B-1**. Provide an organizational chart which sets forth Proposer structure, teaming arrangements and reporting requirements. Provide a separate organizational chart setting forth Key Personnel and other material personnel the Proposer wishes to identify and reporting relationships. A separate resume (two pages maximum) for each Key Personnel shall also be provided in an appendix. Each resume shall state the specific role(s) that each person listed is fulfilling for the Project and may, describe how the person(s) prior experience relates to their potential role in connection with the Project. For each project listed in a resume, include the individual's employer at the time, the name and location of the project, project number (if applicable), dates of work performed on the project and a description of the work or services provided and role on the project. If more than one role was played, identify the dates and duration of each role. References for each individual shall be placed on that individual's respective resume.

Three references (no more than one per project) for each of the Key Personnel position(s) for projects worked on during the past ten years must be supplied; provided, however, that where the individual has only worked on one or two projects during the past ten years (measured from the date of issuance of this RFQ), the Proposer shall: (i) affirmatively state that such individual has only worked on one or two projects during the past ten years (measured from the date of issuance of this RFQ); (ii) include references for each of such projects; and (iii) include references for projects worked beyond the past ten years (measured from the date of issuance of this RFQ) so that the number of references equals three in total.

References shall be previous owners or clients with whom the identified personnel have worked within the past ten years (measured from the date of issuance of this RFQ) and which appear on the identified personnel's resume. The references information shall include the name of the project the reference is from and the name, position, company or agency, current postal and e-mail addresses and phone numbers of the reference. Proposers are requested to verify that contact information is correct and are advised that if the contact information provided is not current, INDOT may elect to exclude the experience represented in determining the Key Personnel's qualifications.

An express, written statement from each entity employing such individuals committing that the individuals designated in the SOQ for the Key Personnel positions shall be available to serve the role so identified in connection with the Project.

While INDOT recognizes that personnel availability and scheduling issues impact the Proposers, Proposers are urged only to identify and proffer personnel that they

reasonably believe will be available for, and intend to assign to work on, the Project for the positions identified.

Note that in order for a Proposer to remain qualified to submit a Proposal after it has been placed on the short-list, the Proposer's Key Personnel as identified in the SOQ must remain intact for the duration of the procurement process (i.e., until execution of the PPA), unless otherwise approved in writing by INDOT. If a Proposer wishes to make changes in Key Personnel identified in its SOQ, the Proposer shall submit to INDOT a written request for INDOT's approval of the change as soon as possible but in no event later than the date and time included in the RFP. Proposer may not make any changes in any Key Personnel identified in its SOQ after this deadline, except for unusual circumstances beyond its control, in which case INDOT, in its sole discretion, will consider such requests.

Requests to change Key Personnel shall be sent to the RFQ Procurement Contact as set out in Part A, Section 5.4, and shall include the information requested for the corresponding Key Personnel in the RFQ. Proposer shall submit one original and five copies of each such request package.

INDOT will review requests to implement changes in Key Personnel very carefully but is under no obligation to approve such requests and may approve or disapprove in writing a portion of the request or the entire request at its sole discretion. Failure to obtain INDOT's approval for changes in Key Personnel during the procurement process may result in disqualification of the Proposer by INDOT.

For purposes of the RFQ, the following positions are Key Personnel:

Project Manager – The Project Manager is responsible for all aspects of the Project, including, but not limited to, overall design, environmental compliance, construction, quality management, and contract administration. Targeted/desired experience for the Project Manager includes ten (10) years of design-build experience managing the design and construction of major highways, interstate-to-interstate interchanges and bridge structures. The Project Manager shall be assigned to the Project full time and shall be required to be on-site for the duration of the Project.

Design Manager – The Design Manager is responsible for ensuring the overall Project design is completed and all design requirements are met. Targeted/desired experience for the Design Manager includes at least ten (10) years of recent experience (design-build experience preferred) managing the design of major highways, interstate-to-interstate interchanges and bridge structures. They must be a licensed professional engineer in the State of Indiana or be able to obtain licensure by award of Contract. The Design Manager shall be assigned to the Project full time and be readily available on-site when design activities are being performed. During construction, the Design Manager shall be readily

available for on-site consultation and to coordinate designer-initiated and contractor-initiated plan, design, specification, and quantity revisions.

Structural Design Lead Engineer - The Structural Design Lead Engineer is responsible for ensuring all structural components on the Project are completed and all design requirements are met. Targeted/desired experience for the Structural Design Lead Engineer includes at least ten (10) years of recent experience (design-build experience preferred) designing major highway bridge structures, interstate-to-interstate interchange bridge structures and having been Engineer of Record for at least one completed interchange and bridge project similar in scope, budget, schedule and environmental conditions. Targeted/desired experience also includes complex bridge design in accordance with INDOT Design Memorandum No. 17-20. In addition to the criteria listed in the Memorandum, complex bridges shall also include: accelerated bridge construction (ABC), concrete straddle bents or integral pier caps requiring post-tensioning, spans over 200 foot, and curved with a radius less than 1000 foot. They must be a licensed professional engineer in the State of Indiana or be able to obtain licensure by award of Contract. The Structural Design Lead Engineer shall be available for weekly meetings in the project office.

Construction Manager – The Construction Manager is responsible for managing the construction of the Project. Targeted/desired experience for the Construction Manager includes at least ten (10) years of recent management experience, design-build experience preferred, major highways, interstate-to-interstate interchanges and bridge structure construction with complex maintenance of traffic challenges. The Construction Manager shall be assigned to the Project full time and will be required to be on site for the duration of the Project.

Public Involvement Manager – The Public Involvement Manager is responsible for identifying public information issues related to the Design-Build Contractor's Work, and for formulating and implementing strategies to address those issues. The Public Involvement Manager shall work with INDOT to maintain public satisfaction. The Public Involvement Manager shall be available at the construction office as necessary to respond to the communications needs of the work and shall be readily available by telephone during all business hours with immediate computer and email access. During critical construction activities and emergencies, the Public Involvement Manager shall be available as necessary. Targeted/desired experience for the Public Involvement Manager includes at least three (3) years of recent experience coordinating information on public projects, preferably on large highway improvement projects.

As used in this RFQ, desired/targeted experience is not a mandatory requirement, but an indication of the level of experience that INDOT views as appropriate for the position and which may be considered as part of the evaluation. INDOT may include mandatory

requirements for Key Personnel in the RFP, but does not anticipate increasing the years of experience requirements.

Proposers should note that, notwithstanding that a Proposer may be short-listed, INDOT may disapprove a particular Key Personnel individual and require a Short-Listed Proposer to replace such individual.

Additional personnel may be included in the SOQ and should be shown on organizational chart.

2.7. Proposer Legal Information

The following information regarding legal issues affecting Proposer and its team members shall be submitted:

2.7.1. Legal Issues

Identify and explain any significant anticipated federal or state legal issues relating to Proposer, any Equity Members and Major Participants that must be resolved in order to deliver the Project and perform its obligations under a PPA.

2.7.2. Legal Liabilities

Provide a list and a brief description (including the contract value and amount at issue) of all instances during the last five (5) years (measured from the date of issuance of this RFQ) involving transportation projects and those projects listed in Part B, Section 2.5 in which Proposer, any Equity Member, any Major Participant and any Affiliate of the foregoing was (i) determined, pursuant to a determination in a court of law, arbitration proceeding or other dispute resolution proceeding, to be liable for a material breach of contract, or (ii) terminated for cause. For each instance, identify an owner's representative with a current telephone number (and e-mail address if available). If there are no such instances, provide an affirmative statement to that effect.

For purposes of this Section 2.7.2 and Section 2.7.3, "Affiliate" means and includes parent companies at any tier, subsidiary companies at any tier, entities under common ownership, joint ventures and partnerships involving such entities (but only as to activities of joint ventures and partnerships involving the Proposer, any Equity Member or any Major Participants as a joint venture or partner and not to activities of other joint ventures or partners not involving the Proposer or Major Participant), and any Financially Responsible Party, that, within the past five (5) years (measured from the date of issuance of this RFQ) have (x) engaged in business or investment in North America; or (y) have been involved with any project listed by an entity in Part B, Section 2.5 .

2.7.3. Legal Proceedings

Provide a list and a brief description (including the contract value, amount at issue and resolution) of each arbitration, litigation, dispute review board and other formal dispute resolution proceeding occurring during the last five years (measured from the date of issuance of this RFQ) related to a transportation project in North America involving a claim or dispute between the project owner and Proposer, any Equity Member, any Major Participant or any Affiliate of the foregoing involving an amount in excess of the smaller of (a) 2% of the original contract value or (b) \$200,000 on projects with a contract value in excess of \$10 million. Include items that were subject to arbitration, litigation, dispute review board or other formal dispute resolution proceedings even if settled without completion of the proceeding. State the original amount in dispute and the ultimate resolution and amount recovered or paid, if any. For each instance, identify an owner's representative with a current telephone number (and e-mail address if available).

Include a similar list and description for all projects included in the response to Part B, Section 2.5 involving an amount in excess of \$100,000, regardless of the contract value. For each instance, identify an owner's representative with a current phone number and e-mail address. If an e-mail address is not available, so state.

If there are no such matters to report, provide an affirmative statement to that effect.

With respect to the information solicited in this Part B, Section 2.7.1, 2.7.2 and 2.7.3, failure to fully disclose this information, conditional or qualified submissions (i.e., "to our knowledge", "to the extent of available information", "such information is not readily available", "such information is not maintained in the manner requested", etc.) to requests or questions posed, incomplete or inaccurate submissions or non-responsive submissions, or failure to provide information enabling INDOT to contact owner representatives may, in the sole discretion of INDOT, lead to lower scoring or a "fail" rating for the team or disqualification from the procurement process.

3. Approach to Project

The Approach to Project shall include:

- A description of how the design organization will be structured and managed to deliver the design for the Project during startup, design and post-design time periods. Include location of the work, communications and coordination within the team including subconsultants, and coordination and interface with the administration and construction organizations.
- A description of how the administration and construction organizations will be structured and managed to deliver the Project during startup, design and construction time periods. Include communications and coordination within the

team including subcontractors, and coordination and interface with the design organization.

- A description of Proposer's general approach to the design and construction of the Project, including delivering a high-quality Project.
- A description of Proposer's understanding of the Project goals.
- A description of Proposer's general approach to design and construction quality control/quality assurance and Project oversight.
- A description of Proposer's approach to ensuring that adequate materials, equipment and qualified personnel resources are available to the Proposer which it can and will commit to the performance of the Design-Build Contractor's work. Provide the current backlog of the Proposer, any Equity Member, Major Participant or lead contractor and their respective capacities to perform the Design-Build Contractor's work.
- A description of what Proposer understanding as the most significant risks to the parties with respect to the design and construction of the Project, and how those risks can be addressed, mitigated or allocated to provide best value to INDOT.
- Proposer's philosophy on how INDOT, Proposer and third parties will work together in connection with the design and construction of Project in terms of allocation of work, implementation and delivery. Describe Proposer's view of the anticipated nature of INDOT participation sought by Proposer in connection with the Project and how that will achieve success.

4. Additional Materials

4.1. Forms B-2 and C

Provide executed originals of **Form B-2** and **Form C** for Proposer, each Equity Member, Major Participant and each Financially Responsible Party.

4.2. Surety Letter

Provide a letter from an Eligible Surety indicating that Proposer team is capable of obtaining both a payment bond (or bonds) and a performance bond (or bonds), each in an aggregate stated amount of \$250 million, as evidence of Proposer's bonding capacity. Letters must specifically state the amount the Proposer is capable of obtaining from the Eligible Surety. Letters indicating "unlimited" bonding capability are not acceptable.

The letter must specifically state that the surety/insurance company has read this RFQ and any addenda and evaluated Proposer's financial statements and capability, backlog and work-in-progress in determining its bonding capacity.

If a Proposer or other entity to obtain the bonds is a joint venture, partnership, limited liability company or other association, separate letters for one or more of the individual Equity Members are acceptable, as is a single letter covering all Equity Members of such entity; provided, however, that each separate letter provided must reference the specific portion of the \$250 million amount that the Eligible Surety is indicating it is willing to provide. Statements such as “[the entity’s] share of the work/bond amount” or the like are not acceptable.

INDOT has not yet determined the specific amount of payment and performance bonds that it will require for the Project. Proposers are advised that the RFP may, to the extent commercially available and determined appropriate by INDOT for the Project, require payment and performance bond amounts in excess of the \$250 million amount referenced above. INDOT shall delineate such requirements, which will be consistent with applicable law, in the RFP.

4.3. INDOT Certificate of Qualification Materials

Provide Proposer’s and each Major Participant’s INDOT Certificate of Qualification for each of the categories set forth in Part A, Sections 2.1.3(a), 2.1.3(b), and 2.1.3(c). If the Proposer team does not possess the required INDOT prequalifications and is submitting its SOQ pursuant to Part A, Section 8.4.1, Proposer shall provide a letter from Proposer’s chief executive officer, president, managing partner or equivalent, or from such relevant entity of Proposer’s team that is seeking INDOT’s prequalification, certifying that Proposer has submitted a complete Form CR-1 and required documentation to INDOT. The letter shall also state the date that the Form CR-1 was submitted to INDOT.

4.4. Form D

Provide a completed **Form D**.

4.5. Form E

Provide a completed **Form E**.

4.6. Form F

Provide, for Proposer, Equity Members and Major Participants (other than design firms), a completed **Form F** (irrespective of whether Proposer is prequalified with INDOT).

PART C FORMS AND EXHIBIT

[THIS PAGE INTENTIONALLY LEFT BLANK]

**FORM A
TRANSMITTAL LETTER**

PROPOSER: _____

SOQ Date: May 17, 2019

Indiana Department of Transportation
I-65/I-70 North Split Project
Cat Schoenherr
Indiana Department of Transportation
100 North Senate Avenue, Room N601
Indianapolis, Indiana 46204
Telephone: (317) 233-2072
Email: NorthSplitDBBV@indot.in.gov

The undersigned (“Proposer”) submits this Statement of Qualifications (this “SOQ”) in response to the Request for Qualifications dated May 17, 2019 (as amended, the “RFQ”), issued by the Indiana Department of Transportation (INDOT) to design and construct the Project. Initially capitalized terms not otherwise defined herein shall have the meanings set forth in the RFQ.

Enclosed, and by this reference incorporated herein and made a part of this SOQ, are the following:

Transmittal Letter (this **Form A**);

Executive Summary;

Confidential Contents Index;

Proposer and Team Structure and Experience (including **Form B-1**);

Approach to Project

Forms B-2 and C;

Surety Letter(s);

INDOT Certificates of Qualification or Letter Regarding Application for Certificate;

Form D,

**Form E, and
Form F.**

Proposer acknowledges access to all materials posted on the Procurement Website and the following addenda and sets of questions and answers to the RFQ:

Addendum #1 issued on April 22, 2019

Q&A Matrix #1 issued on April 22, 2019

Addendum # __ issued on

Q&A Matrix #__ issued on

[Proposer to list any other addenda to this RFQ and sets of questions and answers by dates and numbers prior to executing **Form A**]

Proposer represents and warrants that it has read the RFQ and agrees to abide by the contents and terms of the RFQ and the SOQ.

Proposer understands that INDOT is not bound to short-list any Proposer and may reject each SOQ that INDOT may receive.

Proposer further understands that all costs and expenses incurred by it in preparing this SOQ and participating in the Project procurement process will be borne solely by Proposer, except, to the extent of any payment offered by INDOT for work product, as described in Part A, Section 5.3 of the RFQ.

Proposer agrees that INDOT will not be responsible for any errors, omissions, inaccuracies or incomplete statements in the RFQ.

Proposer acknowledges and agrees to the protest provisions and understands that it limits Proposer's rights and remedies to protest or challenge the RFQ or any determination or short-listing thereunder.

This SOQ shall be governed by and construed in all respects according to the laws of the State of Indiana.

Proposer's business address:

(No.)	(Street)	(Floor or Suite)
-------	----------	------------------

(City) (State or Province) (ZIP or Postal Code) (Country)

State or Country of Incorporation/Formation/Organization: _____

[insert appropriate signature block from following pages]

1. Sample signature block for corporation or limited liability company:

[Insert Proposer's name]

By: _____

Print Name: _____

Title: _____

2. Sample signature block for partnership or joint venture:

[Insert Proposer's name]

By: *[Insert general partner's or member's name]*

By: _____

Print Name: _____

Title: _____

[Add signatures of additional general partners or members as appropriate]

3. Sample signature block for attorney in fact:

[Insert Proposer's name]

Print Name: _____

Title: _____

Attorney in Fact

4. Sample signature block for a Proposer not yet formed as a legal entity:

[Insert Proposer name]

By: _____

Print Name: _____

Title: _____

**FORM B-1
PROPOSER TEAM SUMMARY**

PROPOSER	
CONTACT PERSON	
ADDRESS	
TELEPHONE NUMBER	
E-MAIL ADDRESS	

EQUITY MEMBER <i>(Duplicate for each Equity Member)</i>	
NAME OF FIRM	
CONTACT PERSON	
ADDRESS	
TELEPHONE NUMBER	
E-MAIL ADDRESS	

MAJOR PARTICIPANT <i>(Duplicate for each Major Participant)</i>	
NAME OF FIRM	
CONTACT PERSON	
ADDRESS	
TELEPHONE NUMBER	
E-MAIL ADDRESS	

FINANCIALLY RESPONSIBLE PARTIES (See Part A, Section 2.8) <i>(Duplicate for each</i> Financially Responsible Party)	
NAME OF FIRM	
CONTACT PERSON	
ADDRESS	
TELEPHONE NUMBER	
E-MAIL ADDRESS	

**FORM B-2
INFORMATION REGARDING
PROPOSER, EQUITY MEMBERS, MAJOR PARTICIPANTS AND FINANCIALLY
RESPONSIBLE PARTIES**

** Please do not leave any blank spaces; if not applicable, so state.*

Name of Proposer:

Name of Firm Completing **Form B-2**:

Firm's role on Proposer team (check one):

Proposer; Equity Member; Major Participant; Financially Responsible Party

Year Established: _____

Individual Contact: _____

Individual's Title: _____

Firm's CEO/Chairman: _____

Federal Tax ID No. (if applicable): _____

Telephone No.: _____

North American Industry Classification Code: _____

Fax No.: _____

Name of Official Representative (if applicable): _____

Business Organization (check one):

Corporations (If yes, then indicate the State/Country/Province and Year of Incorporation and complete Sections A-C and the Certification form (**Form C**) for the entity.)

Partnership (If yes, complete Sections A-C and the Certification form (**Form C**) for each member.)

Joint Venture (If yes, complete Sections A-C and the Certification form (**Form C**) for each member.)

Limited Liability Company (If yes, complete Sections A-C and the Certification form (**Form C**) for each member.)

Other (If yes, describe and complete Sections A-C and the Certification form (**Form C**))

A. Business Name: _____

B. Business Address: _____

Headquarters: _____

Office Performing Work: _____

Contact Telephone Number: _____

C. If the entity is a Joint Venture, Partnership or Limited Liability Company, indicate the name and role of each member firm in the space below. Complete a separate Information form (**Form B**) for each member firm and attach it to the SOQ. Also indicate the name and role of each Financially Responsible Party and attach a separate form.

Name of Firm

Role

Under penalty of perjury, I certify that the foregoing is true and correct, and that I am the firm's Official Representative:

By: _____

Print Name: _____

Title: _____

Date: _____

[Please make additional copies of this form as needed for each entity required to complete this form.]

**FORM C
CERTIFICATION**

Proposer: _____

Name of Firm Completing this Form: _____

1. Has the firm or any affiliate,* or any current officer, director or employee of either the firm or any affiliate, been indicted or convicted of bid (i.e., fraud, bribery, collusion, conspiracy, antitrust, etc.) or other contract related crimes or violations or any other felony or serious misdemeanor within the past ten years (measured from the date of issuance of this RFQ)?

Yes No

If yes, please explain:

2. Has the firm or any affiliate* ever sought protection under any provision of any bankruptcy act within the past ten years (measured from the date of issuance of this RFQ)?

Yes No

If yes, please explain:

3. Has the firm or any affiliate* ever been disqualified, removed, debarred or suspended from performing work for the federal government, any state or local government, or any foreign governmental entity within the past ten years (measured from the date of issuance of this RFQ)?

Yes No

If yes, please explain:

4. Has the firm or any affiliate* ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or other material misrepresentation to a public entity within the past ten years (measured from the date of issuance of this RFQ)?

Yes No

If yes, as to each such inquiry, state the name of the public agency, the date of the inquiry, the grounds on which the public agency based the inquiry, and the result of the inquiry.

5. Has any construction project performed or managed by the firm or, to the knowledge of the undersigned, any affiliate* involved serious, repeated or multiple failures to comply with safety rules, regulations, or requirements within the past ten years (measured from the date of issuance of this RFQ)?

Yes No

If yes, please identify the team members and the projects, provide an explanation of the circumstances, and provide owner contact information including telephone numbers and e-mail addresses.

6. Has the firm or any affiliate* been found, adjudicated or determined by any federal or state court or agency (including, but not limited to, the Equal Employment Opportunity Commission, the Office of Federal Contract Compliance Programs and any applicable Indiana governmental agency) to have violated any laws or Executive Orders relating to employment discrimination or affirmative action within the past ten years (measured from the date of issuance of this RFQ), including but not limited to Title VII of the Civil Rights Act of 1964, as amended (42 U.S.C. Sections 2000 *et seq.*); the Equal Pay Act (29 U.S.C. Section 206(d)); and any applicable or similar Indiana law?

Yes No

If yes, please explain:

7. Has the firm or any affiliate* been found, adjudicated, or determined by any state court, state administrative agency, including, but not limited to, the Indiana Department of Labor, federal court or federal agency, to have violated or failed to comply with any law or regulation of the United States or any state within the past ten years (measured from the date of issuance of this RFQ) governing any of common construction wages, (prevailing wages) (including but not limited to payment for health and welfare, pension, vacation, travel time, subsistence, apprenticeship or other training, or other fringe benefits) or overtime compensation?

Yes No

If yes, please explain:

8. With respect to each of Questions 1-7 above, if not previously answered or included in a prior response on this form, is any proceeding, claim, matter, suit, indictment, etc. currently pending against the firm that could result in the firm being found liable, guilty or in violation of the matters referenced in Questions 1-7 above and/or subject to debarment, suspension, removal or disqualification by the federal government, any state or local government, or any foreign governmental entity?

Yes No

If yes, please explain and provide the information requested as to such similar items set forth in Questions 1-7 above.

9. Has there been any instance where the firm or any affiliate*, or its owners, officers, or managing employees submitted a bid on a public works project and were found to be nonresponsive or were found by an awarding body not to be a responsible bidder?

Yes No

If yes, please explain:

10. Has there been any settled adverse claim, dispute or lawsuit between the owner of a public works project and the firm or any affiliate* during the last five years in which the claim, settlement or judgment exceeded fifty thousand dollars (\$50,000)?

Yes No

If yes, please explain:

11. In the past five years has the firm or any affiliate* had liquidated damages assessed against it during or after completion of a contract?

Yes No

If yes, please explain:

12. Has a surety for the firm or any affiliate* completed a contract on the entity's behalf or paid for completion because the entity was in default or terminated by the project owner within the last 5 years?

Yes No

If yes, please explain:

13. In the past five years, has the firm or any affiliate* had any license, credential, or registration revoked or suspended?

Yes No

If yes, please provide specific details including date(s), reason(s), for revocation or suspension, whether same was reinstated, and any conditions thereto:

* The term "affiliate" has the meaning set forth in Part B, Section 2.7.2 of the RFQ.

Under penalty of perjury, I certify that the foregoing is true and correct, and that I am the firm's Official Representative:

By: _____

Print Name: _____

Title: _____

Date: _____

[Please make additional copies of this form as needed for each entity required to complete this form.]

FORM D
ENTITIES PREQUALIFIED BY INDOT FOR SPECIFIC WORK TYPES

Work Type	Prequalified Entity
A(a) Concrete Pavement – General	
D(b) Highway or Railroad Bridges over Highway	
8.2 Complex Roadway Design	
9.2 Level 2 Bridge Design	

**FORM E
PROJECT INFORMATION**

Entity Involved (e.g., Proposer, Equity Member, Major Participant or affiliate, Project Name and Contract Number) (1)	Owner Information (2)	Project Description	Dates Work Performed	Construction Value: Original Contract Price and Final Contract Price	Project Role, Description and Amount of Work Performed (3)	Project Outcome or Current Status (4)

Notes:

- (1) If the specific entity that undertook the identified project is not the Proposer, Equity Member or Major Participant, as applicable, but rather an “affiliate” of such entity, please expressly indicate and identify the entity and its relationship to Proposer, Equity Member or Major Participant, as applicable. At INDOT’s sole discretion, such entity may be required to be a Financially Responsible Party and provide a guaranty of Design-Build Contractor under the PPA.
- (2) For owner information, provide owner’s name, address, contact name and current e-mail address and phone number.
- (3) Describe the work and state the percent or dollar value of the (a) design and construction work the entity performed/was

responsible for (if the entity is a design-builder); (b) the construction work performed/was responsible for (if a Design-Build Contractor); or (c) the design work performed (if the entity is a designer). For example, a member of a JV with a 30% stake in a \$200 million project would insert 30% or \$60 million; an engineer that performed \$10 million worth of work on a \$100 million project would insert 10% or \$10million.

- (4) Identify and describe any increases in the original contract amount of the greater of \$500,000 or 5% of the original contract amount and any time extensions for completion or other deadlines/milestones and the reasons for such increases and/or time extensions. If none, indicate "none".

For design firms, projects or contracts listed that were traditional design-bid-build consultant/engineering services contracts, as opposed to, for example, design-build contracts, the information provided shall be limited only to the consultant/engineer services contract, rather than any ensuing construction contract where such entity had limited or no involvement.

For construction firms, for project or contracts listed using the traditional design-bid-build delivery method, the information provided shall be limited only to the construction contract rather than any design contract where such entity had limited or no involvement.

This form must be submitted for each project identified in Part B, Section 2.5 and may not exceed one page per project and 8 pages in the aggregate. This separate "Notes" page shall not be counted towards the 8 pages in the aggregate.

FORM F

CURRENT CONTRACTUAL OBLIGATIONS

Entries on this sheet shall include all construction work under contract or verbal performance agreement or pending award to the contractor signing, whether as principal or as subcontractor.

(Attach additional sheets as needed for each section)

LIST OF ALL UNEARNED WORK NOW UNDER CONTRACT WITH ANY OWNER, CONTRACTOR OR OTHER PARTY		
Contract Number	Contract Owner	Value of Unearned Work
Total of all Unearned Work Sublet		
\$ _____		

**LIST ALL UNEARNED WORK SUBLET AND APPROVED TO SUBCONTRACTORS ON
INDOT CONTRACTS**

Contract Number	Subcontractor	Work Type(s)	Value of Unearned Work
<p align="center">Total of all Unearned Work Sublet</p> <p>\$ _____</p>			

LIST ALL UNEARNED WORK NOW UNDER CONTRACT WITH ANY OWNER, CONTRACTOR, OR OTHER PARTY IN THE PREQUALIFICATION WORK TYPE(S) ASSIGNED TO THIS CONTRACT AND USED FOR BIDDING CAPACITY BY THE PROPOSER

Contract Number	Contract Entered Into With	Work Type(s)	Value of Unearned Work

Total of Unearned Work by Work Type(s)

\$ _____

**LIST THE TOTAL OF ALL UNEARNED WORK SUBLET AND APPROVED TO
SUBCONTRACTORS ON INDOT CONTRACTS IN THE PREQUALIFICATION WORK
TYPE(S) ASSIGNED TO THIS CONTRACT AND USED FOR BIDDING CAPACITY BY
THE PROPOSER**

Contract Number	Subcontractor	Work Type(s)	Value of Unearned Work

Total of all Unearned Work Sublet by Work Type(s) \$-

LIST ALL LOW BIDS SUBMITTED, OPENED, AND PENDING AWARD WITH AN OWNER OR OTHER PARTY

Contract Number	Subcontractor	Work Type(s)	Value of Unearned Work

(This Item Does Not Affect Bidding Capacity) Total of Bids Pending Award
\$ _____

I hereby certify that to the best of my knowledge and belief, the above tabulations are true and complete and that my latest financial statement on file with the Indiana Department of Transportation continues to represent fairly and substantially my financial position as of this date.

Proposer _____ (Printed OR Typed)

Signature _____ Title _____

Date _____

**EXHIBIT A
SOQ SUBMITTAL OUTLINE**

SOQ Component	Form (if any)	RFQ Section Cross-Reference
VOLUME 1 – <i>Submit 1 original and 5 copies of Volume 1</i>		
1. General		
(a) Transmittal Letter	Form A	Part B, General, (a)
(b) Executive Summary (not to exceed 5 pages)	--	Part B, General, (b)
(c) Confidential Contents Index	--	Part B, General, (c)
2. Proposer and Team Structure and Experience		
(a) Proposer	--	Part B, Section 2.1
(b) Equity Members	--	Part B, Section 2.2
(c) Major Participants and Other Team Members	--	Part B, Section 2.3
(d) Proposer and Team Structure	--	Part B, Section 2.4
(e) Relevant Experience	Form E	Part B, Section 2.5
(f) Form B-1, Organizational Charts and Key Personnel Resume's	Form B-1	Part B, Section 2.6
(g) Legal Information		
(i) Legal Issues	--	Part B, Section 2.7.1

SOQ Component	Form (if any)	RFQ Section Cross-Reference
(ii) Legal Liabilities	--	Part B, Section 2.7.2
(iii) Legal Proceedings	--	Part B, Section 2.7.3
3. Approach to Project	--	Part B, Section 3
4. Additional Materials		
(a) Information Regarding Proposer and Major Participants	Form B-2 and Form C	Part B, Section 4.1
(b) Surety Letter	--	Part B, Section 4.2
(c) INDOT Certificate of Qualification Materials	--	Part B, Section 4.3
(d) Entities Prequalified by INDOT for Specific Work Types	Form D	Part B, Section 4.4
(e) INDOT Form CR-3 (adapted)	Form F	Part B, Section 4.5