



TENNESSEE DEPARTMENT OF TRANSPORTATION

Design-Build

Request for Qualifications

Interstate 40

Truck Parking and Bridges Replacement over the Caney Fork River

Smith County, Tennessee

Project Identification Number (PIN): **131552.01**

State Project Number: **80I040-F0-009, 80I040-F1-009, 80I040-S1-006, 80I040-F2-009, 80I040-F1-009**

Federal Project Number: **NH-I-40-5(161)**

DB Contract# **DB2502**

April 2025

This page intentionally left blank.

Table of Contents

1	Project and Procurement Information.....	1
1.1	Project Description	1
1.2	Project Goals	2
1.3	Project Coordination.....	2
1.4	Project Design Data and Standards	3
1.5	Required Availability or Changes of Key Individuals or the Proposer's Organization	3
1.5.1	Changes to Key Individuals	3
1.5.2	Changes to the Proposer's Organization	3
1.6	Nondiscrimination in Contracting/EEO Requirements	4
1.7	Disadvantaged Business Enterprise (DBE) Program Requirements.....	4
1.8	Organizational Conflicts and Ineligible Firms.....	4
1.9	Prohibited Communications and Contingency Fee	5
1.10	Prequalification and Licenses.....	6
1.11	Performance and Payment Bonds.....	7
1.12	Required Percentage of Construction Work	7
1.13	Cost of SOQ Preparation and Stipend.....	7
1.14	Disposition of SOQs.....	7
2	Statement of Qualifications (SOQ) Submittal Instructions	8
2.1	Key Events Schedule	8
2.2	Mandatory Pre-SOQ Meeting.....	8
2.3	Questions and Changes to the RFQ	9
2.4	Submission and Format Requirements	9
2.5	SOQ Package Content Requirements.....	10
2.5.1	Introductory Letter/Statement of Interest (SOI) (Volume I)	10
2.5.2	Mandatory SOI Attachments (Volume I).....	10
2.5.3	Statement of Qualifications (SOQ) Content (Volume II)	12
2.5.4	SOQ Attachments (Volume II)	14
3	Evaluation Criteria and Shortlisting	15
3.1	Evaluation Criteria for Shortlisting	15

3.2 Shortlist Determination..... 16

3.3 Shortlist Notification 16

4 Procurement Process: Next Steps 17

4.1 Request for Proposal Structure 17

4.2 Request for Proposal Content..... 17

1 PROJECT AND PROCUREMENT INFORMATION

The Tennessee Department of Transportation (TDOT) is procuring a design-build contractor (design-builder) for **Smith County Rest Area** (the Project), following the processes and practices detailed in the following Request for Qualifications (RFQ) and TDOT's *Design-Build (DB) Procurement Best Practices* document. A design-builder proposer interested in submitting a statement of qualifications (SOQ) to TDOT is requested to submit one package in response to this RFQ.

TDOT is using a two-phase procurement process to select a design-builder to deliver the Project. This RFQ is issued as part of the first phase to solicit information with a proposing team's SOQ package. TDOT is to evaluate each submittal to determine which design-builder proposers are the most qualified to successfully deliver the Project, shortlisting the most qualified design-builders. Because it is not TDOT's intent to receive and review project-specific design or engineering recommendations at this step in the process, a design-builder proposer should limit its submittals to the information required by this RFQ.

In the second phase of the procurement, TDOT will issue a Request for Proposals ("RFP") to the shortlisted Design-Builders. Only the shortlisted proposers/design-builders will be eligible to submit proposals for the Project. TDOT intends to award a design-build contract to the selected design-builder as described in the forthcoming RFP.

Design-Builders or joint ventures interested in proposing on this Project are referred to as the "Proposer" or "Proposers" throughout the RFQ.

Additionally, the term "Major Participant" is used throughout to mean any of the following entities:

1. All general partners or joint venture members of the Proposer/design-builder,
2. Each member of the Proposer's organization with primary responsibility for construction,
3. Each member of the Proposer's organization with a proposed subcontract greater than or equal to \$13 million (excluding subcontracts with suppliers),
4. The lead engineering/design firm(s), and
5. Each subconsultant responsible for performing more than thirty percent (30%) of the design value.

Within the SOQ, the Proposer must list and certify estimated percentages of each Major Participant.

1.1 Project Description

The Project includes upgrading the acceleration and deceleration ramps to meet current national standards and the construction of approximately 125 additional truck parking spaces to the Smith County Welcome Center. The Project will also include the replacement of the adjacent twin bridges (80I004000035 and 80I004000036) on I-40 over the Caney Fork River. The proposed roadway on each bridge shall accommodate three through lanes and shoulders with a design speed of 70 mph while increasing the vertical clearance to meet current standards. The existing bridges are approximately 320 feet long with a roadway width of 42 feet.

Project Construction Funding: The funding source for the construction contract is State and Federal funding.

Environmental Clearance Status: The environmental technical studies are nearing completion. The Archaeological investigation has completed determining site locations (Stage 1), and the effects determination (Stage 2) is underway. The Project is anticipated to be a D-List Categorical Exclusion with an anticipated decision document completion date of summer 2025.

It is important to note that, at this time, the proposed Project remains in the environmental review and permitting process. Final environmental approvals and related requirements have not yet been clearly identified and 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 address changes required by applicable environmental approvals, or that a different alternative or 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 on-going environmental review and permitting for this Project or other projects within or around the Project area or commit TDOT 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.

1.2 Project Goals

The Project is intended to achieve the following goals:

1. Provide a design and construction approach that minimizes inconvenience to the traveling public
2. Minimize project delivery timeframes through streamlining the design and construction process to obtain final project acceptance no later than June 30, 2029.
3. Optimize cost efficiency through design and construction innovation to complete the Project within the allocated budget.

1.3 Project Coordination

The Regional Alternative Delivery Manager is TDOT's primary point of contact for this Project and the person to whom all communication and correspondence are to be directed during the procurement process:

Miller Bernhardt
miller.bernhardt@tn.gov
6638 Centennial Blvd
Nashville, TN 37243
Phone: 615-840-3954

If awarded the contract, the design-builder is expected to partner with the following:

1. TDOT Project Management Team
2. TDOT Specialty Groups: Structures, Roadway, Traffic, Environmental, Maintenance, and Multimodal.
3. Stakeholder/Stakeholder Groups:
 - a) Federal Highway Administration (FHWA)
 - b) Smith and Putnam County
 - c) Area Emergency Service Providers and Tennessee Highway Patrol
 - d) Tennessee Department of Environment and Conservation (TDEC)
 - e) United States Army Corps of Engineers (USACE)
 - f) Local hospitals, businesses, and commercial developments
 - g) Impacted utilities
 - h) Regulatory stakeholders

1.4 Project Design Data and Standards

All related work is to conform to all applicable state and federal regulations and recognized industry, safety, environmental, and design standards. TDOT projects are to generally conform with TDOT and FHWA design criteria. The TDOT Project Manager is to resolve, in his/her discretion, any perceived conflicts in criteria or standards.

The design-builder is to obtain and apply all currently adopted references, including TDOT standards and specifications, manuals, and software, as directed by the TDOT Project Manager.

The design-builder is to select materials and methods specified for construction to minimize the initial construction cost and long-term maintenance cost to the State of Tennessee. Non-typical construction materials and methods must be approved in writing by TDOT as defined in the forthcoming RFP.

For all innovative or alternative materials or equipment proposed, the design-builder must verify, submit, and obtain approval for any new or innovative materials or equipment proposed during the Project's design and construction phases.

1.5 Required Availability or Changes of Key Individuals or the Proposer's Organization

1.5.1 Changes to Key Individuals

By listing "Key Individuals" in the SOQ, the Proposer agrees to make the listed personnel available to complete the work, at whatever level and capacity the Project requires. As further described in the forthcoming RFP, the Proposer's Key Individuals as identified in the SOQ must remain intact for the duration of the procurement (i.e., until execution of the contract).

Modifications to the Proposer's Key Individuals and other personnel listed in the SOQ must be requested in writing and are subject to TDOT's approval.

TDOT will not approve requests for modification without justification. Examples of justification could include death of a team member, changes in employment status, bankruptcy, inability to perform, or organizational conflict of interest. Additionally, the written request must document that the proposed removal, replacement, or addition is equal to or better than the Key Personnel/Individual provided in the SOQ.

To secure TDOT's approval prior to release of the RFP or the award of the noted contract, the design-builder is to provide a written request to TDOT's primary point of contact that includes:

1. The nature and reason for the desired change, and
2. A statement of how the change is to meet the required qualifications for the position/responsibility.

In its discretion, TDOT will use the criteria specified in this RFQ and the qualification submitted by the Proposer in the SOQ to evaluate all requests.

1.5.2 Changes to the Proposer's Organization

By listing "Major Participants" in the SOQ, the Proposer agrees to make the listed team members available to complete the work, at whatever level and capacity the Project requires. As further described in the forthcoming RFP, the Proposer's organization as identified in the SOQ must remain intact for the duration of the procurement (i.e., until execution of the contract).

Modifications to the Proposer's organization/team listed in the SOQ must be requested in writing and are subject to TDOT's approval.

If a Proposer wishes to make changes in the ownership of Proposer or Major Participants identified in its SOQ, including additions, deletions, reorganizations, changes in equity ownership interests, and/or role changes in or of any of the foregoing, the Proposer shall submit to TDOT's primary point of contact a written request for approval of the change. If a request is submitted, the Proposer shall provide such additional information as may be required by TDOT (including a consent to assignment) that demonstrates that the modified organization meets the RFQ and RFP criteria.

In its discretion, TDOT will use the criteria specified in this RFQ, RFP, and the qualifications submitted by the Proposer in the SOQ to evaluate all requests.

1.6 Nondiscrimination in Contracting/EEO Requirements

The design-builder is required to follow Federal Equal Employment Opportunity (EEO) policies.

The Proposer/design-builder agrees that no person is to be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of any contract or in the employment practices of the Proposer/design-builder on the grounds of handicap or disability, age, race, color, religion, sex, national origin, or any other classification protected by federal or Tennessee constitutional or statutory law.

The Proposer/design-builder is to, upon request, show proof of such nondiscrimination and post in conspicuous places, available to all employees and applicants, all notices of nondiscrimination.

1.7 Disadvantaged Business Enterprise (DBE) Program Requirements

TDOT has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation, 49 CFR Part 26. It is the policy of TDOT that DBEs, as defined in 49 CFR Part 26, and other small businesses are able to compete fairly in contracts financed in whole or in part with public funds.

TDOT's updated directory of DBEs can be viewed at the following website:

<http://www.tn.gov/tdot/topic/small-business>

Consistent with this policy, TDOT does not allow any person or business to be excluded from participation in, denied the benefits of, or otherwise be discriminated against in connection with the award and performance of any federal-aid contract because of sex, race, religion, or national origin.

In this regard, the Proposer is to take all necessary and reasonable steps (in accordance with 49 CFR Part 26) to ensure that DBEs have the maximum opportunity to compete for and perform the contract.

The assigned DBE goal is to be provided in the RFP, and a commitment to meet the contract goal or a good faith effort to do so is to be a condition of award for a contract.

1.8 Organizational Conflicts and Ineligible Firms

TDOT Rule 1680-05-04-.07(5) requires the RFQ (or the RFP in a single-phase procurement) to address Proposers' potential organizational conflicts of interest. As defined in TDOT Rule 1680-05-04-.02(19), "organizational conflict of interest" means that because of other activities or relationships with other persons or entities, a Proposer is unable or potentially unable to render impartial assistance or advice to TDOT, or the Proposer's objectivity in performing the contract work is or might be otherwise impaired, or the Proposer has an unfair competitive advantage. As a general rule, no person or firm that has assisted TDOT in preparing the RFQ or RFP will be allowed to participate as a Proposer or in any capacity on a Proposer's team; provided, however, TDOT may determine that there is not an organizational conflict of interest where

(i) the role of a person or firm was limited to the provision of preliminary design, reports, or similar “low level” documents that may be incorporated into the RFP but did not include assistance in the development of instructions to design-builders or evaluation criteria; or (ii) all documents and reports delivered to TDOT by the person or firm are made available to all potential design-builders.

Further, if a person or firm has participated in preparing the NEPA or TEER document for the Project, such person or firm shall not be allowed to respond to the RFQ or RFP for the Project if (i) the NEPA or TEER document for the Project is not complete prior to the date on which the RFQ or RFP has been advertised; or (ii) the person or firm has any continuing decision-making responsibilities with respect to the NEPA or TEER process for the Project after the date on which the RFQ or RFP has been advertised.

As such, the Proposer is prohibited from teaming with, receiving any advice from, 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:

1. HMB Professional Engineers, LLC, Horrocks, LLC, DRMP, Inc., Civil & Environmental Consultants, Inc., UES, LLC and
2. Affiliates (including parent companies, subsidiary companies, Persons under common ownership, JV members and partners, and other financially liable parties for a Person) of any of the above.

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

The Proposer is to provide information concerning organizational conflicts of interest and disclose all relevant facts concerning any past, present, or currently planned interests that may present an organizational conflict of interest, as further detailed in Section 2.5.2 below.

The Proposer is to 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 Individuals thereof, may result in, or could be viewed as, an organizational conflict of interest.

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

Proposers are also advised that the TDOT's guidelines in this RFQ are intended to augment applicable federal and state law, including federal organizational conflict of interest laws and rules, TDOT Rule 1680-05-04-.07(5), and the laws and rules relating to the National Environmental Policy Act. Such applicable law also applies to Proposer teams and teaming and may preclude certain firms and their entities from participating on a Proposer team.

1.9 Prohibited Communications and Contingency Fee

Commencing with the issuance of this RFQ and continuing until the earliest of (i) award and execution of a contract, (ii) rejection of all SOQs or Proposals by TDOT, or (iii) cancellation of the procurement, no Proposer or representative thereof is to have any communications regarding the RFQ, the forthcoming RFP or contract, or the procurement process described herein with:

1. Any employee of TDOT, including members of the Selection Committee;
2. FHWA, United States Army Corps of Engineers (USACE), TDEC, Smith County, local utility companies; and
3. Any TDOT advisors, contractors, or consultants involved with the procurement, including those referenced in Section 1.8, except for communications expressly permitted by the RFP, or except as approved in writing in advance by TDOT, in its sole discretion.

The foregoing restriction is to not, however, preclude or restrict communications regarding matters unrelated to the RFQ, the forthcoming RFP or contract, or the procurement process, as directed solely to TDOT's primary point of contact listed in Section 1.3, or to limit participation in public meetings or any public or Proposer meeting related to the RFQ or RFP.

Any Proposer engaging in such prohibited communications may be disqualified at the sole discretion of TDOT, and any Proposer's failure to comply with this prohibition is to render it ineligible for shortlisting under this RFQ or selection under the RFP.

Additionally, any person, firm, or entity submitting an SOQ or Proposal and competing for a design-build contract is also prohibited from offering or paying a contingency fee of any type that is directly tied to specific actions or work designed to help the Proposer obtain a contract through this procurement process.

1.10 Prequalification and Licenses

Each Proposer, including any Proposer submitting as a joint venture, must be prequalified with the Construction Division as provided in TDOT Rule 1680-05-03, Prequalification of Contractors. The list of prequalified contractors may be found at: [Contractor Prequalification - Construction Division - TDOT - TN.gov](#).

Any person, firm, or entity intending to submit an SOQ that is not currently prequalified must submit an application for prequalification, including the required "Prequalification Questionnaire," as noted below.

1. Proposers that wish to submit an SOQ must be listed as prequalified by the Construction Division at [Contractor Prequalification - Construction Division - TDOT - TN.gov](#) by seven (7) calendar days prior to the SOQ due date.
2. Any Major Participant seeking to be approved under this RFQ solicitation must also be qualified within the respective discipline or service type either by the Professional Services Division ([Consultant Information \(tn.gov\)](#)) or the Construction Division for each branch office participating on this Project by 4:00 PM, local time, on the SOQ due date.

A Tennessee contractor's license is required prior to the execution of a design-build contract.

TDOT requires all contractors and subcontractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships to be in good standing with the Secretary of State. This includes being duly incorporated, authorized to transact business, and in compliance with other requirements as detailed by the Secretary of State. Proposers should contact the Secretary of State with have any questions at (615) 741-2286 or visit: <https://sos.tn.gov/businesses>

TDOT does not execute any contracts or approve subcontracts with contractors that are domestic or foreign Corporations, Limited Liability Companies, Limited Partnerships, or Limited Liability Partnerships who are not in good standing with the Secretary of State (i.e., have a valid Certificate of Existence/Authorization).

1.11 Performance and Payment Bonds

The Proposer is to provide a letter from a surety company indicating that the Proposer is capable of obtaining Payment and Performance Bonds covering the Project's preliminary estimate range of **\$75,000,000**.

The surety submitting the letter must be a surety company or companies licensed by the State of Tennessee, as listed by the Tennessee Department of Commerce and Insurance authorized to do business in Tennessee and who is also listed in the current United States Department of the Treasury's "Listing and Approved Sureties" (Circular 570). The surety must be listed or approved to write a bond in an amount equal to or greater than the amount listed above. Letters indicating "unlimited" bonding/security capability are not acceptable.

Approved performance and payment bonds are required at the time of contract execution. The final value of the bonds is to be equal to the amount of the Proposer's price proposal.

The RFP is to include additional bonding, insurance, and indemnification provisions.

1.12 Required Percentage of Construction Work

The design-builder must self-perform work valued at not less than 30% of the total work, excluding specialty items.

1.13 Cost of SOQ Preparation and Stipend

No stipends are paid for submitting SOQ packages. TDOT does not reimburse a Proposer for any costs related to its SOQ, required documentation, presentations, discussions, or any other related activities. These costs are the sole responsibility of the Proposer.

As further detailed in the RFP, TDOT plans to provide a stipend to each shortlisted Proposer that provides a responsive, but unsuccessful Proposal.

1.14 Disposition of SOQs

SOQs become the property of TDOT and are disposed of according to TDOT policies. SOQs are treated as confidential documents until TDOT awards the contract.

TDOT reserves the right, in its sole discretion, to cancel this RFQ, issue a new RFQ, or reject any or all SOQs. This RFQ does not commit TDOT to enter into a design-build contract or proceed with the procurement of the Project.

2 STATEMENT OF QUALIFICATIONS (SOQ) SUBMITTAL INSTRUCTIONS

All Proposers are required to meet the SOQ submittal requirements identified in Section 2.1 below. Failure to meet these deadlines may result in the SOQ being considered non-responsive and rejected. TDOT retains the right to waive any minor irregularity or modify any requirement should it be judged to be in the best interest of TDOT.

2.1 Key Events Schedule

The table below identifies the schedule for key events, including SOQ submittal requirements, for this RFQ process. TDOT reserves the right to revise this schedule upon providing public notice in writing or by addendum to the RFQ.

Event	Date
Release of the RFQ	April 14, 2025
Mandatory Pre-SOQ Meeting	April 25, 2025, 10:00 a.m. – 12:00 p.m. Central Time
Last Submission of Questions/Requested Clarifications	May 2, 2025
Final RFQ Addendum	May 9, 2025
SOQ Submittal Due Date	May 29, 2025, 4:00 p.m. Central Time
Shortlist Notification	June 26, 2025

After shortlisting, the Project's anticipated schedule includes the following major milestones.

Event	Date
Release of the RFP	July 31, 2025
Technical Proposal due date	October 15, 2025
Price Proposal due date	November 5, 2025
Evaluation and selection of preferred Proposer	November 12, 2025
Award of design-build contract	November 19, 2025
Notice to Proceed	December 31, 2025
Design and construction phase	June 30, 2029

2.2 Mandatory Pre-SOQ Meeting

A mandatory pre-SOQ meeting is to be held at 6601 Centennial Boulevard, Nashville, TN, 37243 in the building-A auditorium at the date and time listed in Section 2.1.

This meeting introduces all potential Proposers to the design-build contract delivery method, provides an overall Project introduction, and enables the potential Proposers to ask and TDOT to answer questions about the Project, the procurement process, or design-build delivery method.

The TDOT Project Management Team, including the TDOT Project Manager, plans to be present at this meeting. Failure of a Proposer to attend the meeting will result in elimination of that Proposer from consideration, and TDOT will reject any SOQ submitted by that Proposer.

TDOT plans to respond, orally or in writing, to all Proposer's questions raised at the meeting. In the event TDOT determines that formal answers or a change to the RFQ is needed, TDOT will issue formal written clarifications or addenda in accordance with the terms of this RFQ.

2.3 Questions and Changes to the RFQ

TDOT reserves the right to make changes to the RFQ at any time and for any reason, and all changes to the RFQ prior to the receipt of SOQs is to be made by an addendum to the RFQ, which is to be available to all Proposers on the TDOT webpage. Following submission and receipt of the SOQs, TDOT is to convey/communicate any changes to the procurement process in writing to those responsive Proposers determined to have met the qualifications and organizational conflict of interest requirements described in this RFQ.

Proposers may submit questions, request clarification, or request a change to the RFQ by submitting a written request on Form D (available on the TDOT Alternative Delivery website) to miller.bernhardt@tn.gov. When doing so, the Proposer is to reference the Project name and DB Contract # (the four-digit number on the RFQ cover page) in the subject line. The request is to specify the provision and section of the RFQ in question, and, if a change is requested, contain an explanation for the requested change. TDOT will not respond to questions or change requests received later than the date of last submission of questions/requested clarifications listed in Section 2.1.

TDOT may post for all Proposers any answers to questions TDOT determines (without any Proposer identification). TDOT evaluates any questions or requests submitted, and reserves the right to determine whether to respond, reject, or accept the requested change.

Proposers are not to rely on oral or informal written responses regarding this RFQ, unless issued in writing as an addendum by TDOT.

2.4 Submission and Format Requirements

To submit a complete SOQ package, a Proposer must submit an electronic copy (in searchable PDF format with bookmarks) of its SOQ to miller.bernhardt@tn.gov. If the file(s) are over 20MB in size collectively, the Proposer is to send a file transfer link to the listed email address. The submittal of an SOQ and related materials must be sent prior to the time and date for the SOQ submittal due date listed in Section 2.1. A Proposer may only submit one SOQ in response to this RFQ.

The SOQ must adhere to the following naming convention:

- For the Volume I PDF (Introductory Letter/SOI and Mandatory Attachments): Enter proposer name_DB#_Enter Project Name_SOQ Volume I
- For the Volume II PDF (SOQ and SOQ Attachments): Enter proposer name_DB#_Enter Project Name_SOQ Volume II

All narrative sections in the SOQ are to be Arial font with a minimum font size of 11-points. The Proposer may use smaller font sizes for charts, diagrams, graphs, and tables.

Where page limits are required, each 8.5" by 11" page counts as one (1) page towards any assigned page limits; each 11" by 17" page counts as two (2) pages towards any assigned page limits.

2.5 SOQ Package Content Requirements

A Proposer is to include the following in its SOQ response to this RFQ in both a Volume I (see Section 2.5.1 and 2.5.2) and Volume II (see Section 2.5.3 and 2.5.4). Each volume is to include a cover/title page.

2.5.1 Introductory Letter/Statement of Interest (SOI) (Volume I)

A Proposer is to address its Letter/Statement of Interest (SOI) to the addressee and address listed in Section 1.3.

The Proposer's SOI is not to exceed one (1) page in length and is to include:

- The Project name and DB Contract # (the four-digit number on the RFP cover page);
- A brief overview of the Proposer's interest in the Project;
- Statement that the Proposer is pre-qualified with TDOT, with the Proposer's pre-qualification expiration date, or that the Proposer has filed an application for pre-qualification with the TDOT Construction and Design Divisions in accordance with the timing listed in Section 1.10;
- A confirmation statement of the commitment for Key Individuals and Major Participants identified in the submittal to the extent necessary to meet TDOT's quality and schedule expectations;
- Certification that the information and data submitted in the letter and the related attachments are true and complete to the best knowledge of the individual signing the letter; and
- Name, telephone number, and email address of the individual to contact regarding the SOQ submittal (i.e., the Proposer's single point of contact) and the name telephone number, and email address of the lead contact from the design team.

2.5.2 Mandatory SOI Attachments (Volume I)

The Proposer is to organize, label, and attach the following information immediately following its SOI. There are no page limit requirements in response to this section.

1. **Form A** that details the business name, address, business type (e.g., corporation, partnership, or joint venture), business information, and roles of the Proposer and each Major Participant.
 - a) Authorized representatives of the Proposer's organization must sign Form A.
 - b) If the Proposer is a joint venture, all joint venture members must sign Form A.
 - c) Each joint venture member must certify the truth and correctness of the contents of the SOQ.
2. A copy of the **prequalification listing** showing all the firms required by Section 1.10.
3. **Form B** that acknowledges receipt of all clarifications and addenda received by number and date.
4. **Legal structure:**
 - a) if the Proposer's organization has already been formed to include complete copies of the organizational documents that allow, or would allow by the time of contract award, the Proposer/Design-Builder and Major Participants to conduct business in the State of Tennessee.
 - b) If the Design-Builder organization has not yet been formed, the Proposer is to provide a brief description of the proposed legal structure or draft copies of the underlying agreements.
5. **Identification of any organizational conflicts of interests** required per TDOT Rule 1680-05-04-.07(5) that discloses the following:

- a) The Proposer must identify all relevant facts relating to past, present, or planned interest(s) of the Proposer (including the Major Participants, proposed Proposer members, and their respective chief executives, directors, and Key Personnel/Individual of the Project) that may result in, or could be viewed as, an organizational conflict of interest in connection with this RFQ.
 - i) This includes preparation of TDOT reports, surveys, preliminary plans and similar low-level documents that may be incorporated into the RFQ.
 - ii) All documents and reports must be identified and assurances made that the information was delivered to a TDOT representative and to whom.
- b) The Proposer, including any person or firm participating in the Proposer's team, must disclose:
 - i) Any current contractual relationships with TDOT, including identification of the TDOT contract number and project manager);
 - ii) Present or planned contractual or employment relationships with any current TDOT employee;
 - iii) Current relationships between members of the Proposer's team on any other TDOT project, including identification of the TDOT contract number and project manager; and
 - iv) Any other circumstances that might be considered to create a financial interest in the contract for the Project by any current TDOT employee if the Proposer is awarded the contract.

The Design-Builder must also disclose any current contractual relationships where the Proposer is a joint venture.

The foregoing is provided as a minimum requirement and shall not constitute a limitation on the disclosure obligations.

- c) For any fact, relationship, or circumstance disclosed in response to this Section, the Proposer must identify steps that have been or will be taken to avoid, neutralize, or mitigate any organizational conflicts of interest.
- d) In cases where Major Participants on different Proposers/Design-Builder organizations belong to the same parent company or are affiliated with it, each Proposer/Design-Builder must describe how the participants will avoid conflicts of interest through the qualification (RFQ) and proposal (RFP) phases of the Project.
- e) Participation by a Principal Participant or lead designer on multiple teams under this RFQ shall be deemed an organizational conflict of interest disqualifying affected Design-Builders.

At the end of this section of its SOQ, the Proposer must include the following statement and provide signature, print name, and title.

- i) The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Conflict of Interest Disclosure Statement, other than as disclosed above.*

If no conflict of interest or items of note listed in this Section 2.5.2, item 5, exist, the Proposer shall include the following statement in this section and provide signature, print name, and title.

- i) *The undersigned hereby certifies that, to the best of his or her knowledge and belief, no interest exists that is required to be disclosed in this Conflict of Interest Disclosure Statement.*
6. **Surety letter** stating that the Proposer is capable of obtaining a Performance and Payment Bond to meet the requirements and for at least the amount listed in Section 1.11.
7. Any information concerning any **bankruptcy or receivership of the Proposer**, or of any firm which is a member thereof, including information concerning any work completed by a surety.
8. Certification that the Proposer, or of any firm which is a member thereof, has **not been debarred by, defaulted from, and/or entered into any voluntary exclusion agreement** in lieu of debarment with, any federal, state, or local government agency, within the past five (5) years. Provide information concerning any suspension or temporary disqualification from bidding on any federal, state, or local government contract.
9. Certification that the Proposer, or any person or firm which is a member thereof, **has not defaulted** on a federal, state, or local government contract within the past five (5) years.

2.5.3 Statement of Qualifications (SOQ) Content (Volume II)

The SOQ must include the following sections under this Section 2.5.3, which the DBRC evaluates using the shortlisting criteria detailed in Section 3.1. This volume II of the SOQ package is to not exceed **20 pages** in total when answering the prompts in Section 2.5.3.1 through Section 2.5.3.3.

2.5.3.1 ORGANIZATION

Provide a brief description of the Proposer's project team, including:

- How the proposed Key Individuals meet the Project goals and foster a professional and collaborative team environment with TDOT and the identified stakeholders.
- A graphic organization chart, complete with working titles, for all the Proposer team members listed in Section 2.5.3.2 and the Key Individuals listed in Section 2.5.3.3 below.
- Specific responsibilities of each team member or firm, notably if the Proposer's team is a joint venture or association.

2.5.3.2 PROPOSER TEAM EXPERIENCE (PAST PERFORMANCE)

Provide relevant project descriptions on **Form C** of the Proposer's highway transportation experience in delivering projects of similar size, scope, and complexity.

The Proposer is to provide a **minimum of four (4)** and up to **ten (10) Form C** project descriptions that have been completed in the last 15 years, including at least **two (2)** highlighting the lead engineering firm and all Major Participants.

2.5.3.3 KEY INDIVIDUAL QUALIFICATIONS (CAPABILITY TO PERFORM)

Provide individual biographies for the following Key Individuals that meet the minimum qualifications listed below:

- Design-BUILDER Project Manager
- Design Manager
- Construction Manager

- Safety Manager
- Quality Manager

Each Key Individual biography is to minimally address:

- Role and responsibilities under both the design and construction phases;
- Education, licenses, and/or certifications;
- Number of years of total experience, including number of years of experience on similar projects;
- Qualifications and relevant experience, including unique knowledge of the Project;
- Commitment of time and availability for both the design and construction phases; and
- Length of time with the firm or Proposer team.

Minimum Key Individual Responsibilities and Qualifications:

The following provides Key Individual roles, brief job responsibilities, and minimum qualifications for the listed staff assigned to the Project.

1. *Design-Builder's Project Manager* shall:

- a) Be responsible for overall design, construction, quality management, and contract administration for the Project, and must be available on the construction site as necessary for the duration of the Project;
- b) Have full responsibility for the prosecution of the work and shall have authority to bind the Design-Builder on all matters relating to the Project after award;
- c) Act as agent and be a single point of contact in all matters on behalf of Design-Builder after award;
- d) Have the authority to stop all work that does not meet the standards, specification, or criteria established for the Project;
- e) Be responsible for adherence to all environmental document and permit requirements and commitments if found on the Project;
- f) Be a registered professional engineer in the State of Tennessee; and
- g) Have at least seven (7) years of experience managing on projects of similar scope and size.

2. *Design Manager* shall:

- a) Be responsible for ensuring that the overall Project design is completed and design criteria requirements are met;
- b) Work under the direct supervision of the Design-Builder's Project Manager;
- c) Must not be assigned any other duties or responsibilities on the Project, and must be available whenever major design activities are being performed;
- d) Be a registered professional engineer in the State of Tennessee; and
- e) Have at least seven (7) years of recent experience in managing the design phase on projects of similar scope and size.

3. *Construction Manager* shall:
 - a) Be on-site whenever any construction activities are being performed;
 - b) Be responsible to manage the Design-Builder's workmanship inspections, implement quality planning, and oversee the Design-Builder's construction quality control;
 - c) Not be assigned any other duties or responsibilities on the Project; and
 - d) Have at least seven (7) years of recent experience managing the construction phase on projects of similar scope and size.
4. *Safety Manager* shall:
 - a) Be on-site whenever any construction activities are being performed;
 - b) Be responsible for overseeing all safety procedures and protocols for the Design-Builder and related subcontractor's work;
 - c) Not be assigned any other duties or responsibilities on the Project; and
 - d) Have at least five (5) years of recent experience overseeing safety on projects of similar scope and size.
5. *Quality Manager* shall:
 - a) Be responsible for managing the Design-Builder's quality planning efforts and for overseeing the Design-Builder's design and construction quality control activities (including leading quality assurance efforts);
 - b) Not be assigned any other duties or responsibilities on the Project; and
 - c) Have at least five (5) years of recent experience overseeing quality for either the design or construction phases on projects of similar scope and size.

2.5.4 SOQ Attachments (Volume II)

The Proposer is to organize, label, and attach the following information immediately following the SOQ.

NOTE: The following is **not** counted as part of the page limit for a Proposer's SOQ response to the prompts requested under Section 2.5.3.

1. Include resumes and references for all listed Key Individuals in Section 2.5.3.3.
 - a) The resume for the Design-Builder's Project Manager is not to exceed two (2) pages.
 - b) The resumes for all other Key Individuals are not to not exceed one (1) page.
2. Include supplemental materials, not to exceed ten (10) pages, such as a list of awards, additional project information to supplement what is included on the **Form C** project descriptions, letters of recommendations, or additional photos or exhibits.

3 EVALUATION CRITERIA AND SHORTLISTING

The method to shortlist qualified Proposers considers the following shortlist criteria and assigned, weighted multipliers (i.e., the RFQ scoring matrix) to arrive at an aggregate (total) score and shortlist recommendation for all responsive Proposers.

Statement of Qualification (SOQ) Package	Weighting/Scoring	Section Reference/Comment
Introductory Letter/Statement of Interest (Volume I) ¹	Not scored	Section 2.5.1; 1 page maximum
Mandatory SOI Attachments (Volume I) ¹	Pass/Fail	Section 2.5.2; no page limits
SOQ (Volume II)	Maximum 100 Points	Section 2.5.3; (20-page maximum)
Organization	10 of 100 points	
Proposer Team Experience (Past Performance)	50 of 100 points	
Key Individual Qualifications (Capability to Perform)	40 of 100 points	
SOQ Attachments (Volume II) ¹	Not scored	Section 2.5.4; (Resumes + 10-page limit)

¹ No evaluation points will be assigned for this information; **however, the SOQ may be rejected as non-responsive if the required information is not attached/provided.**

3.1 Evaluation Criteria for Shortlisting

Each Design-Build Review Committee (DBRC) member individually reviews and evaluates each responsive SOQ, assigning a rating for each sub-factor listed in Section 2.5.3 according to the descriptions below.

Note: The primary focus of the evaluation is on the Proposer's qualifications compared to the listed requirements of Section 2.5.3 and how its approach meets or exceeds the project goals listed in Section 1.2.

Excellent (95 to 100 point)	The SOQ demonstrates a complete understanding of the subject and qualifications that significantly exceed the stated requirements and objectives of the scoring category. The SOQ communicates an outstanding level of quality. The Proposer's qualifications are exceptional. The SOQ shows no weaknesses or deficiencies for this scoring category.
Good (85 to 94 points)	The SOQ demonstrates a strong understanding of the subject and qualifications that generally exceed the scoring category. The SOQ communicates a high level of quality. The SOQ shows few weaknesses or deficiencies for this scoring category.
Acceptable (65 to 84 points)	The SOQ demonstrates a general understanding of the subject and qualifications show some weaknesses/deficiencies regarding the requirements and objectives. The SOQ communicates an average level of quality and meets (but does not exceed) the stated requirements of the RFQ.
Poor (below 65 points)	The SOQ has demonstrated a minimal understanding of the subject and contains numerous weaknesses and deficiencies in its qualifications. The SOQ demonstrates little or no level of quality or value. The Proposer's qualifications raise questions about the Proposer's ability to successfully meet the Project goals or deliver the Project's scope on-time and on-budget.

3.2 Shortlist Determination

The DBRC totals the scores for each responsive SOQ, average the scores, and prepares a ranked list of Proposers.

TDOT intends to shortlist at least three of the most qualified Proposers. If fewer than three (3) acceptable responses to the RFQ are received, TDOT may proceed with the RFP subject to the approval of the Chief Engineer. If more than one of the lowest ranked Proposers receives the same score, TDOT may decide, in its sole discretion, whether to shortlist those Proposers.

3.3 Shortlist Notification

Upon completion of the evaluation, scoring, and shortlisting process, TDOT publishes the shortlist on the TDOT Alternative Delivery website. TDOT's primary point of contact also sends a notification email to the two Proposer contacts identified in the Introduction Letter/SOI.

4 PROCUREMENT PROCESS: NEXT STEPS

The following section is for information only so that potential Proposers have the necessary detail to understand and prepare for the second phase of the procurement process, if the Proposer is shortlisted to advance to the Request for Proposal (RFP) stage. This section does not contain any requirements related to this RFQ or a Proposer's SOQ submittal.

TDOT reserves the right to modify any of the following for any reason and at any time, and any shortlisted Proposer must only rely on the actual RFP when and if it is issued.

4.1 Request for Proposal Structure

All shortlisted Proposers will be eligible to receive an RFP. While TDOT may make the RFP available to the public for informational purposes, only shortlisted Design-Builders will be allowed to submit a response to the RFP.

The RFP will be structured as follows:

- Book 1 (Instruction to Design-Builders)
- Book 2 (Design-Build Contract)
- Book 3 (Project Specific Information)

TDOT may share additional documents, plans, studies, or information as part of the Project's reference material for Proposer's use in better understanding the Project and preparing its Proposal. Any information to be released by TDOT is to be provided on the TDOT Alternative Delivery website.

4.2 Request for Proposal Content

At a minimum, the RFP will include the following content consistent with the requirements of T.C.A. § 54-1-119, TDOT Rule Chapter 1680-05-04, and good industry practice:

- Maximum time allowable for design and construction and requirements for developing a proposed schedule of work.
- A requirement that if the Design-Builder is a joint venture, each of the joint venture members will be jointly and severally liable for performance of the Design-Builder's obligations under the contract if awarded the Design-Build contract for the Project.
- Logistics for the Proposer preparing and TDOT reviewing any proposed alternative technical concepts (ATCs).
- Requirements for submitting a Proposer's two-part Proposal to include both a Technical Proposal and Price Proposal.
- The Technical Proposal and Price Proposal evaluation criteria and selection procedures.
- The formats and page limits for how to package the Proposal and all of the Proposal's contents.
- Identification and discussion for the following additional, second-tier Key Individuals:
 - Prequalified Utilities Design Engineering/Coordination Coordinator. **Note:** Any utility coordination firm seeking to be approved for this Project must be identified within the Proposal and be prequalified within the respective discipline or service type with the Professional Services Division ([Consultant Information \(tn.gov\)](http://www.tn.gov)) for each branch office participating on this Project prior to the Proposal due date.

- Design Lead Engineer - Structures
- Design Lead Engineer - Roadway
- Design Lead Engineer – Geotechnical
- Design lead Engineer – Hydraulics
- Erosion Prevention and Sediment Control Inspector
- Environmental Lead
- Project Scheduler

Form A
Design-Build Information

Design-Build Project: **I-40 Truck Parking Improvements and Bridge Replacements over the Caney Fork River, Smith County**

Design-Builder/Name of Company: _____

Year Established: _____ Federal Tax ID No.: _____

Name of Official Representative: _____

Contact Person: _____

Address: _____

Telephone No.: _____ Fax No.: _____

E-mail address: _____

Business Organization (check one):

☐ Corporation (If yes, indicate the State and Year of Incorporation):

☐ General Partnership

☐ Joint Venture

☐ Other (describe): _____

A. Business Address: _____

Office Performing Work: _____

Contact Telephone Number: _____

B. If the entity is a Joint Venture or General Partnership, indicate the name and role of each member company in the space below. Complete a separate Design-Build Information form for each member company and attach it to the SOQ. Also indicate the name and role of each other financially liable party and attach a separate form.

Name of Member Company	Role

UNDER PENALTY OF PERJURY, I CERTIFY THAT I AM THE COMPANY'S OFFICIAL REPRESENTATIVE AND THAT, TO THE BEST OF MY KNOWLEDGE AND BELIEF, FOLLOWING REASONABLE INQUIRY, THE FOREGOING IS TRUE AND CORRECT.

BY: _____ PRINT NAME: _____

TITLE: _____ DATE: _____

Form A
Design-Build Information

[Please make additional copies of this form as needed.]

Form B
Summary of Comparable Contracts in Past Ten (10) Years

1. Design-Builder/Company Name:	2. Name of Project: (DB2501)
3. Owner Contract No. or State Project No.:	4. Type (Check One): <input type="checkbox"/> Construction <input type="checkbox"/> Design-Build <input type="checkbox"/> Design
5. Name of Prime:	6. Company Role: (joint venture partner, subcontractor, etc.)
7. Owner (Name): _____ Address: _____ _____ Phone: _____ Contact Person: _____	8. Original Project Budget: \$ _____ Final Project Cost: \$ _____ Work Carried by Own Forces (%): _____
9. Original Project Schedule Milestones: _____ Project Completion Schedule Milestones: _____	
10. Project Description and Nature of Work Performed by Your Company:	

[Please make additional copies of this form as needed.]

Form C
Receipt of Addenda/Clarifications

Design-Build Project: **I-40 Truck Parking Improvements and Bridge Replacements over the Caney Fork River, Smith County**

Design-Builder's Name: _____

The undersigned acknowledges receipt of the addenda to the RFQ as indicated below.

ADDENDA

Addendum/Clarification No.	_____	Dated	_____
Addendum/Clarification No.	_____	Dated	_____
Addendum/Clarification No.	_____	Dated	_____
Addendum/Clarification No.	_____	Dated	_____
Addendum/Clarification No.	_____	Dated	_____

FAILURE TO ACKNOWLEDGE RECEIPT OF ALL ADDENDA MAY CAUSE THE SOQ PACKAGE TO BE CONSIDERED NON-RESPONSIVE TO THE SOLICITATION. ACKNOWLEDGED RECEIPT OF EACH ADDENDUM MUST BE CLEARLY ESTABLISHED AND INCLUDED WITH RESPONSE TO THIS RFQ.

BY: _____ PRINT NAME: _____

TITLE: _____ DATE: _____

Form D
Design-Builder Question Request

Design-Build Project: I-40 Truck Parking Improvements and Bridge Replacements over the Caney Fork River, Smith County

Contract: DB2502

RFQ Section No.	Question	Reserved for Agency Response

Form D
Design-Builder Question Request

RFQ Section No.	Question	Reserved for Agency Response