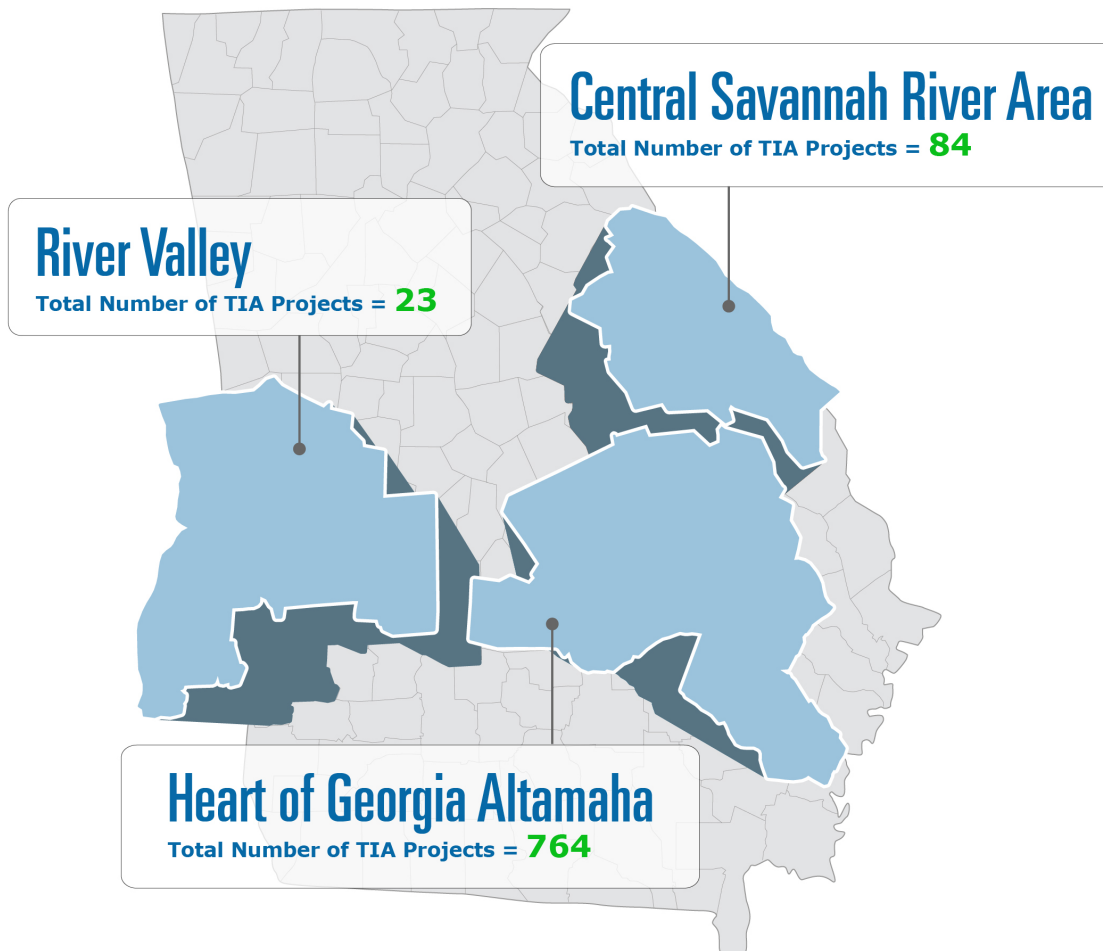


Program Procedure Manual

PPM Section 01 – Procurement

June 2014

Version: v1.2.0



Prepared for:
Georgia Department of Transportation
Office of TIA

Prepared by
AECOM Technical Services, Inc.

PPM Section 01 - Procurement

Prepared for

Georgia Department of Transportation - TIA Office

Prepared by

AECOM

1360 Peachtree Street NE, Suite 500, Atlanta, Georgia

United States

www.aecom.com

April 2014

The information contained in this document produced by AECOM Technology, Inc. is solely for the use of the Client identified on the cover sheet for the purpose for which it has been prepared and AECOM Technology, Inc. undertakes no duty to or accepts any responsibility to any third party who may rely upon this document.

Quality Information

Document Procurement Program Procedures Manual

Date 06 Jun 2014

Prepared by Bobby Adams

Reviewed by Anthony Sanger

Authorized 

Mike Dover / TIA Administrator

Revision History

Revision	Revision Date	Details
0	Nov 2013	Issued for Review
1	Apr 2014	Quarterly Review
2	Jun 2014	Approved for Publication to TIA Website

Table of Contents

1.0	Preamble.....	1
2.0	Purpose and Application	1
3.0	Intended Users.....	1
4.0	Future Development/Modifications	2
5.0	Procurement Overview	2
5.1	Procurement Role by Project Type.....	2
5.1.1	Blended Projects	2
5.1.2	100% TIA, Locally Let Projects.....	3
5.1.3	100% TIA, GDOT/TIA Let Projects.....	3
5.2	Anticipated Procurement Activity	3
5.3	Procurement Regulations	3
6.0	Methods of Procurement	5
6.1	Professional Services Procurement	5
6.1.1	Qualifications Based Selection	5
6.1.2	Non-Competitive Selection	12
6.1.3	Design Build	13
6.2	Non-Professional Services Procurement	13
6.2.1	Transit Projects	13
6.2.2	Non-Professional Services	13
6.3	Mitigation Credits	13

1.0 Preamble

Procurement is an essential supporting function for any major program. In as much as any supporting function should be structured to meet goals of the overall program, so should the first priority of procurement be to enhance the ability of the organization to meet its program goals. The second priority should be adherence to rules and regulations required of the procurement process.

For the TIA Program in particular, procurement will be a vital component in not only securing the variety of support services necessary for successful delivery of the TIA projects, but more importantly in assuring program funds are being spent appropriately and wisely in the selection process. To this end, the guiding philosophy of the Procurement Program Procedures Manual (TIA Procurement Plan) is to communicate the standard procedures and methods of operation necessary to fulfill this expectation.

2.0 Purpose and Application

This Program Procedure Manual (PPM) addresses management practices for oversight and coordination of project procurement within the program. The PPM provides requirements and day-to-day guidelines that are to be applied by personnel engaged directly in procurement activities, by those providing administrative support and by the various organization offices. The purpose of the requirements and guidelines is to ensure that services provided conform entirely with customer requirements through a systematic approach to the planning and execution of the procurement process.

Procurement management is the process of establishing and managing contractual relationships. It includes the determination of methods for carrying out components of the program, and sets guidelines for establishing, administering, and closing out appropriate contracts. This section applies to the procurement of all professional and non-professional services, capital equipment, goods, and other services for the program.

This section forms the first part of the Procurement PPM for the program, and shall be used in conjunction with the other sections in the [TIA Manual](#). The standards, policies, and procedures in this and all other sections form the basis of the [TIA Manual](#), and shall be applied to all program activities. The PPM sections are as follows:

SECTION	TITLE
01	Procurement
02	Contracts
03	Invoicing
04	Risk
05	Communications

3.0 Intended Users

Users of the PPM will be any entity or individual involved in a TIA procurement action. This will typically include the TIA Procurement Administrator, TIA Program Management, Project Managers, TIA Administrator and various GDOT

offices (i.e. OPD, R.O.W., Design, Construction, etc.). The PPM highlights appropriate program interface points between these and all associated persons and/or departments for effective coordination and integration among the various program participants.

4.0 Future Development/Modifications

The PPM is a living document that applies only to the TIA Program. However, the program is governed by legislation and operates under established GDOT guidelines and procedures. Consequently the PPM must maintain conformance with both structures throughout the life of the program. Any changes to the governing laws or procedures within GDOT which materially affect procurement processes shall be reflected in the PPM. In the case of any discrepancy between the PPM and the law, the law will govern.

The Program Manager is responsible for maintaining revisions or additions to this PPM. The PPM will be reviewed for compliance following each year's legislative session and in any instance when internal changes are made to the way GDOT operates. Should changes be required the Program Manager shall update, finalize and distribute the revised plan following agreement by TIA Administration on the proposed change(s). Distribution of each revision by the Program Manager shall be made via the Program Management Information System (PMIS).

5.0 Procurement Overview

As indicated in the TIA Manual, each TIA project will fall into one of three (3) main categories based on how that project is funded and/or administered:

- **Blended projects** have mixed funding sources and are funded with federal and matching state funds and partially with TIA funds.
- **100% TIA, Locally Let (Administered) projects** are those funded entirely with TIA funds but administered by a local government entity through an agreement with GDOT;
- **100% TIA, GDOT/TIA Let projects** are also funded entirely with TIA funds but are administered entirely by the TIA Program.

5.1 Procurement Role by Project Type

Each category of project will involve varying levels of procurement responsibilities. The TIA Procurement Administrator acts as an extension of GDOT Procurement staff in support of the GDOT TIA Program.

5.1.1 Blended Projects

Procurement of blended projects will be directed by one of three agencies/departments: GDOT Office of Program Delivery (OPD), TIA Office, or the Local Government. This role will be determined on a project by project basis depending on which Agency/Department is taking the role as Lead Administrator of the project.

For purposes of this policy, The TIA Procurement Administrator is a member of TIA Procurement. TIA Procurement is part of the PgM's TIA Team. The TIA Office includes both GDOT employees and the PgM's TIA Team.

- For blended projects administered by OPD, TIA Procurement will take a secondary/assistive role in the procurement process. In these instances, GDOT Procurement will lead all procurement efforts and will do so

within standard GDOT procedures. The TIA Procurement Administrator will act as an advisor and secondary lead, but will only act on the direction of GDOT Procurement;

- For blended projects administered by TIA, procurement will be led by the GDOT Procurement and supported by the TIA PgM Team as necessary and allowable. All procurement activities must either be initiated and/or approved through GDOT Procurement;
- For blended projects administered by Local Governments, TIA Procurement will primarily be utilized for Procurement and Contract review. Otherwise, TIA Procurement's role will be somewhat limited.

5.1.2 100% TIA, Locally Let Projects

Procurement of Locally Let, 100% TIA Projects will be the full responsibility of Local Governments implementing the work. TIA Procurement's sole role on these projects is that of oversight as required.

In keeping with TIA PgM Team's responsibilities, the TIA Procurement Administrator and TIA Project Manager may request and review the procurement or bid documents for each Local Project prior to procurement of vendors for each phase (PE, ROW, Utilities, Construction) by the locals. This review is intended to validate that the stated need of the project is going to be met and that the funds are being put to use in the proper fashion.

5.1.3 100% TIA, GDOT/TIA Let Projects

Procurement of 100% TIA projects will be the ultimate responsibility of the TIA Procurement Administrator and TIA PgM Team. These projects will be procured based on the guidelines set forth in this PPM and will address procurement needs for every aspect of the project outside of construction. The TIA Procurement Administrator shall be the lead manager of all active procurement processes and TIA Project Managers will provide primary support in the form of input on project scopes, cost evaluations, project timelines and risk factors.

5.2 Anticipated Procurement Activity

All projects implemented through the TIA Program will likely involve some if not all of the following procurement services:

- Professional Services (i.e. Design, Environmental, CEI, Surveying, Geotechnical, etc.)
- Non-Professional Services (Land Agents, Vendors, etc.)
- Mitigation Credits
- Evaluation of Locally Let Bidding Documents

5.3 Procurement Regulations

All procurement activity with the TIA program will be regulated by Georgia procurement regulations as they apply to the Georgia Department of Transportation.

- Professional Services procurement is governed by the Official Code of Georgia Annotated ([O.C.G.A. Title 50, Chapter 22](#));
- Non-Professional procurement is governed by [O.C.G.A. Title 32](#);
- Mitigation Credit procurement is also governed by [O.C.G.A. Title 32](#).

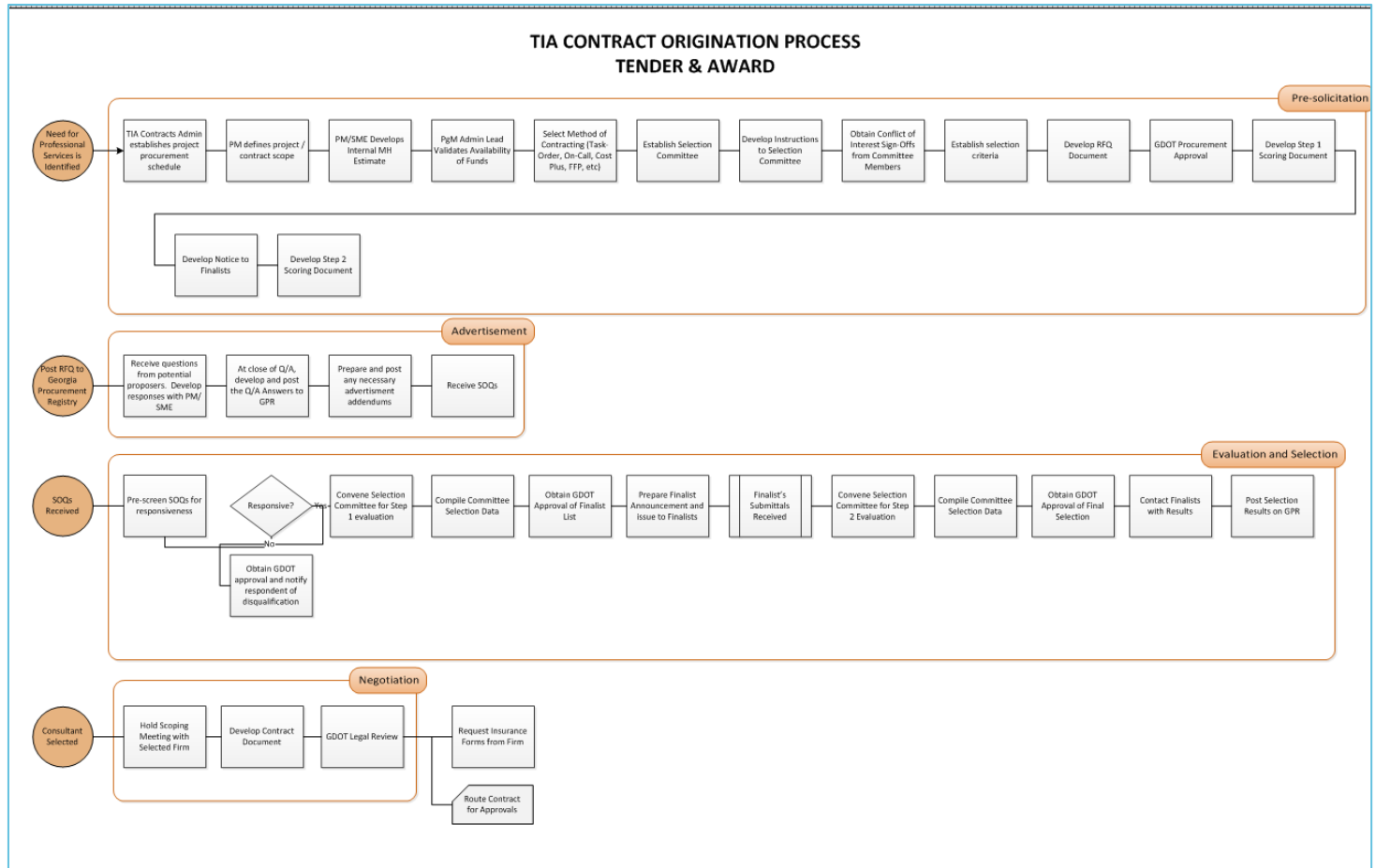


Figure 1 - Tender and Award / Contract Origination Procedures

6.0 Methods of Procurement

6.1 Professional Services Procurement

6.1.1 Qualifications Based Selection

Most TIA Professional Services procurements will utilize Qualifications Based Selection (QBS) and consequently this section of the PPM is the main focus of these procedures. QBS is a type of selection for services that intentionally avoids giving any weight to any proposed fee for those services. Weighted criteria is used to evaluate qualifications-related factors in the selection. An actual contract award is subject to successful cost negotiation with the most qualified Proposer.

Selection of a Consultant using QBS is important for a variety of reasons, which include:

- The vast majority of the cost risk associated with Consulting Services in GDOT construction projects is directly related to the quality of Consulting Services, and therefore to the qualifications of the Consultant.
- Because the required scopes of services are often not completely foreseen at time of selection, differentiation between competing firms' fee proposals as they relate to actual owner costs is fraught with difficulty without detailed negotiation with all proposers, which is not practicable.

Selection of the most qualified consultant will be made by a Selection Committee comprised of members with the required expertise to judge the qualifications of proposing consultants. The final selection will be approved by the GDOT Procurement Administrator for adherence to proper procurement procedures. Proposing consultants shall be prequalified in the area classes or certified by GDOT as appropriate for the work being performed.

The following items are essential elements and tasks of the QBS procurement process, arranged in the suggested general order in which they should be completed. Basic instructions for completing these tasks are included. These are intended to be applicable to Consultant selection efforts generally, but some projects may require differing tasks and instructions.

PART 1: Pre-Solicitation Activities

The Solicitation Manager, who will normally be the TIA Procurement Administrator, will meet with the Requestor to determine needed information to prepare and post an advertisement for the desired services. Major items needed include:

a. Determination of Procurement Method

The Solicitation Manager will discuss the services to be procured with the Requestor and determine which procurement method outlined in Part 4 will be the best method for procuring the desired services. Such determination may be dependent on the estimated cost of the services and how detailed an evaluation of technical ability may be required. The Solicitation Manager shall document the reasoning for the procurement method decision in the procurement file.

b. Determine Contracting Method

The Solicitation Manager will discuss various contracting options with the Requestor to determine which contracting vehicle appears to be most appropriate for the services being procured. The two major decisions for contracting methodology are:

- **Contract type**
 - Project Specific
 - Multiphase
 - On Call or Indefinite Delivery Indefinite Quantity (IDIQ)
 - Other potentially allowable contract types
- **Payment method**

- Cost Plus Fixed Fee
- Lump Sum or Firm Fixed Price
- Cost per Unit of Work
- Specific Rates of Compensation
- Note: Cost plus percentage of cost and percentage of construction cost methods of compensation shall not be used.

The Solicitation Manager shall document the reasoning for the contracting method decision in the procurement file.

c. Develop Request for Qualifications (RFQ)

The Solicitation Manager must collaborate with the Requestor to establish the elements required for the RFQ. The Solicitation Manager and Requestor may enlist the help of the Selection Committee, once established, to develop some of the required elements. This is especially appropriate for particularly complicated solicitations where the Selection Committee may be comprised of specialized subject matter experts.

- **Scope**

Consulting services for a project can be comprehensive or can be limited to select services. The Requestor should develop a comprehensive scope prior to requesting the procurement of consulting services. The Solicitation Manager will collaborate with the Requestor to further refine the prepared scope suitably for inclusion in the RFQ document.

- **Evaluation Criteria**

The Solicitation Manager will assist the Requestor in developing the appropriate, project-specific evaluation criteria. When developing the criteria, the Requestor should ask: What characteristics define the best Consultant for this project? and What qualifications and proposal information do we need in which to judge firms accordingly? In developing the criteria, much consideration must be given to the deliverables as they are developed into the solicitation documents, and whether the deliverables should be adjusted in order to provide the Selection Committee with the necessary volume and type of information for proper evaluation.

Normally a set of minimum requirements will be specified that a submitting firm must meet in order to be further evaluated and ranked. For A&E service for which GDOT requires prequalification before a consultant can perform work for GDOT, there will be a minimum requirement that the submitted team demonstrate that all required prequalification area classes are covered. Additionally, the prime will be required to be prequalified in the area classes representing the predominate work area for the solicited project.

Standard major categories of evaluation criteria should be used to allow for easy understanding by all firms of what basic attributes of the firm are generally considered important, and for better processing by the Selection Committee. Stability of the Firm, Relevant Experience/Qualifications of the Firm, Past Performance of the Firm, and Suitability of the Firm are the major categories of criteria to be used and are categories into which most specific project-related criteria will typically fall. However, the specific, detailed, or "granular" criteria (e.g., years of experience of the proposed cost estimator in projects of similar complexity) must be established, and such granular criteria must be grouped as a component of a major category (in this case: Relevant Experience/Qualifications of Firm). Prior to advertisement, appropriate weights should be assigned to the major criteria categories, which will be communicated to all firms in the RFQ.

In some solicitations/selections, Past Performance of the firms may be a major criteria category for either the first step (RFQ) of evaluation or the second step (RFP), in which case it will probably be desirable to check references of firms in the appropriate phase. The Solicitation Manager may provide a reference check matrix-type form containing questions deemed pertinent by the Selection Committee. The form may serve as a scoring tool using information received from submitting firm's references who are successfully contacted.

Using the location of the firm as minor evaluation criteria is allowable since it can demonstrate a firm's ability to effectively perform the contract requirements. This selection criterion will be considered a part of minor criteria and no more than ten per cent (10%) of the evaluation scoring will be allocated to sum of all minor criteria.

- **Develop RFQ deliverables**

Deliverables of prospective proposers must correlate to the above evaluation criteria. Deliverables should also reflect any unique directions or selection strategies necessary for the individual project.

- d. Procurement Schedule**

Interested firms should be given appropriate time to respond to the RFQ. The RFQ should communicate the schedule for the decision-making process, and the Solicitation Manager must assure that every effort is made to adhere to the listed schedule of events. The Solicitation Manager will take into account the appropriate time needed and the availability of the various participants, including Selection Committee members, when establishing the procurement schedule.

- e. Scoring Documents**

The Solicitation Manager should develop scoring forms for both the RFQ and subsequent steps, for use by the voting members of the Selection Committee. The scoring forms should correspond to the established major criteria categories and weighting and provide for an accurate scoring summary based on the sum of the individual rankings by each member, not on the scores of the firms. (More information on scores and rank is provided in PART 3: Evaluation of Statements of Qualifications and Selection of Finalists.) The scoring forms should be developed in a way that renders the form as intuitive for the scorer as possible, with clear indicators of scorer number, project, project number, proposing firms, criteria, weighting/points, scores and rank, and sections for notation. An overall Selection Committee scoring summary may also be a part of the scoring forms, or as a separate document. Often, the scoring summary document will serve as a freely-shared record for those interested in the outcome of a selection, and as a tool for debriefings with unsuccessful proposers. The Selection Committee members assigned a number s and the individual's number will be a part of the scoring record.

Also, if desired, work sheets may be developed which list the expected deliverables, grouped by major or granular criteria, for the purpose of assisting members in assessing, cumulatively, the merits of firms during review of submittals. However, such cumulative assessment may also be accomplished in many cases by members simply using the existing RFQ documents or other guides during their individual reviews. It is advisable to allow Selection Committee members latitude in their detailed individual review, because most will differ in their own study/review techniques. Therefore, it is not recommended to formulate extensive matrices which might serve to increase possibility of error, and stifle the group diversity and human decision-making competence of the qualified, professional members. Looked at as a whole, the review and scoring process should not be unnecessarily "dumbed-down" or "computerized"; instead, Selection Committee members should be properly oriented in the process requirements by the Solicitation Manager.

f. Selection Committee Appointment

Prior to advertisement of a procurement opportunity, the Solicitation Manager will coordinate with the Requestor and the appropriate office head(s) or their designee(s) to appoint appropriate staff members to serve as a Selection Committee. Selection Committees should be cross-functional teams, comprised of varied, unbiased, responsible, and professional individuals. The Selection Committee may include representatives from the requesting office, project involved specialty service offices, or other internal stakeholders in the project. Using offices may want to consider including a person who has not previously served on a Selection Committee in order to bring fresh perspectives to the selection process, while also broadening the pool of experienced individuals for future Selection Committees. Selection Committee members shall be approved by the Chief Engineer prior to serving on the Selection Committee. Selection Committee members shall be Assistant Office Heads or higher unless specifically approved by the Chief Engineer otherwise.

The Solicitation Manager will verify that there are no real or potential conflicts of interest with any of the Selection Committee members. Selection Committee members will be required to sign a statement indicating that they have no actual, potential or perceived conflicts of interest. The Solicitation Manager may follow up with Selection Committee members' supervisors to assure that the Selection Committee membership is free from any potential conflicts of interest. If at any time during the selection process a Selection Committee member realizes he/she may have a conflict of interest, real or perceived, he/she must immediately notify the Solicitation Manager of the situation. The Solicitation Manager will take appropriate action to mitigate the potential conflict.

The size of the Selection Committee will generally be limited to three to five individuals, not including the Solicitation Manager. The Solicitation Manager shall be a non-voting member of the Selection Committee. It is important that Selection Committee makeup remain consistent through the entire selection process in order to maximize information assimilation and maintain a consistent overall evaluation process. In addition to the Selection Committee and the Solicitation Manager, support staff and subject matter experts may be enlisted to aid in the gathering of procurement-related information and may otherwise contribute to the evaluation process as necessary.

The Selection Committee must be properly oriented in the process, which should be managed and structured in a way that renders the process as simple and intuitive as possible. Guideline for Evaluation (Step I) specifies member duties/deadlines, and provides a quick-reference to the specific deliverables expected in the submittals and to all of the evaluation criteria. Additionally, the Solicitation Manager may convene a meeting of the Selection Committee before or shortly after the advertisement is posted to outline for the Selection Committee their expected duties and how the selection process will be conducted. A significant amount of time and effort is required of a Selection Committee member, and a commitment must be made to allocate time for review of qualifications and proposals and to attend required meetings.

PART 2: Advertisement

Once the RFQ is completed and approved for release, a public announcement of the procurement opportunity is prepared by the Solicitation Manager and posted on the Internet for public viewing at the [Georgia Department of Administrative Services' \(DOAS\) Georgia Procurement Registry \(GPR\) website](https://ssl.doas.state.ga.us/PRsapp/GPR_P_start.jsp) (https://ssl.doas.state.ga.us/PRsapp/GPR_P_start.jsp). The [GPR](#) posting is the official method for posting procurement requests for Georgia State Agencies and is required by Georgia law. The advertisement must be posted a minimum of fifteen (15) calendar days prior to the due date for Statements of Qualifications in response to the RFQ. Most GDOT advertisements will be posted for thirty (30) calendar days unless the requesting office presents compelling reasons for shortening or lengthening the posting period. In addition, if

it is deemed advantageous, direct solicitations may be sent to firms that it is believed would be interested and that would likely meet the qualifications required for the project. Such direct solicitations will be performed by the Solicitation Manager via e-mail and will direct the prospective firms to the advertisement on the [GPR](#).

The notice on the [GPR](#) should provide the following information:

- The Solicitation Manager or person to whom requests for the RFQ should be directed
- The location of the project
- The name of the project
- The type of service being procured for the project
- The anticipated period of performance
- A brief description of the project, including the general character of the project (e.g., design, studies, environmental, and similar characteristics)
- The due date for all responses to the RFQ
- Any other basic requirements of the responses, including number of copies to be furnished

The notice should specify the sole person to whom all inquiries are to be directed (this is normally the Solicitation Manager for the procurement). After the project has been advertised in the [GPR](#), interested firms should not conduct any communications about the solicitation/project with any person other than the specified single point of contact for the procurement. Failure to adhere to this restriction may result in the disqualification of the firm's submittal.

The RFQ document and any addenda will normally be posted electronically on the [GPR](#), but may be directly distributed by other means such as e-mail. Regardless of document distribution method, the Solicitation Manager must keep an accurate list of all inquirers and respondents to the advertisement. The list may include specific contact and address information and should be maintained as a part of the overall project procurement record.

The Solicitation Manager may arrange for a posting to the TIA Website notifying interested parties that a new, TIA related advertisement has been posted. Such a notice will direct all parties to the [GPR](#) for the official announcement.

PART 3: Evaluation of Statements of Qualifications and Selection of Finalists

In order to maximize the competitive opportunity for firms, as well as promote an efficient evaluation, a two-phase process is used for QBS procurements. In Phase I; firms are invited, via a publicly advertised Request for Qualifications (RFQ) solicitation document, to submit Statements of Qualifications. These submittals should contain comprehensive qualifications and experience data basically relevant to the project at hand. Upon evaluation by the Selection Committee, 3 to 5 firms determined to be highly qualified are invited to submit a Phase II proposal and may be required to prepare specific Project Proposals for the Phase II evaluations. Upon evaluation of the Phase II submittals by the Selection Committee, the top-ranked firm is selected.

As the deadline for receipt of Statements of Qualifications approaches, the Solicitation Manager should remind the Selection Committee about the imminent submittals, and other pertinent information (e.g. critical meeting dates, evaluation locations and other pertinent information). The Solicitation Manager should remind the voting members they are to closely follow the Guideline for Evaluation (Phase I.)

a. Prescreening

Upon receipt of the submittals, copies of all Statements of Qualifications received and validated by the Solicitation Manager should be immediately distributed to the Selection Committee with corresponding scoring forms. The Selection Committee should confirm that all firms meet minimum qualifications. Subsequently, each member of the Selection Committee should review each firm's

submittal carefully, frequently referring to the stated evaluation criteria and required deliverables in the RFQ.

b. Phase I

If applicable in Phase I (usually only if past performance is a first-step criteria), the Solicitation Manager may also provide a reference check, matrix-type form containing questions deemed pertinent by the Selection Committee. The form may serve as a scoring tool using information received from submitting firm's references who are successfully contacted. The Solicitation Manager may assign the responsibility for checking the references of the finalist firms to individual Selection Committee members.

Each member should individually score the submittals using the provided Scoring Form. This is a preliminary score. An evaluation meeting will give Selection Committee members an opportunity to discuss the merits of the submittals as they relate to the RFQ criteria and deliverables. Each individual member should present a synopsis of his or her assessment of the submittals, and bring forth any unique perspectives with regard to the criteria that he or she wishes to share. After all members of the Selection Committee have presented, an open discussion should ensue. At this point, other support staff or subject matter experts may be invited to answer specific questions which Selection Committee Members may have, but they should refrain from offering unsolicited information unless requested by the Selection Committee to speak openly. Upon determining that the Selection Committee has received enough information in which to submit individual scoring, a Selection Committee Member may move to submit scoring for compilation.

The final ranking is determined by the sum of individual ordinal rankings of the firms, not by the sum of the individual scores. Three to five firms may be selected as finalists. The decision on whether to select three, four, or five, rests with the Selection Committee. The Selection Committee may use factors such as a disparity between the firms' sums of individual rankings, or other relevant criteria. Further discussion may be necessary to come to a consensus on this decision. Upon conclusion of this ranking, the Solicitation Manager will ask for the Selection Committee's approval of the resulting list of finalists. From the point of the approval, going forward, the Selection Committee should consider all of the finalist firms as equally qualified, and simply "eligible" for the remaining process. Any differentiation between the remaining firms in the minds of the Selection Committee should be brought about by the evaluation of Phase II submittals.

c. Notice to Finalists

The Solicitation Manager should promptly post the list of selected finalists as an update to the original advertisement on the [GPR](#). All selected finalist firms should be contacted directly to immediately allow them to prepare for any imminent requirements. E-mail transmission will normally be an appropriate way to make notifications, but the firm's acknowledgement of receipt is crucial. The Notice to Finalists should include a requirement for the firms to prepare a Phase II submittal. In addition, the notification should specify the steps and requirements in the remainder of the selection process, including the following:

- Schedule of events for the remainder of the selection process.
- When and where information will be made available to finalists.
- Place/time/host for a mandatory pre-proposal conference and/or mandatory site visits (if appropriate).
- Schedule/location for interviews (if required). (Sequence of interviews may be determined by drawing at site visit or other random means.)

- Invitation to finalists to submit Phase II submittals, and exact requirements of finalists for their submittals.
- Criteria for the remainder of the evaluation.

If a pre-proposal conference and/or site visit has been deemed appropriate, the Solicitation Manager and/or other representative(s) of the requesting office should attend/walk the site with representative firms. However, all questions regarding the project must be submitted to the Solicitation Manager, or designee of the Solicitation Manager in writing or in electronic format, by a date established in the schedule of events in order to allow any responses provided to be sent to all finalist firms.

d. Phase II

If applicable in Phase II (usually only if “previous performance” is a second-step criteria category), immediately after the finalists are determined, the Solicitation Manager may also provide a reference check matrix-type form containing questions deemed pertinent by the Selection Committee. The form may serve as a scoring tool using information received from submitting firm's references who are successfully contacted. The Solicitation Manager may assign the responsibility for checking the references of the finalist firms to individual Selection Committee Members. The person or persons checking references may contact owner references, architect references, M/WBE references, and trade contractor references, among others.

As the deadline for receipt of Project Proposals approaches, the Solicitation Manager should issue reminders to the Selection Committee about the imminent submittals, and on critical meeting dates and similar milestones. Again, it is helpful, at this point, for the Solicitation Manager to issue, to the voting members, a short Guideline for Evaluation (Phase II) as a reminder of member duties/deadlines, a quick-reference to the specific deliverables expected in the submittals, and a reminder of the evaluation criteria.

Copies of all Phase II submittals received and validated by the Solicitation Manager should be immediately distributed to the Selection Committee with corresponding scoring forms. Each member of the Selection Committee should review each firm's submittal carefully, frequently referring to the stated evaluation criteria and required deliverables in the Notice to Finalists or Guideline for Evaluation (Phase II). Each member should individually score the submittals making notes in their copies of the submittals. Selection Committee Members should bring their copies of the submittals with their notes to an evaluation meeting similar to the earlier meeting in the RFQ step.

The evaluation meeting should give members an opportunity to discuss the merits of the submittals as they relate to the stated criteria and deliverables. Each individual member should present a synopsis of his or her assessment of the submittals, and bring forth any unique perspectives with regard to the criteria that he or she wishes to share. After all members of the Selection Committee have presented, an open discussion should ensue. Other support staff or subject matter experts may be invited in to answer specific questions which Selection Committee members may want to ask, but may not offer unsolicited information unless requested by the Selection Committee to speak openly. The Selection Committee should be allowed to ask any necessary questions of support staff and subject matter experts. Final discussion and scoring, however, should take place in the presence of the Selection Committee members and the Solicitation Manager alone. The Selection Committee members will assign a consensus score for each of the finalist proposals. The Solicitation Manager should then tally the scores including scoring from Phase I to give a final ranking of the submitting finalists. The Solicitation Manager shall verify that the highest ranked firm is not currently under debarment or other action that would prevent GDOT from entering into a contract with them. The Solicitation Manager will compile a package of relevant information for the final selection including the

advertisement, any addenda, Phase I and Phase II information with scoring, and any other appropriate information. This final package will be submitted to the GDOT Procurement Administrator for final approval.

PART 4: Negotiation and Final Contract Draft

Upon final selection, the Solicitation Manager should contact all finalist firms to notify them of the owner's intent to begin discussions with the highest-ranked firm.

The Solicitation Manager should provide all qualifications information, project proposal, and proposed fee information of the highest-ranked firm to the assigned Negotiator. In most cases for TIA procurements, the assigned Negotiator will be the TIA Procurement Administrator. The Negotiator should discuss and finalize the contracting goals (budget, schedule, scope) with the TIA Program Manager and TIA Preconstruction Manager prior to engaging the selected firm to begin negotiations. The Negotiator should provide negotiation scheduling and serve as lead for negotiation discussions.

The Negotiator should schedule introductory meeting to conduct introductions between the selected firm's personnel and TIA personnel that will be involved in the project(s) under contract. Typically this meeting will cover contractual items and encompass a scope discussion to enable the firm to prepare a cost proposal. The Negotiator will lead the subsequent negotiations with the firm and keep detailed records of any agreed terms and conditions not addressed in the specimen contract.

The Negotiator should establish a desired timeline for negotiations, which should be communicated to the firm. If the Negotiator cannot arrive at an agreement with the highest ranked firm within the desired timeline or other reasonable time, or the parties otherwise have irreconcilable project differences, GDOT may elect to terminate negotiations. Should negotiations be terminated, GDOT will decide whether the procurement should be terminated or whether the procurement should proceed. If GDOT decides to proceed with the procurement, the Negotiator shall commence negotiations with the second highest ranked firm.

Fixed Fee

The base fixed fee for (GDOT) Consultants (both Prime and sub-consultants) is 8%. Prime Consultants may be eligible for upward adjustment of fixed fee based on the schedule, complexity, and range of scope for the project. The project must have MOST of the listed characteristics to be considered for a fixed fee adjustment, and the Department will make the final decision on whether or not an adjustment will be granted.

Consideration for other factors or circumstances in which a Prime (or sub-consultant) would receive a fixed fee adjustment will be examined on a case by case basis during Contract Negotiation. Task Order Contacts will also be examined on a case by case basis.

Termination of Negotiations

If there is no agreement on fees or contract with the top-ranked firm, negotiations with the firm will be terminated. Negotiations will then proceed in the same manner with the second-ranked firm, and so on until an agreement is reached.

PART 5: Execution

After a contract has been executed, the award notification will be posted to the GPR, formally closing the solicitation. The unopened fee proposals, if required, of the finalists shall be returned.

6.1.2 Non-Competitive Selection

Non-Competitive selection is the least formal procurement method. In accordance with [O.C.G.A. § 50-22-7](#), [§ 50-22-2](#), and [§ 50-22-9](#), no public notice or use of the selection process is required in the following situations:

- The State may reuse existing drawings, specifications, designs or other documents from a prior project by retention of the individual who provided the professional services for and prepared the original information;
- Any project for which predesign services do not exceed \$75,000 and for which all professional services do not exceed \$1,000,000 for the project;
- An emergency exists.

6.1.3 Design Build

Design Build (DB) will follow GDOT's standard DB procedures. The TIA Procurement Administrator will coordinate closely with GDOT Innovative Delivery staff for any DB procurement.

6.2 Non-Professional Services Procurement

6.2.1 Transit Projects

TIA funds may bring funding sources for transit projects. For TIA Transit projects the TIA Program Manager and TIA Project Manager will confer and coordinate with the GDOT Intermodal Office.

6.2.2 Non-Professional Services

Other non-professional services that need to be procured shall be coordinated through the TIA Procurement Administrator. For instance, Right-of-Way services and Construction Inspection services are specific services that will be required. Such services will be procured via a competitive, low-bid process from an established pool of qualified service providers. These procurements will be performed by GDOT under the authority of [O.C.G.A. Title 32](#). The TIA procurement process will generally mirror GDOT's established process for procurement of Right-of-Way services.

6.3 Mitigation Credits

Under the Clean Water Act of 1977, GDOT must obtain a permit to impact streams and wetlands. These permits are issued under the jurisdiction of the [U.S. Army Corps of Engineers](#). For a complete list of permits and the impacts they authorize, visit the U.S. Army Corps of Engineers website. For procedures on how to manage these on the TIA Program refer to the TIA Manual.

Impacts to streams, wetlands and open waters associated with a project may require mitigation. Mitigation is typically conducted by restoring, preserving, creating, or enhancing habitat within the proposed project area or within the same regional watershed. Areas of restoration, preservation, creation and enhancement are known as mitigation banks. Mitigation required for a project is completed through the purchase or debit of credits from a mitigation bank that has been approved by the U.S. Army Corps of Engineers. GDOT has developed and is currently developing a number of mitigation sites across Georgia.

Appendix A - Tender and Award / Contract Origination Procedures Flow Chart

TIA CONTRACT ORIGATION PROCESS
TENDER & AWARD

