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**GEORGIA
DEPARTMENT OF TRANSPORTATION**

**Best-Value
Alternative Technical Concept (ATC)
Evaluation Manual**

DESIGN–BUILD PROJECT

P.I. No.

{ATC Due Date}

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ACRONYMS

- ATC Alternative Technical Concept
- ATCC Alternative Technical Concept Coordinator
- CO Contracting Officer
- GDOT Georgia Department of Transportation
- ID Innovative Delivery
- ITP Instructions to Proposers
- SME Subject Matter Expert
- TA Technical Advisor
- TSP Transportation Services Procurement

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1.0 INTRODUCTION AND PURPOSE OF THE PROCEDURE

This document provides the methodology for evaluating proposed Alternative Technical Concepts (ATC)s for the **Insert Project Name** Design-Build Project (Project) issued by the Georgia Department of Transportation (GDOT) on **Insert Advertisement Date**.

The purpose of this ATC Evaluation Plan is to provide a fair and uniform basis for the evaluation of the ATCs in accordance with GDOT’s enabling legislation, GDOT policies and the RFP.

2.0 NON-DISCLOSURE INFORMATION & SECURITY OF WORK AREA

This ATC Evaluation Plan is sensitive information and shall not be publicly disclosed unless otherwise provided by statute or regulation. It is particularly important that any information designated as “proprietary” by any respondent be carefully guarded to avoid release of information contained in such documents. Each person with access to the ATCs, including the ATC Coordinator (ATCC), ATC Review Team Chair, the ATC Review Team and any required Technical Advisors (TA), will be required to complete and sign the Confidentiality and Non-Disclose Agreement, Appendix A.

No information regarding the contents of the ATCs, the deliberations by the ATC Review Team, recommendations to the ATC Review Team Chair, or other information relating to the evaluation process will be released or be publicly disclosed without the authorization of the ATC Review Team Chair.

All requests made for information pertaining to this process shall be forwarded to the CO. The CO will be responsible for all communication outside the ATC Review Organization.

When actively working with the ATCs each member shall keep all of the materials under their direct control and secure from others not associated with the evaluation process. At all other times, the materials shall be locked in a secured area, stored on local devices, or viewed in e-Builder. At the conclusion of the evaluation process, all materials (including work papers) shall be returned to the CO along with the signed Certification of ATC Review Completion, Appendix B.

3.0 RESPONSIBILITIES

3.1 Evaluation Process Organization

The flow chart in Figure 1 represents the ATC evaluation team organization for the Project. The ATC Review Team Chair may approve additions or changes to this Organization.

3.2 Contracting Officer (CO) Responsibilities

The CO will be the person charged with being the point of contact during the ATC Review process. This person will generally be assigned by the Office of Transportation Services Procurement (TSP) and will be the Point of Contact as designated in the Instructions to Proposers (ITP). The CO will not evaluate the ATCs.

The CO will oversee the ATC Evaluation Process, as follows:

- Administer the process used by the ATCC, the ATC Review Team, and the TAs.
- May develop a report and deliver to the Chief Engineer or designee stating the CO’s observations relative to GDOT’s adherence to the evaluation methodology as stated

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in this document. The report may note any specific instances of deviation from the proposed evaluation procedures.

- Be responsible for securing written Non-Disclosure Agreements/ Conflict of Interest Agreements from the ATCC, the ATC Review Team, and TAs prior to beginning the ATC evaluation process.
- Submit written requests for clarification to Proposers if the evaluation team determines that an ATC contains unclear information or otherwise needs clarification.
- Reject the ATC if it is determined by the ATCC to not meet the minimum requirements of the ITP.
- Ensure that appropriate records of the evaluation are maintained.
- Provide the official written response and determination to the Design-Build Proposers.

3.3 ATC Review Team Chair Responsibilities

The ATC Review Team Chair will:

- Designate the ATCC, members of the ATC Review Team, and the group of TAs who will act as Subject Matter Experts (SME).
- Review the recommendations for the ATC Review Team and make a determination on the ATC within **30** days of its submittal. GDOT responses are limited to the statements detailed in section 3.2.1 in the Instructions to Proposers (ITP). A template response letter is included in Attachment 1.

3.4 ATCC Responsibilities

The ATCC will:

- Review ATCs for responsiveness by completing the ATC Responsiveness Review Checklist, Appendix C. If the ATC is responsive, upload ATC into e-Builder. If the ATC is non-responsive, the ATCC will review the ATC with the CO and ATC Review Team Chair for a final determination on responsiveness.
- Be responsible for ensuring the timely progress of the evaluation and coordinating consensus meeting(s) or re-evaluation(s). Ensure that the ATC evaluation process is completed within 30 days.
- Coordinate and facilitate the participation of TAs, as necessary, during the course of the evaluation process.
- Participate in evaluation and coordination meetings and summarize review comments from the ATC Review Team.
- Compile ATC Review Team comments on the ATC Review Form, Appendix D. The ATC Review Form shall be attached to the ATC Response Letter, Attachment 1, for the ATC.

3.5 ATC Review Team Responsibilities

The ATC Review Team will:

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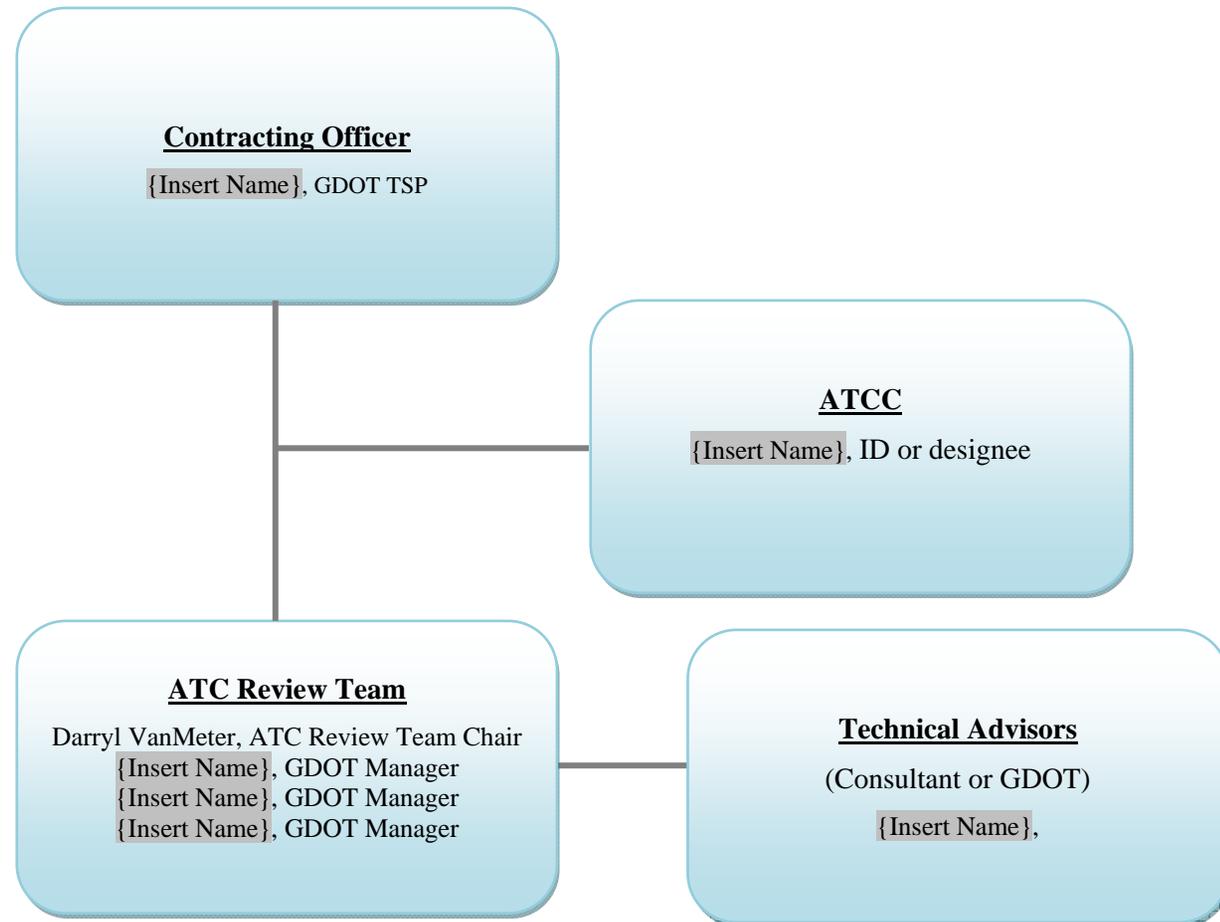
- Perform an independent review of each responsive ATC submitted.
- Convene and discuss each responsive ATC submitted and review comments.
- Submit an independent recommendation for each ATC to the ATCC.

3.6 Technical Advisor (TA) Responsibilities

- Serve as advisors to the ATC Review Team. Only the ATC Review Team will provide recommendations and comments on the ATCs to the ATC Review Team Chair. The TAs may consist of GDOT employees or consultant support acting on behalf of GDOT.
- Participate in meetings with the ATC Review Team, as needed, to provide input into the evaluation process.

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FIGURE 1 – ATC EVALUATION PROCESS ORGANIZATION



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4.0 EVALUATION PROCEDURE

The ATCs will be submitted to the CO in a clearly marked submittal package. The ATC Submission shall include the items detailed in section 3.1.2 of the ITP.

The following presents a general framework for the ATC evaluation process and the methodology for evaluating the proposed ATCs in relation to the information that was requested in the RFP.

4.1 ATC Evaluation Procedure

The following steps summarize the general procedures for the Technical Proposal evaluation:

- *Step 1 – Responsiveness Review: Pass/Fail Evaluation.* The ATCC will review the Proposed ATCs for responsiveness. If the ATC is identified as non-responsive, the ATCC will review the ATC with the CO and ATC Review Chair for a final determination of responsiveness. If the ATC is ultimately determined to be non-responsive, the CO may request additional information from the Proposer regarding the ATC or may reject the ATC for not meeting the minimum requirements of the ITP.
- *Step 2 – e-Builder Process Initiation*
 - The ATCC will upload the responsive ATCs to e-Builder and initiate the review processes and establish review time periods for each submittal.
 - The ATCC will initiate reviews of the ATC by the ATC Review Team and appropriate TAs based on the contents of the ATC and applicability to a SME.
- *Step 3 – Proposed ATC Review:*
 - The ATC Review Team and designated TAs will review the Proposed ATCs.
 - The ATC Review Team members and any designated TAs will each provide their recommendations and comments to the ATCC through e-Builder. This Review Period will be limited to two (2) weeks.
- *Step 4 – ATC Recommendation Consolidation:*
 - The ATCC will consolidate the ATC Recommendation from e-Builder and provide them to the ATC Review Team Chair for each submittal.
- *Step 5 – Proposed ATC Determination:*
 - The ATCC will set up a meeting for the ATC Review Team and ATC Review Team Chair to convene and discuss each ATC.
 - ATC Review Team Chair in collaboration with the ATC Review Team will make a determination on each ATC submittal and will provide a letter

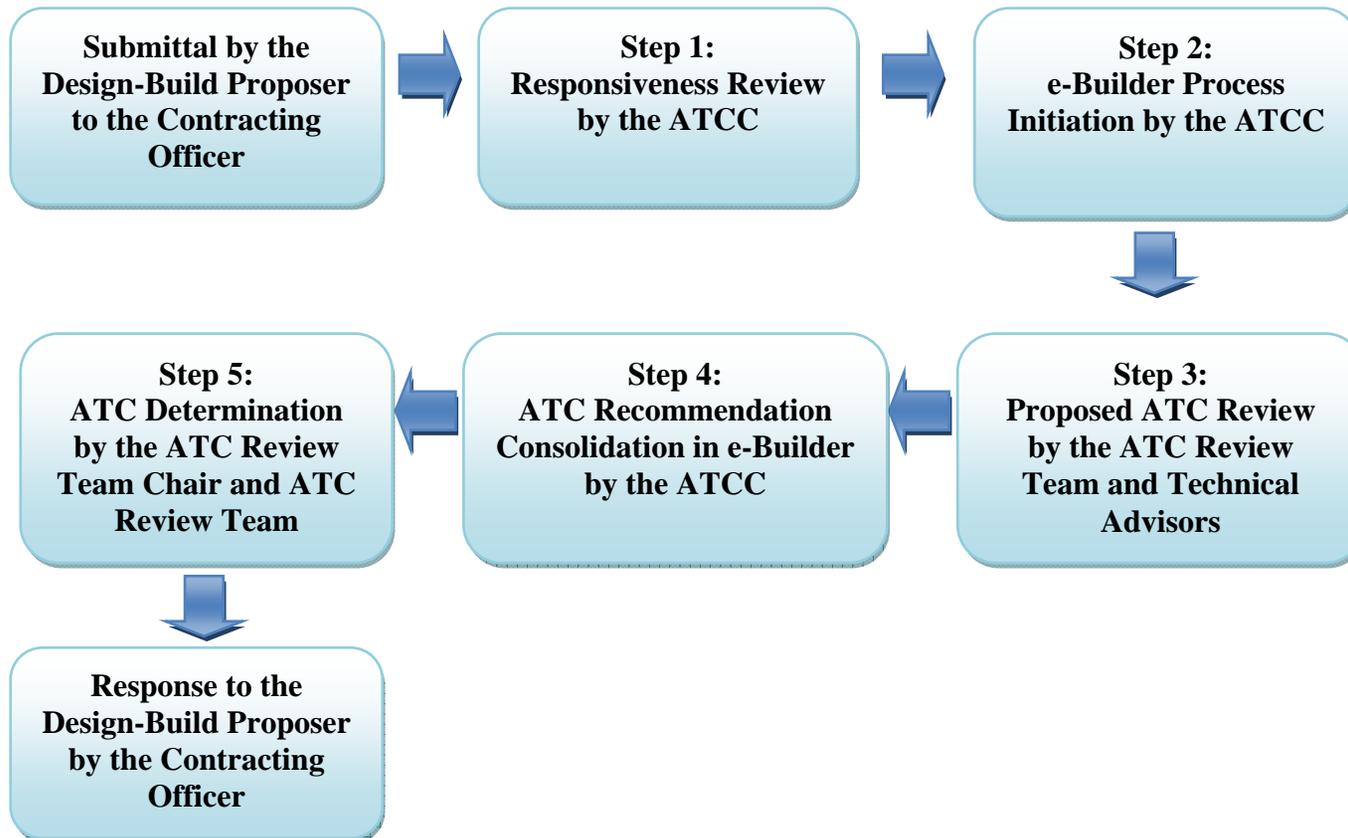
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with the preapproved statement of response and submit the letter to the CO.

- The CO will provide the official response to the Design-Build Proposer.

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FIGURE 2 – ATC EVALUATION PROCESS FLOW CHART



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Appendix A

CONFIDENTIALITY AND NON-DISCLOSURE AGREEMENT

I, _____, hereby agree as follows:

I will maintain the confidentiality of all information related to the procurement of the **Insert Project Name** (the “**Project**”) that I gain access to as a result of my work for the Georgia Department of Transportation (“**GDOT**”). This includes, but is not limited to, all draft procurement documentation, final procurement documentation that is not public record, proposer evaluation and selection related information, information designated confidential or proprietary by GDOT or by teams submitting Request for Proposals (“**RFPs**”) for the Project and/or Project proposals (“**Proposals**”), information regarding Project cost estimates, Proposal prices, Project development or financing plans, alternative technical concepts, proposer qualifications, or any other documents or information that might be considered sensitive which I have heard, seen or reviewed (collectively, the “**Confidential Information**”).

Unless so ordered by a court of competent jurisdiction or an opinion of the Office of the Attorney General, I will not divulge any Confidential Information to the media or any member of the public. Internal Confidential Information exchange may be conducted as necessary and appropriate to facilitate my review and analysis of the RFP(s) and/or Proposals provided that I will only communicate such information to individuals who have executed a Confidentiality Agreement in this same form. I understand that a list of the signatories to this type of agreement shall be maintained by the GDOT. If contacted by any member of the public or the media with a request for Confidential Information, I will promptly forward such requests to Kip Marshall (kmarshall@dot.ga.gov) at GDOT’s Office of Transportation Services Procurement. I will also maintain security and control over all documents containing such Confidential Information in my custody.

Furthermore, I have disclosed any potential conflicts of interest on the attached Disclosure Statement Form, or alternatively, I hereby certify that to the best of my knowledge, I do not have a conflict of interest, either real or apparent, as a result of a direct or indirect financial interest on my part or that of any member of my immediate family, nor of my employer, nor of any prior employer in the past 24 months, partner(s), or joint venturers, in any firm under consideration for an agreement associated with the Project. I agree not to solicit or accept gratuities, unwarranted privileges or exemptions, favors, or anything of value from any firm under consideration for an agreement associated with the Project, and I recognize that doing so may be contrary to statutes, ordinances and rules governing or applicable to GDOT or may otherwise be a violation of the law, including, without limitation, the provisions of the State of Georgia Conflict of Interest Law, O.C.G.A. §§ 45-10-20 through 45-10-75.

No Disclosure Statement Form Required See Attached Disclosure Statement Form

Signed: _____ Date: _____

Name and Title: _____

Representing: _____

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DISCLOSURE FORM

(to be completed if a potential conflict exists)

This Disclosure Statement outlines potential conflicts of interest, either real or apparent, as a result of a direct or indirect financial interest on my part or that of any member of my immediate family, or of my employer, nor of any prior employer in the past 24 months, partner(s), or joint venturers, in any firm under consideration for an agreement associated with the Project. See Schedule 1 to this Disclosure Statement Form. Section I of this Disclosure Statement Form describes the potential conflicts of interest. Section II of this Disclosure Statement Form describes the management plan for dealing with the potential conflicts of interests as described in Section I of this form. I acknowledge that GDOT may require revisions to the management plan described in Section II of this form prior to approving it and that GDOT has the right, in its sole discretion, to limit or prohibit my involvement in the Project as a result of the potential conflicts of interest described in Section I of this form. Attach additional pages as necessary.

1. SECTION I – DESCRIPTION OF POTENTIAL CONFLICTS OF INTEREST (Use additional sheets if required)

2. SECTION II – MANAGEMENT PLAN FOR DEALING WITH POTENTIAL CONFLICTS OF INTEREST (Use additional sheets if required)

Signed: _____ Date: _____

Name and Title: _____

Representing: _____

Approved by the Georgia Department of Transportation:

Signed: _____ Date: _____

Name and Title: _____

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Certification of ATC Review Completion

I, _____, hereby agree as follows:

I have maintained the confidentiality of all information related to the procurement of the **Insert Project Name** project (the “**Project**”) that I gained access to as a result of my work for the Georgia Department of Transportation (“**GDOT**”). This may have included, but was not limited to, all draft procurement documentation, final procurement documentation that is not public record, proposer evaluation and selection related information, information designated confidential or proprietary by GDOT or by teams submitting Request for Proposals (“**RFPs**”) for the Project and/or Project proposals (“**Proposals**”), information regarding Project cost estimates, Proposal prices, Project development or financing plans, alternative technical concepts, proposer qualifications, or any other documents or information that might be considered sensitive which I have heard, seen or reviewed (collectively, the “**Confidential Information**”).

I further certify that I no longer have any Confidential Information in my possession and that any Confidential Information that I possessed during the procurement of this project has been deleted, destroyed, or returned to the Procurement Officer as appropriate.

Signed: _____ Date: _____

Name and Title: _____

Representing: _____

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ATC Responsiveness Checklist

Proposer: _____

ATC Number: _____

Brief Description: _____

1. ATC is labeled appropriately as designated in the ITP Section 3.1.2 (a) Yes No
2. ATC description meets the requirements of ITP Section 3.1.2 (b) Yes No
3. ATC contains usage information as required in the ITP Section 3.1.2 (c) Yes No
4. ATC includes references the required changes to the RFP and includes the ATC Checklist (Form P of the ITP). Yes No
5. ATC meets the requirements of ITP Section 3.1.2 (e) Yes No
6. ATC meets the requirements of ITP Section 3.1.2 (f) Yes No
7. ATC identifies potential cost savings (if any) as required in the ITP Section 3.1.2 (g) Yes No
8. ATC identifies potential time savings (if any) as required in the ITP Section 3.1.2 (h) Yes No
9. ATC identifies potential risks (if any) as required in the ITP Section 3.1.2 (i) Yes No
10. ATC identifies how the ATC is better than or equal to the quality and performance requirements in the RFP Yes No
11. ATC identifies costs (if any) as required by the ITP Section 3.1.2 (k) Yes No
12. ATC identifies any changes in operations as required by the ITP Section 3.1.2 (l) Yes No
13. ATC identifies any changes in anticipated maintenance as required by the ITP Section 3.1.2 (m) Yes No
14. ATC identifies any changes in anticipated life as required by the ITP Section 3.1.2 (n) Yes No
15. ATC identifies any additional right-of-way needed as required by the ITP Section 3.1.2 (o) Yes No
16. ATC identifies other projects where the ATC has been successfully implemented as required by the ITP Section 3.1.2 (p) Yes No
17. ATC includes a statement if the Proposer is willing to sell their ATCs as part of its work product Yes No

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**Attachment 1
ATC Review Form**

- 1. General comments:**
 - a.
 - b.
- 2. Environmental comments:**
 - a.
 - b.
- 3. Utilities comments:**
 - a.
 - b.
- 4. Right of Way comments:**
 - a.
 - b.
- 5. Geotechnical comments:**
 - a.
 - b.
- 6. Roadway comments:**
 - a.
 - b.
- 7. Drainage/Erosion Control comments:**
 - a.
 - b.
- 8. Bridges/Structures comments:**
 - a.
 - b.
- 9. ITS comments:**
 - a.
 - b.
- 10. Signing and Marking comments:**
 - a.
 - b.
- 11. Other**
 - a.
 - b.

Attachment 1



Date

Proposer
Attention: Proposer Point of Contact
Point of Contact Title
Proposer Address
City, State Zip

RE: ATC ###

Dear Mr. :

The Georgia Department of Transportation has completed review of the above mentioned ATC and provides the following response:

_____ The ATC, as submitted, is acceptable for inclusion in the Proposal.

_____ The ATC is not acceptable for inclusion in the Proposal.

_____ The ATC is not acceptable in its present form, but may be acceptable upon the satisfaction, in GDOT's sole discretion, of certain identified conditions which must be met or clarifications or modifications that must be made, including, but not limited to, any required environmental reevaluation related to the ATC, which GDOT may condition upon a GDOT Re-evaluation Period.

_____ The submittal does not qualify as an ATC but may be included in Proposer's Proposal because it appears to be within the requirements of the RFP.

_____ The submittal does not qualify as an ATC and may not be included in the Proposal.

Please see the attached comments that were generated relative to the decision provided above.

Any resubmitted ATC shall be provided with the same three digit number with an alpha numeric letter starting with the letter "A" for the first resubmittal and "B" for a second submittal, etc., if necessary and address all comments for re-review.

Page 2
Insert ATC Number

The Georgia Department of Transportation appreciates the effort by your team to provide innovation and improve the overall success of the Insert Project Name project.

Sincerely,

Transportation Services Administrator

Attachment: ATC Review Form

CC: Keith Golden, Commissioner – Memo only
Russell McMurry, Chief Engineer – Memo only
Darryl VanMeter, State Innovative Delivery Engineer
Treasury Young, Transportation Services Procurement Administrator
General Files – Memo only