

**ADVERTISEMENT FOR ENGINEERING AND RELATED SERVICES
APRIL 1, 2021**

CONTRACT NO. 4400021338

LA 1: LEEVILLE TO GOLDEN MEADOW, PHASE 2 (T-WALL)

STATE PROJECT NO. H.008145

F.A.P. NO. H008145

ROUTE LA 1

LAFOURCHE PARISH

Under the authority granted by Title 48 of Louisiana Revised Statutes, the Louisiana Department of Transportation and Development (DOTD) hereby issues this advertisement for consulting firms to provide engineering and related services. **Consultants who are a Louisiana or foreign LLC or corporation should be appropriately registered with the Louisiana Secretary of State, as contemplated by Title 12 of the Louisiana Revised Statutes, and with the Louisiana Professional Engineering and Land Surveying (LAPELS) Board under its rules for firms. If a consultant is not in good standing in accordance with those provisions, it may be subject to consequences contemplated in Title 12 and/or the LAPELS rules. All requirements of LAPELS must be met at the time the proposal is submitted. Prime consultants must be registered with the Louisiana Secretary of State and the Federal Government, using SAM.gov, prior to contract execution.**

One (1) proposal will be selected for each contract solicited per this advertisement. Only one (1) DOTD Form 24-102 proposal is required for this advertisement, and it represents the prime consultant's qualifications and those of any and all sub-consultants proposed to be used for the referenced contract(s). All identifying contract number(s) should be listed in Section 2 of the DOTD Form 24-102.

Any questions concerning this advertisement must be sent in writing to DOTDConsultantAds80@la.gov no less than 48 hours (excluding weekends and holidays) prior to the proposal deadline.

SCOPE OF SERVICES

The general tasks to be performed by the consultant for this contract are described more specifically in Attachment A, which is incorporated herein by reference.

The consultant shall perform the work in accordance with the requirements of this advertisement and the resulting contract. Deliverables shall be in such format as required in Attachment A. The work performed by the consultant shall be performed in a manner consistent with that degree of care and skill ordinarily exercised by members of the same profession currently practicing under similar circumstances.

MINIMUM PERSONNEL REQUIREMENTS (MPRs)

The requirements set forth in Attachment B must be met at the time the proposal is submitted.

EVALUATION CRITERIA

The criteria to be used by DOTD in evaluating responses for the selection of a consultant to perform these services are listed below:

1. firm experience on similar projects, weighting factor of three (3);
2. staff experience on similar projects, weighting factor of four (4);
3. firm size as related to the project magnitude, weighting factor of three (3);
4. past performance on similar DOTD projects, weighting factor of six (6)*;
5. current work load with DOTD, weighting factor of five (5);
6. approach and methodology, weighting factor of nine (9).

*The consultant is to identify in the table below those evaluation disciplines consistent with the approach and methodology proposed in Section 19 of the DOTD Form 24-102.

THE FOLLOWING TABLE MUST BE COMPLETED AND INCLUDED IN SECTION 12 OF THE DOTD FORM 24-102 PROPOSAL.

<p>Sub-consultants are allowed to be used for this proposal. Fill in the table by identifying only those evaluation disciplines consistent with the approach and methodology proposed in Section 19 of the DOTD Form 24-102*, the name of each firm that is part of the proposal, and the percentage of work in each past performance evaluation discipline to be performed by that firm. The percentage estimated for each evaluation discipline is for evaluation purposes only and will not control the actual performance or payment of the work. The percentages for the prime and sub-consultants must total 100% for each past performance evaluation discipline, as well as the overall total percent of the contract. (Add rows as needed)</p>							
Evaluation Discipline(s)	% of Overall Contract	Prime	Firm B	Firm C	Firm D	Firm E	Firm F
<p>Identify the percentage of work for the overall contract to be performed by the prime consultant and each sub-consultant.</p>							
Percent of Contract	100%						

The past performance evaluation disciplines are: Road, Bridge, Traffic, CE&I/OV, Geotech, Survey, Environmental, Data Collection, Planning, Right-of-Way, CPM, ITS, Appraiser and Other. The crosswalk from the old categories to the new categories can be found at the link below: http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/CCS/General%20Information/CPPR%20Crosswalk%20to%20New%20Evaluation%20Disciplines.pdf.

If sub-consultants are allowed, the prime consultant must perform greater than 50% of the work for the overall contract.

Proposals will be evaluated as set forth in the “Evaluation Criteria” section of this advertisement. The evaluation will be by means of a point-based rating system. Each of the above criteria will receive a rating on a scale of one (1) through five (5). The rating will then be multiplied by the corresponding weighting factor. The rating in each category will then be added to arrive at the proposal’s final rating.

DOTD’s Project Evaluation Team (PET) will be responsible for performing the above described evaluation, and will present a shortlist of the three (3) (if three are qualified), highest rated consultants to the Secretary of DOTD. The Secretary will make the final selection.

COMPLIANCE WITH SUPPLEMENTAL ETHICS REQUIREMENTS

DOTD has established supplemental ethics requirements applicable to consultants and PET members. These requirements are found in the “Supplemental Ethics Requirements” article of the sample contract linked to this advertisement, which are incorporated herein by reference. Any firm that is found to have violated these requirements may not be considered for this selection.

By submission of a proposal to perform services pursuant to this advertisement, the consultant agrees to comply with DOTD’s Supplemental Ethics Requirements.

RULES OF CONTACT UPON ADVERTISEMENT

DOTD is the single source of information regarding the contract selection. Any official correspondence will be in writing, and any official information regarding the contract will be disseminated by DOTD’s designated representative via the DOTD website. The following rules of contact will apply during the contract selection process, commencing on the advertisement posting date and ceasing at the time of final contract selection. Contact includes face-to-face communication, the use of a telephone, facsimile, electronic mail (email), or formal or informal written communications with DOTD. Any contact determined to be improper, at the sole discretion of DOTD, may result in the rejection of the proposal (i.e., DOTD Form 24-102).

Consultants and consultant organizations shall correspond with DOTD regarding this advertisement only through the email address designated herein; DOTDConsultantAds80@la.gov and during DOTD sponsored one-on-one meetings.

No consultant, or any other party on behalf of a consultant, shall contact any DOTD employee, other than as specified herein. This prohibition includes, but is not limited to, the contacting of: department, office, or section heads, project managers, members of the evaluation teams, and any official who may participate in the decision to award the contract resulting from this advertisement.

DOTD will not be responsible for any information or exchange that occurs outside the official process specified above.

By submission of a proposal to perform services pursuant to this advertisement, the consultant agrees to the communication protocol herein.

PROJECT TIME

The overall time for the completion of the scope of services is estimated to be **6 months within the 2-3 year of actual construction.**

COMPENSATION

The compensation type for this contract is non-negotiated specific rates of compensation.

Compensation to the consultant for the services set forth herein shall be based on actual work hours and established specific rates of compensation for the work performed and the direct expenses incurred by the consultant, with a maximum limitation of **\$59,872.**

DIRECT EXPENSES

To the extent that the consultant is allowed to claim reimbursement for direct expenses, all direct expense items that are not paid for in the firm's indirect cost rate and are needed and will be consumed during the life of the contract must be identified by the consultant during contract development. Standard equipment or resources to be used in the provision of services rendered for this contract will not be considered for payment under direct expenses.

The consultant should own most of the equipment required to provide the work and services. The cost of this equipment should be included in the consultant's indirect cost rate. Equipment may be considered "specialized" if it cannot be considered standard equipment for that particular consultant's normal operating business needs. If a consultant believes special equipment is needed for the contract, the consultant must inquire through the Question and Answer process, as provided herein, whether the identified item will be considered specialized equipment for the individual contract.

All travel related expenses will be compensated under direct expenses, and will be in accordance with the most current Louisiana Office of State Travel regulations as promulgated in the Louisiana Administrative Code under the caption "PPM No. 49", with the exception that compensation for vehicle usage will be based on actual miles traveled directly and exclusively related to project needs. Vehicle rental rates will require prior approval from the PM.

QUALITY ASSURANCE/QUALITY CONTROL

DOTD requires the selected consultant and all sub-consultants to develop a Quality Assurance/Quality Control (QA/QC) program in order to provide a mechanism by which all deliverables will be subject to a systematic and consistent review. The selected consultant shall address in its plan the review of all sub-consultant work and deliverables. The selected consultant must submit their QA/QC plan to the DOTD PM within 10 business days of the award notification to the consultant. Consultants must ensure quality and adhere to established DOTD policies, procedures, standards and guidelines in the preparation and review of all deliverables. DOTD may provide limited input and technical assistance to the consultant. Any deliverables to be transmitted

by the consultant shall be transmitted with a DOTD Quality Assurance/Quality Control Checklist, and a certification that the deliverables meet DOTD's quality standards.

If Attachment A includes specific QA/QC requirements that contradict those set forth above, the requirements in Attachment A control.

TRAFFIC ENGINEERING PROCESS AND REPORT TRAINING REQUIREMENTS

As part of DOTD's on-going commitment to high quality traffic engineering reports, a traffic engineering training course must be taken by traffic engineering PEs and EIs in order to be eligible to work on DOTD projects. When traffic is included as a discipline on which past performance is evaluated, for consultants performing traffic engineering services (i.e., traffic analysis throughout all DOTD project stages and/or QC of traffic analysis), appropriate personnel must successfully complete the three (3) modules of the Traffic Engineering Process and Report Course offered by Louisiana Transportation Research Center (LTRC). This Course must be completed no later than the time the proposal is submitted. **Copies of training certificates are to be included in Section 22 of the proposal.** It will be the prime consultant's responsibility to ensure their staff and sub-consultants complete the training. Copies of training records may be obtained from the LTRC website <https://registration.ltrc.lsu.edu/login>.

WORK ZONE TRAINING REQUIREMENTS

As part of DOTD's on-going commitment to work zone safety, required work zone training courses must now be taken every four (4) years in order for personnel to remain eligible to work on DOTD projects. For consultants performing preconstruction services (e.g., design, survey, subsurface utility, geotechnical, traffic, bridge inspection, environmental services), appropriate personnel must successfully complete these courses. In general, the person in responsible charge of traffic control plans shall be required to have Traffic Control Supervisor training. For preconstruction field services performed within the clear zone, at least one (1) member of the field crew shall have Traffic Control Supervisor or Traffic Control Technician training. The consultant should identify all personnel listed in the staffing plan for the contract who have completed the appropriate work zone training courses. All preconstruction work zone training requirements shall be met **prior to contract execution**. It will be the prime consultant's responsibility to ensure their staff and sub-consultants have the appropriate work zone training.

In addition to the above requirements, if the Scope of Services set forth in Attachment A includes Construction Engineering and Inspection (CE&I), the following training requirements shall be met **at the time the proposal is submitted**:

Field Engineers:	Traffic Control Technician Traffic Control Supervisor Flagger
Field Engineer Interns:	Traffic Control Technician Traffic Control Supervisor Flagger

Field Senior Technicians,
Survey Party Chiefs, and
SUE Worksite Traffic Supervisors*: Traffic Control Technician
Traffic Control Supervisor
Flagger

Other Field Personnel*: Traffic Control Technician
Flagger

* excluding Asphalt Plant Inspector, Paint Managers, and Paint Inspectors

Approved courses are offered by ATSSA and AGC. Substitutes for these courses must be approved by the DOTD Work Zone Task Force. For more information, please contact DOTD HQ Construction at 225-379-1584. Specific training course requirements are:

Flagger: Successful completion every four (4) years of a work zone flagger course approved by the Department. The “DOTD Maintenance Basic Flagging Procedures Workshop” is not an acceptable substitute for the ATSSA and AGC flagging courses.

Traffic Control Technician (TCT): Successful completion every four (4) years of a work zone traffic control technician course approved the Department. After initial successful completion, it is not necessary to retake this course every four (4) years if Traffic Control Supervisor training is completed every four (4) years.

Traffic Control Supervisor (TCS): Successful completion of a work zone traffic control supervisor course approved by the Department. Following an initial completion, traffic control supervisors must either complete a one (1)-day TCS refresher course or retake the original two (2)-day TCS course every four (4) years.

ATSSA contact information: (877) 642-4637

REFERENCES

All services and documents will meet the standard requirements as to format and content of DOTD and will be prepared in accordance with the latest applicable editions, supplements, and revisions of the following:

1. AASHTO Standards – <https://www.transportation.org/>
2. ASTM Standards – <https://www.astm.org/BOOKSTORE/BOS/index.html>
3. DOTD Test Procedures – http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Materials_Lab/Pages/Menu_TPM.aspx

4. DOTD Location and Survey Manual –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/LocationSurvey/Manuals%20and%20Forms/Location_and_Survey_Manual.pdf
5. Addendum “A” to the Location & Survey Manual –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/LocationSurvey/Manuals%20and%20Forms/Location%20and%20Survey%20Manual%20-%20Addendum%20A.pdf
6. DOTD Roadway Design Procedures and Details –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Road_Design/Pages/Road-Design-Manual.aspx
7. DOTD Design Guidelines –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Road_Design/Memoranda/Minimum%20Design%20Guidelines.pdf
8. DOTD Hydraulics Manual –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Public_Works/Hydraulics/Documents/Hydraulics%20Manual.pdf
9. Louisiana Standard Specifications for Roads and Bridges –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Standard_Specifications/Pages/Standard%20Specifications.aspx
10. Manual on Uniform Traffic Control Devices (Non-DOTD Link) –
<http://mutcd.fhwa.dot.gov/>
11. DOTD Traffic Signal Design Manual –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Traffic_Engineering/Traffic%20Control/Traffic%20Signal%20Manual%20V3%20-%2007.1.20.pdf
12. National Environmental Policy Act (NEPA)
13. DOTD Stage 1 Planning/Environmental Manual of Standard Practice - http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Environmental/Pages/Stage_1.aspx
14. National Electrical Safety Code
15. National Electrical Code (NFPA 70)
16. A Policy on Geometric Design of Highways and Streets (AASHTO) –
https://bookstore.transportation.org/collection_detail.aspx?ID=110
17. DOTD Construction Contract Administration Manual –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Pages/Engineering_Docs.aspx
18. DOTD Materials Sampling Manual –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Materials_Lab/Pages/Menu_MSM.aspx
19. DOTD Bridge Design and Evaluation Manual –
http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Bridge_Design/Pages/BDEM.aspx

20. Consultant Contract Services Manual – http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/CCS/Manuals/CCS%20Manual%20rev%20Oct%202020.pdf
21. Bridge Inspector’s Reference Manual – <https://www.fhwa.dot.gov/bridge/nbis.cfm>
22. Federal Aid Off-System Highway Bridge Program Guidelines – http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Bridge_Design/Manuals/Other%20Manuals%20-%20Guidelines/2019%20Federal%20Aid%20Off-System%20Highway%20Bridge%20Program%20Guidelines.pdf
23. Code of Federal Regulations 29 CFR 1926 (OSHA)
24. Complete Streets – http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Multimodal/Highway_Safety/Complete_Streets/Pages/default.aspx
25. Traffic Engineering Manual - http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Traffic_Engineering/Misc%20Documents/Traffic%20Engineering%20Manual.pdf
26. Traffic Engineering Process and Report – http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/Traffic_Engineering/ManualsPublications/Pages/TEPR.aspx
27. LA 1 Project Website – <http://www8.dotd.la.gov/La1Project/>

CONTRACT EXECUTION REQUIREMENTS

The selected consultant will be required to execute the contract within ten (10) days after receipt of the contract.

A sample of the contract provisions can be found at the following link: http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/CCS/Pages/Advertisements.aspx.

REVISIONS TO THE ADVERTISEMENT

DOTD reserves the right to revise any part of the advertisement by issuing addenda to the advertisement at any time. Issuance of this advertisement in no way constitutes a commitment by DOTD to award a contract. DOTD reserves the right to accept or reject, in whole or part, all DOTD Form 24-102s submitted, and/or cancel this consultant services procurement if it is determined to be in DOTD’s best interest. All materials submitted in response to this advertisement become the property of DOTD, and selection or rejection of a proposal does not affect this right. DOTD also reserves the right, at its sole discretion, to waive administrative informalities contained in the advertisement.

CLARIFICATIONS

DOTD reserves the right to request clarification of ambiguities or apparent inconsistencies found within any proposal, if it is determined to be in DOTD’s best interest.

PROPOSAL REQUIREMENTS

The consultant's proposal for this advertisement must be submitted by email to DOTDConsultantAds80@la.gov using the most current version of the DOTD Form 24-102 (available at http://wwwsp.dotd.la.gov/Inside_LaDOTD/Divisions/Engineering/CCS/Pages/Manuals_Forms_Agreements.aspx). Hard copies of the consultant's proposal are not required. All proposals must be in accordance with the requirements of this advertisement, and the Consultant Contract Services Manual. Unless otherwise stated in this advertisement, copies of licenses and certificates are not required to be submitted with the proposal.

If more than one (1) contract is to be selected based on this advertisement, no prime consultant is allowed to be a sub-consultant on any other consultant's 24-102. If a prime consultant is submitted as a sub-consultant on another consultant's 24-102, its proposal as a prime consultant may be deemed non-responsive.

Any consultant failing to submit any of the information required on the DOTD Form 24-102, or providing inaccurate information on the DOTD Form 24-102, may be considered non-responsive.

DOTD employees may not submit a proposal, nor be included as part of a consultant's proposal.

Contract and/or part-time employees are allowed. Such employees should be shown in Section 15 of the DOTD Form 24-102 with an asterisk denoting their employment status.

The DOTD Form 24-102 should be identified with **contract number 4400021338 and/or State Project No. H.008145**, and must be received by DOTD via email **no later than 3:00 p.m. CST on Thursday, April 22, 2021**.

ATTACHMENT A – SCOPE OF SERVICES

The project time is **typical**.

The route classification is **NHS**.

The home office indirect cost rate shall be applicable to all services except as otherwise designated hereafter.

STAGE 5: CONSTRUCTION

The objective of this work is to assess, analyze, interpret, and evaluate design/engineering and construction criteria through a process known as Type II Independent External Peer Review (IEPR) Safety Assurance Review (SAR) during the construction phase of LA 1: Leeville to Golden Meadow Phase 2 in accordance with the Water Resources Development Act (WRDA) 2007 (Public Law 110-114) Section 2035, and the procedures described in USACE, Civil Works Review Policy (Engineer Circular (EC) 1165-2-214, dated 15 December 2012 and Engineering Circular (EC) 1165-2-214). Note that review requested herein is specifically for the construction phase of the proposed 300 foot floodwall portion of the LA 1: Leeville to Golden Meadow Phase 2 project located in Lafourche Parish, LA (State Project Number H.008145).

The purpose of the IEPR is to analyze the adequacy and acceptability of the design/engineering criteria, methods, and assumptions and construction criteria, methods, and processes for the proposed 300 foot floodwall. The IEPR will be conducted subject matter expert(s) with extensive experience in engineering issues associated with flood damage and coastal storm damage reduction and protection.

The SAR shall include one review at 50% construction completion sufficient to inform DOTD on the adequacy, appropriateness, and acceptability of the construction activities for the purpose of assuring public health, safety and welfare.

DOTD or the Designer of Record officials must refrain from participating in the development of any reports or final work product of the group.

The proposed DOTD elevated roadway project will replace a portion of the existing levee with a floodwall. Specifically, the DOTD project consists of a highway bridge with a span supported on pile bents skewed to the levee that crosses the centerline of the levee approximately two miles north of the Leon Theriot floodgate in Lafourche Parish. The highway bridge has been specifically design and aligned to limit impacts to the flood protection system. The existing levee is at approximate elevation of +16 feet NAVD 88 (2004.65). South Lafourche Levee District plans for levee improvements propose reshaping the levee for a levee crown elevation of +17 feet NAVD 88 (2004.65). Future condition elevation of +21 NAVD 88 (2004.65) is being utilized for the proposed floodwall. The new floodwall will be a T-wall configuration supported on two rows of H-piles.

The Consultant will be provided with the IEPR design report, construction plans and specifications, and construction documentation (i.e. quality control and quality assurance reports on current construction phase).

The Hurricane and Storm Damage Risk Reduction System (HSDRRS) Design Guidelines will be provided by DOTD or the Designer of Record for the reviewer to reference as needed.

IEPR team is not expected to be knowledgeable of United States Army Corp of Engineers (USACE) policies, nor are they expected to address such concerns. However, an IEPR team should be given the flexibility to bring important issues to the attention of decision makers.

The following general tasks shall be performed by the Consultant independent of DOTD or the Designer of Record supervision, direction or control to fulfill independence criteria of an IEPR:

Task 1. *Selection of IEPR Panel:* The specified peer review will take the form of a two-member consultant panel, but the member is limited to reviewing and commenting on the work being done by others. The Consultant shall identify the expert for the required discipline and level to serve as the IEPR panel. The expert will also be referenced as an expert reviewer. Selection will be based on availability, technical credentials, and absence of perceived or actual conflict of interest

The panel responsibilities shall include, but not limited to, the following:

- a. Conduct the review for the subject project in a timely manner in accordance with the study and schedule;
- b. Follow the “Charge”, but when deemed appropriate by the team lead, request other products relevant to the project and the purpose of the review;
- c. Assure the review focuses on the questions in the “Charge”, but the panel can recommend additional questions for consideration. The SAR panel may recommend to DOTD additional or alternate questions;
- d. Submit reports on the reviews by the panel.

Task 2. *Orientation Briefing for LA 1: Leeville to Golden Meadow Phase 2.* The IEPR Consultant’s expert reviewers and Consultant’s project manager will participate in an orientation briefing conducted by DOTD and may include DOTD’s design consultant for assistance. The IEPR Consultant will not be required to be at DOTD for the briefing. The orientation briefing will consist of a presentation of the project by DOTD and question and answer session. During the briefing, the reviewers and DOTD will draft a Critical Items List (final Critical Items List will be including in the final report). The criticality of each item shall be evaluated/reviewed and discussed along with possible failure scenarios. DOTD will provide the IEPR, construction plans, and construction specifications to the consultant at the orientation briefing.

Task 3. *Peer Review of Construction Phase of LA 1: Leeville to Golden Meadow Phase 2 T-Wall:* There will be 1 Construction Phase review at the 50% construction completion stage. DOTD or the Designer of Record technical representative will submit a notification letter 30 days prior to the anticipated date to start the construction phase review. The notification letter will notify the Consultant of the date which the review shall begin. The Consultant shall not start work on the construction phase reviews until the notification letter is received.

The Consultant's Expert Reviewers shall evaluate/review the construction documents in accordance with the General Charge Guidance (Appendix A, section B) and provide comments after coordination with the Consultant. The DOTD Project Manager shall respond to the Consultant's comments in writing. If needed, a conference call will be held for the purpose of clarifying comments. The IEPR Consultant shall provide a statement of completion for the construction phase review to signify that the construction phase review has been completed. The statement of completion shall note whether the construction phase review was appropriate to the level of risk and complexity inherent in the project as well as whether written responses to the IEPR panel review comments note concurrence and subsequent action or non-concurrence with an explanation.

Task 4. *Prepare Construction Phase Review Report for LA 1: Leeville to Golden Meadow Phase 2 T-Wall:* The Consultant shall prepare a Review Report for the T-Wall Construction Phase. The report shall include the peer review of the Construction Phase (Task 3) and should make reference to the design phase report. The Construction Phase Review Report shall focus on answering the general questions in Appendix A, section B and the review panel shall clearly address these questions in the report. The Final Report shall contain appendices to include documentation of the expert reviews performed including all comments for all reviews. All comments in the report will be finalized by the reviewer prior to their release to DOTD. The Final Report is intended to provide final documentation of the IEPR process for the project.

Reporting Requirements

The IEPR Consultant shall provide all reproduction. The IEPR Consultant shall provide four (4) hard copies of the Reports (Task 4) to the DOTD Project Manager. Electronic submittals shall contain all electronic files in both Microsoft Word and Adobe PDF formats on DVD or CD. The briefings for the expert reviewers will be furnished in Microsoft PowerPoint or Adobe PDF formats. Reports generated by the IEPR Consultant, expert reviewer or their sub-consultants shall not be released for publication or dissemination without the DOTD Project Manager's written approval following coordination.

Schedule

The schedule for these task will be set by the DOTD Project Manager.

Deliverables

The Consultant shall provide the following documents:

1. Submission of the Conflict of Interest Discloser Documents
2. Construct Phase SAR Report

APPENDIX A General Charge Guidance

For a Type II – IEPR (SAR), the design and construction phases, the Safety Assurance Review should focus on unique site features and changes from the assumptions made and conditions that formed the basis for the concept design. The expert reviewers shall address each of the following evaluation factors for each of the questions in each of the paragraphs below:

- Is the direction of the project appropriate?
- Has USACE overlooked any critical items?
- Does the panel have any other observations to add?

The SAR shall address the following questions:

1. Do the assumptions made during design remain valid through construction as additional knowledge is gained and the state-of-the-art evolves
2. Will the project monitoring adequately reveal any deviations from assumptions made for performance?

SERVICES TO BE PERFORMED / ITEMS TO BE PROVIDED BY DOTD

- The Consultant will be provided with the IEPR design report, construction plans and specifications, and construction documentation (i.e. quality control and quality assurance reports on current construction phase).
- The HSDRRS Design Guidelines will be provided by DOTD or the Designer of Record for the reviewer to reference as needed.

ELECTRONIC DELIVERABLES

Consultant hereby agrees to produce electronic deliverables in conformance with DOTD Software and Deliverable Standards for Electronic Plans document in effect as of the effective date of the most recent contract action or modification, unless exempted in writing by the Project Manager. Consultant is also responsible for ensuring that sub-consultants submit their electronic deliverables in conformance with the same standards. DOTD Software and Deliverable Standards for Electronic Plans document and DOTD CAD Standards Downloads are available via links on the DOTD web site.

Consultant shall apply patches to CAD Standard Resources and install incremental updates of software as needed or required. Consultant hereby agrees to install major updates to software versions and CAD Standard Resources in a timely manner. Major updates of CAD standards and software versions shall be applied per directive or approval of the DOTD Design Automation Manager. Such updates will not have a significant impact on the plan development time or project delivery date, nor will they require Consultant to purchase additional software. Prior to proceeding with plan development, Consultant shall contact the Project Manager for any special instructions regarding project-specific requirements.

In the event that any Digital Plan Delivery Standard conflicts with written documentation, including DOTD plan-development Manuals, the Digital Plan Delivery Standard governs. Consultant is responsible for contacting the Project Manager should questions arise.

Consultant shall upload (or check in) electronic deliverables directly into the DOTD ProjectWise repository at each plan delivery milestone. Consultants are responsible for performing certain operations at each milestone including, but not limited to, the following:

- Upload (or check in) CAD plan deliverables to the discipline “Plans” folder
- Apply and maintain indexing attributes to CAD plans (and other deliverables as needed)
- Publish PDF format plan submittals in ProjectWise using automated publishing tools
- Digitally sign PDF format plan submittals in ProjectWise according to DOTD standards and procedures (Final Plans, Revisions and Change Orders). Signatures shall be applied in signature blocks provided with electronic seals and Title Sheets.

Additionally, after reviewing deliverables for each submittal milestone, the Project Manager shall notify Consultant regarding the availability of two automatically-generated informational reports in ProjectWise. These reports document the completion status and other information regarding indexing attributes and CAD standards. Consultants shall take these reports into account and make any necessary adjustments to plans before the next submittal milestone; or sooner, if directed by the Project Manager.

ATTACHMENT B – MINIMUM PERSONNEL REQUIREMENTS (MPRs)

The following requirements must be met at the time the proposal is submitted:

1. At least one (1) principal of the prime consultant shall be a registered professional engineer in the state of Louisiana.
2. Two Independent External Peer Review (IEPR) members must be identified in the proposal.
 - a. The Geotechnical Engineer panel member shall be a professional engineer and shall have a minimum of fifteen (15) years of experience in the specific field of levee engineering in evaluating, designing, and constructing large levees embankments and with a minimum MS degree and shall have the following:
 - experience in soil compaction and earthwork construction; soil mechanics; seepage and piping; landslide and slope stability evaluations; bearing capacity and settlement; and foundation inspection and assessment;
 - knowledge and experience in the forensic investigation of seepage, settlement, stability, and deformation problems associated with embankments constructed on foundations with soft soils;
 - familiarity with preparing plans and specifications for levee embankment and levee rehabilitation projects;
 - knowledge of best practices regarding levee design and construction procedures and policies; and
 - recent and relevant experience on multi-million dollar projects verifying the constructability of the proposed designs and then verifying that these projects were being constructed per the plans and specifications.
 - b. The Structural Engineer panel member shall be a professional engineer and shall have a minimum of fifteen (15) years of experience evaluating levee structural elements with emphasis on USACE design regulations and with a minimum MS degree.

MPR Nos 2a and 2b must comply with the following:

1. The panel members shall not have any financial or litigation association with the USACE; the DOTD or the Designer of Record; their engineering teams, sub-consultants or construction consultants.
2. The panel member shall fully disclose any known or potential conflict of interest that may arise from the performance of the work. Areas of conflict may include current employment by the Federal or State governments, participation in developing the subject project, a publicly documented statement advocating for or against the subject project, current or future interests in subject project or future benefits from the project, and paid or unpaid participation in litigation against the USACE and/or DOTD or the Designer of Record.
3. The Consultant will be required to submit **in Section 22 of the DOTD Form 24-102** the **Appendix A: BI/COINAS** form for the proposed panel member to

DOTD for the sole purpose of validating that there is no conflict of interest. In addition, each panel member must complete and **submit in Section 22 of the DOTD Form 24-102, Part I, Background Information, and Part II, Confidential Conflict of Interest Disclosure**. *The following website provides Academy guidance for assessing composition and the appropriate forms (also available in Appendix A) for prospective panel members in General Scientific and Technical Studies: <http://www.nationalacademies.org/coi/index.html>.* If necessary, the Consultant shall remove a panel member during a review if a conflict arises. The replacement panel member must be approved by DOTD. All potential reviewers carry professional and personal biases, and it is important that these biases be disclosed when reviewers are considered and selected. The Consultant leading the review shall determine which biases, if any, will disqualify prospective reviewers.

MPRS ARE TO BE MET BY SEPARATE INDIVIDUALS OF THE PRIME CONSULTANT, UNLESS STATED OTHERWISE BELOW.

MPR Nos. 2a or 2b must be met by separate individuals; however, the individual meeting MPR No. 1 may also be used to meet MPR No. 2a or 2b.

NOTE: WHEN SATISFYING A MINIMUM PERSONNEL REQUIREMENT, PLEASE ENSURE THE RÉSUMÉ REFLECTS REQUIRED EXPERIENCE AS REQUESTED.

Although the MPRs must be met by the prime consultant only, this does not preclude the use of sub-consultant(s) in the performance of the contract.

- Please note the number of MPRs are minimal; however, all relevant personnel necessary to perform the Scope of Services must be identified in Section 15 of the DOTD Form 24-102 and their resumes included in Section 17 of the DOTD Form 24-102.

APPENDIX A. BI/COI NAS Form

National Academy of Sciences
National Academy of Engineering
Institute of Medicine
National Research Council

BACKGROUND INFORMATION
AND
CONFIDENTIAL CONFLICT OF INTEREST DISCLOSURE
For General Scientific and Technical Studies and Assistance

NAME: _____ TELEPHONE: _____

ADDRESS: _____

EMAIL ADDRESS: _____

CURRENT EMPLOYER: _____

PART I BACKGROUND INFORMATION

INSTRUCTIONS

Please provide the information requested below regarding **relevant** organizational affiliations, government service, public statements and positions, research support, and additional information (if any). Information is "relevant" if it is related to -- and might reasonably be of interest to others concerning -- your knowledge, experience, and personal perspectives regarding the subject matter and issues to be addressed by the committee activity for which this form is being prepared. If some or all of the requested information is contained in your curriculum vitae, you may if you prefer simply attach your CV to this form, supplemented by additional responses or comments below as necessary.

I. ORGANIZATIONAL AFFILIATIONS. Report your relevant business relationships (as an employee, owner, officer, director, consultant, etc.) and your relevant remunerated or volunteer non-business relationships (e.g., professional organizations, trade associations, public interest or civic groups, etc.).

II. GOVERNMENT SERVICE. Report your relevant service (full-time or part-time) with federal, state, or local government in the United States (including elected or appointed positions, employment, advisory board memberships, military service, etc.).

III. RESEARCH SUPPORT. Report relevant information regarding both public and private sources of research support (other than your present employer), including sources of funding, equipment, facilities, etc.

IV. PUBLIC STATEMENTS AND POSITIONS. List your relevant articles, testimony, speeches, etc., by date, title, and publication (if any) in which they appeared, or provide relevant representative examples if numerous. Provide a brief description of relevant positions of any organizations or groups with which you are closely identified or associated.

V. ADDITIONAL INFORMATION. If there are relevant aspects of your background or present circumstances not addressed above that might reasonably be construed by others as affecting your

judgment in matters within the assigned task of the committee or panel on which you have been invited to serve, and therefore might constitute an actual or potential source of bias, please describe them briefly.

PART II CONFIDENTIAL CONFLICT OF INTEREST DISCLOSURE

INSTRUCTIONS

It is essential that the work of committees of the institution used in the development of reports not be compromised by any significant conflict of interest. For this purpose, **the term "conflict of interest" means any financial or other interest which conflicts with the service of the individual because it (1) could significantly impair the individual's objectivity or (2) could create an unfair competitive advantage for any person or organization.** Except for those situations in which the institution determines that a conflict of interest is unavoidable and promptly and publicly discloses the conflict of interest, no individual can be appointed to serve (or continue to serve) on a committee of the institution used in the development of reports if the individual has a conflict of interest that is relevant to the functions to be performed.

The term "conflict of interest" means something more than individual bias. There must be an *interest*, ordinarily financial, that could be directly affected by the work of the committee.

Conflict of interest requirements are *objective* and *prophylactic*. They are not an assessment of one's actual behavior or character, one's ability to act objectively despite the conflicting interest, or one's relative insensitivity to particular dollar amounts of specific assets because of one's personal wealth. Conflict of interest requirements are objective standards designed to eliminate certain specific, potentially compromising situations from arising, and thereby to protect the individual, the other members of the committee, the institution, and the public interest. The individual, the committee, and the institution should not be placed in a situation where others could reasonably question, and perhaps discount or dismiss, the work of the committee simply because of the existence of conflicting interests.

The term "conflict of interest" applies only to *current interests*. It does not apply to past interests that have expired, no longer exist, and cannot reasonably affect current behavior. Nor does it apply to possible interests that may arise in the future but do not currently exist, because such future interests are inherently speculative and uncertain. For example, a pending formal or informal application for a particular job is a current interest, but the mere possibility that one might apply for such a job in the future is not a current interest.

The term "conflict of interest" applies not only to the personal interests of the individual but also to the *interests of others* with whom the individual has substantial common financial interests if these interests are relevant to the functions to be performed. Thus, in assessing an individual's potential conflicts of interest, consideration must be given not only to the interests of the individual but also to the interests of the individual's spouse and minor children, the individual's employer, the individual's business partners, and others with whom the individual has substantial common financial interests. Consideration must also be given to the interests of those for whom one is acting in a fiduciary or similar capacity (e.g., being an officer or director of a corporation, whether profit or nonprofit, or serving as a trustee).

Much of the work of this institution involves scientific and technical studies and assistance for sponsors across a broad range of activities. Such activities may include, for example: defining research needs, priorities, opportunities and agendas; assessing technology development issues and opportunities; addressing questions of human health promotion and assessment; providing scientific and technical assistance and supporting services for government agency program development; assessing the state of scientific or technical knowledge on particular subjects and in particular fields; providing international and foreign country science and technology assessments, studies and assistance. Such activities frequently address scientific, technical, and policy issues that are sufficiently broad in scope that they do not implicate specific financial interests or conflict of interest concerns.

However, where such activities address more specific issues having significant financial implications -- e.g., funding telescope A versus telescope B, government development or evaluation of a specific proprietary technology, promotion or endorsement of a specific form of medical treatment or medical device, connecting foreign research facilities to specific commercial interests, making recommendations to sponsors regarding specific contract or grant awards, etc. - - careful consideration must be given to possible conflict of interest issues with respect to the appointment of members of committees that will be used by the institution in the development of reports to be provided by the institution to sponsoring agencies.

The overriding objective of the conflict of interest inquiry in each case is to identify whether there are interests – primarily financial in nature – that conflict with the committee service of the individual because they could impair the individual's objectivity or could create an unfair competitive advantage for any person or organization. The fundamental question in each case is does the individual, or others with whom the individual has substantial common financial interests, have identifiable interests that could be directly affected by the outcome of the project activities of the committee on which the individual has been invited to serve? For projects involving advice regarding awards of contracts, grants, fellowships, etc., this institution is also guided by the principle that an individual should not participate in any decision regarding the award of a contract or grant or any other substantial economic benefit to the individual or to others with whom the individual has substantial common financial interests or a substantial personal or professional relationship.

The application of these concepts to specific scientific and technical studies and assistance projects must necessarily be addressed in each case on the basis of the particular facts and circumstances involved. The questions set forth below are designed to elicit information from you concerning possible conflicts of interest that are relevant to the functions to be performed by the particular committee on which you have been invited to serve.

1. FINANCIAL INTERESTS. (a) Taking into account stocks, bonds, and other financial instruments and investments including partnerships (but excluding broadly diversified mutual funds and any investment or financial interests valued at less than \$10,000), do you or, to the best of your knowledge others with whom you have substantial common financial interests, have financial investments that could be affected, either directly or by a direct effect on the business enterprise or activities underlying the investments, by the outcome of the project activities of the committee on which you have been invited to serve?

(b) Taking into account real estate and other tangible property interests, as well as intellectual property (patents, copyrights, etc.) interests, do you or, to the best of your knowledge others with whom you have substantial common financial interests, have property interests that could be directly affected by the outcome of the project activities of the committee on which you have been invited to serve?

(c) Could your employment or self-employment (or the employment or self-employment of your spouse), or the financial interests of your employer or clients (or the financial interests of your spouse's employer or clients) be directly affected by the outcome of the project activities of the committee on which you have been invited to serve?

(d) Taking into account research funding and other research support (e.g., equipment, facilities, industry partnerships, research assistants and other research personnel, etc.), could your current research funding and support (or that of your close research colleagues and collaborators) be directly affected by the outcome of the project activities of the committee on which you have been invited to serve?

(e) Could your service on the committee on which you have been invited to serve create a specific financial or commercial competitive advantage for you or others with whom you have substantial common financial interests?

If the answer to all of the above questions under FINANCIAL INTERESTS is either "no" or "not applicable," check here _____ (NO).

If the answer to any of the above questions under FINANCIAL INTERESTS is "yes," check here ____ (YES), and briefly describe the circumstances on the last page of this form.

2. OTHER INTERESTS. (a) Is the central purpose of the project for which this disclosure form is being prepared a critical review and evaluation of your own work or that of your employer?

(b) Do you have any existing professional obligations (e.g., as an officer of a scientific or engineering society) that effectively require you to publicly defend a previously established position on an issue that is relevant to the functions to be performed in this committee activity?

(c) To the best of your knowledge, will your participation in this committee activity enable you to obtain access to a competitor's or potential competitor's confidential proprietary information?

(d) If you are or have ever been a U.S. Government employee (either civilian or military), to the best of your knowledge are there any federal conflict of interest restrictions that may be applicable to your service in connection with this committee activity?

(e) If you are a U.S. Government employee, are you currently employed by a federal agency that is sponsoring this project? If you are not a U.S. Government employee, are you an employee of any other sponsor (e.g., a private foundation) of this project?

(f) If the committee activity for which this form is being prepared involves reviews of specific applications and proposals for contract, grant, fellowship, etc. awards to be made by sponsors, do you or others with whom you have substantial common financial interests, or a familial or substantial professional relationship, have an interest in receiving or being considered for awards that are currently the subject of the review being conducted by this committee?

(g) If the committee activity for which this form is being prepared involves developing requests for proposals, work statements, and/or specifications, etc., are you interested in seeking an award under the program for which the committee on which you have been invited to serve is developing the request for proposals, work statement, and/or specifications -- or, are you employed in any capacity by, or do you have a financial interest in or other economic relationship with, any person or organization that to the best of your knowledge is interested in seeking an award under this program?

If the answer to all of the above questions under OTHER INTERESTS is either "no" or "not applicable," check here _____ (NO).

If the answer to any of the above questions under OTHER INTERESTS is "yes," check here ____ (YES), and briefly describe the circumstances on the last page of this form.

EXPLANATION OF "YES" RESPONSES:

During your period of service in connection with the activity for which this form is being completed, any changes in the information reported, or any new information, which needs to be reported, should be reported promptly by written or electronic communication to the responsible staff officer.

YOUR SIGNATURE

DATE