

8.0 CE CONSULTANT SELECTION and AGREEMENT



8.0 CE CONSULTANT SELECTION AND AGREEMENT

8.1 Introduction

The Local Public Authority (LPA) may engage consultants to perform CE and related services for a Federal-aid and/or State-aid funded project. The LPA must follow the selection and contracting provisions of the Brooks Act. This Act requires engineering and design contracts utilizing Federal/State funds be awarded on the basis of fair and open competitive negotiations, demonstrated competence and professional qualifications.

The LPA will select a consultant from an approved list of consultants furnished by KDOT. It is necessary for a person to be Certified Inspection and Testing (CIT) certified in those classifications where actual inspection, sampling or testing activities will be performed.

8.2 Inspection Options

The LPA has two options for the inspection of federal or state funded projects:

1. to inspect the project utilizing certified LPA staff or
2. request the services of a certified consultant utilizing the QBS process. Refer to Section 3 for the QBS process. BLP will send the packets outlining the necessary requirements and procedures to the LPA six months prior to the scheduled letting.

8.3 Funding Options

The LPA may fund the CE inspection entirely with LPA funds (non-participating) or utilize matching funds (participating).

8.3.1 Participating

BLP will provide the LPA with working days to be used to submit a proposal and estimate for BLP approval. Refer to Section 3 of this Manual for agreement procedures.

Supplemental agreements are changes to the original agreement. They may be issued at the request of any party and are subject to approval by the same methods as the original agreement. A CE supplemental may be requested either during construction or after the construction is complete. Any supplemental request will be submitted to the KDOT field office with written documentation and a detailed estimate that provides justification for extra compensation.

Approval by the local construction office and the LPA is necessary before the request is reviewed and approved by the District Engineer and Bureau of Construction and Maintenance. Once the supplemental request has the necessary approvals, BLP will create the supplemental agreement. BLP will distribute the supplemental agreement to the necessary parties for signatures. Originals are to be returned to KDOT for further processing.

8.3.1.1 LPA Inspection

The LPA will submit a CE proposal, a detailed estimate, and a list of KDOT certified inspectors to BLP. If the LPA needs additional inspection staff, the LPA may enter into a contract with a qualified sub-consultant. The LPA will pay the sub-consultant directly. To receive reimbursement,

the sub-consultant must have been selected utilizing the QBS selection process. The sub-consultant must be a part of the CE proposal and estimate approved by BLP.

8.3.1.2 Consultant Inspection

Quality Based Selection (QBS) is required by state statute for consultant selection when state or federal dollars are used for CE. Refer to Section 3 of this Manual for details on the QBS process.

The working days are provided to the consultant by the LPA. The consultant provides the LPA with a proposal, detailed estimate of costs, and a list of the KDOT certified inspectors. A consultant may enter into an independent agreement with a sub-consultant if additional certified inspection staff is necessary. The LPA will approve and forward the proposal and estimate to BLP for justification. BLP will initiate a three party agreement. Refer to Section 3 of this Manual for agreement procedures.

8.3.2 Non-Participating

The LPA has an option to not to use Federal or State-Aid in the inspection. This option allows the LPA to utilize LPA forces and/or consultant services without utilizing the QBS process. If consultant services are used, A KDOT qualified consultant must be selected due to the use of Federal or State-aid in the construction. All inspector and inspection guidelines need to be followed as if the CE is a participating item. BLP will execute a contract with the LPA and consultant. The LPA will pay the consultant directly with no reimbursement coming from KDOT.

8.4 Conflict of Interest

Federal and State laws and regulations provide for the protection of public's interest against fraud, waste, and abuse of government resources. All consulting engineering firms employed on projects administered by the KDOT Bureau of Local Projects are expected to exercise judgment and perform their duties in a way that supports the applicable policies and practices of the State of Kansas and the Local Public Authority. Any situation that would compromise the ability of the consulting firm or its employee(s) ability to act on behalf of the KDOT or the LPA is considered a Conflict of Interest.

Conduct or situations that are considered to be conflicts of interest include, but are not limited to, the following:

- A consulting firm or its employee has, either directly or indirectly, a financial or personal interest in a contractor, subcontractor, or material supplier connected to the project.
- A consulting firm or its employee unduly influencing decisions on scope changes, design changes, construction revisions, contract change orders and other related issues in order to minimize or ignore design errors or to positively benefit the firm.

All consultant contracts for Construction Engineering Inspection Services for work to be paid partially or wholly with federal or state dollars will include the following language under the Obligations of the Consultant.

- 1) *The Consultant warrants they have no public or private interest, and shall not acquire directly or indirectly any such interest, which would conflict in any manner with the performance of the work under this Agreement. Specifically, the Consultant is prohibited from performing contractor construction staking or any other work that is the construction Contractor's responsibility on this Project.*
- 2) *The Consultant will not, without written permission from the KDOT, engage the services of any person(s) in the employment of the KDOT for any work required by the terms of this Agreement.*

In addition, every contract for engineering services will include a Code of Conduct Certification, signed by the Consultant, Deputy Secretary of Transportation and State Transportation Engineer, and the LPA. By signing this form the three parties certify that there was no undue influence of any party in regard to executing or carrying out the agreement. Figure ___ shows a copy of this Certification form, which is known as Special Attachment No. 2 in the Agreement.

The consultant is responsible to identify and disclose any actual or potential Conflict of Interest on a project.

In addition to these requirements, the consulting firm and its employees shall comply with any other professional responsibilities, code of ethics, or law applicable to services being provided.