Illinois Department of Transportation

Innovative Project Delivery Manual and Guidelines

Appendix 2 - Construction Manager/General Contractor Guidelines

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1 CMGC Delivery Overview

The Construction Manager/General Contractor (CMGC) project delivery method utilizes a CMGC firm to provide preconstruction services and construction services. The preconstruction phase services consist of pricing, constructability reviews, and risk analysis during design development. The CMGC Contractor then negotiates a Guaranteed Maximum Price (GMP) for the construction, and upon IDOT's acceptance of the GMP, enters the implementation phase of the CMGC Contract. During the implementation phase, the CMGC firm manages the construction, and hiring of subcontractors to perform the construction work.

The CMGC delivery method utilizes early contractor involvement in developing the project. During construction, the CMGC firm may self-perform a portion of the work while supplying overall construction management through its own staff or a consultant.

CMGC Projects are implemented in four phases:

- Pre-procurement Phase (Preliminary Design / Project Readiness)
- Procurement Phase (Advertisement / Evaluation / Selection)
- Preconstruction Phase (Design Advancement / GMP)
- Implementation Phase (Final Design / Construction)

1.1 Contractual Arrangement for CMGC Delivery

For CMGC delivery, IDOT separately procures a CMGC Contractor, and separately an Engineer of Record (EOR) to work collaboratively to deliver the project. IDOT appoints or procures an Independent Cost Estimator (ICE) to provide an analysis of the project cost. In addition, if IDOT staff do not provide the construction oversight, IDOT procures a Construction Oversight Team (COT) to oversee the construction of the project in compliance with the Construction Manager / General Contractor contract (CMGC Contract).

Figure 1-1 below shows the contractual arrangement for CMGC delivery.

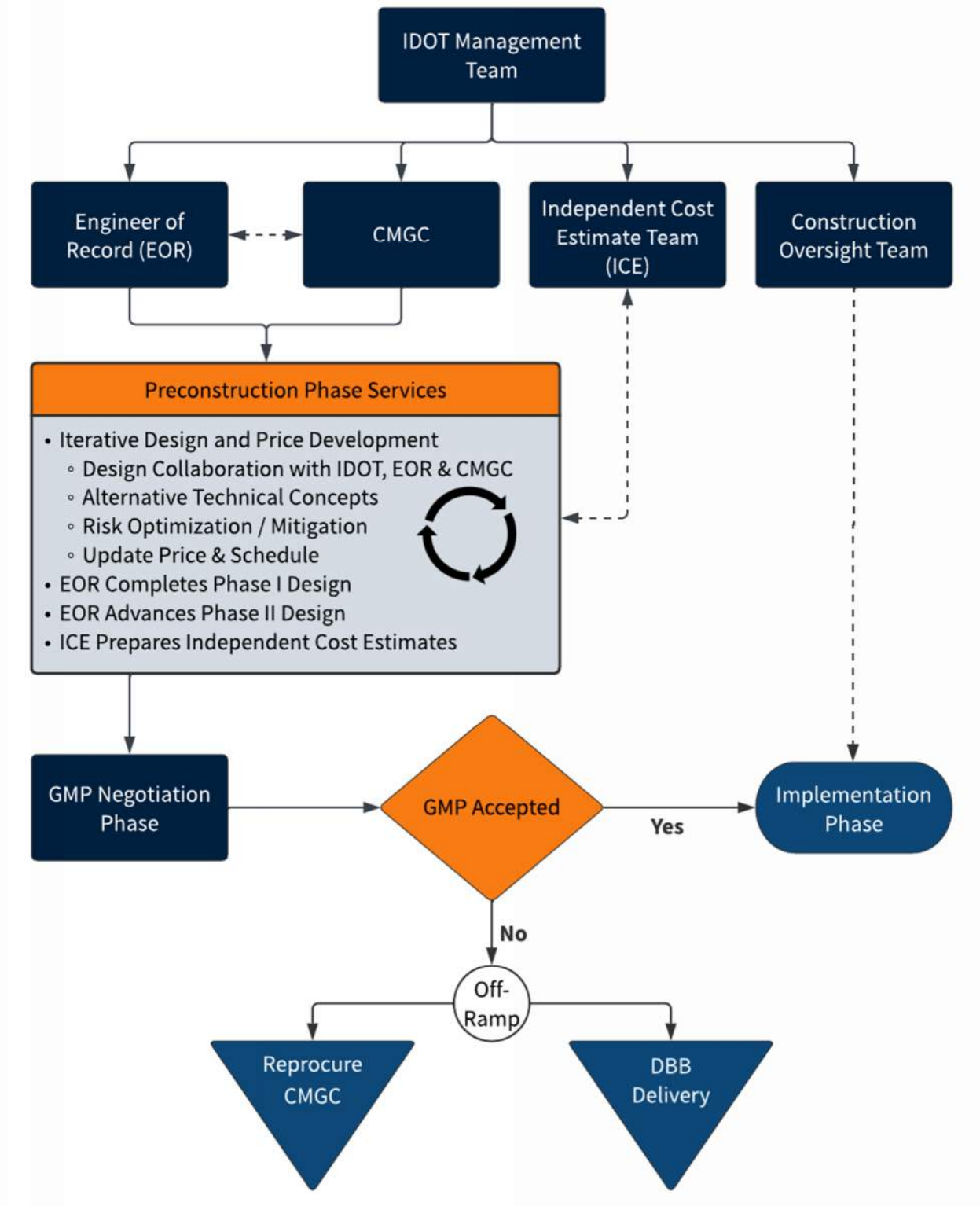

FIGURE 1-1 CONTRACTUAL ARRANGEMENT FOR CMGC DELIVERY

1.2 Sequencing of Activities

- The IDOT Management Team conducts pre-procurement activities to prepare for onboarding the EOR and CMGC
- IDOT procures an EOR and at a later date, separately procures a CMGC
- During the preconstruction phase and under the direction of the IDOT Management Team, the EOR and CMGC work collaboratively to conduct all preconstruction services to iteratively advance the design to a level of completion necessary to develop the CMGC's GMP
- Also, during the preconstruction phase, the IDOT Management Team appoints or procures an ICE to independently verify the CMGC's cost estimate submissions
- Once the IDOT Management Team accepts the GMP, the EOR completes the design and IDOT issues construction Notice to Proceed
- Following construction Notice to Proceed, the IDOT Management Team appoints or procures a Construction Oversight Team to oversee quality assurance and quality control of the implementation phase and ensure contract compliance. IDOT may use a previously procured Construction Oversight Team.
- IDOT may procure an Owners Representative in addition to or in lieu of a Construction Oversight Team.

1.3 IDOT Management Team

The best suited staff and organization of a CMGC project delivery team is tailored specifically to lead the unique characteristics of the scope of work and project under consideration. The high-level organizational structures described below are provided as a starting point to develop a project specific IDOT Management Team.

As CMGC projects progress from inception to completion, the IDOT Management Team organizational structure also will shift from one where both the IPD Bureau (procurement) and the District (technical) will lead components during pre-procurement and procurement phases to a District led effort during the preconstruction and implementation phases.

1.3.1 Pre-Procurement and Procurement Phase Organizational Structure

Pre-procurement phase and procurement phase activities will involve both the IPD Bureau and the District PM with each group focusing on key elements of the Phases. The high-level organizational structure for the pre-procurement and procurement phases is shown in Figure 1-2 below:

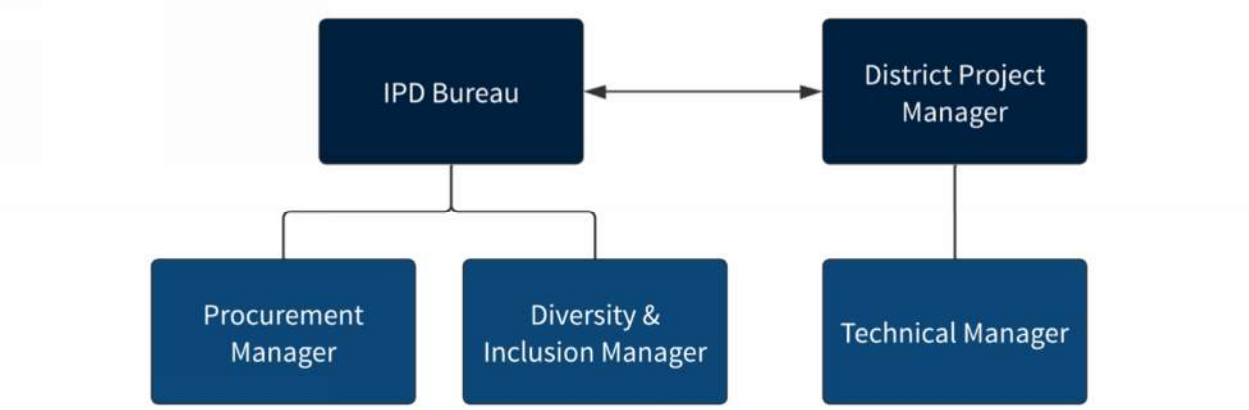

FIGURE 1-2 PRE-PROCUREMENT PHASE AND PROCUREMENT PHASE ORGANIZATIONAL STRUCTURE

Pre-Procurement Phase Activities

During the pre-procurement phase, activities will be completed that prepare the project for advancement to the procurement phase. The IPD Bureau will focus on the following pre-procurement phase activities:

- In concert with the District PM, develop the scope of service documents defining the preconstruction phase services to be provided by the EOR, CMGC, and ICE during the preconstruction phase
- Coordinate with IDOT Central office and the District to ensure funding is established for the project
- Preparing a written determination to demonstrate and document that CMGC delivery method is in the best interest of the State in accordance with the CMGC, DB, and PDB Manual
- IDOT Office of Workforce Diversity (OBWD) will establish DBE utilization requirements for the project design and construction with FHWA input, as necessary
- Conduct the initial risk workshop in coordination with the District PM

The District PM will focus on technical activities, which may include:

- Project definition, scope, schedule, and preliminary estimate
- Advance the NEPA process to coordinate the completion of an environmental decision in accordance with the preliminary schedule and document any environmental commitments required under the decision
- Initiate field investigations and third-party coordination activities

- Identify major project risks and participate in initial risk workshop
- Coordinate with all affected local jurisdictions and government officials and initiate any public outreach activities

Procurement Phase Activities

During the procurement phase, the IPD Bureau and the District PM will continue to work together to manage all project activities. The IPD Bureau will focus on the following procurement phase activities:

- Coordination with the District PM to develop the framework procurement documents
- Participation in the evaluation committees and one-on-one meetings
- Coordinate with the District on the identification of evaluation committee members
- Oversight of consultant resources to facilitate procurement activities (documents coordination, one-on-one meetings, due diligence evaluations, etc.)
- Coordination with Office of Chief Counsel (OCC) on legal issues that require amendments to the framework documents, CMGC Contract or procurement process

The District PM will focus on technical activities, which may include:

- Development of technical requirements/provisions
- Participation in the evaluation committees and one-on-one meetings
- Coordination with the IPD Bureau on contract language, risk allocations, and transition to preconstruction phase
- Continue coordination with affected jurisdictions, elected officials and facilitate additional public outreach opportunities

1.3.2 Preconstruction Phase and Implementation Phase Organizational Structure

At the conclusion of the procurement phase, the focus of project activities shifts to preconstruction phase activities necessary to advance the project to a GMP followed by implementation phase activities. Preconstruction phase and implementation phase activities will involve both the IPD Bureau and the District PM but will be led by the District PM.

The high-level organizational structure for the preconstruction phase and implementation phase is shown in **Figure 1-3** below:

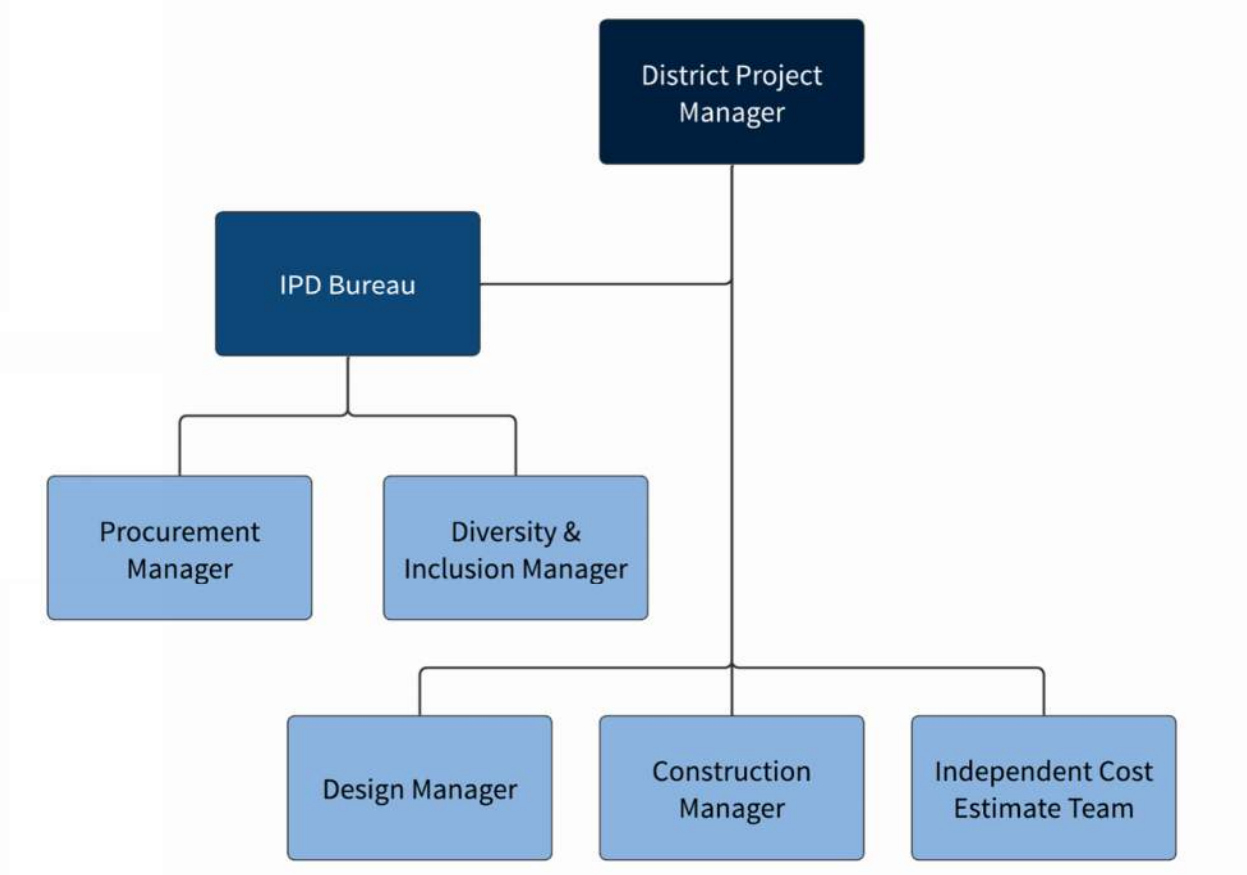

FIGURE 1-3 PRECONSTRUCTION PHASE AND IMPLEMENTATION PHASE ORGANIZATIONAL STRUCTURE

Preconstruction Phase Activities

During the preconstruction phase, the IPD Bureau will focus on the following activities:

- Resolution of any issues, concerns, or interpretations of the contract documents identified by the EOR, the CMGC, or the District PM
- Development of the CMGC Contract

The District PM will focus on oversight of the preconstruction phase services, which generally include the following activities:

- Administration of the CMGC Contract
- Conducting partnering workshop, project scoping workshop, project team meetings, design review meetings, and cost model review meetings with CMGC
- Overseeing the collaborative effort between the EOR and the CMGC
- Reviewing EOR and CMGC submittals
- Guiding design decisions
- Reviewing design innovations
- Managing the ICE estimates

- Lead negotiator for interactive GMP process

Implementation Phase Activities

Once the CMGC Contract has been executed, the CMGC commences construction activities. During the implementation phase, the IPD Bureau will focus on the following activities:

- Resolution of any issues, concerns, or interpretations of the contract documents identified by the EOR, the CMGC, or the District PM.

The District PM will focus on oversight of the construction, which generally include the following activities:

- Compliance with CMGC Contract, plans and specifications
- Field inspection and materials testing
- Measurement and payment
- Schedule compliance
- DBE utilization, environmental compliance, and safety
- Coordination and communications with local public officials, travelling public, and IDOT Management
- Reporting of project and program metrics
- Project closeout and as-built plans

2 CMGC Procurement

2.1 Pre-Procurement Phase Activities

The pre-procurement phase is utilized to ensure all the information, resources and decisions are in place for advancing the project to procurement. The initial step is to collect and review all available project information necessary to define the project and develop a comprehensive scope, preliminary budget, and schedule for the constructed facility. Based on that scope, the IPD Bureau in consultation with the District PM, will develop the resource requirements and scope of services for the EOR, CMGC and ICE.

2.1.1 Appointing or Procuring an Engineer of Record for CMGC

The Department may appoint internal transportation staff or procure an Owner's Representative to serve as the EOR. The EOR should be onboarded early in the pre-procurement phase in advance of procuring the CMGC.

EOR Pre-Procurement Scope of Services

The EOR will provide design services throughout the project under the direction of the District PM including Phase I design, Phase II design, and design support during construction. The EOR is responsible for signing and sealing the plans and specifications.

During the pre-procurement phase the EOR will be focused on Phase I design services and providing technical support to the District PM in developing the CMGC procurement documents as described in Section 2.1.2 Project Definition.

2.1.2 Project Definition

The District PM, with technical support from the EOR, develops a scoping document that provides the physical description of the facility. A comprehensive project definition typically includes project limits, lane arrangements, bridge and culvert locations, interchange locations, known utility conflicts, right of way requirements, environmental commitments, and major project constraints.

In addition, the District PM defines the desired design criteria for the project. Design criteria typically includes parameters for design speed(s), level of service, geometric design, pavement design, foundation design, drainage design, structural design, and traffic control / lane closures.

Early Works Activities

In parallel with the project definition, the District PM initiates early work activities to include right of way acquisition activities, utility relocation coordination, geotechnical site investigations, rail and transit coordination, and where possible secure memoranda of understanding (MOUs) with affected jurisdictions.

In addition, the District PM coordinates with the environmental personnel to coordinate the completion of the environmental process to the extent possible based on the preliminary

design, and that any environmental mitigations known and required at this point are included in the project scoping documents.

Risk-Based Cost and Schedule Estimate

Based on the project definition, the District PM will work with the EOR to develop the initial engineer's opinion of probable construction cost to be utilized to develop a risk-based project cost and schedule estimate. Using standard estimating methods, a base estimate is developed using estimated quantities and unit prices. The base estimate is then adjusted to account for risks and contingencies.

A risk workshop is conducted to update the initial risk worksheet developed previously in Chapter 2, Project Readiness and Selection Process, of the IPD Manual and Guidelines. The risk worksheet is updated with current information to provide an updated risk-based estimate of project cost and schedule.

2.1.3 Preconstruction Phase Scope of Services Development

Also, during the pre-procurement phase, the IPD Bureau in coordination with the District PM develops scope of services documents for preconstruction phase activities required for the CMGC and ICE.

2.1.3.1 EOR Preconstruction Phase Scope of Services

The EOR preconstruction phase scope of services includes the standard activities for design services with the addition of requirements to collaborate the design with inputs from IDOT and the CMGC Contractor. This includes all IDOT standard design activities for Phase I and Phase II design through completion of the bid documents and additional activities to facilitate the collaborative process.

Typically, the EOR will advance the Phase I design and the NEPA document to an environmental approval prior to selection of the CMGC Contractor.

A typical EOR scope of services includes an initial partnering/project scoping workshop where the EOR furnishes the preliminary design, schedule, and design status report. Following the initial workshop, the EOR engages in an iterative design process in collaboration with the CMGC Contractor to develop incremental design submittals for the CMGC Contractor to develop an associated price. The EOR will also participate in risk workshops conducted by the IPD Bureau providing input to evaluating risks. This iterative process continues until the CMGC has sufficient information to submit a GMP.

During the preconstruction phase, the EOR reviews suggestions by IDOT and the CMGC Contractor and determines if they can be incorporated into the design. The EOR is responsible for ensuring comments and suggestions from IDOT or the CMGC Contractor meet applicable design standards and if so, incorporates those suggestions into the design.

Once the GMP is accepted by IDOT, the EOR completes the Phase II design and issues the corresponding signed and sealed issued for construction documents. The EOR may be retained beyond issuance of the construction documents for implementation phase services at the discretion of IDOT.

Should IDOT elect to utilize consultant services to provide EOR services, the EOR scope of services will be utilized in the EOR procurement. Otherwise, the EOR scope of services will be utilized as the guiding document for IDOT in-house personnel.

2.1.3.2 CMGC Preconstruction Phase Scope of Services

The CMGC Contractor preconstruction phase scope of services includes all the standard activities a contractor would perform in developing a project bid with the addition of requirements to collaborate with IDOT and the EOR.

A typical CMGC Contractor scope of services includes an initial partnering/project scoping workshop where the CMGC Contractor furnishes the preliminary project estimate, preliminary project schedule, risk register, and a project development plan that includes a communications plan, a document control plan and other project specific elements to participate in the preconstruction process.

Following the initial workshop, the CMGC Contractor engages in an iterative design process in collaboration with the IDOT and the EOR to develop incremental submittals to include constructability reviews, materials, construction phasing, price, schedule, and updated risk register. The CMGC Contractor will also participate in risk workshops providing input to evaluating risks. This iterative process continues until the CMGC Contractor has sufficient information to submit a GMP.

The CMGC Contractor preconstruction phase scope of services will be utilized in the CMGC procurement.

2.1.3.3 ICE Scope of Services

The ICE scope of services includes providing independent cost estimates based on any submittal received from the EOR/CMGC. An ICE typically develops an independent cost estimate by considering costs associated with the staging, maintaining traffic, time, materials, labor, equipment, local market conditions and other factors unique to the CMGC project. To the maximum extent possible, the ICE should not utilize average unit price information. Instead, the ICE should perform a bottom-up resource-based cost estimate similar to the approach a contractor takes to estimating/pricing a project.

To maintain independence, the ICE is firewalled from most project activities but may attend some project meetings that are limited to discussions or clarifications of any submittal. The ICE should not participate in price negotiations. The ICE scope should clearly state that all materials reviewed, and work product produced are confidential, and participation on the project conflicts the ICE and their subcontractors from bidding on the project should CMGC be unsuccessful in reaching a GMP with IDOT.

Should IDOT elect to utilize consultant services to provide ICE services, the ICE scope of services will be utilized in the ICE procurement. Otherwise, the ICE scope of services will be utilized as the guiding document for IDOT in-house personnel.

2.1.4 Approvals

During the pre-procurement phase, activities will be completed that ensure the project is ready to advance to the procurement phase and has pre-procurement decisions in place such as:

- The scope of the project has been agreed to by the IPD Bureau and District leadership and funding has been programmed with the corresponding engineer's estimate furnished by the District PM
- The preconstruction phase services scope for the CMGC Contractor and ICE have been approved by IDOT and funding has been programmed for each
- Resources have been identified for the EOR and ICE, whether in-house or consultant resources
- An analysis and written determination have been conducted to demonstrate and document that CMGC delivery method is in the best interest of the State in accordance with the Manual (Section 3.2, Project Delivery Method Selection Process, of the IPD Manual and Guideline)
- IDOT OBWD has made a determination of DBE utilization or other communities' participation in the project design and construction

2.1.5 CMGC Procurement Schedule

The final step in the pre-procurement phase is to develop a comprehensive CMGC procurement schedule. The IPD Bureau and the District PM work collaboratively to develop the CMGC procurement schedule. The schedule should be tailored to the project under consideration and used as a guiding document throughout the procurement phase. The typical activities for two-phase CMGC procurement are shown in the table below. For single-phase procurements, the schedule template below must be modified to omit the RFQ phase and combine those activities into the RFP phase.

CMGC Procurement Schedule	
Activity	**Completion Date**
Design Definition	
- Phase I design documents developed to date	
- Environmental documents advanced (pending or complete)	
- IDOT approvals (pending or complete)	
- Establish DBE Utilization Requirements	
- Preliminary investigations status (utilities, geotechnical, ROW, etc.)	
CMGC RFQ	
- Industry Meeting (Optional)	
- Develop RFQ	

CMGC Procurement Schedule	
- Issue NOI	
- Issue RFQ	
- Pre-Evaluation Activities	
- Evaluation and Shortlisting	
CMGC RFP	
- Develop RFP	
- IDOT Management Team approval for Issuance	
- Issue Notice of Intent (NOI)	
- Issue RFP	
- Pre-Proposal Meeting (optional)	
- Issue Final RFP	
- RFP Addenda, if necessary	
- Proposals Due	
- Evaluation	
- Interviews (optional)	
- CMGC selection and notification	
- CMGC negotiation (preconstruction phase services scope and fee)	
- Issue Notice to Proceed with preconstruction phase services	
ICE Onboarding	
- ICE scope development	
- Determination of in-house or consulting resources for ICE role	
- ICE shortlisting, interviews, and qualifications-based selection	
- ICE negotiation and award	
Preconstruction Phase Services	
- Iterative design and price development	
o Collaboration with EOR to advance design	
o Risk Optimization/Mitigation Workshop	
- Agreed GMP	
- Review and amend CMGC Contract with GMP	
- Issue construction Notice to Proceed	
Construction Oversight Team Onboarding	
- Construction Oversight scope development	
- Determination of in-house or consulting resources for construction oversight role	
- Construction Oversight Team selection	
- Construction Oversight Team negotiation and award	

2.2 Procurement Phase Activities

When the IPD Bureau and the District PM deem the project is ready for procurement, IDOT will employ the procurement process described below to select a CMGC Contractor. IDOT may procure a CMGC Contractor by using either a single-phase (only for projects under $5 million cost, with approval) or a two-phase procurement.

Under a single-phase procurement, IDOT will issue only a Request for Proposals (RFP) to procure the CMGC Contractor. A single-phase procurement may be utilized for smaller projects under $5 million, or with written approval of the IDOT Secretary.

Under a two-phase procurement, IDOT will first issue a Request for Qualifications (RFQ) and then an RFP. The two-phase procurement process is described in this section and is generally preferred.

For projects not already designated for IPD delivery in the MYP, IDOT will issue a Notice of Intent (NOI) a minimum of 28 days prior to commencing the procurement. The NOI will include a description of the proposed procurement and project to be procured.

2.2.1 CMGC Procurement Overview

In a CMGC procurement, interested proposers respond to the RFQ with a Statement of Qualifications (SOQ) by demonstrating the proposer's experience and qualifications in accordance with the RFQ requirements. IDOT will evaluate the responses based on evaluation criteria in the RFQ and will shortlist the most highly qualified proposers.

IDOT will then issue an RFP to the shortlisted proposers. After issuance of the RFP, IDOT may meet with proposers in confidential one-on-one meetings to discuss any questions from proposers about the RFP and provide any project updates.

IDOT may provide updates to the RFP based on project development activities and in response to proposer questions. Once proposals are submitted, IDOT will evaluate the proposals received for responsiveness to the RFP requirements and evaluation criteria. IDOT will select the best-value proposer based on proposal responsiveness and the evaluation criteria described in the RFP.

The selected proposer will be invited to submit a final negotiated Preconstruction Phase Services Proposal. Once the CMGC Contractor and IDOT have reached a mutually agreeable fee and scope, the CMGC Contract will be executed and IDOT will issue Notice to Proceed (NTP) for the preconstruction phase services.

2.2.2 Engineer of Record Activities During CMGC Procurement

During the procurement phase, the EOR will continue to focus on Phase I design services and providing technical support to the District PM in developing the CMGC procurement documents. It is desirable to hold design development to a preliminary or concept level of completion until the CMGC Contractor has been selected. This allows for greater opportunities for IDOT to benefit from potential innovations by the interactive design process between IDOT, the EOR and the CMGC Contractor during the preconstruction phase.

2.2.3 Industry Meeting (Optional)

Prior to commencing a CMGC procurement, the Department may elect to conduct a pre-procurement meeting with potential proposers to assess and garner industry interest in the project. In lieu of, or in addition to an industry meeting, IDOT may issue a Request for Information (RFI) to industry to garner and assess interest in the project.

2.2.4 Develop RFQ

Each CMGC RFQ may include the following items:

- Scope of work
- Key staff and firms experience and qualifications along with the conditions under which key staff personnel and firms can be replaced
  - A provision stating that after a proposer submits a Statement of Qualifications (SOQ), the proposer may not replace, remove, or otherwise modify any firm identified as a member of the proposer team unless authorized by IDOT
  - Qualification and experience requirements should include specific experience related to projects of similar size, scope, and complexity
- Evaluation criteria – proposer's technical and financial qualifications, such as:
  - Specialized experience, technical competence, capability to perform, financial capacity, the proposer's workload, local office presence, past performance including the proposer's safety record and record of utilization of business enterprises owned by minorities, women, and individuals with disabilities, including DBEs
- Requirement for prequalification, licensing and registration of the contractor and proposed subcontractors in the State of Illinois.
- Past performance references or contact information for persons who can attest to the past performance of the proposer with respect to: successful project delivery, subcontracting, labor relations, diverse business utilization, workforce diversity, and compliance with contract requirements
- Summary of the CMGC Contract framework in the form of a term sheet highlighting the proposed CMGC Contract terms.

2.2.5 Issuance of the NOI

For projects not already identified in the MYP for IPD delivery, the Department must issue an NOI a minimum of 28 days in advance of issuance of the RFQ. Otherwise, the Department may issue the RFQ to initiate the CMGC procurement. The NOI, if issued, will be posted on the IDOT website.

2.2.6 Issuance of the RFQ

Upon approval by the IPD Bureau Chief, IDOT issues the RFQ. The RFQ will be posted on the IDOT website. In accordance with the procurement schedule in the RFQ, proposers may submit

questions to IDOT. The questions are submitted and responded to in accordance with the RFQ. Based on questions and answers received, any clarifications to questions or formal changes to the RFQ may be made in the form of addendums.

2.2.7 Pre-Evaluation Activities

Prior to receipt of SOQs, the IPD Bureau and the Chief Procurement Office (CPO) will complete the following tasks:

- Identify individuals participating on the Evaluation Committee
- Verify all signed confidentiality agreements are obtained and conflict of interest disclosures are assessed, and responsive action taken, if needed
- Conduct evaluator training
- Prepare secure rooms to receive evaluation materials and proposer submittals

2.2.8 Evaluation and Shortlisting

Prior to receipt of the SOQs, the Evaluation Committee will establish a weighting of the evaluation criteria based on the relative importance of the project specific criteria deemed as key selection criteria for the project.

The Evaluation Committee will utilize consensus scoring to evaluate the SOQs. In the consensus scoring approach, individual Evaluation Committee members read the SOQs prior to evaluation work sessions and make notes of proposed scoring, observations of strengths and weaknesses, and questions regarding the SOQ. Once all SOQs have been scored individually, the Evaluation Committee will meet to develop consensus scores for each proposer.

The Evaluation Committee will rank the SOQs and develop a shortlist to advance to the RFP stage. A minimum of two and potentially up to five proposers will be shortlisted (unless the IDOT Secretary makes a finding that an emergency situation justifies shortlisting fewer than two proposers).

IDOT will conduct evaluations in a secure facility. The RFQ specifies the evaluation process, which includes:

- Each SOQ is reviewed for satisfaction of the prequalification criteria identified in the RFQ and responsiveness to RFQ requirements
- Any SOQ that does not pass and/or is not responsive may not be considered
- Evaluation Committee members should be capable of assessing the proposer's technical and financial qualifications
- The Evaluation Committee provides a recommendation to the IPD Bureau and the District PM, who will determine a recommended shortlisting of proposers

2.2.9 Request for Proposals (RFP)

The RFP is developed by the IPD Bureau in collaboration with the District PM and requires approval by the IPD Bureau Chief prior to issuance to prospective proposers.

The RFP should be tailored to the individual project. It may contain any terms deemed appropriate by IDOT including the following:

- Evaluation criteria – technical and financial requirements and the relevant importance of those criteria, such as:
  - Specialized experience, technical competence, capability to perform, financial capacity, the proposer's workload, local office presence, past performance including the proposer's safety record and record of utilization of business enterprises owned by minorities, women, and individuals with disabilities, including disadvantaged business enterprises
- If interviews are anticipated, the maximum number of proposers IDOT will shortlist to participate in interviews
- The form of the CMGC Contract such as:
  - Scope and performance requirements, schedule or completion date requirements, subcontractor requirements, payment and performance security requirements, and insurance requirements
- The requirements for the technical component of the proposal, including a description of the level of design, scope and type of renderings, drawings, and specifications to be provided in the proposals
- The requirements for the price component of the proposal, which includes a requirement for the proposer to submit a price for the costs to perform the required preconstruction phase services
- Requirements regarding utilization of business enterprises, including disadvantaged business enterprises, and workforce development, including a description of utilization and workforce diversity plans and certifications to be provided in the proposals for both the preconstruction and implementation phases
- Procurement schedule showing key dates for the RFP issuance, pre-proposal meeting (optional), question and answer period, proposal submittal, shortlisting, interviews (optional), and preferred proposer selection
- Available project reference information documents such as:
  - Preliminary plans, environmental documents, MOUs, utility data, geotechnical data, and traffic data

The RFP will require proposals to contain the following information in addition to other requirements:

- A description of the proposers approach demonstrating their contract understanding and approach to communications, coordination, risk management and partnering
- The proposer's understanding of the project's scope and complexity, level of design and the identification of project risks and potential mitigation strategies and solutions

- The proposer's preconstruction phase services cost proposal
- Other requirements necessary to submit a compliant proposal

2.2.10 Issuance of the RFP

The RFP shall be advertised a minimum of 28 calendar days in advance of the proposal due date. The advertisement period may be longer if necessary for the project and at the discretion of the Department. The RFP will be posted on the IDOT website.

2.2.11 Pre-Proposal Meeting (Optional)

The Department may conduct a pre-proposal meeting during the procurement process to introduce all prospective proposers to the CMGC delivery method, provide an overall introduction to the project as scoped, and allow for questions about the project, procurement documents, and process.

The pre-proposal meeting generally consists of a presentation by IDOT followed by a question-and-answer session. It should be clearly stated that any information provided during the pre-proposal meeting is non-binding and for informational purposes only. Questions may be submitted in writing to IDOT after the pre-proposal meeting for formal response during the designated question and answer period as shown in the RFP.

2.2.12 Issuance of Final RFP

At the sole discretion of IDOT, the Final RFP will incorporate additional information and clarifications to the RFP based on feedback received from prospective proposers and other information gained during the advertisement period. The Final RFP will highlight sections of the RFP that have been modified. The Final RFP shall be made available to proposers a minimum of 28 calendar days in advance of the proposal due date. The Final RFP will be posted on the IDOT website.

2.2.13 RFP Addenda

IDOT may issue Addenda to the RFP during the advertisement period in response to prospective proposer questions or as needed to clarify the requirements of the RFP. The addenda should highlight sections of the RFP that have been modified. Addenda to the RFP will be posted on the IDOT website.

2.2.14 Receipt of Proposals

Proposers submit proposals in response to the RFP on or before the proposal due date specified in the RFP. An initial pass/fail and a responsiveness review will be performed by of the submittals to determine if each submittal is complete or appears compliant. A request to proposers may be made to address any items that are missing or provide clarification prior to distribution to the Evaluation Committee. Any proposal that does not pass and/or is not responsive may be disqualified from further consideration.

2.2.15 Evaluation

The Evaluation Committee will utilize the established evaluation criteria provided in the RFP based on the relative importance of the project specific technical requirements, innovative solutions, delivery schedule and other criteria deemed as key selection criteria for the project. The Evaluation Committee will rank the proposals and either select the best ranked proposer or, if deemed in the best interest of IDOT, conduct interviews with the shortlisted proposers for further evaluation.

2.2.16 Interviews (Optional)

The Evaluation Committee may conduct interviews with shortlisted proposers. The RFP will identify a process for the proposer and Evaluation Committee to follow if interviews are identified as in the best interest of the state by the Evaluation Committee. The IPD Bureau and District PM will develop a list of potential interview questions. Interview questions can include general questions that are asked of all teams interviewed as well as questions specific to an individual RFP proposal.

The interview not only provides an opportunity for the proposer to present its qualifications and ideas but also allows the Evaluation Committee (and other observers at IDOT's discretion) to observe the project team and see how the team members work together. The notice of an interview will identify those members of the proposer's team that will be allowed to participate in the interview.

2.2.17 Evaluation Committee and Procedures

Evaluation Committee members should be comprised of individuals who have specific project knowledge, an understanding of the project goals, and a specialty or expertise relevant to the project. Evaluation Committee requirements are as follows:

- At least half of the committee must be licensed professional engineers
- An Evaluation Committee typically serves for the procurement of a particular project but may serve for multiple projects over a set term
- Evaluation Committee members must certify that no conflict of interest exists between the members and proposers
- Evaluation Committee membership is confidential to maintain objectivity, prevent contact during procurement, and ensure that all Proposer communication goes through the point of contact identified in the RFP.
- IDOT will develop a Non-Disclosure Agreement (NDA) to be executed by each member and consultant assisting in the procurement in advance of reviewing the procurement documents.

2.2.18 Selection and Award

The Evaluation Committee will utilize consensus scoring to evaluate the proposals. In the consensus scoring approach, individual Evaluation Committee members read the proposals prior to evaluation work sessions and make notes of proposed scoring, observations of strengths and

weaknesses, and questions regarding the proposal. Once all proposals have been scored individually, the Evaluation Committee will meet to develop consensus scores for each proposer.

All Evaluation Committee members will participate in the interviews and make notes of proposed scoring, observations of strengths and weaknesses, and questions regarding the interview. Once all interviews have been scored individually, the Evaluation Committee will meet to confirm or update the consensus scores for each proposer.

The proposer with the highest total score is selected to serve as the CMGC Contractor.

The IPD Bureau, CPO, and District PM will present the selection results and recommendation to the IPD Bureau Chief and District leadership, who shall review the recommendation and associated evaluation documentation.

Once IDOT has approved the selection, the proposers can be notified of the selection results. IDOT should notify each proposer within five days of the selection. Once a CMGC Contract is executed with the successful proposer, IDOT may offer a debrief meeting with unsuccessful proposers.

The IPD Bureau posts the general results of the selection on the IDOT website. Once the CMGC Contractor is selected a kick-off meeting should be held to verify the scope and answer any questions the CMGC Contractor may have on the project and Preconstruction Phase Services. After the kick-off meeting is held the CMGC Contractor is to provide a final negotiated Preconstruction Phase Services Cost Proposal.

If the CMGC Contractor is unable or unwilling to execute the CMGC Contract, IDOT may award the project to the proposer with the next best score.

2.3 Final Preconstruction Phase Services Cost Proposal

At the conclusion of the selection process, the CMGC Contractor will prepare a final negotiated Preconstruction Phase Services Cost Proposal inclusive of a detailed project scope and price for providing the necessary preconstruction services to reach an agreed GMP.

Once the scope and price are negotiated and agreed, the CMGC Contract, with the final negotiated Preconstruction Phase Services Cost Proposal attached, will be executed and IDOT will issue a Notice to Proceed with the preconstruction phase services.

If the CMGC is unable or unwilling to execute the CMGC Contract, IDOT may award the project to the proposer with the next best score.

2.4 Project Records, Confidentiality, Public Disclosure

IDOT will maintain all written decisions, qualifications, and proposal evaluations, scoring documents, selection evaluations, proposals, and procurement documents.

Proposers may identify portions of submissions the proposer considers a trade secret or confidential, commercial, or proprietary information in accordance with Illinois state law. Confidential and propriety information shall be exempt from disclosure only if the proposer:

- Requests exclusion
- Identifies the data or other materials for which protection is sought
- States the statutory or regulatory basis for the protection
- Complies with Freedom of Information Act (FOIA) and any other applicable provisions of State law
- Proposer submits a secondary/additional version of their submissions with any information Proposer considers confidential or proprietary redacted

The Department will make a final determination related to any request to maintain the confidentiality of any information and will notify the proposer of its determination.

2.5 CMGC Contract

The CMGC Contract shall be divided into two parts:

- Preconstruction services phase to collaborate on preliminary design elements, risk mitigation measures and finalize the contract terms for the implementation phase
- Implementation phase services for a GMP to design and construct the project

The CMGC Contract will be executed with the provision that the final fixed schedule and lump sum GMP will be negotiated during the preconstruction phase and amended into the final CMGC Contract. The CMGC Contract may include any provisions the Department determines are necessary, including, but not limited to, the following:

- Compensation for preconstruction phase services
- Requirements for the CMGC Contractor to procure competitively bid subcontracts for at least the minimum percentage of construction work specified in the RFP, provided that:
  - The estimated cost and scope are approved by IDOT in advance of the competitive bidding
  - Subcontracts are with firms not affiliated with the CMGC Contractor
- The process to determine construction price including an independent cost estimate by IDOT
- Termination events
- Liability for damages and nonperformance
- Default events and rights and remedies available to both parties
- Technical specifications
- Required performance and payment security, indemnities, and insurance

If terminated, per the terms and conditions of the CMGC Contract, IDOT may readvertise and use any work product developed by the CMGC Contractor during the preconstruction phase and paid for by IDOT in accordance with the terms of the CMGC Contract.

Upon reaching a GMP, the IDOT will issue construction NTP.

2.6 Appointing or Procuring an ICE

The Department may appoint internal transportation staff or procure an Owner's Representative to serve as the ICE.

IDOT may opt to secure an ICE through an on-call services contract and utilize the same ICE for multiple projects or have a project specific ICE procurement. When selecting an ICE, it is important to clearly state that that all materials reviewed, and work product produced are confidential, and participation on the CMGC project conflicts the ICE and their subcontractors from bidding on the project should CMGC Contractor be unsuccessful in reaching a GMP with IDOT.

3 Preconstruction Phase

The preconstruction phase is shown schematically on the flowchart in **Figure 3-1**. The flowchart details the basic steps in the process leading from preliminary design to the development of the final plans and specifications that are used to develop the GMP.

3.1 Preconstruction Phase Workflow

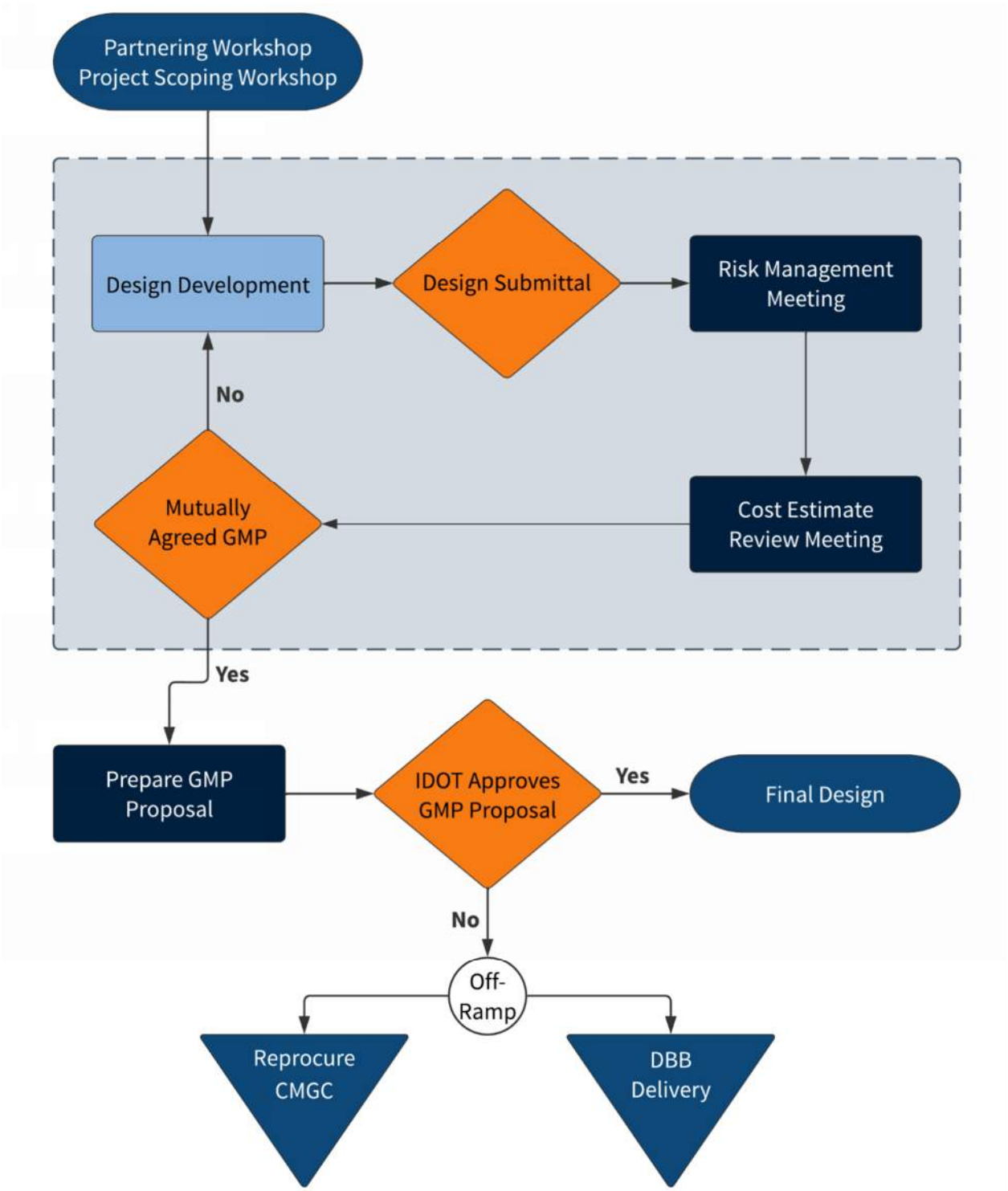

FIGURE 3-1 PRECONSTRUCTION PHASE WORKFLOW

3.2 Key Elements of the Preconstruction Phase

CMGC project delivery requires a collaborative effort between IDOT, the Engineer of Record, and the CMGC Contractor. All parties must function as an integrated team working to develop innovative design solutions that incorporate the CMGC Contractor's proposed means and methods. This section describes the processes, meetings, workshops, and reports that IDOT may utilize to facilitate the preconstruction phase. During the preconstruction phase IDOT will be responsible for the following activities:

- Reviewing EOR and CMGC Contractor submittals
- Overseeing the collaborative effort between the EOR and the CMGC Contractor
- Guiding design decisions
- Conducting workshops and meetings including:
  - Partnering and project scoping workshop, risk management meetings, cost estimate review meetings, design review meetings, and project team meetings
- Managing the ICE estimates
- Leading negotiations for interactive lump sum / GMP process
- Monitoring DBE utilization compliance

3.2.1 Partnering & Project Scoping Workshop

The preconstruction phase begins with a Partnering & Project Scoping Workshop. Key personnel from IDOT, the CMGC Contractor and the EOR should actively participate in the workshop. Participation is generally limited to decision makers and personnel who regularly interact with each other, but other specialists and subject-matter experts may be invited to address specific topics of importance to the project.

Depending on the complexity of the project, the partnering and project scoping workshop can be expected to last from a half day up to two full days. IDOT should appoint an experienced moderator or engage with an independent third-party to facilitate the workshop. The moderator can also be a resource during the project to periodically check in on the project team and potentially help facilitate resolution of complex issues.

The partnering component of the workshop is utilized to develop a spirit of teamwork and cooperation. In this portion of the workshop, the collective project team jointly develops and agrees on:

- Shared project goals and objectives
- Roles and responsibilities
- Issues resolution procedures/ladder
- Action plans to ensure that goals are achieved

The project scoping component of the workshop initiates the design development process. This portion of the workshop is used to define project responsibilities and establish procedures and protocols to be followed during the preconstruction phase.

Project scoping component of the workshop include the following activities:

- Report on project status, funding, and preliminary schedule
- Present project elements and scope
- Identify project risks and develop an initial Risk Management Plan
- Establish submittals milestones (e.g., 30%, 60%, and 90%)
- Discuss the basic elements of the cost model
- Review relevant plans, specifications, and reports
- Conduct project site and equipment tour (optional)
- Agree on schedule progress meetings, review meetings and other periodic meetings
- Establish communication and document control protocols

3.2.2 Communications Plan

A well-thought out and inclusive communication plan is a key component to success during the preconstruction phase. A key feature of CMGC delivery method is to have active engagement between the District PM (or its designee) and the CMGC Contractor throughout the process. IDOT and the CMGC Contractor develop a communication plan collaboratively at the beginning of the preconstruction phase to ensure goals and expectations of IDOT are being communicated and are known by all members of the project team.

3.2.3 Design Development

Design development is an iterative process in CMGC project delivery, where the EOR and CMGC Contractor collaborate under the direction of the Department. IDOT, the EOR, and the CMGC Contractor participate in project design review meetings following each design submittal. The purposes of the project design review meetings are to:

- Assure consistency with the design intent
- Ensure complete, coordinated, constructible, and cost-effective designs for all disciplines
- Assure that the design documents are compliant with all applicable regulatory requirements
- Confirm that all work has been included and described in sufficient detail to assure complete pricing of work
- Identify errors and omissions

At the conclusion of each design review meeting, the CMGC Contractor provides the EOR review comments. The EOR collects all design review comments from the various participants, provides reports to IDOT, and ensures that with the issuance of each progress set of design documents, all comments have either been incorporated or resolved to the satisfaction of IDOT.

3.2.3.1 Design Submittals

At each agreed-to milestone, typically at 60%, 90%, and 100% complete designs, the EOR working collaboratively with the CMGC Contractor prepare design submittals for IDOT and review and comment. Design submittals should be submitted to IDOT two weeks prior to review meetings and should include all documents and information to be discussed in the review meetings.

Once received, IDOT will review and comment on the design submittal and forward the relevant portions of the design submittal to the ICE to prepare an independent cost estimate.

For each design submittal, the EOR incrementally develops the Phase I and Phase II design in accordance with standard IDOT practices. Typically, the EOR provides the following:

- Design status report
- Design schedule
- Construction progress drawings
- Specifications
- Quantities
- Risk register inputs

During the design development, the CMGC Contractor provides inputs to the EOR including:

- Constructability Reviews
- Construction Phasing
- Design / construction innovations
- Expertise on materials, equipment, means and methods

Separately, the CMGC Contractor prepares the following documents:

- Risk management plan / risk matrix
- Cost estimate / GMP
- Construction schedule
- Subcontracting and supplier plan
- DBE utilization compliance plan
- Communication and document control plan

3.2.3.2 Design Review and Comment Process

IDOT reviews and comments on each submittal package from the EOR. The EOR establishes a review and comment process to respond to IDOT comments and provides IDOT with a comments log with responses to all IDOT comments. All IDOT comments are addressed and closed-out in the subsequent submittal.

3.2.3.3 Design Progress Meetings

After receiving the comments log with responses from the EOR, a design progress meeting is conducted with IDOT, the EOR, and the CMGC Contractor. Progress meetings typically begin with a progress report summarizing the status of the design development, update on the design schedule, and planned activities. Following the status update, a comment resolution discussion is conducted to review comments and responses as needed to resolve any conflicting comments and ensure a clear understanding of the actions required to address all IDOT comments. The meeting should include an allotment of time for discussion on innovative solutions and value engineering concepts to address challenges and add value to the project.

This iterative process of review submittals and meetings continues until the CMGC Contractor has sufficient information and alignment on assumptions with IDOT to agree on a GMP.

3.2.3.4 Over-the-Shoulder Meetings

IDOT, the EOR, and the CMGC Contractor may conduct over-the-shoulder design review meetings to perform interactive reviews of the design prior to reviewing the submittal packages. Over-the Shoulder review meetings are typically utilized to address specific challenges that require resolution to ensure the progression of the design between submittal cycles.

3.2.4 Risk Management

The goal of the risk management process is for both IDOT and the CMGC Contractor to agree on the cost and schedule impacts of the design and construction (D&C) risks for the final design and construction, and collaboratively agree on the appropriate quantification and allocation of risk in the CMGC Contract.

3.2.4.1 Initial Internal IDOT Workshop

At the beginning of the preconstruction phase, IDOT reviews the risk documentation produced during the pre-procurement phase and facilitates a risk assessment and allocation workshop with its project team, key stakeholders, and staff from specialty areas within IDOT, the EOR, and FHWA.

The purpose of the workshop is to update the documentation from the pre-procurement phase and identify any new risks to the project, perform an initial impact assessment, developing preliminary strategies for minimizing the impacts of the risk to the project, and assign the risks to the party best able to manage the risk.

The workshop is an opportunity for the project team to discuss project risk and the potential cost and schedule impacts before receiving the first design submittal package from the EOR.

3.2.4.2 Interim Risk Meetings

IDOT conducts interim risk meetings with its project team, the EOR, and the CMGC Contractor after the EOR submits each of its interim design packages.

The CMGC Contractor facilitates the meeting and is the party responsible for identifying, assessing, and developing mitigation strategies for D&C risks. In addition, the CMGC Contractor takes the lead in tracking the risks, preparing the associated cost and schedule impacts, and monitoring and mitigating the identified risks throughout the project duration.

The EOR provides inputs to the risk register, provides input in evaluating the risks and participates in the risk meetings. At the conclusion of risk meetings, the EOR is responsible for incorporating potential risk mitigation solutions into the design.

The ICE attends the risk meetings and provides support in verifying the costs associated with the risks. The ICE is responsible for documenting the risk costs discussions at the meetings and making updates to the risk cost impacts in the IDOT project team risk register.

3.2.4.3 Risk Register

The CMGC Contractor prepares a risk register with the risks, impacts and current actions to mitigate the identified risks, and reviews the register items with IDOT and the EOR. The risk register documents the outcomes of the discussions at the meetings that defines the risk profile for the Released for Construction (RFC) packages.

3.2.4.4 Risk Allocation

The risk allocations are used to develop the risk profile of the CMGC Contract and appropriate risk sharing provisions between IDOT and the CMGC Contractor. Depending on the risk item, IDOT may choose to own the contractual responsibility of the risk or pass all or part of it on to the CMGC Contractor and have it included in the GMP portion of the D&C cost proposal.

While IDOT is ultimately responsible for deciding which party owns and controls the risk, both parties discuss which risks should be controlled by IDOT and which risks can and are best shared with or allocated to the CMGC Contractor. If IDOT and the CMGC Contractor agree that it is mutually beneficial to share the risk, then the cost risk impacts are estimated and included in the register as a shared risk and provisions drafted in the CMGC Contract to document the shared-risk decision.

For such shared risks and risks that are owned by IDOT, the IPD Bureau can manage the risk by creating a risk pool as a contingency fund for the portion of the risk allocated to IDOT should the risk materialize. Risks that IDOT might typically own are the D&C risks that IDOT is better equipped to manage, and the CMGC has little control over, such as railroad and environmental permitting risks, or that IDOT ranks as a lower probability of occurrence of impact than the CMGC Contractor.

For shared risks and risks owned by the CMGC Contractor, the CMGC Contractor manages the risk in its GMP submission.

IDOT could also establish a shared risk pool for certain risks identified by the CMGC Contractor as potentially high-cost risk exposure. IDOT and the CMGC Contractor negotiate a cost risk exposure for the contingency pool and if the risk occurs during construction, then the CMGC Contractor gets paid by Force Account from the pool. If the risk does not occur and the pool is not used or only a portion of the pool amount for a certain risk, then any unused amounts are shared in accordance with the CMGC Contract by IDOT and the CMGC Contractor.

3.2.4.5 Risk Updates

After the risk meeting, the CMGC Contractor provides the IDOT project team with the updated risk documentation from the meeting. IDOT uses the documentation to update the project team risk register and the ICE updates the risk costs and the risk contingency cost allocations for each party. The CMGC Contractor incorporates the decisions from the risk meeting into the cost model, updates the estimate, then meets with IDOT, the EOR, and the ICE meet to review the model.

3.2.5 Cost Estimating Process

The CMGC Contractor prepares an initial cost model that is reviewed by the project team at the project scoping meeting and updates the model for each interim design submittal package. After the cost model is updated with the risk costs from the risk meeting for the submittal review package, IDOT, the EOR, and the CMGC Contractor meet to review the cost model.

3.2.5.1 Open-Book Cost Estimating

The iterative development of the cost model allows IDOT and the CMGC Contractor to agree on the D&C costs and cost assumptions as the design progresses and is one of the key factors that leads toward successfully establishing an acceptable GMP. The goal of this iterative and open process is to continually review pricing, cost assumptions, and risks to create a GMP proposal that is mutually agreeable by both parties.

3.2.5.24 Cost Model

The success of the open-book approach relies on open communication to thoroughly document the assumptions used by the CMGC Contractor to price the work. The cost model review is an open and transparent process that the CMGC Contractor develops and uses throughout the preconstruction phase so that estimates and assumptions are communicated to IDOT at the cost model review meetings. The cost model is used to communicate and document the history and pricing assumptions made throughout the design development.

The cost model includes a basis of estimate with detailed assumptions for how the CMGC Contractor arrived at the costs in the model. Cost assumptions typically include, but are not limited to, labor hours and rates, materials, equipment, subcontractor and supplier quotes, means and methods, production rates, risks, direct costs, and mobilization.

IDOT will track the cost differential due to innovations in a matrix to monitor the value of CMGC delivery compared to design bid build delivery.

3.2.5.3 Cost Model Review Meetings

In an open-book process, the CMGC Contractor refines the cost model following completion of each design submittal. The cost model is thoroughly reviewed by IDOT and the ICE at a cost model review meeting and all parties aim to reconcile any differences in costs and assumptions. As the design progresses, IDOT, the CMGC Contractor, and ICE continue to reconcile quantities for major items, and perform independent takeoffs for materials, labor, and equipment.

3.2.5.4 Cost Model Updates

The CMGC Contractor submits an updated cost model with each design submittal based on the design submittal developed by the EOR. When updating the cost model, the CMGC Contractor reviews risks, market conditions, and potential challenges in the current design that could impact schedule or cost. The CMGC Contractor may propose innovations or alternative designs that minimize risk or add value to the project as discussed at the previous risk management meetings.

3.2.5.5 Independent Cost Estimate

The ICE develops independent cost estimates for each design submittal. The ICE estimate is a production-based estimate that uses the same assumptions agreed to and documented in the CMGC Contractor's cost model. This estimate serves as IDOT's engineer's estimate for the project.

An ICE typically develops an independent cost estimate by considering the production costs associated with the staging, maintaining traffic, time, materials, labor, equipment, local market conditions and other project-specific factors.

To maintain independence, the ICE is firewalled from most project activities but may attend some project meetings that are limited to discussions or clarifications of any given submittal.

3.2.6 Price Proposal

When IDOT and the CMGC Contractor mutually agree on the project scope, risk allocations, cost assumptions and the commercial terms of the CMGC Contract, then the CMGC Contractor submits a GMP proposal for the construction work.

The ICE reviews the price proposal for conformity with its independent estimate and the decisions from the risk and cost review meetings.

If the price proposal does not conform with the ICE estimate and the previous cost assumptions, then IDOT and the CMGC Contractor negotiate to resolve pricing differences, which may involve revisiting risk allocations or commercial terms in the CMGC Contract.

If the proposal price does conform with the ICE estimate and IDOT and the CMGC Contractor mutually agree on the commercial terms, then the price is incorporated into the CMGC Contract and IDOT begins the contracting process.

3.2.7 Construction Contracting Process

The contracting process typically involves reviewing the CMGC Contract to ensure it is consistent with the mutually agreed GMP and contains all technical and commercial requirements of both parties, including the form and amount of required bid security.

Once both parties are satisfied with the final CMGC Contract, IDOT issues construction NTP.

If IDOT and the CMGC Contractor are not able to negotiate a mutually agreeable price and commercial terms for the work then IDOT reserves the right to utilize the "off-ramp" option to

terminate the services of the CMGC Contractor and either reprocure the work or prepare the plans, specifications, and estimate package for advertisement using the DBB delivery method.

4 CMGC Implementation Phase

4.1 Appointing or Procuring a Construction Oversight Team

The Department may appoint internal transportation staff or procure an Owner's Representative to serve as the Construction Oversight Team (COT). The Department may opt to secure a construction oversight firm through an on-call services contract.

For projects over $30 million in estimated construction cost, IDOT must procure an Owner's Representative to serve as the COT.

4.2 Construction Kick-off Meeting

IDOT, the COT, and the CMGC meet at construction kick-off meeting after construction NTP to plan out activities for the construction. For review at the construction kick-off meeting, the CMGC Contractor prepares a detailed implementation schedule to begin construction to achieve the CMGC Contract milestones. An emphasis is placed on scheduling for the completion of early activities such as the project and Quality Management Plans, and a timeline for the RFC packages. The CMGC Contractor provides IDOT with a copy of the schedule before the meeting for IDOT's review and comment. IDOT, the COT, and the CMGC Contractor meet to collaboratively review the schedule and address any comments.

4.3 Partnering Meetings

IDOT, the COT, the CMGC Contractor will continue to partner during the implementation phase in a similar manner the same as during the preconstruction phase to resolve any issues at the project level before they become disputes.

4.4 Construction Oversight

The COT develops a project specific oversight plan to ensure compliance with the CMGC Contract for IDOT approval. The plan will include oversight of all requirements set out in the CMGC Contract and conformance with the plans and specifications. The COT's responsibilities may include, but may not be limited to, involvement in the following:

- Oversight of construction activities
- Permit compliance
- Stakeholder coordination
- Oversight of right of way and easement acquisition
- Oversight of third-party agreements including railroad agreements
- Public involvement management
- Risk Mitigation
- Review of design changes
- Independent quality assurance surveys

- Independent material testing
- Oversight of utility relocations
- Construction acceptance
- Documentation of construction
- Measurement and payment
- Risk pools and force accounts
- Change orders
- Monitoring environmental commitments
- Monitoring subcontractor and DBE utilization
- Disputes and resolutions

4.5 CMGC Construction

The CMGC Contractor develops a project specific construction plan to construct the project in compliance with the CMGC Contract for IDOT approval. The plan will include compliance with all requirements set out in the CMGC Contract and with the plans and specifications. The CMGC Contractor's responsibilities may include but may not be limited to the following:

- Construction / Construction Management
- Quality Assurance / Quality Control
- Materials testing and inspection
- Meeting all environmental commitments
- Meeting all DBE utilization commitments

The CMGC Contractor's construction management plan may include but may not be limited to the following:

- Contract Administration Plan
- DBE Utilization Plan
- Safety Plan
- Environmental Compliance Plan
- Communications Plan
- Risk Management Plan
- Construction Quality Management Plan

4.6 Risk Management

IDOT and the CMGC Contractor continue during the Construction Phase to engage in an iterative and collaborative process to update and monitor the risk identified in the risk documentation from the Preconstruction Phase.

The CMGC Contractor provides IDOT for its review an updated risk register with the RFC document submittals demonstrating in the submittal package how any risks related to the submittal have been addressed or are being managed consistent with the obligations defined in the CMGC Contract.

The risk register is typically updated and submitted quarterly for IDOT's review during the implementation phase. The CMGC Contractor engages in a continuous process of risk identification, assessment, and mitigation of project risks, meeting to review the risk data with IDOT a minimum of once a year. The meeting is primarily for the CMGC Contractor to show compliance with the risk cost and allocation commitments in the CMGC Contract and make IDOT aware of any additional risks and discuss the CMGC Contractor's plan for managing the risks.