

ARIZONA DEPARTMENT OF TRANSPORTATION

Office of P3 Initiatives and Major Projects

REQUEST FOR QUALIFICATIONS PACKAGE

CONTRACT NUMBER: P3-20-01

**Management and Operations of the Arizona Department of
Transportation (ADOT) Traffic Operations Center
2302 W. Durango St., Phoenix, AZ 85009**



Engineering and Consultants Section

October 2019

REQUEST FOR QUALIFICATIONS PACKAGE
CONTRACT NUMBER: P3-20-01
MANAGEMENT AND OPERATIONS OF THE ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT)
TRAFFIC OPERATIONS CENTER
2302 W. DURANGO ST., PHOENIX, AZ 85009

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SECTION I - PUBLIC ADVERTISEMENT

**FOR PUBLICATION Tuesday October 1, 2019 and Tuesday October 8, 2019
IN THE ARIZONA REPUBLIC NEWSPAPER**

ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT)/ENGINEERING CONSULTANT SECTION PUBLIC NOTICE FOR **MANAGEMENT AND OPERATIONS OF THE ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT) TRAFFIC OPERATIONS CENTER, COUNTY OF MARICOPA, CONTRACT NUMBER: P3-20-01. Statements Due:** October 31, 2019, 2:00 P.M. Arizona Time. ADOT is accepting Statement of Qualifications (SOQs) from Contractors to provide for the management and operation of the Arizona Department of Transportation (ADOT) Traffic Operations Center (TOC) and TOC Operators, located in the ADOT Central District at 2302 W. Durango Street, Phoenix AZ 85009. It is anticipated that this contract will be for a period of five years with optional annual extensions for up to an additional five years. The Contractor shall furnish all personnel, supervision, expertise, future training materials, licenses, certifications, and incidentals necessary to provide the services described herein. The Request for Qualifications (RFQ) Package for Contract P3-20-01 is available on the ECS website (<https://azdot.gov/business/engineering-consultants/advertisements/public-private-partnership-p3-initiatives>) ADOT is an Affirmative Action/Equal Opportunity Employer.

SECTION II - INFORMATION COPY TO CONTRACTORS

REQUEST FOR QUALIFICATIONS FOR CONTRACTORS INTERESTED IN MANAGEMENT AND OPERATION OF THE ARIZONA DEPARTMENT OF TRANSPORTATION (ADOT) TRAFFIC OPERATIONS CENTER

CONTRACT NUMBER: P3-20-01

Statements Due: Tuesday October 31, 2019 2:00 P.M. Arizona Time

All format requirements, submittal guidelines, instructions, and documentation submission contained in this RFQ Package are for the ADOT Contract Number referenced above. SOQ submittals failing to follow the format, online submittal guidelines, or any other instructions outlined in this RFQ Package shall be rejected.

ECS reserves the right to reject any and all SOQs, cancel the advertisement, negotiations, or contract at any time in the best interest of the State.

SOQs will be accepted from any entity qualified to perform the scope of services. This contract does not require a Principal or Officer of the Firm responsible for this contract that is properly registered with the Arizona State Board for Technical Registration (BTR) at the time of SOQ submittal. It is the Contractor's responsibility to verify that all Subcontractor's, in the SOQ submittal, have the proper Arizona licenses and/or registrations, and DBE certification, if applicable, for the services to be performed under this contract.

Contractors downloading RFQ proposals are required to register to receive courtesy notifications of RFQ Amendments, deadline changes or any other contract information. Amendments are posted on the ECS website with the original RFQ. The proposers are responsible for checking the ECS website for amendments. A courtesy email may be sent to all firms on the contract advertisement registration list, but this does not relieve the proposers from their responsibility to check the ECS website for amendments prior to the SOQ due date. Failure by ECS to send courtesy email notifications regarding amendments or non-receipt by the Contractor are not grounds for protest. Any Amendments issued as part of an RFQ Package shall be signed and included in the SOQ submittal. Failure to do so shall result in rejection of the proposal. See Section III and IV for further instruction.

The selected Contractor shall provide for the management and operations of the ADOT Traffic Operations Center (TOC) located in the Central District. The Contractor shall be responsible for providing services such as, but not limited to; monitoring and reporting traffic conditions throughout the State via Closed Circuit Television cameras and Vehicle Detection Systems, monitoring statewide Road Weather Information Systems (RWIS) and taking positive actions accordingly, managing lane blocking and non-lane blocking incidents to include: disseminating traveler information via Dynamic Message Signs (DMS) and Arizona's 511 Advanced Traveler Information System, notifying appropriate units and management of incidents based on a notification matrix, dispatching ALERT/DPS Incident Response Vehicles, and other incident management resources to crash or incident scenes, coordinating with other agencies/entities, monitoring and operating Responsive Traffic Signal Control Technology. The Contractor shall furnish all personnel, supervision, expertise, future training materials, licenses, certifications, and incidentals necessary to provide the services described herein.

The Office of P3 Initiatives and Major Projects may select up to three Contractors from among those submitting SOQs for further consideration. Previous experience in the following will be factors in the selection:

- The appropriate hiring, training, and supervision of TOC operators to ensure that timely Traffic Incident Management (TIM) operations are available 24/7/365;
- The Provision of real time traveler information via DMS, radio or other means;
- Regional traffic incident management;
- Support for emergency management coordination;
- Notifications to, and coordination with, incident responders (Law Enforcement, Fire Rescue, Amber alerts and On-Call Personnel); and
- Support for 511 operations.

SOQs submitted will be evaluated and selected based on the criteria outlined in Sections III and IV of this RFQ. Requested services are further detailed in the Scope of Work located in Section X of this RFQ.

A firm proposing as a Contractor is not permitted to serve as a Subcontractor on another team responding to this RFQ. By submitting an SOQ as a Contractor, the firm is stating that they will not be proposed on any other project team as a Subcontractor. In addition, it is the responsibility of the firm proposing as a Contractor to ensure that prior to their submittal of their SOQ, they have written acknowledgement from their proposed Subcontractor that the subcontractor firms will not submit an SOQ themselves as a Contractor (copies of the written acknowledgement shall be kept on file, and available to submit to ECS upon request). **Any firm that has submitted an SOQ as a Contractor and is identified as a Subcontractor in another Contractor’s proposal shall have their Contractor SOQ submission rejected. If a Contractor lists firms as Subcontractors in its SOQ, the Contractor must be able to provide ADOT with evidence, if requested, of written consent provided by the Subcontractor firms.**

Protest and Dispute Resolution

Any Contractor submitting a Statement of Qualifications may file a protest based on the following two conditions:

1. SOQ Disqualification

Protest of SOQ Disqualification: Any Contractor submitting a SOQ which is refused or rejected by ADOT may submit a protest to the rejection.

- a) The protester must file a written protest within three business days after receipt of the notification of the SOQ rejection. Requests for extensions will not be considered.
- b) The protest shall be addressed and emailed to the Office of P3 Initiatives and Major Projects at the following address: MP3Office@azdot.gov. The protest must include all of the following information:
 1. Firm, name, address, and telephone number of the protester;
 2. Signature of the protester or their authorized representative;
 3. Identification of the agency and the solicitation or contract number;
 4. A detailed statement of the legal and factual grounds of the protest, including copies of the relevant documents;
 5. The form of relief requested;
 6. A signed declaration by the protester that all facts alleged in the protest are true and correct to the best of protester’s knowledge.
- c) The Office of P3 Initiatives and Major Projects will issue a written decision within five (5) business days after the protest is received. The Office of P3 Initiatives and Major Projects’ decision is administratively final.

2. SOQ Award

Protest of the Selection: Any Contractor who submitted an SOQ in response to this solicitation may protest the selection of the Contractors ADOT determined to be the most highly qualified as a result of this selection process.

- a) The protester must file a written protest within three business days from the date that written notification of the shortlisted firms was made by ECS. Requests for extensions will not be considered.
- b) The protest shall be addressed and emailed to the Office of P3 Initiatives and Major Projects at the following address: MP3Office@azdot.gov with a copy provided to all firms responding to the RFQ (a list of firms submitting SOQs along with their contact information will be available on the ECS website). The protest must include all of the following information:
 - 1. Firm, name, address, and telephone number of the protester;
 - 2. Signature of the protester or their authorized representative;
 - 3. Identification of the agency and the solicitation or contract number;
 - 4. A detailed statement of the legal and factual grounds of the protest, including copies of the relevant documents;
 - 5. The form of relief requested;
 - 6. Supporting exhibits, evidence, or documents to substantiate the reasons for the protest
 - 7. A signed declaration by the protester that all facts, alleged in the protest, are true and correct to the best of protester's knowledge.
- c) The Office of P3 Initiatives and Major Projects shall issue a written decision within 15 business days after the protest has been filed. ADOT shall not release an RFP to the short list of qualified proposals until the Office of P3 Initiatives and Major Projects has made its decision. The decision of the Office of P3 Initiatives and Major Projects is administratively final.

This contract has been established as Race Neutral with a 0.0% DBE Goal. The Compensation Type for this contract will be lump sum.

Title VI/Non-Discrimination

The **Arizona Department of Transportation**, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252.42 U.S.C. §§ 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

Definitions

- May**
Indicates something that is not mandatory but is permissible.
- Must**
Indicates a mandatory requirement. Failure to meet these requirements, if they constitute a substantive requirement, shall, at ADOT's sole discretion, result in the rejection of a SOQ as non-responsive.
- Shall**
Indicates a mandatory requirement. Failure to meet these requirements, if they constitute a substantive requirement, shall, at ADOT's sole discretion, result in the rejection of a SOQ as non-responsive.
- Should**
Indicates something that is recommended but not mandatory. If the Contractor fails to provide recommended information, ADOT may, at its sole option, ask the Contractor to provide the information or evaluate the SOQ without the information.

Will

Indicates a mandatory requirement. Failure to meet these requirements, if they constitute a substantive requirement, shall, at ADOT's sole discretion, result in the rejection of a SOQ as non-responsive.

No Pre-Submittal Meeting

Effective the date of the first public advertisement of this contract, no further contact is allowed with any ADOT personnel concerning this project except for questions of an administrative or contractual nature that shall be submitted in writing to the attention of the assigned ECS Contract Manager at the email address below. This restriction is in effect until the selection has been announced. **There will be no Pre-Submittal Meeting associated with this solicitation.**

RFQ Questions and SOQ Submittal Instructions

Questions, in writing, shall be received by the ECS until Wednesday, October 16, 2019 at 2:00 P.M. (Arizona Time). No further questions shall be accepted after the time specified. All Contractors will be notified of any Contractors request for information and ECS' response(s) to the question(s). RFQ Amendments, deadline changes or any other contract information shall be posted on the ECS website as an Amendment to the RFQ. Any Amendments issued as part of this RFQ package shall be signed and included by the Contractor in the SOQ submittal. Failure to do so may result in rejection of the SOQ. See Section III and IV for further instructions. Any violation of the contact restrictions may be grounds for rejection of the Contractor's SOQ.

Jennifer Moyzes, Contract Manager and Alyson Ratney, Contract Specialist
Engineering Consultants Section
Email: jmoyzes@azdot.gov and aratney@azdot.gov

Submit SOQs expressing interest in the above referenced project to ECSSOQ@azdot.gov until 2:00 P.M. Arizona Time on **Tuesday October 31, 2019**. No SOQs shall be accepted after the date and time specified. Hard copies of SOQs shall not be accepted.

Key Personnel

The Contractor's submittal of an SOQ is a representation and commitment by the firm that it will provide the key personnel identified in the SOQ to perform the services associated with the contract for the duration of the contract. For all Key Personnel identified in the SOQ, the contractor shall include the individual's existing **and** corporate responsibilities, corporate titles and document their availability and commitment to meeting ADOT's needs performed under this contract. The Contractor acknowledges that the Department relied on this representation and commitment in its selection process and was a key factor in the selection of the most qualified Contractor and award of the contract.

Key Personnel are those individuals whose qualifications are highly significant and appropriate in evaluating the overall qualifications of the project team. All Key Personnel identified in the Contractor's SOQ may not be replaced without written request to ADOT's assigned Contract Project Manager and written approval by ECS. The Contractor shall identify the Key Personnel, which should include, at a minimum:

1. The Contractor's registered Project Principal responsible for the overall technical and administration aspects of the contract.
2. The Contractor's Project (Contract) Manager in direct charge of the overall project/contract work.

The Contractor shall provide resumes for **only** the Project Principal and Project (Contract) Manager identified in their SOQ. The resumes shall be limited to three (3) pages each, and shall demonstrate the individual's experience related to services outlined in this RFQ. The SOQ may also identify other key members of the team or Subcontractors who will provide special expertise or will perform key tasks. Do not include resumes for other members of the team. Resumes

included for other members of the team will count towards the overall page limit, regardless of the location these documents are placed in the SOQ.

Contract Specific Direction Regarding Standards of Conduct and Conflict of Interest

Contractors shall refer to Section IX of this RFQ for ADOT’s contract specific direction regarding Standards of Conduct and Conflict of Interest, including use of supplemental services Contractors temporary personnel on this contract.

Contractors and Subcontractors participating on this Contract shall arrange their affairs so as to prevent Conflicts of Interest from arising and shall undertake reasonable due diligence, including organizational and personnel conflict searches, to determine if actual, potential, or perceived Conflicts of Interest exist or arise. Due diligence should extend to the investigation of past relationships and, if the Proposer being investigated is an entity, to officers or directors of the Firm. If a Contractor or Subcontractor becomes aware of an actual, potential, or perceived Conflict of Interest at any time during the solicitation or participation in this Contract, the Contractor shall promptly disclose the matter in writing to ADOT, including a written description of the action the Contractor has taken or proposes to take to avoid or mitigate such conflicts. If conflict of interest is determined to exist, ADOT may, at its sole discretion, cancel the procurement, disqualify the Contractor with a conflict, or take other action as necessary to mitigate the conflict. If a conflict of interest that the Proposer knew about, or should have known about, but failed to disclose is determined to exist during the procurement process or contract, the Department may, at its sole discretion, disqualify the Proposer or terminate the contract. Failure to comply with these requirements will result in the disqualification of the Contractor’s SOQ (including any affiliates) or termination of the contract.

The shortlisted Contractor(s) and applicable Subcontractor(s) may be required to attend a Pre-Proposal meeting and/or oral interviews and shall bear the cost of their time, travel and any other expenses incurred.

Following selection of the shortlisted proposers, ADOT will issue a request for proposals (RFP) which will ask for more detail on the management approach to be used in carrying out the scope of work. The RFP will also request a fixed price for each year of the five-year base contract. The contractor selection will be based on the best value proposal which will be defined in the RFP.

The successful SOQs may be reviewed after contract award. An electronic copy of the SOQ submitted by the selected firm will be made available to firms that submitted SOQs upon their request. Copies of SOQs submitted by non-selected firms will not be distributed or available for review by any party at any time. Recipients that did not propose (submit SOQs) for this contract are not permitted or entitled to protest the Department’s selection of the SOQ.

No portion of a Proposal other than the executive summary will be released or disclosed by ADOT before an award of a P3 Agreement and the conclusion of any protest or other challenge to the award, pursuant to ARS§28-7707, Section B.

All materials submitted in accordance with this solicitation become the property of the State of Arizona.

Inclusion of cost, work-hour, and cost estimates in the SOQ is not allowed. That information will only be required of the firms shortlisted to receive RFPs.

ADOT is an Affirmative Action/Equal Opportunity Employer.

Selection Process through Contract NTP Schedule

ADOT is committed to the selection, procurement, and contract schedule and will require firms to actively participate and meet the scheduled milestones. Listed below is the proposed schedule; however it is subject to change without notice at the sole discretion of ADOT. Any changes that will affect the SOQ submittal date will be communicated to

potential Contractors via amendment posted to the ECS website. Changes to other dates listed will be discussed with the successful firm for this contract.

- 1nd Newspaper Advertisement Date: October 1, 2019
- 2nd Newspaper Advertisement Date: October 8, 2019
- Questions Due: October 16, 2019 at 2:00 P.M. (Arizona Time)
- SOQ Submittal Date: October 31, 2019 at 2:00 P.M. (Arizona Time)
- Anticipated Announcement of Shortlisted Firms December 6, 2019

SECTION III – SOQ FORMAT INSTRUCTIONS

CONTRACT NUMBER: P3-20-1

The TOTAL PAGE LIMIT is 23 pages for the SOQ submittal. All SOQs shall be submitted via email to ECSSOQ@azdot.gov. Hard copies of SOQ proposals are not accepted.

1. **The SOQ proposal submitted must be one PDF file and shall not exceed 15MB.** Only one (1) PDF file is permitted per submittal.
2. **Format** – Follow the exact format outlined in Section III and IV, as formats for each advertisement/RFQ Package may vary. **Failure to follow the format as outlined in this RFQ may result in rejection of the SOQ.**
3. **Number of Pages** – Number of pages shall not exceed the page limit specified above, beginning with the Executive Summary and ending with the last page. **Failure to follow the page limit specified in the SOQ may result in rejection of the SOQ. DO NOT ADD ANY ADDITIONAL PAGES, FORMS, DOCUMENTS, DIVIDER PAGES AND ATTACHMENTS THAT ARE NOT SPECIFICALLY LISTED AS REQUIRED IN THE SOQ OR THE PROPOSAL SHALL BE REJECTED.**
4. **Page Parameters** – A page is defined as an 8½ x 11-inch, blank or printed. All proposal pages are counted from beginning to end to arrive at the maximum allowable page limit stated in the RFQ Package. All pages including covers, table of contents, tables, figures, photographs, divider sheets, maps, etc. are counted as pages.
5. **Print and Font Size** – ECS strongly recommends that Contractors use a 10-point or larger font for the body of the proposal. The use of standard basic fonts, such as Arial and Times New Roman, found in all Microsoft software and print drivers is highly recommended in order to avoid any formatting issues which could result in an increase in the SOQ proposal page numbers after it is received online by ECS. The goal is to make the document clear and legible. Proposal scores will be adversely affected if SOQs are not legible or the font size is too small to read if printed by the Selection Panel members.
6. **Video or Multimedia Applications** – No video clips or other multimedia applications are allowed. Failure to adhere to the guidelines shall result in rejection of the SOQ.
7. **Attachments** – The SOQ may require attachments but these shall not be included in the page count. **Do not add additional pages, forms, documents, and attachments, including blank pages in this section that are not specifically listed or requested in the RFQ, as these shall count toward the page count and shall cause the proposal to be rejected. See Section IV, Part D for a detailed list of requested attachments.** Extra divider sheets, including pages of any sort, blank or printed (regardless of the printed material on the page), separating the main proposal from attachments should also not be included as this shall be counted as a page.
8. **Amendments** – Any amendments issued as part of this RFQ Package shall be signed and included in the SOQ submittal and shall not count toward the page limit. Contractors should check the ECS website, *Public-Private Partnership (P3) Initiatives* page prior to submitting the SOQ proposal, print all amendments from the *Public-Private Partnership (P3) Initiatives* page of the ECS website for the relevant project, sign the amendment acknowledging receipt, and append it to the SOQ proposal before submitting the completed document. **Failure to include all pages of the issued Amendments with a signature in the submitted SOQ may result in rejection of the SOQ. Do not add additional pages, forms, documents, and attachments, including blank pages in this section that are not specifically listed or requested in the RFQ, as these shall count toward the page count and may cause the proposal to be rejected.** Extra divider sheets, including pages of any sort, blank or printed (regardless of the printed material on the page), separating the main proposal from amendments should also not be included as this shall be counted as a page.

9. **Commenting or User Rights Feature** – Enable the Commenting or User Rights Feature before uploading the SOQ. This SOQ will be reviewed electronically by the Selection Panel. Adobe Professional Version 7 or above *may* be used for this purpose. As each Contractor uses a different version of Adobe, use an internet search engine or Help feature of the specific Adobe program used by the Contractor to find instructions on how to enable comments.

10. **SOQ Submission**

- a. Submit the SOQ proposal to ECSSOQ@azdot.gov. **Hard copies of SOQ proposals are not accepted.**
- b. ECS will retrieve proposals after the due date and time; therefore ECS will not notify firms of any missing information or errors related to their SOQ proposals before the due date. Furthermore, ECS staff is not permitted to delete pages or alter the contents of submitted proposals for any reason.

11. **The SOQ proposal shall follow the exact format outlined below:**

	FORMAT CONTENT	<u>MAXIMUM POINTS</u>	<u>TOTAL NUMBER OF PAGES</u>
PART A	EXECUTIVE SUMMARY (Page 1)		1
PART B	SOQ CERTIFICATIONS FORM (10-point checklist) (Page 2) PARTICIPATION IF BOYCOTT OF ISRAEL FORM (Page 3) See Note in Section IV, Part B and Section VIII		1 1
PART C	EVALUATION CRITERIA		20
	1. Project Understanding& Approach	30	
	2. Project Team	35	
	3. Firm Capability	35	
PART D	ATTACHMENTS (Required but shall <u>not</u> count toward page limit) Key Personnel Resumes Only: Identified in the SOQ (each resume shall not exceed 3 pages each)		
PART E	AMENDMENTS (Required but shall <u>not</u> count toward page limit)		
	Totals	100	23

SOQ submissions failing to follow all instructions outlined above and the applicable online SOQ guidelines may be rejected. The Contractor will be notified in writing of the reason(s) for rejection.

SECTION IV – SOQ FORMAT AND EVALUATION CRITERIA
ECS CONTRACT NUMBER: P3-20-1

The following describes more specifically, the content of each part.

PART A. EXECUTIVE SUMMARY

The executive summary shall be the **first page** of the SOQ and shall be addressed to:

Arizona Department of Transportation
Engineering Contractors Section
1611 W. Jackson St., Mail Drop 616E
Phoenix, Arizona 85007

The executive summary should be no longer than **one (1) page** and shall contain the following items:

1. An expression of the Contractor’s interest in being selected for the project.
2. A statement confirming the commitment of key personnel identified in the submittal to the extent necessary to meet ADOT’s quality and schedule expectations.
3. A summary of key points regarding the Contractor’s qualifications.
4. Signature of at least one officer of the Contractor.

PART B. SOQ PROPOSAL CERTIFICATIONS FORM & PARTICIPATION IF BOYCOTT OF ISRAEL – CONTRACTOR CERTIFICATION FORM

The *SOQ Proposal Certifications Form* (10-point checklist) shall be the **second page** of the SOQ. The certification statements are to ensure that Contractors are aware and in agreement with required Federal, State and ECS guidelines related to the award of this contract. **Failure to sign and submit the correct SOQ Proposal Certifications Form (10-point checklist) located in Section VII shall result in the SOQ proposal being rejected.**

The *ADOT Participation if Boycott of Israel – Contractor Certification Form* shall be the **third page** of the SOQ. Use the link in **Section VIII** to review, print out, complete and sign the ADOT Participation if Boycott of Israel – Contractor Certification Form. **Failure to sign and submit the certification form located in Section VIII shall result in the SOQ proposal being rejected.**

NOTE: Unless and until the District Court’s injunction in *Jordhal* is stayed or lifted, the Anti-Israel Boycott Provision (A.R.S. §35-393.01(A)) is unenforceable and the State will take no action to enforce it.

PART C. EVALUATION CRITERIA

The qualifications and associated evaluation criteria shall begin on the **fourth page** of the SOQ. The SOQ will be reviewed and scored based on the responses to the information requested. Follow the format in the discussion of qualifications and number responses to each category and subcategory exactly as they are listed below:

- 1. Project Understanding and Approach (Maximum 30 points)**
 - a. Describe the process that you will utilize to transition from the current TOC operation to this new contract. What procedures would you have in place to ensure proper and adequate staffing as part of a successful transition?
 - b. Please provide the proposed organization structure for this project.
 - c. Describe how you will ensure that your operation’s staff is appropriately trained to respond to a dynamic traffic management environment.

d. Describe your general approach for this project. Provide specific examples of how you would handle day-to-day and “worst case” scenarios.

2. Project Team (Maximum 35 points)

Provide a summary of experience and qualifications of each key team member. In particular, discuss the following:

- a. Project Principal. Identify the person who (1) will be responsible for ensuring that adequate personnel and other resources are made available for this project; (2) will handle contractual matters, and; (3) will be ultimately responsible for the quality and timeliness of the Contractor's performance. State that person's position and authority within the Firm. Discuss previous similar projects for which this person has performed a similar function.
- b. Project Manager. Identify who will actively manage this project. List recent similar projects for which this person has performed a comparable function. Discuss relevant experience, professional registrations, education, and other components of qualifications applicable to this project.
- c. Other Project Staff. Discuss your proposed method for identifying and recruiting other operations staff, including how many are current employees of your firm. What criteria will be used for selecting operators? Should you intend to hire existing ADOT employees, what would your approach be?

3. Firm Experience (Maximum 35 points)

- a. Has your firm previously operated a TOC? If yes, please describe the type of services provided, types of systems within the center that you have operated, geographic coverage of the system, number of years of experience and any other information you feel is relevant to this project. Please provide the name of facility(s) and point of contact.
- b. Has your firm taken over TOC operations from a public agency? Specifically describe that experience and your approach to the transition as well as lessons learned.
- c. Describe your firm's experiences with Traffic Incident Management Programs, Freeway Safety/Service Programs, and Intelligent Transportation Systems.

PART D. ATTACHMENTS

Attached requested documents such as resumes and amendment(s). These documents do not count towards the page count. **Failure to include requested documents may result in the SOQ being rejected. Do not add additional pages, forms, documents, and attachments, including blank pages in this section that are not specifically listed or requested in the RFQ, as these shall count toward the page count and may cause the proposal to be rejected.** Extra divider sheets, including pages of any sort, blank or printed (regardless of the printed material on the page), separating the main proposal from attachments should also not be included as this shall be counted as a page. Provide a list of all documents requested and attached.

1. Key Personnel Resumes: Resumes of Key Personnel identified in the SOQ (Project Principal and Project Manager) are required. Each resume shall not exceed 3 pages each. Do not include any additional pages as identified in Section III, Number 7, Section IV, Part D, and further defined in Section III, Number 3 & 4, separating the resume's from the main proposal or separating more than one resume' being submitted. Do not include resumes for non-Key Personnel (individuals not identified in the SOQ as Key Personnel) as these pages will count towards the overall page limit, regardless of the location these documents are placed in the SOQ.
2. Signed copies of all amendments (see Part E)

PART E. AMENDMENTS

Attach a signed copy of all amendments issued as part of this RFQ. Amendments are not included in the page count. **Failure to include all pages of the issued Amendments with a signature in the submitted SOQ may result in the SOQ being rejected.** See **Section III** for further instruction. Extra divider sheets, including pages of any sort, blank or printed (regardless of the printed material on the page), separating the main proposal from amendments should also not be included as this shall be counted as a page.

SECTION V - LOBBYING CERTIFICATION

To review the Lobbying Certification, use the following link: <https://azdot.gov/sites/default/files/2019/06/lobby-certification.pdf>

SECTION VI – REFERENCE DOCUMENTS

To review the Traffic Operations Center Guidelines and Procedures, please email the following to E2@azdot.gov: Name (must be the individual who will be downloading documents); Email address; Firm name. After approval, an auto-generated email will be sent with instructions to access the ECS Share File site where the document is located.

SECTION VII – SOQ CERTIFICATIONS FORM

To review, complete and submit the SOQ Certifications Form (10-point checklist) with the SOQ, use the following link: <https://azdot.gov/sites/default/files/2019/09/SOQ-Proposal-Certification.pdf>

SECTION VIII – ADOT PARTICIPATION IF BOYCOTT OF ISRAEL – CONTRACTOR CERTIFICATION FORM

Use the following link to review, print and complete the ADOT Participation if Boycott of Israel – Contractor Certification Form:

<https://azdot.gov/sites/default/files/2019/06/participation-if-boycott-of-israel-consultant-certification-form.pdf>

NOTE: Unless and until the District Court’s injunction in Jordhal is stayed or lifted, the Anti-Israel Boycott Provision (A.R.S. §35-393.01(A)) is unenforceable and the State will take no action to enforce it.

SECTION IX – STANDARDS OF CONDUCT AND CONFLICT OF INTEREST

**** The following contract specific direction regarding Standards of Conduct and Conflict of Interest (specifically use of supplemental services Contractors and temporary-technical engineering personnel) is intended for application to this contract only and supersedes “Section 1.08 – Standards of Conduct and Conflict of Interest” of the ADOT ECS “Contractor Contract Manual” (dated June 2016).**

STANDARDS OF CONDUCT AND CONFLICT OF INTEREST

ADOT staff, and persons or entities working on behalf of a Contractor working on an ADOT project are required to adhere to Standard of Conduct and Conflict of Interest laws and guidelines contained in the Arizona Revised Statutes (A.R.S.) § 38-501 through 38-511, ADOT Policies and Procedures PER - 6.02 (see the ADOT and State of Arizona websites for most current versions of these policies), 23 CFR 1.33, 2 CFR 200.112 and 2 CFR 200.318 which establish minimum standards for the conduct of public officers, employees and former employees who are, or may become, involved with a contract or decision, in their official capacity, which might affect their personal pecuniary interest or those of their relatives, i.e., spouse, children, grandchildren, parent, grandparent, brother, sister and their spouses, or the parent, brother or sister or child of one’s spouse, A.R.S. § 38-502 (9). Furthermore, ADOT’s Conflict of Interest Policy (PER 6.02) relating to the acceptance of gifts or gratuities is fully applicable to the contract process. In addition, Contractors must further adhere to the ADOT Policy, Contractor Participation in ADOT Contracts Policy (MGT 02-3) (see ECS website for most current version of this policy), which provides guidelines for Contractor participation in design and construction contracts. These policies are available to all interested parties through the ADOT website.

Some specific issues related to these Conflict of Interest statutes, policies and standards are listed below.

A. Application to current and former ADOT employees.

1. A.R.S. § 38-504(A) states that:

“A public officer or employee shall not represent another person for compensation before a public agency by which the officer or employee is or was employed within the preceding twelve months or on which the officer or employee serves or served within the preceding twelve months concerning any matter with which the officer or employee was directly involved

And

In which the officer or employee personally participated during the officer’s or employee’s employment or service by a substantial and material exercise of administrative discretion.”

ADOT may consider positions that the former employee held, and determine decision making opportunities that the person had in that position concerning the particular project.

Contractors shall be required to disclose and identify former ADOT employee(s) listed in proposals that have left ADOT in the preceding twelve months and certify that he/she/they have not made any material decisions about the proposed project they are submitting/proposing for or working on (SOQ’s, contracts), while employed by ADOT. Information required to be submitted for consideration include:

- a.) Dates of employment
- b.) Position(s) held while employed at ADOT
 - If a former ADOT employee is employed by a Contractor or Subcontractor who has an active ADOT contract and the former employee was the Project Manager on the project or the contract, or a member of the selection panel for any contract on the project, the employee is prohibited from working on the contracts.
- c.) Project(s) worked on while employed at ADOT

- d.) Certification that the former employee made no material decision or served in any significant procurement role(s) associated with the project the firm is submitting a Statement of Qualifications (SOQ) for consideration or in which they are or will be working on.
2. Current or former ADOT employees who serve, or have served, in a Significant Procurement Roles (as defined in ARS 41-741 and ARS 41-2503) must maintain strict confidentiality and not disclose or distribute any information regarding contract procurement procedures, proposal or contract documentation before, during or after the evaluation process (ARS 41-2578 and ARS 41-2616). Additionally:
 - a.) It is unlawful for a person holding a Significant Procurement Role to accept an offer of employment or have employment discussion with any person or entity lobbying for or potentially responding to a solicitation until one year after the award of the contract.
 - b.) Persons holding a Significant Procurement Role must complete and sign a statement before starting any participation in the selection/negotiation process disclosing any conflict of interests required by ARS 38-503, 41-2534, 41-2537, 41-2538, 41-2578, 41-2616C, 41-753, and 41-2517. This includes, but is not limited to, disclosing if the person has any financial or other interest in the Contractor selected for award by:
 - a. The employee, officer or agent;
 - b. Any member of his/her immediate family;
 - c. His/her partner;
 - d. An organization that employs or is about to employ any of the above.
 3. Consistent with 2 CFR 1.33, no official or employee serving in a Significant Procurement Role shall have, directly or indirectly, any financial or other personal interest in any contract or subcontract in a project they are or will be working on.
 4. In order to avoid conflicts of interest, current ADOT employees shall not be employed by a Contractor or Subcontractor to work on ADOT contracts prior to award of this Contract. Current ADOT employees shall not be included in a Statement of Qualifications proposal for an ADOT Contractor contract as an owner, or member of the Contractor's or Subcontractor's team.
 5. If a former ADOT employee is employed by a Contractor which has an active ADOT contract for which the former ADOT employee had a Significant Procurement Role, the ADOT employee is prohibited from working on these contracts.
 6. Only current ADOT employees are permitted to serve on Contractor Selection Panels. If a need is identified for a selection panel to include a member who is not employed by ADOT, the ECS Manager and State Engineers Office must approve this request. For Local Public Agencies (LPA) projects, one employee from the Agency may serve on the Contractor Selection Panel upon approval from the ECS Manager and State Engineer's Office.

An ADOT employee who fails to properly disclose conflicts of interest or violates any of these requirements may be suspended, terminated, or subject to civil penalty in accordance with State Statutes.

B. Application to Contractors (including Supplemental Service Contractors)

*** The term "Contractor" or "Subcontractor" in this section applies to the firm and the employees of the firm.*

1. A Contractor and/or a Subcontractor, involved in the preparation of DCR/EA or other scoping documents, must complete to "Draft Final" and ADOT must publish these documents a minimum of 60 days prior to the

advertisement of a Request for Qualifications for subsequent phases of work. Otherwise the Contractor or Subcontractor is not eligible to submit to perform services on these subsequent phases.

2. Supplemental Service Contractors or Temporary-Technical Engineering Personnel performing services for ADOT may:
 - a. Be included in a Statement of Qualifications in any role.
 - b. Work on projects outside the supplemental services that they are currently performing for ADOT. However, conditions cannot exist in which their work is in conflict with current work obligations being performed for ADOT as a contracted Supplemental Services Contractor or Temporary-Technical Engineering Personnel.
3. Supplemental Service Contractors performing services for ADOT may not serve in any role on projects for which their firm is performing services for ADOT.
4. Supplemental Service Contractors performing services for ADOT may:
 - a. Serve as an ADOT Project Manager while a project DCR/EA or other scoping document is being prepared. Serving in this capacity does not prohibit the firm, which the supplemental services Contractor is employed by, from submitting a Statement of Qualifications (SOQ) or Statement of Interest (SOI), or including the individual in their SOQ/SOI for subsequent services on that same project.
 - b. Assist the Department in preparing a contract scope of services. If a Supplemental Services Contractor assists in preparing a contract scope of services, the contract RFQ or Task Order Request for SOI will be advertised for a longer period of time. The firm the supplemental services Contractor is employed by is not prohibited from submitting an SOQ/SOI, or including the individual in their SOQ/SOI for the contract/Task Order which the scope of services was prepared for.
5. Supplemental Service Contractors may not participate in preparing the following parts of the RFQ/SOI: type of contract, fixed fee, contract duration, and evaluation criteria, questions, and points.
6. Contractors and/or Subcontractors contracted to design any portion of a project may not propose to be the contractor or a subcontractor for the construction phase of the project.
7. Consistent with 23 CFR 1.33:
 - a. No engineer, attorney, appraiser, inspector, or other person performing services for the Department in connection with a project shall have, directly or indirectly, a financial or other personal interest other than their employment or retention by the State in any contract or subcontract in connection with such project.
 - b. No officer or employee of such person retained by the Department shall have, directly or indirectly, any financial or other personal interest in any real property acquired for a project unless such interest is publically disclosed and such officer or person has not participated in such acquisition for and on behalf of the Department.

Items 1-6 in subsection b above also applies to any work performed or to be performed by related entities. "Related Entities" mean firms (regardless of ownership structure) with any common ownership, directly or indirectly through parent companies, subsidiaries or otherwise with any common managers, officers, or directors. A publicly traded company is not related to another entity if the common ownership, direct or indirect, does not exceed 1% of the outstanding stock of the publicly traded company and there are no common managers, officers, or directors.

To clarify the involvement and participation of Contractor or Subcontractor engineering firms in ADOT contracts, please refer to MGT 02-3 (or as amended). Contractors or Subcontractors which participated in preparing documents related to a contract solicitation shall not receive any direct benefit from the utilization of those documents.

Any request for waiver from the restrictions related to Supplemental Service Contractors must be submitted to ECS describing the nature of their involvement well in advance of the proposal submittal or work assignment for determination on the matter. Decisions on waivers and conflicts of interest will be determined by the State Engineer, consistent with MGT 02-3. The State Engineer's decision will be final.

If a Contractor violates any of these requirements, or those outlined in State Statutes or Federal Rules and Regulations, the contract may be terminated and the firm may not be eligible to submit proposals in the future to perform services for the Department. The State will disclose any conflict of interest matters to the FHWA.

SECTION X – SCOPE OF WORK FOR MANAGEMENT AND OPERATIONS OF THE ADOT TRAFFIC OPERATIONS CENTER

The State of Arizona, Department of Transportation (ADOT), operates a statewide Intelligent Transportation System (ITS) as part of an Integrated Corridor Management (ICM) program. This system and program are monitored and controlled from ADOT's Traffic Operations Center (TOC). The Department has worked with federal, state and local jurisdictions, regional authorities, and multiple interested stakeholders to implement an ICM approach in Maricopa County and continues to spread this program to the rural parts of the State. This program comprises an array of measures that work in tandem to smooth and optimize traffic flow, minimize the effect of traffic incidents, expedite recovery from such incidents, and provide the traveling public with up-to-date information that helps them plan their trips and minimize their encounters with time-consuming delays that inevitably arise on busy highways.

The Department's ITS includes an array of traffic data collection sensors, communications devices, closed circuit television cameras, computers, dynamic message signs, and ramp meter signals, among other devices. Through the operator workstations and video wall within the TOC, the day-to-day operations of the TOC are accomplished.

Currently, ADOT operates and maintains the TOC at 2302 W. Durango Street in Phoenix, AZ, 85009. While physically located in ADOT's Central District (consisting of the Phoenix Metro area), the TOC is not managed at the District level. ADOT desires to transition from the current TOC services and retain a qualified Contractor for the management and operations of the TOC Operators.

The basic services being sought can be categorized into five major areas on a 24/7/365 day basis:

- Metro TOC Operations Services (ADOT Central District Freeways, Highways, and Arterials)
- Rural TOC Operations Services (All other State Highways not included above)
- Incident Management Support Services
- Wrong Way Driver Notification
- Miscellaneous TOC Support and Reporting Services

The Contractor selected shall be responsible for providing services such as, but not limited to:

- 1) Monitoring and reporting traffic conditions throughout the State via Closed Circuit Television cameras and Vehicle Detection Systems;
- 2) Monitoring statewide Road Weather Information Systems (RWIS) and taking positive actions accordingly;
- 3) Managing lane blocking and non-lane blocking incidents to include:
 - a) Disseminating traveler information via Dynamic Message Signs (DMS) and Arizona's Advanced Traveler Information System
 - b) Notifying appropriate units and management of incidents based on a notification matrix
 - c) Dispatching ALERT/DPS Incident Response Vehicles, and other incident management resources to crash or incident scenes
 - d) Coordinating with other agencies/entities
 - e) Monitoring and operating Responsive Traffic Signal Control Technology
 - f) Logging and documenting all actions in an easily accessible/searchable database

The Contractor shall furnish all personnel, supervision, expertise, future training materials, licenses, certifications, and incidentals necessary to provide the services described herein.

To achieve the basic service levels, the Contractor shall:

- Provide enough fully qualified Traffic Control Operators (Operators) to continuously support 24 hours a day, 7 days a week operation of the TOC throughout the entire year in a proactive manner, regardless of the traffic flow and daily load times.
- Provide the appropriate hiring, training and supervision of the Contractor's operators to ensure that timely Traffic Incident Management (TIM) operation are available 24/7/365.

- Provide operations and monitoring of ICM within the TOC operational jurisdiction.
- Provide real time traveler information via DMS, radio and other means.
- Arrange for regional traffic incident management.
- Provide ALERT team dispatch.
- Provide support for emergency management coordination.
- Provide notifications to and coordination with incident responders (Law Enforcement, Fire Rescue, ALERT, ADOT On-Call Personnel, etc.).
- Provide support to AZ511 and future AZ511 operations for the State of Arizona.
- Provide coordination with statewide Amber Alerts and Silver Alerts.
- Provide support for operation of the I-10 Deck Park Tunnel, when needed.
- Provide local/regional coordination with other regional or local Transportation Management and other Stakeholders.
- Monitor weather alarms and alerts.
- Provide performance measure reports weekly, monthly, quarterly, and yearly.
- Coordinate, facilitate, conduct, and document meetings to support aspects and requirements of the contract.
- Revise and maintain the Traffic Operations Center Guidelines and Procedures (TOC G&P).
- Suggest process and equipment improvements that may or may not include software changes.

It is the responsibility of the Contractor to familiarize themselves with the daily activities and responsibilities of the TOC. This includes, but is not limited to, programming DMS, operating CCTV cameras, logging events into the Highway Condition & Reporting System (HCRS) and other related logs, sending of messages over a variety of media to a variety of recipients, monitoring tunnel systems, monitoring flood/pump systems, etc. All current responsibilities and requirements for the TOC operations are defined in the latest edition of TOC G&P.

The Contractor is not responsible for physical field maintenance of various ITS and communications systems, but shall function in a role of coordinating and scheduling these activities as needs arise.

The quality control process is an essential function of the TOC Operations. To function in the most efficient manner, the errors which may occur in day-to-day operations need to be identified, collected, reviewed, addressed, and ultimately corrected. A quality control process has been established by the TOC and the Contractor shall adhere to all requirements of Quality Assurance provisions within the various sections of the TOC G&P.

The Contractor shall proactively monitor the field equipment and systems from within the TOC and report failures.

Current staffing levels at the TOC are as follows:

- Shift Supervisor (SS): a minimum of one Shift Supervisor or highly experienced Operator is scheduled each shift on-site at the TOC at all times
- Basic TOC Operators: a minimum of two fully qualified TOC Operators are scheduled for operations on-site at the TOC at all times

The Contractor shall provide adequate staffing levels as needed to meet all of the requirements outlined in the scope of services, at all times under all circumstances. The need for all positions and number of required personnel, including managerial staff, shall be clearly identified and documented.

Performance ratings shall be used to assess Contractor performance under this contract. The Contractor shall keep all appropriate/verifiable data to support the performance rating Calculations during the duration of the contract. The Department reserves the right, at its discretion, to modify, remove or add performance measures, criteria, requirements, and/or penalties at any time during the term of this contract. However, while ADOT believes that measuring performance is critical to program success, it is their desire that the TOC staff maintain a primary focus on operations, not data collecting.

The Contractor shall name a single person as the point of contact for contractual matters.

For any new ADOT software planned enhancements, the Contractor shall provide technical support and guidance to the Department with review of ADOT software requirements developed by others or develop new requirements, if requested.

The Contractor shall assume operations of the ADOT TOC, including shift supervision and oversight. Provisions for expansion of the ADOT TOC Operations services shall also be included in the project as the functionality and responsibilities of the ADOT ITS programs grows.

The Department shall provide TOC equipment/furnishings (i.e. video monitors, workstations, landline telephones, consoles, chairs, tables) and utilities (i.e. air conditioning, lighting, electrical power) at the TOC at no cost to the Contractor. The Contractor will also have access to parking space, office space, fax machines, telephones for TOC business use, office supplies, and a kitchen eating area. ADOT will continue to provide TOC facility maintenance, landscaping and janitorial service.

The Contractor shall be responsible for the physical security of the Control Room as described in the TOC G&P. The Contractor is responsible for ensuring that all TOC equipment used by its personnel shall be maintained in a safe and efficient manner in accordance with all local, state and federal laws, regulations and guidelines pertaining to providing the required services. The Contractor shall provide a description concerning the planned level of IT support within the Control Room.

ADOT will continue to provide the receptionist at the TOC Building entrance.

Building security shall be established by the assignment of ADOT-issued security access cards. Traffic Control room access shall be further enhanced by the assignment of Contractor-issued security access cards. Provisions for limited access of ADOT designated personnel shall be developed.

The Contractor is solely responsible for the safety of all its personnel.

The Contractor is responsible for any injury to its personnel that may occur in performing any of the Contractual services being provided by the Contractor under this Solicitation. At the conclusion of a workday, the Contractor shall leave the work area clear of any safety hazard its personnel may have created.

The Department assumes no liability for any equipment or personal belongings or effects left on Department property/site overnight.

The Department shall conduct monthly performance assessments to the Contractor's ability to meet or exceed the Performance Measures established in this Contract.

The Contractor shall provide a transition/training plan, based on their historical transitional processes of other Traffic Management Center operations that they have successfully managed, for the Department to review and approve. In order to minimize the loss of institutional knowledge of the existing staff and minimize the transition impacts, the Contractor shall provide information on their plan to retain existing staff, including proposed pay and benefits package to be offered, including signing bonuses.